



# NONRESIDENT TRAINING COURSE

February 1993



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# Yeoman 1 & C

NAVEDTRA 14260

Although the words “he,” “him,” and “his” are used sparingly in this course to enhance communication, they are not intended to be gender driven or to affront or discriminate against anyone.

## PREFACE

By enrolling in this self-study course, you have demonstrated a desire to improve yourself and the Navy. Remember, however, this self-study course is only one part of the total Navy training program. Practical experience, schools, selected reading, and your desire to succeed are also necessary to successfully round out a fully meaningful training program.

**THE COURSE:** This self-study course is organized into subject matter areas, each containing learning objectives to help you determine what you should learn along with text and illustrations to help you understand the information. The subject matter reflects day-to-day requirements and experiences of personnel in the rating or skill area. It also reflects guidance provided by Enlisted Community Managers (ECMs) and other senior personnel, technical references, instructions, etc., and either the occupational or naval standards, which are listed in the *Manual of Navy Enlisted Manpower Personnel Classifications and Occupational Standards*, NAVPERS 18068.

**THE QUESTIONS:** The questions that appear in this course are designed to help you understand the material in the text.

**VALUE:** In completing this course, you will improve your military and professional knowledge. Importantly, it can also help you study for the Navy-wide advancement in rate examination. If you are studying and discover a reference in the text to another publication for further information, look it up.

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## **Sailor's Creed**

“I am a United States Sailor.

I will support and defend the Constitution of the United States of America and I will obey the orders of those appointed over me.

I represent the fighting spirit of the Navy and those who have gone before me to defend freedom and democracy around the world.

I proudly serve my country's Navy combat team with honor, courage and commitment.

I am committed to excellence and the fair treatment of all.”

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# INSTRUCTIONS FOR TAKING THE COURSE

## ASSIGNMENTS

The text pages that you are to study are listed at the beginning of each assignment. Study these pages carefully before attempting to answer the questions. Pay close attention to tables and illustrations and read the learning objectives. The learning objectives state what you should be able to do after studying the material. Answering the questions correctly helps you accomplish the objectives.

## SELECTING YOUR ANSWERS

Read each question carefully, then select the BEST answer. You may refer freely to the text. The answers must be the result of your own work and decisions. You are prohibited from referring to or copying the answers of others and from giving answers to anyone else taking the course.

## SUBMITTING YOUR ASSIGNMENTS

To have your assignments graded, you must be enrolled in the course with the Nonresident Training Course Administration Branch at the Naval Education and Training Professional Development and Technology Center (NETPDTC). Following enrollment, there are two ways of having your assignments graded: (1) use the Internet to submit your assignments as you complete them, or (2) send all the assignments at one time by mail to NETPDTC.

**Grading on the Internet:** Advantages to Internet grading are:

- you may submit your answers as soon as you complete an assignment, and
- you get your results faster; usually by the next working day (approximately 24 hours).

In addition to receiving grade results for each assignment, you will receive course completion confirmation once you have completed all the

assignments. To submit your assignment answers via the Internet, go to:

<http://courses.cnet.navy.mil>

**Grading by Mail:** When you submit answer sheets by mail, send all of your assignments at one time. Do NOT submit individual answer sheets for grading. Mail all of your assignments in an envelope, which you either provide yourself or obtain from your nearest Educational Services Officer (ESO). Submit answer sheets to:

COMMANDING OFFICER  
NETPDTC N331  
6490 SAUFLEY FIELD ROAD  
PENSACOLA FL 32559-5000

**Answer Sheets:** All courses include one “scannable” answer sheet for each assignment. These answer sheets are preprinted with your SSN, name, assignment number, and course number. Explanations for completing the answer sheets are on the answer sheet.

**Do not use answer sheet reproductions:** Use only the original answer sheets that we provide—reproductions will not work with our scanning equipment and cannot be processed.

Follow the instructions for marking your answers on the answer sheet. Be sure that blocks 1, 2, and 3 are filled in correctly. This information is necessary for your course to be properly processed and for you to receive credit for your work.

## COMPLETION TIME

Courses must be completed within 12 months from the date of enrollment. This includes time required to resubmit failed assignments.

## **PASS/FAIL ASSIGNMENT PROCEDURES**

If your overall course score is 3.2 or higher, you will pass the course and will not be required to resubmit assignments. Once your assignments have been graded you will receive course completion confirmation.

If you receive less than a 3.2 on any assignment and your overall course score is below 3.2, you will be given the opportunity to resubmit failed assignments. **You may resubmit failed assignments only once.** Internet students will receive notification when they have failed an assignment--they may then resubmit failed assignments on the web site. Internet students may view and print results for failed assignments from the web site. Students who submit by mail will receive a failing result letter and a new answer sheet for resubmission of each failed assignment.

## **COMPLETION CONFIRMATION**

After successfully completing this course, you will receive a letter of completion.

## **ERRATA**

Errata are used to correct minor errors or delete obsolete information in a course. Errata may also be used to provide instructions to the student. If a course has an errata, it will be included as the first page(s) after the front cover. Errata for all courses can be accessed and viewed/downloaded at:

<http://www.advancement.cnet.navy.mil>

## **STUDENT FEEDBACK QUESTIONS**

We value your suggestions, questions, and criticisms on our courses. If you would like to communicate with us regarding this course, we encourage you, if possible, to use e-mail. If you write or fax, please use a copy of the Student Comment form that follows this page.

## **For subject matter questions:**

E-mail: n313.products@cnet.navy.mil  
Phone: Comm: (850) 452-1001, Ext. 2167  
DSN: 922-1001, Ext. 2167  
FAX: (850) 452-1370  
(Do not fax answer sheets.)  
Address: COMMANDING OFFICER  
NETPDTC (CODE N313)  
6490 SAUFLEY FIELD ROAD  
PENSACOLA FL 32509-5237

## **For enrollment, shipping, grading, or completion letter questions**

E-mail: fleetservices@cnet.navy.mil  
Phone: Toll Free: 877-264-8583  
Comm: (850) 452-1511/1181/1859  
DSN: 922-1511/1181/1859  
FAX: (850) 452-1370  
(Do not fax answer sheets.)  
Address: COMMANDING OFFICER  
NETPDTC (CODE N331)  
6490 SAUFLEY FIELD ROAD  
PENSACOLA FL 32559-5000

## **NAVAL RESERVE RETIREMENT CREDIT**

If you are a member of the Naval Reserve, you will receive retirement points if you are authorized to receive them under current directives governing retirement of Naval Reserve personnel. For Naval Reserve retirement, this course is evaluated at 8 points. (Refer to *Administrative Procedures for Naval Reservists on Inactive Duty*, BUPERSINST 1001.39, for more information about retirement points.)

## **COURSE OBJECTIVES**

In completing this nonresident training course, you will demonstrate a knowledge of the subject matter by correctly answering questions on the following: the Navy Yeoman, education, advancement, career opportunities, assignments, retention, administrative procedures, forms, reports control, records disposal, personnel support, manpower authorization, travel, security, legal, and separations.





## Student Comments

**Course Title:** Yeoman 1 & C

**NAVEDTRA:** 14260 **Date:** \_\_\_\_\_

**We need some information about you:**

Rate/Rank and Name: \_\_\_\_\_ SSN: \_\_\_\_\_ Command/Unit \_\_\_\_\_

Street Address: \_\_\_\_\_ City: \_\_\_\_\_ State/FPO: \_\_\_\_\_ Zip \_\_\_\_\_

**Your comments, suggestions, etc.:**

**Privacy Act Statement:** Under authority of Title 5, USC 301, information regarding your military status is requested in processing your comments and in preparing a reply. This information will not be divulged without written authorization to anyone other than those within DOD for official use in determining performance.

NETPDTC 1550/41 (Rev 4-00)



# CHAPTER 1

## THE NAVY YEOMAN

This training manual (TRAMAN) is prepared to help you to meet the professional qualifications for advancement to Yeoman (YN) first class and chief. It is designed for use by members of both the Regular Navy and Naval Reserve. As the leading chief petty officer, you are directly responsible for the smooth operation of the office. This chapter acquaints you with the administrative support of operations and the elements that aid in the development of high morale. However, before we discuss administrative support of operations and morale, we will briefly discuss the sources of the material and the scope of this TRAMAN.

The occupational standards (OCCSTDs) that were used as a guide in the preparation of this manual are contained in the *Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*, NAVPERS 18068F. Volume I of NAVPERS 18068F contains the OCCSTDs that express the Navy's requirements for enlisted skills as determined by manpower management. These requirements form the basis for advancement, training, and distribution of personnel, and thus are the foundation of the Navy Enlisted Occupational Classification System. These requirements are categorized as follows:

- Naval standards (NAVSTDs) are skills and knowledges, other than those defined by OCCSTDs, that are essential to the overall effectiveness of enlisted personnel in the performance of their duties. They encompass military requirements, are essential virtues of pride of service in support of the oath of enlistment, and ensure the maintenance of good order and discipline. Further, the NAVSTDs are basic skills and knowledge necessary for the well-being of Navy personnel, and they contribute directly to the mission of the Navy.

- OCCSTDs are minimum standards that represent the lowest level of skill required to function effectively at a given level of responsibility to fulfill Navy needs. OCCSTDs are phrased in the language of task statements. They define what enlisted personnel must do in their rate or rating (performance factors). They are based on the rationale that the knowledge required to perform a task is inherent to the proper performance of the task. The specific knowledge required to perform a task is derived from task analysis data collected by the

Chief of Naval Education and Training (CNET). TRAMANS such as this one and advancement examinations are based on the OCCSTDs.

The scope of this manual revolves around two central points. These points are the OCCSTDs, as described previously, necessary for advancement to YN1 or YNC and the leadership skills necessary to attain managerial competency as an office manager or an administrative assistant. Along with the discussion of professional and leadership skills, ideas are presented in both areas for your consideration as you assume your role at the middle management level. This manual is a companion manual to the *Yeoman 3*, NAVEDTRA 10298, and the *Yeoman 2*, NAVEDTRA 10299. It is essential that you be familiar with the *Yeoman 3* and *Yeoman 2* manuals if you are to derive the most benefit from this *Yeoman 1 & C* manual.

Mastery of the knowledge and leadership skills discussed previously will enable you to become a capable supervisor and a more valuable asset to the Navy. Your contribution to the Navy depends upon your willingness and ability to accept increasing responsibilities as you advance in rate. When you assume the duties of a YN1 or YNC, you are accepting the responsibility for the work of others. As a result, you should strive to improve your leadership ability and technical knowledge through study, observation, and practical application.

### LEADERSHIP AND COMMUNICATION

Your responsibilities for military leadership are about the same as those of petty officers in other ratings. Your responsibilities for technical leadership are special to your rating and are directly related to the nature of your work. As an office supervisor, managing and staffing your office is important. It is a job that requires a special kind of leadership ability that is developed by personnel who have a high degree of technical competence and a deep sense of personal responsibility. Both officers and enlisted personnel expect you to translate general orders given by officers into detailed, practical, on-the-job language that can be understood and followed by relatively inexperienced personnel. In dealing with your juniors, it is up to you to see that they

perform their work properly. At the same time, you must provide for the needs or problems of your people.

As your responsibilities increase, your ability to communicate clearly and effectively must also increase. The basic requirement for effective communication is a knowledge of your own language. Use correct English in speaking and writing. The basic purpose of all communication is understanding. To lead, supervise, and train others, you must be able to speak and write in a manner that others can understand.

A second requirement for effective communication in the Navy is sound knowledge of the Navy way of saying things. Some Navy terms have been standardized for the purpose of ensuring efficient communication. When a situation calls for the use of standard Navy terminology, use it.

Another requirement of effective communication is precision in the use of technical terms. Command of the technical language of the YN rating will enable you to receive and convey information accurately and to exchange ideas with others. People who do not understand the precise meaning of terms used in connection with the work of their rating are at a disadvantage when they try to read official publications relating to their work. They are also at a disadvantage when they participate in the Navywide advancement examination. Although it is important for you to use technical terms correctly, it is particularly important when you are dealing with lower rated personnel. Inaccurate use of technical terms is confusing to inexperienced personnel.

### **ADMINISTRATIVE ASSISTANT**

The administrative assistant is a direct representative of the executive officer (XO). He or she may be a commissioned officer or a senior Yeoman delegated to act for the XO in specific functions of administration. An administrative assistant is concerned with overall policies, procedures, and regulations of the command. He or she also serves as the X-division officer. Because you work closely with the administrative assistant, you should be familiar with most of the duties and responsibilities. You may not be expected to do the job when the administrative assistant is absent; however, you are expected to supply intelligent answers about the job. From the time you sew on your first-class crow you should consider yourself in training, not only for chief, but for the time when you may have to perform the duties of the administrative assistant.

The duties, responsibilities, and authority of the administrative assistant are numerous. Administrative assistants review, coordinate, and supervise specific duties and functions as necessary to reach the objectives. They perform the following duties:

- Observe and report to the XO on the effectiveness of administrative policies, procedures, and regulations of the command.
- Review all correspondence and directives prepared for the signature or review of the XO and make sure they conform with the *Department of the Navy Correspondence Manual*, SECNAVINST 5216.5C, *Preparation of Correspondence and Directives for Signature of the SECNAV or CEA, the SECDEF or the President or a Member of the U.S. Navy of the White House Staff*, SECNAVINST 5216.1H, and pertinent command directives.
- Initiate administrative action where appropriate in the case of instructions and other administrative directives.
- Schedule interviews of visitors with the XO.
- Coordinate the assignments of enlisted personnel to various departments.
- Exercise budgetary control of funds for expenses of various departments.
- Supervise the preparation of the plan of the day (POD) and review for arrangement and content before submission for signature.
- Exercise administrative direction of the print-shop and associated duplicating equipment.
- Coordinate and ensure the indoctrination of recruits and newly reported personnel.

### **SHIP'S SECRETARY**

As the senior YN stationed onboard a ship, you may be assigned as the ship's secretary. The ship's secretary reports to the commanding officer (CO) as his or her personal secretary. Ship's secretaries are responsible, under the XO, for performance of assigned duties and to the administrative assistant for the accountability and routine administration of personnel assigned to the captain's office. All personnel assigned to the captain's office report to the ship's secretary.

The ship's secretary is responsible for seeing that the administration and accountability of ship's correspondence and directives, administration and

custody of officer personnel records, and the establishment and maintenance of a forms control point are efficiently performed and maintained. The ship's secretary also acts as the captain's writer and supervises the preparation of his or her personal correspondence.

## **ADMINISTRATION OF CORRESPONDENCE**

The *Department of the Navy Correspondence Manual*, SECNAVINST 5216.5C, *U.S. Navy Regulations*, 1990, and command directives are the guides for the preparation of correspondence. It has often been said that if you follow these guides, you will never go astray when preparing correspondence. One sign of a good ship's secretary is compliance with the Navy correspondence manual.

In addition to reviewing outgoing correspondence, the ship's secretary reads, or is at least aware of, each piece of incoming mail and makes sure all official correspondence is processed and routed properly.

A very small percentage of official mail requires a reply since most mail is informative in nature and need not be controlled. It may be possible for the ship's secretary to provide a recommended answer to an inquiry by referring to previous correspondence in the files. The time to provide this information is before the department head concerned or the XO receives the letter, so a recommended action can be provided to the captain. This is done by means of a mail control slip or memorandum. It should never be necessary for an officer to come to the ship's secretary for information when the ship's secretary has seen the inquiry and knows that information will be needed. When letter inquiries concern personnel matters, the ship's secretary often drafts a recommended reply in the rough. The CO may approve or disapprove the letter for signature.

## **ACCOUNTABILITY FOR CORRESPONDENCE**

Accountability for correspondence would seem to apply only to the care and handling of classified matter. However, in its broadest sense, accountability applies to all mail that is retained in the central files, classified or not.

Maintaining the central files involves more than sticking a piece of paper in a file folder. Mail of importance should be routed by means of a mail control slip. You should review article 620.5 of the *Standard Organization and Regulations of the U.S. Navy* (SORM), OPNAVINST 3120.32B, for more

information concerning mail control. If the person taking action on a certain piece of correspondence wishes to retain it, the control slip should be returned to central files indicating that the correspondence is being retained. If a reply is prepared to a letter, the identification of the reply should be shown on the control slip for future reference. Precautions must be taken to make sure classified matter is not reproduced without the permission of the proper authority. Close control of mail must be kept while it is being routed and a time limit on how long any department may retain correspondence must be set before the letter is routed.

The ship's secretary must always keep alert for signs of improper filing. Few things are more irritating than waiting for a needed letter or document, then finding out the delay was caused by misfiling the needed material. The ship's secretary is the one who "gets the blast," but when material is misfiled, it reflects on the senior YN and the file clerk as well. Misfiling of material is embarrassing and should never happen if the office is functioning properly.

The ship's secretary makes sure that the file system is set up properly for both classified and unclassified matter, that a record of all persons who see Top Secret matter is kept, that obsolete matter is disposed of properly, and above all, that all correspondence is maintained accurately. The *Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes* (SSIC), SECNAVINST 5210.11D, provides guidelines for the filing system to accommodate both classified and unclassified matter. Article 620.5 of the SORM and chapters 10 and 15 of the *Department of the Navy Information Security Program Regulation*, OPNAVINST 5510.1H, set forth the requirements for control and transmission of classified material. A review of these publications will help you determine if your office is following the proper procedures.

## **SUPERVISION OF CAPTAIN'S YEOMAN**

The ship's secretary usually details one of the best petty officers to be the CO's personal Yeoman. The captain's Yeoman types the captain's letters, acts as the captain's receptionist, and notifies other officers when the captain wants to see them. The Yeoman serves the captain much the same way that the flag lieutenant assists the admiral of a fleet staff.

## **SUPERVISION OF CO'S PERSONAL CORRESPONDENCE**

The captain's Yeoman prepares the CO's personal correspondence; however, the Yeoman does NOT have supervisory responsibility for it. This is one of the ship's secretary's functions. Most COs want an extra copy made of any personal correspondence for inclusion in their personal files. For ready reference, the CO may want an extra copy made of official correspondence on some subjects. The ship's secretary must often make the decision as to whether an extra copy of official correspondence should be made. In most cases the COs retain their own personal file or entrust its upkeep to the ship's secretary.

## **OFFICER RECORDS**

Signatures in the service record are required to make sure entries are made by proper authority and the records are properly maintained. Signatures are made in permanent black or blue-black ink. The ship's secretary is required to keep up and maintain custody of officer personnel records. He or she makes sure all incoming directives relating to change of duty, promotion, or change in status of officer personnel are promptly executed and recorded. The ship's secretary makes sure the office personnel are aware of any new procedure. He or she makes sure that required reports are sent on time, that personnel accounting for officers is accurate, and that there exists a foolproof system of handling officer fitness reports. Refer to the *Navy Officer Fitness Report*, NAVMILPERSCOMINST 1611.1A.

Chapter 50 of the *Naval Military Personnel Manual* (MILPERSMAN), NAVPERS 15560, contains additional information concerning officer service records. The topic is also discussed in the *Yeoman 3 TRAMAN*. Remember—an officer's record is vital to his or her career. This is true from the lowest ranking officer on the ship up through the "skipper." Never let yourself or your personnel be careless or slipshod when working with the records. A good idea might be to give your best petty officer full charge of them.

## **SHIP'S DIRECTIVES AND PUBLICATIONS**

The Navy Directives Issuance System is covered in detail in the *Yeoman 3 TRAMAN* and chapter 10 of the *SORM*. The ship's secretary is responsible for making the Directives Issuance System work on the ship. He or she also maintains the ship's Master Directives Binder. This binder is a master set of all instructions and notices received and issued by the CO or the XO. Instructions

and notices received from other activities are filed in the usual way (by subject classification number and originator). For those originated on the ship, there is a choice. They can be placed in the same binders and in the same order as those received, or they may be filed separately for ready reference. Refer to the *Department of the Navy Directives Issuance System Manual*, SECNAVINST 5215.1C, part II. Ship or station notices ordinarily need not be filed in the master file because of their short duration. If it is necessary to interfile them temporarily with instructions, the notices should be tabbed so that each may be easily and promptly removed as soon as its cancellation date is reached. Copies may be filed in separate suspense binders when necessary.

The importance of removing obsolete directives and making changes to effective directives cannot be overemphasized. You could find yourself considerably embarrassed should the CO or another officer make a decision based on your information only to find too late that the directive had been canceled or changed. Review new directives and publications and make changes to them immediately upon receipt. Discuss all changes to current procedures with the entire office staff and if the procedural changes affect other administrative personnel in the command, include them in the training session.

When updating a publication with a new change, always use the List of Effective Pages to verify that your manual is complete. Figure 1-1 is a list of required and recommended publications.

Review MILPERSMAN 5420100, with exhibit 1, NAVSUP P2002 (microfiche), and figure 1-1 to make sure that the required administrative publications are held and that a sufficient number of copies are on board.

## **MORALE**

As a petty officer first class or chief petty officer, you have a responsibility to develop and maintain a high state of morale. The morale of your personnel is an important element in producing a cooperative effort toward accomplishing the command objectives. Personnel may seek counseling on such subjects as family problems, friction with co-workers, frustrations and anxieties, or a personal sense of failure. You are responsible for counseling personnel about any problem they feel a need to discuss with you. Likewise, you are responsible for counseling personnel about any problem that hinders the operation of your division. The objectives of the naval service must remain primary. Each member must be informed and understand the

## Required and Recommended Publications

*Advancement Manual*, BUPERSINST 1430.16D

*Better Naval Writing*, OPNAV 09B-P1-84

*Bibliography for Advancement Study*, NAVEDTRA 12052

*Biennial Officer Billet Summary (Junior Officer Edition)*, NAVPERS 15994J

*Biennial Officer Billet Summary (Senior Officer Edition)*, NAVPERS 15993I

*Casualty Assistance Calls Program Manual*, NAVMILPERSCOMINST 1770.1

*Catalog of Navy Training Courses*, volumes I, II, and III, NAVEDTRA 10500 (volumes II and III are on microfiche)

*Certificate of Release or Discharge from Active Duty*, DD Form 214, NAVMILPERSCOMINST 1900.1B

*Corrections Manual*, SECNAVINST 1640.9A

*Decedent Affairs Manual*, NAVMEDCOMINST 5360.1D

*Department of the Navy Correspondence Manual*, SECNAVINST 5216.5C

*Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes*, SECNAVINST 5210.11D

*Diary Message Reporting System Users Manual (DRSMAN)*, EPMAC Document Number 1080#1 UM-01

*Directives Issuance System*, SECNAVINST 5215.1C

*DOD Military Pay and Allowances Entitlements Manual*, NAVSO P-6048

*Enlisted Transfer Manual*, NAVPERS 15909D

*Financial Management Guide for PCS Travel*, NAVMILPERSCOMINST 7040.1

*Forms Management Program Guidance*, OPNAVINST 5213.1B

*Homeports and Permanent Duty Stations, Establishment, Disestablishment and Modification of Activities of the Operating Forces of the Navy*, OPNAVINST 3111.14U

*Information and Personnel Security Program Regulation*, OPNAVINST 5510.1H

*Joint Federal Travel Regulations*, volume I, NAVSO P-6034

*Limited Duty/Chief Warrant Officer Professional Guidebook*, OPNAV 130-1-85

*List of Training Manuals and Nonresident Training Courses*, NAVEDTRA 12061

*Manual Escorts for Deceased Personnel*, NAVPERS 15955F

*Manual of Courts-Martial, United States*, 1984

*Manual of General Military Training, Lesson Plans*, NAVEDTRA 46008

Figure 1-1. Required and recommended publications.

*Manual of Naval Total Force Manpower*, OPNAVINST 1000.16G

*Manual of Navy Enlisted Manpower and Personnel Classification and Occupational Standards*, volumes I and II, NAVPERS 18068F

*Manual of Navy Officer Manpower and Personnel Classification*, volumes I and II, NAVPERS 15839F

*Manual of the Judge Advocate General*, JAGINST 5800.7B

*Message Address Directory, United States Navy, Plain Language Address Directory (USN PLAD)*, Issue #23

*Naval Military Personnel Manual*, NAVPERS 15560A

*Naval Telecommunications Users Manual*, NTP-3, (H)

*Navy and Marine Corps Awards Manual*, SECNAVINST 1650.1E

*Navy and Marine Corps Records Disposition Manual*, SECNAVINST 5212.5C

*Navy Comptroller Manual*, volume 2, chapter 5, "Unit Identification Codes," NAVSO P-100025

*Navy Customer Service Manual*, NAVEDTRA 10119-B1

*Navy Enlisted Performance Evaluation System*, NAVMILPERSCOMINST 1616.1B

*Navy Equal Opportunity Manual*, OPNAVINST 5354.1B

*Navy Guide for Retired Personnel and Their Families*, NAVPERS 15891F

*Navy Military Funerals*, NAVPERS 15555B

*Navy Pay and Personnel Procedures Manual*, NAVSO P-3050

*Navy Recreation Operational Policies*, BUPERSINST 1710.11A

*Officer Transfer Manual*, NAVPERS 15559A

*Postal Instructions*, OPNAVINST 5112.6A

*Public Affairs Regulations*, SECNAVINST 5720.44A

*Register of Commissioned and Warrant Officers of the U.S. Navy and Reserve on Active Duty*, NAVPERS 15018

*Report on the Fitness of Officers*, NAVMILPERSCOMINST 1611.1A

*Retention Team Manual*, NAVPERS 15878G

*Source Data System Procedures Manual (SDSPROMAN)*, volume I, NAVSO P3069-1-2, and volume II, NAVSO P3069-2-1

*Standard Navy Distribution List*, part I, OPNAV P09B2-107, and part 2, OPNAV P09B2-105

*Standard Organization and Regulations of the U.S. Navy*, OPNAVINST 3120.32B

*Uniform Regulations*, NAVPERS 15665G

*United States Navy Regulations*, 1990

*U.S. Navy Travel Instructions*, NAVSO P-1459

*U.S. Navy Unrestricted Line Officer Career Planning Guidebook*, OPNAV P-13-1-86

**Figure 1-1.-Required and recommended publications-Continued.**



needs and policies of the service. Each member must realize the importance of his or her job. Conflict between the needs of the service and the desires or incentives of an individual may tend to destroy morale.

You also have a responsibility to show concern when personnel wish to discuss something they believe would serve the interest of the division. Their contribution must be given proper recognition and appreciation. They must be made to feel that they are a part of the organization.

An indication of high morale is increased effectiveness, patriotism, loyalty, will to win, cooperation, discipline, confidence, satisfaction, and pride. There must be career opportunity; a fair measure of efficiency; a fair administration of leave, promotion, assignment to duty; and planned programs and facilities for leisure-time activities.

## **RECOGNITION**

Recognition is an excellent aid to the development of high morale. Recognizing the accomplishments of an individual is an important part of supervising. Take the initiative to recognize outstanding individuals.

- Make recommendations for personal awards or special recognition such as sailor of the month, quarter, year, force, fleet, or Navy.
- Assign personnel to training schools.
- Assign preferred duties.
- Make recommendations for reenlistment.

Junior personnel respect your experience and advice and appreciate any interest you show in their welfare. If you display enthusiasm when you help someone make a decision, your guidance will more likely be accepted.

The effects of recognition form a positive attitude toward Navy life and a long-term effect on individual careers.

## **SPECIAL SERVICES**

Advise personnel of Special Services recreation programs, special interests groups, clubs, and volunteer tour programs under the Navy and civilian sponsorship. Encourage participation in intramural sports and off-duty activities with the objective of promoting camaraderie and physical fitness. Physical development and mental stimulation also aid in the development of high morale.

## **PERSONAL PROBLEMS**

You may be required to counsel personnel who have personal problems. Some of the areas of personal problems you may encounter are problem drinking, child/spouse abuse, nonsupport of family members, paternity complaints, marital problems, and problem teenagers.

A member may ask for your advice and assistance with financial matters. On the other hand, you know that a member has financial problems and the member does not admit the problem or seek counseling. The Navy expects its personnel to pay their financial obligations in a proper and timely manner. However, enforcement of the private obligations of personnel falls under the control of civil authorities. You do not have the authority to arbitrate claims or controversies about the private financial obligations of your personnel. Neither do you have the authority to act as an agent or collector for a creditor. Your job is to encourage your people to conduct their financial affairs in a way that reflects credit upon themselves and the Navy. You will find the *Personal Financial Management Course*, NAVS0 P3607, to be of particular interest to you for general military training. Also, emphasize to your personnel the Navy's policy concerning the *Remission of Indebtedness or Waiver of the Government Claim Arising from Members of the Naval Service*, SECNAVINST 7220.38E.

An up-to-date knowledge of Navy regulations and policies and a desire to help people are your keys to successful personal counseling. Confidence in your knowledge of facts and a willingness to share your knowledge will encourage others to seek your advice and value your judgment. A knowledge of available Navy and community services will prove helpful in providing answers. There are numerous agencies available that have trained and motivated counselors to provide assistance to persons who have problems that are affecting their lives and careers. Encourage your people in need of personal financial counseling to use the counseling service provided by the agencies.

## **FAMILY SERVICE CENTER**

Family service centers serve as the focal point for existing family and personal support and assistance programs. They offer help with almost any problem-marital, financial, family advocacy (child/spouse abuse)-and maintain information about duty stations throughout the world. Family service centers are not the ultimate counselors in every case. In cases requiring specialized professional counseling, the centers provide

only short-term counseling. The centers make referrals to other agencies if long-term counseling or specific help is not available in-house. The services provided by various family service centers may vary from location to location. You can learn more about your family service centers by referring to local command instructions on the subject as well as the *Family Service Center Program*, OPNAVINST 1754.1A.

### **THE NAVY RELIEF SOCIETY**

The Navy Relief Society was established to help Navy personnel through times of financial hardship. It provides budget and financial counseling. The Navy Relief Society assists with emergency loans and the cost of higher education, if warranted.

Financial assistance is provided as an interest-free loan, which is normally repaid by allotment at a convenient rate. If repayment causes real hardship to the member, the assistance is provided as a grant. Financial assistance is provided for dependents solely because of their relationship to service members. Therefore, whenever possible, service members should present their families' requests for assistance at a Navy Relief office.

The society maintains thrift shops, prenatal supplies, visiting nurse services, and other means of assisting service members and dependents when they really need it.

### **NAVAL LEGAL SERVICE OFFICE**

The naval legal service office provides counseling in military and civil legal matters. Wills, powers of attorney, and other routine legal papers are prepared. Legal representation in military courts is provided. Civil representation cannot be provided unless the office participates in the Extended Legal Assistance Program, but preliminary questions can be answered and referral to civilian lawyers can be made.

### **NAVY WIVES ORGANIZATIONS**

The Navy wives organizations enhance the general welfare of all persons within the Navy community. The Navy Wives Club of America, Incorporated, provides volunteer work for Navy Relief, Red Cross, family service centers, and numerous other community organizations. It also provides the following services:

- Assistance to needy service and veterans' families

- Visits to naval and veterans' hospitals and service to patients
- Financial contributions to many charitable funds and organizations
- Educational lectures and courses on the Navy, Navy life, rights and benefits, career opportunities, Navy Relief, Red Cross, and personal development and skills
- Congenial social programs for the wives and families of enlisted personnel

The Navy Wives Clubs of America Scholarship Foundation provides scholarships for college work and vocational training to dependent children of enlisted members of the Navy, Marine Corps, and Coast Guard. A substantial part of the clubs' fund raising is for the benefit of this major project.

The Navy Wifeline Association is an informational and educational organization comprised of volunteer Navy wives. The purpose of Wifeline is to operate as an educational center and provide and foster channels of communication primarily for Navy wives and secondarily for naval personnel. Wifeline strives to broaden the understanding of the Navy's mission and commitments.

### **OMBUDSMAN**

An ombudsman is a red-tape cutter and a two-way communications link between a Navy member and the Navy's top echelon. One job of an ombudsman is to help the member get straight answers to questions and to help where red tape slows down the process. Other jobs are to present the member's problems to the right people and to represent the member in the high command. In short, an ombudsman is the voice at the top. With the help of an ombudsman, the voice of a single Navy member is not only heard but has the ability to change existing Navy rules and regulations. For further information, refer to the *Navy Family Ombudsman Program*, OPNAVINST 1750.1B.

To communicate with the Navy Ombudsman, write to the Family, Personal, and Community Services Division, Pers 66, Navy Department, Washington, DC 20370.

### **COUNSELING AND ASSISTANCE CENTER**

The counseling and assistance center provides help to personnel with alcohol and/or drug abuse problems. Along with the in-house counseling and help, referral to

civilian organizations such as Alcoholics Anonymous and rehabilitative centers is provided. The civilian community also has many programs or agencies that can assist Navy people. It is impossible to list them here because each community is different. Check with your local family service center and personnel assisting at the center to determine what is available locally. Most local telephone directories will provide information if you do not have access to an agency that maintains referral lists.

## **NAVY CHAPLAINS**

The fact that Navy chaplains are clergymen in uniform make them concerned about any personal problems that naval personnel and their dependents may have. Navy chaplains are ready to accept the traditional practice of "taking your trouble to the chaplain." They are also ready to bring comfort, courage, and faith, which are the fruits of a religious belief, into people's lives.

## **THE AMERICAN RED CROSS**

The American Red Cross conducts a program of social welfare. This program includes financial assistance for naval personnel, medical and psychiatric case work and recreational services for the hospitalized. As an authorized medium of communication between families of naval personnel and the Navy, the Red Cross performs the following services:

- A Dependency Discharge and Humanitarian Transfer assists in gathering the affidavits required when personnel apply for dependently or hardship discharge or for humanitarian transfer.

- Emergency Leave and Leave Extensions help the CO investigate and verify the facts surrounding emergency situations where leave or leave extensions are required.

- Family Welfare Reports receive welfare information from lawyers, physicians, clergymen, and others who know the personal situation of the applicant.



## CHAPTER 2

# EDUCATION, ADVANCEMENT, AND CAREER OPPORTUNITIES

The Navy, in pursuit of satisfying its own training requirements as well as the desires of the members, has developed wide-ranging financial, educational, advancement, and career enhancement programs. The educational services officer (ESO) is the primary point of contact for these programs and has a vast library of directives and an intricate network of counselors available. Many sailors initially join the Navy for the educational benefits available after separation, but only a few realize that they can pursue educational programs while on active duty. It is the ESOs job to inform the crew and assist them as necessary.

This chapter provides information about educational programs available to active duty personnel, the naval advancement system, and career opportunities that are open to anyone who will take advantage of them.

### EDUCATION

The sailor who wishes to improve has a variety of educational opportunities available from which to choose. The following sections give information about off-duty educational programs, the nonresident training course (NRTC) program, and training manuals (TRAMANS).

#### OFF-DUTY EDUCATIONAL PROGRAMS

The Navy Campus office, available virtually on every base, coordinates and administers off-duty educational programs in your local area. The criteria for on- and off-duty educational programs are contained in *Navy Voluntary Education Programs*, CNETINST 1560.3C. Some of the available programs are described in the following paragraphs:

- The Tuition Assistance Program provides financial assistance for attendance at civilian educational institutions on a voluntary off-duty basis to earn high school or college credits. Tuition assistance may be used for vocational and technical training as well as for courses leading toward undergraduate and graduate degrees.

- The Instructor Service Program provides education through command-organized classes that satisfy command needs or requirements. The objectives of such instructions are to raise individual educational levels and to increase job performance effectiveness. Classes may include academic, professional, technical, or vocational subjects at all educational levels. Dependents and civilians may attend classes on a space-available basis.

- The Navy Campus Certificate/Degree Program enables an individual to complete requirements for a high school diploma; pursue a civilian apprenticeship program; and earn a vocational certificate, a 2-year associate's degree, or a bachelor's degree. The key benefit of this program is to allow members to earn college degrees at participating colleges and universities without formal attendance. Participating colleges and universities waive residency requirements to attend class on campus. They also accept up to 75 percent of degree credits through college-approved, nontraditional means such as Navy schools, the College Level Examination Program (CLEP), the Defense Activity for Non-Traditional Educational Support (DANTES), or the Graduate Record Examination (GRE).

- The Program for Afloat College Education (PACE) permits members assigned to ships an opportunity to attend college while underway. Under PACE I, a civilian instructor embarks on a naval vessel and teaches undergraduate level college courses. PACE courses are fully accredited and can lead to the completion of an associate degree. PACE II is an independent study program. Courses taught under PACE are fully funded by the Navy; however, students are required to pay course registration fees stipulated in the current PACE contract and to purchase their own books.

- The Navy Campus Basic Skills Program offers on-duty instruction in reading English and mathematics to guarantee naval personnel possess the minimum skill levels necessary to carry out the overall mission of the Navy.

- The DANTEs programs are designed for military personnel to enroll in independent study to help them complete their education goals. DANTEs provides examination programs that award college credit and coordinates with various universities and colleges in support of independent study. Examples of tests available include the General Educational Development (GED), the American College Test (ACT), the Scholastic Aptitude Test (SAT), the CLEP, the GRE, the Graduate Management Admission Test (GMAT), and the Law School Admission Test (LSAT).

- The National Apprenticeship Program develops highly skilled Navy-oriented journeymen who continue to use their technical skills and knowledge in the Navy. In addition, it develops journeymen so they can qualify for employment in the civilian community after separation.

- The High School Completion Program helps members earn a high school diploma by completion of high school level courses.

- The GED examination, when successfully completed, results in the award of a GED certificate to the applicant.

- The Enlisted Education Advancement Program enables highly qualified and career-motivated enlisted personnel to earn an associate degree and improve qualifications in their rating and management skills.

## **NONRESIDENT TRAINING COURSE PROGRAM**

NRTCs are designed as self-study training packages to provide instruction to naval personnel in professional naval subjects. Taking an NRTC is an excellent and convenient way for you to learn much of what you must know to advance in rate and improve your military and professional skills. Most TRAMANs are used as the basis for NRTCs. A mandatory TRAMAN can be completed by passing the NRTC based on the TRAMAN. You will find it helpful to complete other courses in addition to those based on mandatory manuals. For example, the completion of the NRTC based on the *Manual for Courts-Martial, United States 1984*, is strongly recommended for personnel preparing for advancement to Yeoman first class (YN1) and Yeoman chief (YNC). The NRTCs help you to master the information given in the TRAMAN and also give you an indication of how much you learned from the TRAMAN.

Ordering and enrollment procedures for NRTCs are listed in the *List of Training Manuals and Correspondence Courses*, NAVEDTRA 12061.

## **TRAINING MANUALS**

TRAMANs are developed as self-study packages to provide instruction in various military and professional subjects. They play an important role in training enlisted personnel for general development and advancement. They are revised periodically. The revision of a manual is identified by a letter following the NAVEDTRA number. You can tell whether a TRAMAN is the latest edition by checking the NAVEDTRA number and the letter following the number in the most recent edition of the *List of Training Manuals and Correspondence Courses*. NAVEDTRA 12061.

## **ADVANCEMENT**

By now you know that advancement in rate is not automatic. The advancement system is governed by the *Manual of Advancement*, BUPERSINST 1430.16D. Meeting all the requirements set forth in BUPERSINST 1430.16D and current Bureau of Naval Personnel (BUPERS) directives makes you eligible for advancement but does not guarantee your advancement. It is the function of the advancement examination to discriminate among qualified personnel. The term *qualified* in the advancement sense refers to personnel who have met at least the minimum requirements for time in rate (TIR) and performance marks, who have completed an applicable TRAMAN and personnel advancement requirements (PARs), and who have achieved at least a minimum level of competency as determined by their immediate superiors.

There are two annual advancement cycles for E-4 through E-6 candidates (March and September) and one annual advancement cycle for E-7 (January). BUPERS distributes a BUPERSNOTE 1418 for each examination. In it, BUPERS lists the deadline date for submitting eligibility requirements. These notices are usually published three times a year. The first is published in June, amounting the E-4, E-5, and E-6 examinations for the September cycle. The two remaining are published in November. One announces the E-7 examination for the January cycle and the other announces the E-4, E-5, and E-6 examinations for the March cycle.

Before an examination can be administered, you must find out who is recommended to take it. A TIR listing should be prepared. The list should consist of all

members on board who are TIR eligible to participate. At least 6 weeks before the deadline date for submitting eligibility requirements, start sending weekly notices to all the department heads listing who is qualified and who is not and why. Request that they indicate which personnel on the list are not recommended to participate. By recommending that such personnel be allowed to take the advancement examination, the commanding officers (COs) certify that minimum qualifications have been met and that these personnel are fully competent to function at the next higher paygrade.

The advancement system is based on a combination of credit from the following three factors:

- Performance
- Examination
- Longevity or seniority

A composite score, known as the final multiple score (FMS), is generated from these three factors. The computation of the FMS is discussed in the *Advancement Handbook for Petty Officers*, NAVEDTRA 7100 (Series). The names of all qualified candidates for a given population who have passed the same advancement examination are then ranked according to their FMS. The name of the candidate with the highest FMS is ranked first and so on down to the last qualified person in the population of that rating and paygrade. NOTE: One of the first qualifying factors for a candidate to be placed on this list is that of passing the examination. For the PO3, PO2, and PO1 levels, BUPERS advancement authorizations are issued by beginning at the top of the respective lists and counting that number of persons who are needed to fill the existing vacancies in that rate and rating.

Candidates for E-7 whose FMSs are sufficiently high are designated PASS SELBD ELIG (passed the Navywide examination and have a total FMS high enough to have their names placed on the list of eligible candidates for selection board consideration). The Chief of Naval Personnel convenes a selection board and authorizes the advancement of candidates who are selected to fill the vacancies in paygrades E-7 through E-9. Candidates for E-8 and E-9 are not required to participate in the Navywide advancement examination.

The Navy enlisted advancement system also provides the opportunity for top performers to be advanced earlier than they would have ordinarily been advanced. The early advancement process is available to all enlisted Navy personnel and is designed to select

outstanding people who can show that they are in the top percent of their rate.

A candidate who meets all other advancement requirements except total active federal military service (TAFMS) is considered “early” and may compete with “regular” candidates for advancement. The number of early advancement quotas within each rate and rating is determined by manning requirements during the advancement cycle. To be selected for advancement, the early candidate must usually have a higher FMS than regular candidates competing for the same rating. The advancement handbook provides guidance for determining regular and early eligibility dates for advancement candidates.

From this population of qualified people, it is the function of the advancement examination to pick out the best of the qualified. The population must be spread along a common yardstick. The exam represents the yardstick and the exam score the individual measure.

Who, then, are the individuals most likely to be advanced? They are petty officers who are not content to simply qualify for advancement but who strive to excel in the areas of leadership and job performance to the point where their motivation and efforts guarantee that their name is placed on the best qualified list. Further, their service records will demonstrate to selection board members that they are high-caliber individuals.

Although it does not guarantee everyone will advance, the advancement system does guarantee that all persons within a particular rate will compete equally for the vacancies that exist.

## **REWARDS AND RESPONSIBILITIES**

Advancement brings increased rewards and responsibilities. The time to look ahead and consider the rewards and responsibilities of advancement is while you are preparing for advancement to YN1 or YNC.

By this time, you are probably well aware of many of the advantages of advancement—higher pay, greater prestige, more interesting and challenging work, and the satisfaction of getting ahead in your career field. Also, you have probably discovered that one of the most enduring rewards of advancement is the personal satisfaction you find in developing your skills and increasing your knowledge.

The Navy also benefits by your advancement. By each advancement you increase your value to the Navy in two ways: you become more valuable as a specialist

in your rating and more valuable as a person who can supervise, lead, and train others.

In large measure, your contribution to the Navy depends upon your willingness and ability to accept increasing responsibilities as you advance in rate. When you assumed the duties of a YN3, you began to accept a certain amount of responsibility for the work of others. With each advancement, you accept an increasing responsibility in military matters and in matters relating to the occupational requirements of the Yeoman rating.

## **PREPARING FOR NAVYWIDE EXAMINATIONS**

As a YN2 or YN1 trying to prepare yourself for advancement, you should have established good study habits by now to get the most out of your study time. Some suggestions for preparing for advancement are presented here as a reinforcement, but you will find you will have to do a lot of research and studying. Once you begin, work at it steadily. It is better to study often for short periods than it is to study occasionally for long periods. Summarize what you have read, restating the information in your own words. Do not be afraid to ask questions of the leading petty officer or chief petty officer in your division. One of their primary duties is to instruct the men and women under them, and they will be pleased that you are interested enough to seek their advice. To prepare for advancement, you will need to be familiar with a number of documents and publications. Some of these are the following:

- *The Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*, NAVPERS 18068F
- The Personnel Advancement Requirements (PARS) Certification
- *The Advancement Handbook for Petty Officers*, NAVEDTRA 71450 (for the Yeoman)
- Applicable TRAMANs
- The Recommendation for Advancement in Rate or Change of Rating (Worksheet), NAVEDTRA 1430/2

Since these publications and forms change from time to time, you should contact your ESO to be sure you use the most recent edition when preparing yourself and lower rated personnel for advancement. The following sections describe each of these publications and forms and provide practical suggestions on how to use them in preparing for advancement.

## **Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards**

*The Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*, NAVPERS 18068F, lists the minimum requirements for advancement in each rating. It outlines the naval standards (NAVSTDs) that apply to all ratings and the occupational standards (OCCSTDs) that are specific to each rating. NAVPERS 18068F is kept current by means of numbered changes. These changes are issued more frequently than TRAMANs can be revised. Therefore, the TRAMANs may not show the latest OCCSTDs for advancement. When preparing for advancement, you must check the latest revision to NAVPERS 18068F to be sure you know the current requirements for advancement in your rating.

When studying the OCCSTDs for advancement, remember:

- OCCSTDs are the minimum requirements for advancement. By studying more than the minimum required, you will have a greater advantage when you participate in the Navywide advancement examination.
- Each OCCSTD applies to a paygrade, E-4 through E-9. You are responsible for meeting all the OCCSTDs specified for advancement to the paygrade for which you are seeking advancement as well as all the OCCSTDs specified for lower paygrades.

## **Personnel Advancement Requirements Certification**

The purpose of PARs is to individualize advancement requirements for each rate and rating based on day-to-day work situations and to provide a consolidated checklist that personnel in paygrades E-3 through E-6 can use to prepare themselves for advancement. The importance of the PARs cannot be too strongly emphasized as they provide an opportunity for members to prove their occupational abilities at each level of their rating. Supervisors also use this to evaluate others to determine their readiness for advancement. There are numerous opportunities for a member to complete PARs before becoming eligible for change in rating or advancement in rate. Schedule training periods for completion of PARs.

PARs list the individual advancement requirements for each rate and rating in three sections as follows:



- The Administrative Requirements section contains the individual's length of service, TIR, and a place to make an entry when the individual passes the E4 through E-7 military leadership examination.

- The Formal Schools and Training Requirements section contains a place to make an entry when the individual completes the military requirements TRAMAN and the applicable TRAMANS for the specified rating.

- The Occupational and Military Ability Requirements section is a checkoff list of task statements. As a YN1 or YNC, you will use this section as a guide in evaluating lower rated personnel. Your evaluation of individuals will be based on their ability to perform satisfactorily the tasks indicated. Your evaluation should be based on a demonstration of performance, although this is not a mandatory requirement. You may base the evaluation on observed ability in related tasks or jobs or on the training received by the individual. The evaluation itself is your overall assessment of the individual. It should be a deliberate and thorough evaluation.

Personnel seeking advancement to E-8 and E-9 are exempt from PARs as there are other means of selection for advancement to these paygrades. Likewise, PARs have not been developed for personnel at the E-3 apprenticeship level because of the broad nature of the apprenticeship skills. PARs are incorporated in the *Advancement Handbook for Petty Officers*, NAVEDTRA 71000 (Series), for each individual rating.

### **Bibliography for Advancement Study**

The Navy has set definite limits on the material for which you are accountable on a Navywide examination. The sources from which examination items are taken are listed in the effective edition of a publication called the *Bibliography for Advancement Study*, NAVEDTRA 12052.

This publication is available at your command. It is revised annually, so be sure to consult the current edition. The advancement handbook provides the titles of publications and sections of publications that you should study when preparing for the examination. The publications listed contain material covering all the OCCSTDs listed in the NAVPERS 18068F.

Familiarize yourself with the NAVEDTRA 12052. After you read the instructions, only two sections are of further interest to you. One contains the sources you should study to meet the military requirements for

advancement. The other lists sources for study to qualify in a specified rating. An asterisk (\*) marks Navy NRTCs you must complete before you can be eligible for the Navywide examination for advancement.

### **Advancement Handbook for Petty Officers**

The *Advancement Handbook for Petty Officers*, NAVEDTRA 7100 (Series), lists required and recommended TRAMANS and other reference material to be used by personnel working for advancement. There is a handbook for each rating with a different NAVEDTRA number. Each handbook has five parts:

- Navy Advancement System
- NAVSTDs and Bibliography
- Bibliography for OCCSTDs
- OCCSTDs and PARs
- PARs Administrative Procedures

The advancement handbook is revised and issued annually by the Naval Education and Training Program Management Support Activity (NETPMSA), Pensacola, Florida. When using this publication, be sure you have the current edition.

The handbook lists the required and recommended references by rate level. It is important to remember that you are responsible for all references at lower rate levels, as well as those listed for the rate to which you are currently seeking advancement.

TRAMANS that are marked with an asterisk in the handbook are mandatory at the indicated rate levels. A mandatory TRAMAN may be completed by any one of the following methods:

- Passing the appropriate NRTC based on the TRAMAN
- Passing locally prepared tests based on the information given in the TRAMAN
- Successfully completing an appropriate Navy school

It is important to note that all references listed in the handbook, whether mandatory or recommended, may be used as source material for the Navywide advancement examination.

ADVANCEMENT IN RATE OR CHANGE OF RATING (WORKSHEET)  
NAVEDTRA 1430/2 (Rev. 8/92) S/N 0115-LF-014-6900

NOTE: Print legibly. Use block letters

1. NAME (LAST, FIRST, MIDDLE) BOAT PAUL T	2. PRESENT RATE DC FM	3. EXAM RATE DC 3	4. SOCIAL SECURITY NUMBER 123456789	5. EXAM SERIAL 1571187	6. CYCLE 157
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7. PERM DUSTA UIC 03369	8. PNEC 0000	9. SCHOOL NAC	10. FORM ABCDE	11. BRANCH/CLASS <input type="radio"/> USN <input checked="" type="radio"/> USNR (Active) <input type="radio"/> USNR (Inactive) <input type="radio"/> TAR <input type="radio"/> TEMAC <input type="radio"/> TEMAC CAN/REC	12. REASON FOR PARTICIPATION <input checked="" type="radio"/> ADVANCEMENT <input type="radio"/> LATERAL C/R <input type="radio"/> CONCURRENT C/R <input type="radio"/> LDO CAND ONLY <input type="radio"/> E8/9 VALIDATION	13. SEX <input checked="" type="radio"/> F	14. SPECIAL GROUP <input type="radio"/> EOD <input type="radio"/> UDT <input type="radio"/> SEAL <input type="radio"/> DIVER <input type="radio"/> NAVY BAND <input type="radio"/> PEP <input type="radio"/> DEEP FREEZE <input type="radio"/> IR ADV PG
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15. ADSD YR MO DA 9 2 09 12	16. TIR Date YR MO DA 9 3 01 01	17. Performance Average 3.31
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\*After submission of answer sheet to NETPMSA via REGISTERED Mail, and completion of Block (E), provide EB/ED candidate with a copy of this worksheet.

18. AWARDS 00	19. (YR/MO/DA order, for actual date of advancement) A B C D E F	20. FOR DRILLING RESERVISTS ONLY Time in Serv YRS MOS Time in Grade YRS MOS	21. ELIG CHECK (A) <input checked="" type="checkbox"/> TIR <input checked="" type="checkbox"/> MRPO Course <input checked="" type="checkbox"/> Prof Course <input checked="" type="checkbox"/> PAR <input checked="" type="checkbox"/> MILEAD Exam <input checked="" type="checkbox"/> NAVLEAD (E7/E8 Candidates only)
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Terminal Eligibility Date (TED):  
USE BELOW FORMULAS TO COMPUTE SIPG AND TAS TO CHECK TIR ELIG AND VERIFY SIPG/TAS ON RCA/ESVR/DATA MAILERS:

SIPG CHECK TED 94-01-01 Minus Yr Mo Da TIR Date 93-01-01 SIPG# 01-00-00	TAS CHECK TED 93-12-31 Minus Yr Mo Da ADSD 89-09-12 TAS# 02-03-19
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Enter SIPG and TAS in below blocks for future verification

SIPG YR MO 03 00	TAS YR MO 04 04
------------------------	-----------------------

- NOTES: (1) ACTIVE DUTY PERS - Compute Drill Service in pay-grade (DSPG) Block 21, if and ONLY if needed to meet minimum TIR eligibility for advancement.  
(2) INACTIVE RESERVE PERS - Make no entries in Blocks 15 & 16. Enter all Time in Service and Time in Grade in Blocks 20 & 21.

I hereby verify the information hereon and certify it to be correct  
15 AUG 93 Paul T. Boat (Date) (Signature of Candidate) (B)  
This certifies that the candidate named above fulfills currently prescribed requirements and is in all respects qualified for advancement or change of rate as indicated.  
20 AUG 93 Mary Christina CORUSN (Date) (Signature of CO or by direction) (C)

CHANGE OF RATING AUTHORITY

Participated in \_\_\_\_\_ examination for change of rating in accordance with \_\_\_\_\_ (Exam Rate)  
(FORWARD CERTIFIED COPY OF AUTHORIZATION TO NETPMSA WITH ANS SHT) (D)

TO BE COMPLETED BY THE EXAMINING BOARD

Candidate named above has been examined for advancement or change of rating in accordance with the instructions contained in BUPERSINST 1430.16 (series), and Part IV of the General and Verbatim Instructions.

Exam serial Nr. 124187 for Cycle 124 was utilized.

348/8 54093 (Ser Nr and Date of Trans Ltr)  
R-105-736-668 (Registered Mail Nr.)

7 SEP 93 (Date Exam Admin)  
USS D.D. EISENHOWER (Location of Board)

9 Sep 93 (Date)  
Alb B. Seaman (Signature of Senior Member) (E)

INACTIVE RESERVE PERSONNEL ONLY  
Nr. Days ACUDTRA In Paygrade: \_\_\_\_\_ ACUDTRA Waiver In Paygrade: Yes  No   
(G) Auth: \_\_\_\_\_

COMPLETE WHEN EXAM RESULTS ARE PUBLISHED

Advancement/Concurrent change of rate authorized eff. \_\_\_\_\_ AUTH: NETPMSA ADV LTR 1-93.  
 Lateral change of rate authorized.  
 Designated striker authorized.  
 Passed exam, not advanced due to quota limitations. PNA Points earned: \_\_\_\_\_ / \_\_\_\_\_  
 Passed exam, C/R not authorized.  
 Passed exam, Selection Board Ineligible.  
 Selection Board Eligible, Non-selectee.  
 Passed exam, LDO Selection Board Eligible.  
 Failed exam.

15 Dec 94 (Date) (H) PLB (Initials)

[This space for local use as desired].

AUTHORITY TO REQUEST THIS INFORMATION IS DERIVED FROM 5 UNITED STATES CODE 301, DEPARTMENTAL REGULATIONS. THE PURPOSE OF THIS WORKSHEET IS TO PERMIT AN INDIVIDUAL TO COMPETE IN A NAVY-WIDE EXAMINATION FOR ADVANCEMENT IN RATE OR CHANGE OF RATING. THE INFORMATION IS RECORDED IN THE AUTOMATED NAVAL ENLISTED ADVANCEMENT SYSTEM UNDER THE NAVAL TRAINING INFORMATION SYSTEM AND IS USED TO SELECT THE BEST QUALIFIED PETTY OFFICERS THAT THE NAVY REQUIRES TO MAN ITS SHIPS AND STATIONS. IN ADDITION, THIS INFORMATION MAY BE USED IN STATISTICAL ANALYSIS FOR THE PURPOSE OF MAINTAINING THE INTEGRITY OF, AND IMPROVEMENTS TO THE ADVANCEMENT SYSTEM. COMPLETION OF THIS WORKSHEET IS MANDATORY FOR ADVANCEMENT CONSIDERATION. IF THE INDIVIDUAL DOES NOT PROVIDE THE INFORMATION REQUESTED, HE OR SHE WILL NOT BE CONSIDERED FOR ADVANCEMENT.

Figure 2-1. Completed Recommendation for Advancement In Rate or Change of Rating (Worksheet), NAVEDTRA 1430/2.

## **Recommendation for Advancement in Rate or Change of Rating (Worksheet)**

The Recommendation for Advancement in Rate or Change of Rating (Worksheet), NAVEDTRA 1430/2, is prepared for each candidate participating in a Navywide advancement examination. This includes members in paygrade E-6 who are participating for the Limited Duty Officer Program. Worksheets are ready for verification at least 1 month before the examination. Examining boards and candidates use the worksheet as a checkoff sheet and for transferring information to the answer sheet. Inaccurate information on a worksheet creates inequities for a candidate and could prevent a fully qualified candidate from being advanced. Each candidate should make sure all personal information listed is correct. Many candidates have questions about the information listed on their worksheet. Waiting until the examination day to discuss these questions prolongs the examination and interferes with its orderly conduct. Insist that all worksheets are signed before the examination day. Figure 2-1 shows a completed worksheet and figure 2-2 shows the corresponding answer sheet.

## **OTHER ADVANCEMENT PROGRAMS**

Other methods of advancement or change in rating are through special programs that do not require participation in a Navywide advancement examination. Some of these include the following:

- Incentive programs that include the Selective Conversion and Reenlistment (SCORE) Program, Selected Training and Reenlistment (STAR) Program, Accelerated Advancement Program (AAP), and Advanced Electronics Field/Advanced Technical Field (AEF/ATF) Program.

- Meritorious advancement programs such as selectees for the Atlantic, Pacific, Shore, and Reserve Sailor of the Year, Enlisted Recruiter of the Year, Enlisted Reserve Recruiter of the Year, Command Advancement Program (CAP), and meritorious advancements for recruiting personnel.

### **Selective Conversion and Reenlistment Program**

The SCORE Program offers special career incentives to enlisted members who reenlist for conversion (change of rating) to ratings that are undermanned as listed in *Career Reenlistment Objectives (CREO)*, OPNAVINST 1160.4G. There are

two categories in which an applicant may be placed within the program that should be defined in order to properly counsel personnel. The categories are SCORE and RESCORE.

- SCORE applies only to personnel who enter into the program while on naval active duty.

- RESCORE applies to personnel who have been separated from active duty and then reenlist for the program in a continuous service status (reenlistment within 3 months from separation date) or in a broken service status (reenlistment after more than 3 months from separation date). It should be noted that members who reenlist under broken service conditions must reestablish a 21-month continuous active service eligibility requirement for Selective Reenlistment Bonus (SRB), if otherwise eligible.

Career incentives offered by SCORE and RESCORE are as follows:

- Guaranteed assignment to an appropriate class A school with automatic conversion of rating upon satisfactory completion of that school. BUPERS may waive the requirement for class A school if prior training and experience indicate that class A school training is not necessary.

- Guaranteed assignment to an appropriate class C school or class C school package and class C school package or Advanced First Term Avionics (AITA) training for the AT rating.

- Possible advancement to petty officer third class or petty officer second class.

- Entitlement to an SRB if otherwise eligible according to *Enlisted Bonus and Special Duty Assignment Pay Programs*, OPNAVINST 1160.6A.

Specific eligibility requirements and application procedures for the SCORE and RESCORE Programs are established in the *Naval Military Personnel Manual (MILPERSMAN)*, NAVPERS 15560C, and CREO, OPNAVINST 1160.4G. General eligibility requirements for reenlistment under the SCORE and RESCORE Programs are as follows:

- The applicant should be a petty officer first, second, or third class or E-3 (designated striker and nonrated).

- The applicant must not have more than one nonjudicial punishment within the 18-month period preceding the date of application nor any record of conviction by court-martial or civil convictions (other

1	2	3	4	5	6
NAME (LAST, FIRST, MIDDLE)	PRESENT RATL	EXAM RATE	SOCIAL SECURITY NUMBER	EXAM SERIAL	CYCLE
BOAT PAUL T	DC FN	DC 3	123456789	1571187	157
<p>NETPDC 1430/2 (REV 7/94) U.S. GOVERNMENT PRINTING OFFICE: 1991-531-064</p>					
<p>7. Permanent Duty Station UIC: 03369</p>			<p>8. PNEC: 0000</p>		<p>10. FORM A B C D E</p> <p>11. BRANCH/CLASS</p> <p><input checked="" type="radio"/> USN</p> <p><input type="radio"/> USNR (Active)</p> <p><input type="radio"/> USNR-R (Inactive)</p> <p><input type="radio"/> TAR</p> <p><input type="radio"/> TEMAC</p> <p><input type="radio"/> TEMAC Can/Rec</p>
<p>15. ADSD: YR 92 MO 09 DAY 12</p>			<p>12. REASON FOR PARTICIPATION</p> <p><input checked="" type="radio"/> ADVANCEMENT</p> <p><input type="radio"/> Lateral C/R</p> <p><input type="radio"/> Concurrent C/R</p> <p><input type="radio"/> LDO Cand Only</p> <p><input type="radio"/> EB/E9 Validation</p> <p><input type="radio"/> CAP Validation</p>		
<p>16. TIR DATE: YR 93 MO 01 DAY 01</p>			<p>13. SEX: <input checked="" type="radio"/> M <input type="radio"/> F</p>		<p>14. SPECIAL GROUP</p> <p><input type="radio"/> EOD</p> <p><input type="radio"/> UDT</p> <p><input type="radio"/> SEAL</p> <p><input type="radio"/> DIVER</p> <p><input type="radio"/> NAVY BAND</p> <p><input type="radio"/> PEP</p> <p><input type="radio"/> DEEP FREEZE</p> <p><input type="radio"/> IR ADV PG</p>
<p>17. Performance Average: 3.31</p>			<p>19. (YR/MO/DA order, for actual date of advancement) A B C D E F</p>		
<p>18. Awards: 00</p>			<p>20. Time in Serv. Years Mos. 0 0</p>		<p>SOCIAL SECURITY NO: 123456789</p>
<p>19. (YR/MO/DA order, for actual date of advancement) A B C D E F</p>			<p>21. Time in Grade Years Mos. 0 0</p>		
<p>DO NOT FOLD SEND SPINDLE OR MUTILATE</p>					
<p>DATE MONTH 09 YEAR 93</p>					

Figure 2-2.-Answer Sheet NETPDC 1430/2.

than minor traffic violations) on current enlistment (or within 48 months before the date of application).

- The applicant must have at least 21 months' continuous active Navy service, but not more than 15 years' total active military service. The 21-month continuous active Navy service is not required for RESCORE.

The applicant must have approval of the Chief of Naval Personnel for SCORE before the extension or reenlistment for a class A school. Upon completion of a class A school and conversion to a new rating, the member must reenlist for a total obligated service of 4, 5, or 6 years (as applicable). When RESCORE applicants are approved for conversion byway of a class A school, they will be reenlisted in their previous rating for a period of 2 years for the purpose of converting to a new rating. At the time of the 2-year reenlistment for RESCORE, the applicant will be required to sign a page 13 entry agreeing to reenlist for a period of not less than 6 years upon satisfactory completion of a class A school.

### **Selective Training and Reenlistment Program**

The STAR Program offers career designation to first term enlisted members who enlist or reenlist and thereby become eligible for the following incentives:

- Guaranteed assignment to an A or a C school
- Guaranteed advancement from petty officer third class to petty officer second class upon completion of a class C school or a class C school package listed in the Career Schools Listing
- Guaranteed advancement to petty officer third class upon completion of phase I of an AEF class A school under automatic advancement procedures for the AEF Program

- SRB, if eligible

Specific eligibility requirements and guidelines for STAR applications are contained in the MILPERSMAN and *Reenlistment Quality Control Program*, OPNAVINST 1160.5B. The following is a list of the general eligibility requirements for the STAR Program:

- The applicant must be a petty officer second class or third class in a first enlistment or designated E-3 and be eligible in all respects for reenlistment according to OPNAVINST 1160.5B.

- The applicant must agree to reenlist or enlist in the Regular Navy for a period of 4 or 6 years.

- The applicant must not have a record of conviction by court-martial or nonjudicial punishment during the 18 months preceding the date of application.

### **Accelerated Advancement Program**

The AAP provides opportunity for graduates of certain class A schools (other than the AEF, ATF, or Nuclear Field (NF) Programs) to elect accelerated advancement to petty officer third class without competing in a Navywide advancement examination.

Training school COs are authorized to advance the number one A school graduate to the next higher paygrade not to exceed E-3. TIR requirements for the purposes of this advancement are waived. The effective date of advancement coincides with graduation.

Training school COs may recommend the upper 10 percent of the qualified candidates in each A school graduating class for the AAP. Members recommended must elect to participate in the program before or upon graduation from A school. Detailed information on the AAP is contained in the MILPERSMAN.

### **COMMAND ADVANCEMENT PROGRAM**

The CAP authorizes COs to advance a percentage of their assigned enlisted personnel in paygrades E-3 through E-5 to the next higher paygrade in recognition of their superior performance. The CAP is designed to work with, but not replace, the normal advancement system in recognition of superior performance. The *Command Advancement Program*, BUPERSINST 1430.17C, establishes the requirements for this program.

### **ADVANCED ELECTRONICS FIELD/ADVANCED TECHNICAL FIELD**

The Advanced Electronics Field (AEF), Advanced Technical Field (ATF), Submarine Advanced Electronics Field (SAEF), and the Nuclear Field (NF) Programs are essential y incentive programs.

- These programs provide for the enlistment and reenlistment of men and women [STS, SWSE (ET, FTB, MT), SAEF (ET, FTG, RM) and NF accept only men] into the Regular Navy.

- They also provide class A school accelerated advancement to paygrades E-2 (E-3 in NF) and E-4 and advanced training of various lengths.

The programs are designed to provide additional numbers of electronics, technical, and nuclear trained personnel for the naval service. Because of extended periods of advanced training, these programs require a 6-year service obligation. Accelerated advancements are benefits of the program, but failure to receive advancement does not reduce active obligated service. Detailed information on these programs are contained in the MILPERSMAN.

### **CAREER OPPORTUNITIES**

A career as a Yeoman in the Navy offers you a wide variety of billets and opportunities. You will not always be assigned to an administrative office aboard ship or shore station. You could be assigned to independent duty, duty overseas with a military assistance advisory group (MAAG), as an instructor at YN A or C school, as an admiral's writer, at a joint staff (Army, Air Force, and Navy), or even a North Atlantic Treaty Organization (NATO) staff. The opportunities for a challenging career are available—all you have to do is become qualified and take advantage of them.

### **NAVY ENLISTED CLASSIFICATION STRUCTURE SYSTEM**

The Navy Enlisted Classification (NEC) structure supplements the enlisted rating structure by identifying special knowledge and skills requiring more specific identification than is provided by rates and ratings—skills that are not ratingwide requirements. These special skills and knowledge required in specific billets or manpower authorizations are identified by special NEC codes. When the rating structure alone is insufficient for manpower management purposes, the NEC coding system more precisely identifies personnel and manpower requirements. The number of billets that require special NEC codes is continually compared with the number of personnel who possess the skills and knowledge designated by the NEC codes. The comparison between the number of NEC billets available and the number of qualified personnel available is used to plan and control the input of people into the formal courses that prepare them for the desired NECs. Consequently, the continuing enlisted strength of the Navy, particularly petty officer allocations and the funds authorized for rating and specialty training, depends heavily upon the accuracy, thoroughness, and timeliness of NEC codings. So that management may fulfill its manpower requirements, the personnel to support ratings and special programs must be identified by the correct rate, rating, and/or NEC.

People who feel they have a chance to learn new skills and get interesting assignments are more likely to stay in the Navy. So, for your own benefit and to keep your people informed, you will want to know the special career opportunities available. Consider a career as a Flag Officer Writer, NEC 2514. YNs selected for Flag Officer Writer are sent to C school for approximately 16 weeks of intensive training in shorthand, English grammar and composition, protocol, officer fitness reports, and a variety of other subjects to prepare them to manage an admiral's office. As a Flag Officer Writer, you must be able to take and transcribe dictation at a minimum speed of 90 words per minute; draft personal and professional correspondence; act on matters of social usage, protocol, honors, and ceremonies; and prepare travel orders and officer fitness reports. As a YN1 or YNC, you already possess the aptitude to perform the work of a Flag Officer Writer. The technical administration of social usage, protocol, and honors and ceremonies is discussed further in chapter 3.

To keep current with NECs that are added or changed, refer to the latest edition of the *Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*, NAVPERS 18068F, section II, Navy Enlisted Classifications.

Members who show interest in a specialty will want to know how they can attain the NEC. You should advise them in the following manner. Suppose one of your people is interested in becoming a Navy instructor. First, explain to your personnel that interest alone should not be the only reason for obtaining a particular specialty. They should possess a basic ability to perform the work requirements of the specialty. You should then determine if the individual meets the requirements for a Navy instructor and, provided those requirements are met, request a school quota for the individual. If your command does not have a requirement for a Navy instructor, the individual should be advised to indicate on the duty preference sheet that he or she desires to attend the Navy instructor course and that the member desires duty as an instructor. The Navy does not generally send an individual to a school unless the training is subsequently used. Upon satisfactory completion of basic instructor school, the individual would be assigned the NEC code 9502. The basic instructor school is only one of many Navy courses that will qualify an individual for an NEC. Satisfactory completion of a prescribed course of instruction may also qualify an individual for more than one NEC.

You should always check the latest edition of the *Catalog of Navy Training Courses* (CANTRAC),

volumes I, II, and III, NAVEDTRA 10500, for basic requirements, length of course, location of the school, obligated service requirements, and the NEC that would be assigned upon successful completion of the course.

## **PROGRAMS LEADING TO A COMMISSION**

You may have a goal of becoming a YNCM, the top of the enlisted ladder. Another goal might be to become a commissioned officer. There are several programs open to you that lead toward a commission, if you qualify.

Enlisted-to-officer programs benefit from your career experience in the military, especially in the supervisory and leadership positions. You have many of the characteristics in demand such as knowledge of your career field, commitment, responsibility, creativity, and the desire to learn. These programs are applicable to Regular Navy and Naval Reserve on active duty. In addition to direct commission, there are basically three paths leading to a commission. These are the Broadened Opportunity for Officer Selection and Training (BOOST) Program and Navy Reserve Officers Training Corps (NROTC) for junior enlisted, the Enlisted Commissioning Program (ECP) for E-5 and E-6, and the Limited Duty Officer (LDO) and Chief Warrant Officer (CWO) Programs for senior members. If you miss one of these programs, seek the next. The path to these programs is within your reach. The following sections explain the programs that lead to a commission. Consult with your career counselor to find out how to qualify for any of the programs. Check to see if there are other programs that may lead to a commission.

### **The United States Naval Academy and Naval Academy Preparatory School**

The United States Naval Academy offers an outstanding opportunity for qualified men and women who desire to seek a career as a commissioned officer. This program provides 4 years of college training leading to a commission as an ensign of the Regular Navy or second lieutenant of the Marine Corps.

If you apply for a direct appointment to the Naval Academy, you may also apply concurrently for the Naval Academy Preparatory School, which could be an alternate program in the event you are not selected for direct admission to the Naval Academy. The Naval Academy Preparatory School provides you with intensive training that is considered necessary to assure successful completion of the demanding academic requirements at the U.S. Naval Academy.

Detailed procedures for applying for an appointment to the U.S. Naval Academy and the Naval Academy Preparatory School are prescribed in the MILPERSMAN and *Nomination of Candidates for the Naval Academy-Naval Academy Preparatory School Program*, OPNAVINST 1531.4E. For information about this program, see your career counselor or write to the Fleet/Naval Academy Preparatory School, Coordinate, Candidate Guidance Office, U.S. Naval Academy, Annapolis MD 21402-5018.

### **Naval Reserve Officer Training Corps Scholarship Program**

The NROTC Scholarship Program offers an opportunity to earn a college degree and to become a commissioned officer in the Regular Navy or the Marine Corps. There are two NROTC Scholarship Programs—the Four-Year, which includes the NROTC Nurse Four-Year Program option, and the Two-Year. These programs provide the recipient with tuition, textbooks, instructional fees, and a subsistence allowance. It allows a candidate to attend a civilian university for 2 or 4 years depending on the program. Full details about these programs are contained in the MILPERSMAN and the *1992 Naval Reserve Officers Training Corps (NROTC) Scholarship Programs*, OPNAVNOTE 1533.

### **Broadened Opportunity for Officer Selection and Training Program**

The BOOST Program is designed for selected individuals from financially or educationally deprived backgrounds who show promise for successful completion of college level education. The BOOST program offers an individual an opportunity to prepare for entry into the NROTC Scholarship Program or the U.S. Naval Academy, to earn a college degree, and to become an unrestricted line officer.

Specific eligibility requirements and application procedures are established in the MILPERSMAN and the *Broadened Opportunity for Officer Selection and Training (BOOST) Program*, OPNAVNOTE 1500. The following list includes the general eligibility requirements for the BOOST Program:

- Be an enlisted member on active duty in the Regular Navy or Naval Reserve.
- Have 36 months of obligated service as of 1 June of the year in which BOOST training commences.

- Be at least 17 years of age. Maximum age requirements for BOOST are contingent upon eligibility for at least one of the related officer procurement programs. Age waivers will not be granted except as specified in the MILPERSMAN.

- Have no record of conviction by court-martial or by civil court for other than minor traffic violations. Applicant must not have been in violation of Article 15, *Uniform Code of Military Justice* (UCMJ), for 2 years preceding application for BOOST school.

- Be a high school graduate or possess a GED certificate by the time of application.

The BOOST school curriculum concentrates on mathematics, physical and social sciences, and the communications skills of reading, writing, listening, and speaking. Included in the program are educational and personal counseling, development of study skills, and time management. This training brings the general educational level of those selected individuals to that of a college freshman. The length of BOOST school is about 14 months.

### **Officer Candidate School and Officer Candidate Preparatory School**

The officer candidate school (OCS) offers enlisted men and women with a baccalaureate degree or higher from a regionally accredited college or university an opportunity to become commissioned officers. Enlisted members selected for the program in paygrades E-4 and below are designated officer candidates and advanced to paygrade E-5 upon reporting to OCS. Enlisted members in paygrades E-5 and above are designated officer candidates in their present paygrades. OCS provides 16 weeks of officer candidate indoctrination and training.

The curriculum at OCS is very demanding. Preparation in English, mathematics, physics, physical science, naval science, air science, military training, physical training, and swimming instructions are deemed necessary for the successful completion of OCS. If you are weak in any of these areas, you may be selected for Officer Candidate Preparatory School (OCPS). OCPS prepares you with intensive training in the demanding academic, military, and physical training requirements at OCS. OCPS is conducted approximately four times annually. The course length is 8 weeks for members selected to attend OCS. Detailed procedures for OCS and OCPS are prescribed in the *Officer Candidate Preparatory School*, OPNAVINST 1530.6A, and the *U.S. Naval Reserve Officer Programs*

*Open to Active Duty Naval Enlisted Personnel*, OPNAVINST 1120.2B.

### **Enlisted Commissioning Program**

ECP is an undergraduate education program that offers a full-time opportunity to complete requirements for a baccalaureate degree and become a commissioned officer. Selectees for this program attend an NROTC host university on a full-time basis while receiving full pay and allowances for their enlisted paygrade and are eligible for advancement. Refer to the *Enlisted Commissioning Program*, OPNAVNOTE 1530, for the list of NROTC host universities.

The ECP is divided into three different categories: basic ECP, which includes all unrestricted line designators except nuclear surface and subsurface; ECP Nuclear Option, which includes surface and subsurface; and CEC Option, in which candidates receive Staff Corps appointments in the Regular Navy. After the baccalaureate degree is earned, candidates in basic ECP will be commissioned in the Regular Navy. Nuclear Option and CEC Option candidates will attend OCS after graduation in the ECP and will be commissioned upon completion of OCS. Eligibility requirements and application procedures are established in the MILPERSMAN and OPNAVNOTE 1530.

### **Limited Duty Officer Program and Chief Warrant Officer Program**

The LDO and CWO categories are separate programs that provide an opportunity for enlisted men and women to compete for a commissioned officer status. The Navy has realized a need for CWOs to serve as officer technical specialists and LDOs to serve as officer technical managers. The LDO and CWO Programs are the primary enlisted-to-officer programs sponsored by the Navy that do not require a college education.

The LDO path of advancement is for outstanding enlisted personnel E-6 (for at least 1 year) through E-8 and CWOs. They must have completed at least 8 years, but not more than 16 years, of active service.

The CWO category is for E-7 through E-9. Applicants must have completed at least 12 years, but not more than 24 years, of active service.

Figure 2-3 shows the path of advancement from enlisted status to LDO and CWO.



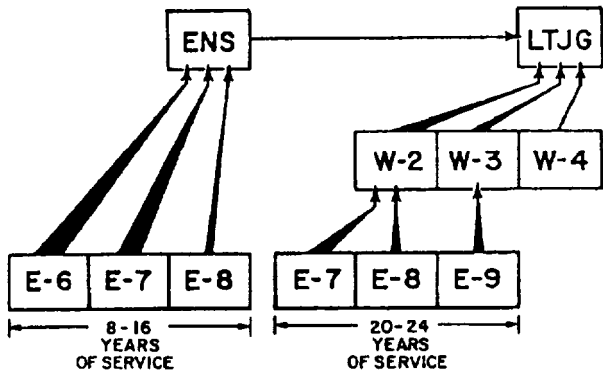


Figure 2-3. Limited duty officer and warrant officer career paths.

Competition in both of these programs has been and will be particularly keen. If you are interested in applying for these programs, you should begin preparation early in your career. To better prepare for officer status, you should seek to increase your knowledge by on-the-job training and specialized training through schools and correspondence courses. Detailed instructions including the category to which each enlisted rating may advance are contained in the *Service Procurement for Appointment Under the Active and Inactive Limited Duty Officer and Chief Warrant Officer Programs*, NAVMILPERSCOMINST 1131.1.



## CHAPTER 3

# ASSIGNMENTS AND RETENTION

To promote maximum readiness and stability both afloat and ashore, the Navy designed a system for the assignment of personnel among various types of duty classified as seashore duty. This system permits equitable opportunity for personnel to serve in duty they consider desirable.

Having an assignment system is only one of the many elements needed to make a strong Navy. It is important to remember that with the all-volunteer force concept, the Navy's ability to retain the number of quality personnel needed to meet manpower requirements is dependent upon the level of career satisfaction offered by service of the Navy. Good retention does not just happen, it is created.

In this chapter we discuss the Navy's assignment system and the required interviews of the counseling interview system that are essential to the success of the Navy's retention program.

### ASSIGNMENTS

To support the Bureau of Naval Personnel (BUERS) in exercising the responsibility for controlling the assignment of enlisted personnel and the responsibility of the fleet commanders for the readiness of activities under their command, three distinct and separate functions of enlisted distribution management controls were established. These are allocation control, manning control, and assignment control. Additionally, all activities are assigned to one of the four manning control authorities (MCAs). Generally, continental United States (CONUS) shore activities are under one of two MCAs. Ships, squadrons, and activities in the Pacific Ocean area are under an MCA; and ships, squadrons, and activities in the Atlantic Ocean area are under another MCA.

- Allocation control, exercised solely by BUPERS, is the function of allocating available personnel resources to the four MCAs.

- Manning control consists of two functions, manning and placement. This control is exercised by the MCA. Manning is the function of determining the quality, quantity, and priority for assignment of personnel to all billets within a composite. Placement is

the function of communicating unit personnel vacancies to the assignment control authorities (ACAs) and directing the order in which these vacancies are to be filled.

- Assignment control is the selecting, detailing, and ordering of certain individuals to fill billets according to manning levels and priorities designated by the MCA. BUPERS is the assignment control for designated strikers and all petty officers; the Commanding Officer, Enlisted Personnel Management Center (EPMAC), New Orleans, is the assignment control for all undesignated SN, FN, and AN personnel; and the Naval Reserve Personnel Center (NAVRESPERSCEN) (Code 30) is the ACA for enlisted temporary active reserve (TAR) personnel.

### SUPPORTING INFORMATION SYSTEMS

To support the allocation, manning, and assignment control functions, three automated personnel management information systems have been developed. They are the projection system, supporting the allocation control function; the Navy manning plan (NMP), supporting the manning control function; and the personnel requisition, supporting the assignment function.

#### Projection System

The projection system has two major functions. The first is to predict what the Navy manpower strength will be 9 months in the future. These predictions are based on the number of personnel already assigned to billets, a survey of individuals who are under orders to be transferred from one billet to another, and a measurement of personnel available for assignment. The second function is the equitable allocation of available personnel to each composite.

- Distributable communities. For distribution purposes, Navy enlisted personnel are assigned to distributable communities. Distributable communities are specified Navy Enlisted Classification (NEC) codes or rating communities composed of personnel and billets who are on board for duty and not in the individual's account as students, transients, patients,

prisoners, or holdees, and who are counted using the assigned rate fields or distribution NEC fields as shown on the Enlisted Distribution Verification Report (EDVR). Normally, personnel assets and billets are managed by ratings. However, because of highly specialized training, certain individuals and billets are managed by the NEC independent of rating. When BUPERS determines that an NEC will be managed as a distributable community, independent of rating, the NEC is designated either Closed Loop or Transitory. The Closed Loop NEC distributable community consists of personnel who are projected and assigned to consecutive tours within that NEC skill area.

A Closed Loop NEC distributable community is normally associated with one rating or group of ratings sharing a common occupational skill, and where the member has earned a highly specialized talent within his or her general rating experience. The person is managed based solely on this NEC skill.

A Transitory NEC distributable community consists of a combination of ratings sharing a common supplemental skill that may not be generically associated with the individual's actual rating. This individual is managed by the NEC only during completion of a Transitory NEC tour; the member is reassigned to a requirement within his or her primary rating.

- **Detailing composites.** Having determined the individuals and billets that will be managed by rating or NEC, the total Navy billet structure is subdivided into detailing composites. The first division designates billets as either sea or shore. This sea/shore division indicates whether a billet is counted as sea duty or shore duty for personnel rotation. The sea and shore composites are further subdivided into submarine billets and nonsubmarine billets. The nonsubmarine composite is termed the sea-surface/air composite. The shore, sea-surface/air, and sea-submarine composites are again subdivided into seven paygrades. (Paygrades E-1 through E-3 are considered one paygrade in this division.) Finally, each paygrade is subdivided into four MCAs representing the billets for which each of the MCAs has responsibility. Figure 3-1 shows these detailing subdivisions. The end result is to project future personnel strength and allocate personnel assets to each MCA by paygrade within the rating or NEC. Considering each rating and NEC distributable community and the subdivisions, the system is capable of projecting and allocating these assets to some 3,300 distinct detailing communities.

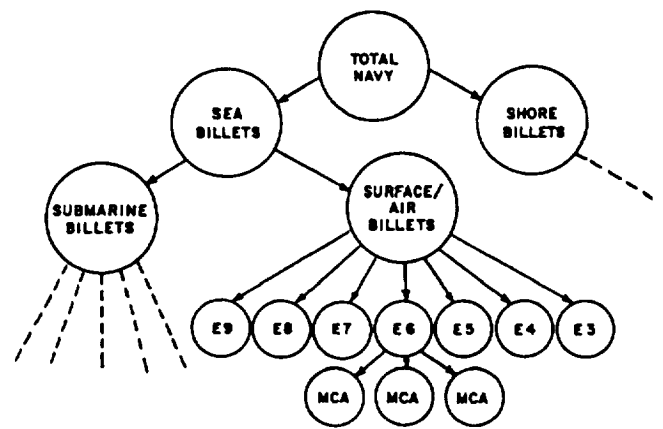


Figure 3-1. Breakdown of detailing communities.

## Navy Manning Plan

Since personnel assets rarely equal manpower requirements, distribution managers are faced with the problem of how best to use assets that are short or those in excess of personnel requirements. To solve this problem requires a manning plan that will determine how shortages and excesses will be distributed. This plan is called the Navy Manning Plan (NMP). Using the projected level of assets and the billets authorized to activities, the NMP determines the most equitable level of manning an activity can expect. Additional information concerning the NMP can be obtained from the *Enlisted Transfer Manual* (ENLTRANSMAN), NAVPERS 15909D, chapter 1.

## Personnel Requisition

The projection system predicts the level of manpower assets and provides a base upon which the MCA can build a manning plan that will provide an equitable distribution of the assets to each activity. Each MCA must communicate its activity's qualitative and quantitative personnel needs to the ACA. This communication is provided by the personnel requisition system. The personnel requisition's function is to measure activity personnel needs to bring the activity first to its manning plan, and second, if assets are available, from manning plan to full allowance. A second function is to communicate to the ACA in what sequence personnel are to be assigned to activities in order to fill their requisitions.

## Requisition Priorities

The Chief of Naval Operations (CNO) and the MCAs have directed that certain activities be given priority in the assignment of personnel assets. These

priorities are called CNO Priorities 1 and 2, and MCA Priority 3. Only CNO may authorize and direct Priority 1 and Priority 2 manning requirements. The MCAs may authorize and direct Priority 3 manning requirements only for their assigned activities.

- Priority 1. Ships and activities whose mission success is deemed vital to the highest national interests and that require some degree of priority manning for an indefinite period of time may be authorized Priority 1 manning. This manning category is limited to that portion of the activity absolutely essential to mission success.

- Priority 2. Ships and activities whose mission success is deemed essential to the national interests and that have specific need for increased manning for a specific period of time in order to carry out their mission may be authorized Priority 2 manning. This category of manning is limited to that portion of the activity absolutely essential to mission success.

- Priority 3. Ships and activities that have a specific need for increased manning above the normal manning level for mission accomplishment may be authorized Priority 3 manning by the respective MCA. This category of manning is not normally authorized for periods in excess of 1 year. All Priority 3 manning authorizations are automatically canceled on 31 March each year, unless a specific date has been previously authorized. Requests for assignment of directed priority manning are submitted according to the *Manual of Navy Total Force Manpower Policies and Procedures*, OPNAVINST 1000.16G.

## TYPES OF DUTY

Because of the different types of duty stations throughout the Navy, the system is designed for the assignment of personnel among the various types of duty classified as sea/shore duty. Each of these types of duty is credited as sea, shore, or neutral duty for rotation purposes. The types of duty are coded in Manpower, Personnel, and Training Information Systems (MAPTIS) and are reflected in each command's EDVR as a sea/shore code (SSC). Type duty codes are as follows:

- Shore duty (SSC 1) is duty performed in CONUS (the 48 contiguous states) land-based activities and long-term schooling programs. (Long term is defined as 18 or more months; school assignments of less than 18 months are considered neutral duty.)

- Sea duty (SSC 2) is duty performed in commissioned vessels or activities in an active status home-ported home-based in CONUS that operate away from their home port/home base in excess of 150 days per year.

- Overseas shore duty (SSC 3) is duty performed in overseas land activities that is credited as sea duty for rotational purposes as determined by BUPERS.

- Nonrotated sea duty (SSC 4) is duty performed in commissioned vessels in an active status home-ported overseas (outside the 48 contiguous states) or in activities that operate away from their overseas home port/home base in excess of 150 days per year.

- Neutral duty (SSC 5) is duty in activities that would normally be designated as shore duty for rotation, but where the members assigned are required to be absent 100 to 150 days per year from the corporate limits of their duty station while accomplishing their assigned tasks. School assignments of less than 18 months are included in this category.

- Preferred overseas shore duty (SSC 6) is duty performed in overseas land-based activities that is credited as shore duty for rotational purposes as determined by BUPERS.

- Partial sea duty (SSC 7) is duty performed in overseas land-based activities that is credited as shore duty for rotational purposes, but where members assigned receive partial sea duty credit according to guidelines established in the ENLTRANSMAN, chapter 4.

- Double sea duty (SSC 8) is duty performed in commissioned vessels or activities in an active status that operate away from their home port/home base in excess of 150 days a year, but where due to the nature of their mission are awarded double sea credit for the tour served.

Rotation among sea, shore, and overseas activities is directly influenced by the number of personnel available for assignment, billets authorized, the qualifications of the individual, time-on-station (TOS), and permanent change of station (PCS) finding. The primary consideration in assignment of personnel to a billet is that the member possesses the required skills necessary to fill that billet. Also of prime consideration in rotation plans and policies is the conservation of PCS funds.

The type of duty to which an individual will be reassigned upon completion of a tour is dependent upon

completion of the sea tour or shore tour as specified in the ENLTRANSMAN, chapter 3. The normal rotation pattern throughout a career is a repetition of assignments at sea and ashore. To the maximum extent possible, initial assignments will be to sea duty afloat upon completion of initial entry training.

## HUMANITARIAN ASSIGNMENTS

The Navy recognizes that a personal problem cannot always be solved at a person's duty station. Sometimes home conditions constitute an undue hardship, and the member's presence is necessary to ease the hardship. In such cases, the Navy gives consideration to individual requests for humanitarian or hardship reassignment. The criteria for determining humanitarian/hardship situations and the documentation required are contained in the ENLTRANSMAN, NAVPERS 15909-D, chapter 18.

When the problem is anticipated to be solvable within a reasonable time frame and it has been established that the member's presence in a specific area is essential to ease the problem, special consideration is warranted. Circumstances that would normally warrant special considerations are as follows:

- Death of applicant's spouse or child.
- Divorce, when the member has a final divorce decree.
- When the court has awarded the member physical custody of the children and the time is needed to make arrangements for their permanent care. (Refer to *U.S. Navy Single Sponsor/Military Couple with Dependents(s) Dependent Care Policy*, OPNAVINST 1740.4.)
- When a person is scheduled to be hospitalized or has been hospitalized as a result of a severe illness (physical or mental).

Emergency leave frequently provides sufficient time to ease such hardships; however, when an individual requires more time than leave can provide and has a chance of resolving the hardship within a reasonable time frame, reassignment for humanitarian reasons may be requested.

When it is determined that emergency leave will not ease the problem, but that resolution of the hardship may be expected within a reasonable period of time, the member may be authorized a special temporary reassignment at a desired location for temporary duty humanitarian assignment (TD HUMS). If the TD HUMS is authorized, temporary additional duty

(TEMADD) orders are issued on a permissive no-cost-to-the-government basis not to exceed 6 months. The following requirements apply to the issuance of TD HUMS orders:

- No dislocation allowance is authorized.
- Dependent travel will be at the member's expense, not subject to reimbursement.
- Orders will not authorize the individual to ship household goods at government expense.
- Transfers must be effected during a period of leave and no proceed or travel time is authorized.
- Members serving on TD HUMS will not be authorized per diem at their TEMDU station. Orders must contain the statement, No Per Diem Authorized.
- All standard transfer orders (STOs) for TD HUMS will contain a statement of understanding as outlined in the ENLTRANSMAN to include the member's signature.

TEMADD orders are not used to authorize the member to proceed to the area of hardship and gather documentation for submitting a request. The member must use leave for that purpose.

## Extension to TD HUMS

If the amount of leave granted is insufficient to enable submission of a request for humanitarian assignment, the assisting command (located in the area of the hardship) should direct a request for extension of leave to the individual's parent command or, in applicable cases, to the next intermediate reporting station as directed in the individual's leave authorization or STOs. Do not request leave extensions from BUPERS. In those cases in which an assisting command feels that a bona fide emergency hardship exists that meets the criteria for reassignment and when insufficient time remains to request extension of leave, or when further leave would cause the member to be in excess of leave (more than 30 days or in excess of that which could be earned in his or her remaining obligated service), the assisting command should send a message to the member's parent command with a brief, meaningful explanation of the hardship. This explanation should include the statement, Unless otherwise directed, the member will be retained on board 15 days in no-cost TEMADD status pending a decision by BUPERS. The final determination of a member's retention at an assisting command rests with the member's commanding officer (CO) at his or her

permanent duty station. If retention is authorized, the member will be issued TEMADD orders or an endorsement of his or her present orders that will include the statement concerning no cost to the government. This period of TEMADD may not exceed 15 days.

### **Reassignment of Member at Expiration of TD HUMS**

Members on TD HUMS will be considered for reassignment approximately 1 month before the scheduled completion of their temporary assignment. Six weeks before the member's PRD, activities with such members on board should interview the member to determine if the hardship has been resolved before submitting an availability report according to chapter 20 of the ENLTRANSMAN to the ACA who assigned the TD HUMS.

### **OVERSEAS ASSIGNMENT**

Overseas service is defined as military duty performed while assigned to a military installation or activity permanently based outside the 48 contiguous United States. Overseas service may be categorized as the following kinds of duty:

- Preferred overseas shore duty (SSC 6)
- Overseas shore duty (SSC 3)
- Nonrotated sea duty (SSC 4)
- Neutral duty (SSC 5)
- Partial sea duty (SSC 7)

To enable the foreign nationals to adjust to the U.S. culture and language, it is the Navy policy not to assign non-U.S. citizens overseas during their first term of enlistment (type duty 3, 6, and 7 with the exception of Hawaii, Alaska, and Puerto Rico).

Overseas tour lengths have been established by the Department of Defense (DOD) for all overseas areas where Navy personnel are stationed and generally reflect the desirability of duty in the area. Section 671, Title 10, *United States Code* (U. S. C.) states: "No member of an armed forces may be assigned to active duty on land outside the United States and its Territories and Possessions, until he or she has completed basic training requirements of the service he or she is a member of." It has been determined that it is also the intent of Congress that no service member should be

assigned to any unit in a combat zone with less than 12 weeks of basic training.

Overseas tour lengths are prescribed in the ENLTRANSMAN, chapter 4, and are categorized as accompanied, all others, and involuntary.

The responsibility for determining suitability for overseas service rests with the CO of the transferring command. The CO must make sure the member or dependents do not possess any performance, disciplinary, financial, psychological, medical, or other physical attributes that would prevent them from conducting themselves as worthy representatives of the United States in a foreign country. This determination must be based on a series of steps beginning with the following:

1. The detailer at BUPERS/EPMAC nominates the member for overseas duty.

2. A suitability screening is conducted that includes a review of the member's service records, a urinalysis screening, a check of physical readiness status, a check of medical and dental fitness and service school environments, and a face-to-face interview with the CO of the transferring command, the service member, and dependents.

3. Finally, the CO forwards a message/NAVGRAM to BUPERS indicating the suitability of the member and dependents for overseas duty.

Overseas screening is a requirement of all transferring commands whether transfer is from CONUS to overseas or consecutive overseas tours from overseas (sea/shore) to overseas (sea/shore). The Report of Suitability for Overseas Assignment, NAVPERS 1300/16, Part III (fig. 3-2), must be completed within 30 days after receipt of orders. Figure 3-3 is a mandatory checklist for overseas transfers.

### **RETENTION**

To achieve the goals set by the CNO in the *Navy Retention Program*, OPNAVINST 1040.6A, one of the basic elements used in the Navy's retention program is the counseling interview system. The counseling interview system is composed of five required interviews. In this section we will discuss the required interviews, a tickler system to make sure all individuals are interviewed at the proper time, and methods used for documenting the completion of the interviews.

REPORT OF SUITABILITY FOR OVERSEAS ASSIGNMENT

MEMBER'S NAME		SSN	DATE
PRESENT SHIP/STATION	UIC	OVERSEAS LOCATION	UIC
ISOLATED <input type="checkbox"/> YES <input type="checkbox"/> NO			

PART I: MEDICAL OVERSEAS SCREENING COORDINATORS SUMMARY.

A. LIST OF PERSONS SCREENED:

1. _____	3. _____
2. _____	4. _____

B. REVIEW CHECKLIST:

YES NO

- 1.   Has NAVMED 1300/1 been completed and enclosed for each individual listed above?
- 2.   Is any chronic condition noted in the medical/dental screenings?
  - a.   If "YES," has the receiving MTF's/DTF's reply regarding suitability of the sponsor or family member been enclosed?
  - b.   If "YES," does the Exceptional Family Member (EFM) Coordinator endorse dependents for this overseas assignment? If "NO," state reason(s):  
 \_\_\_\_\_  
 \_\_\_\_\_
- 3.   Are servicemember's HIV test results in Medical/Dental Records?  
Date of HIV test: \_\_\_\_\_
- 4.   Does the Family Advocacy Program (FAP) Representative endorse member/dependents for overseas assignment?

C. OVERSEAS SCREENING COORDINATORS CERTIFICATION:

An administrative review of the Medical and Dental Records of the individuals indicated above has been accomplished. All conditions and/or illnesses indicated have been addressed and steps have been taken to ensure that the capabilities are available at the prospective Medical/Dental Treatment Facility.

_____ Coordinator's Signature	_____ Date	_____ Print Coordinator's Name
_____ Coordinator's Duty Station	_____ AV Phone No.	

Figure 3-2. Report of Suitability for Overseas Assignment, NAVPERS 1300/16.



MEMBER'S NAME

SSN

DATE

## PART II: RECOMMENDATION OF COMMANDING OFFICER (OR OIC) OF MEDICAL TREATMENT FACILITY.

A. Based on the information available as a result of screening and on the capabilities of the Medical/Dental Treatment Facility in the area of assignment to which ordered, the following recommendation is forwarded:

YES NO

1.   Is the servicemember recommended for this overseas assignment? If no, state reasons:

\_\_\_\_\_

\_\_\_\_\_

2.   Regardless of whether or not this is to be an accompanied tour, are all family members (spouse/dependent(s)) recommended for this overseas assignment? If not, state reasons:

\_\_\_\_\_

\_\_\_\_\_

Medical Treatment Facility: \_\_\_\_\_

\_\_\_\_\_  
Signature of CO/OIC or Designee  
of Medical Treatment Facility

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print name of CO/OIC or Designee  
of Medical Treatment Facility

PART III: COMMAND REVIEW - The purpose of the Command Review is to determine, via record review and personal interview, member and spouse/dependent(s)' suitability for overseas duty/life in the assigned overseas location. (To be completed by Commanding Officer of transferring command.)

YES NO

1.   Does the member or any of his/her spouse/dependent(s) have knowledge of any ongoing medical/dental problem or treatment that was not addressed in the medical/dental screening?

If "YES," return member and/or spouse/dependent(s) to medical screening authority to include these problems in the screening.

If "NO," continue screening.

2.   Has the member or any spouse/dependent(s) previously been reassigned, prior to normal tour completion, due to their individual unsuitability?

If "YES," does the reason for previous reassignment still exist? (Explain in remarks section.)

3.   Has the member previously been reassigned, prior to normal tour completion, due to unsuitability of member's dependents?

If "YES," does the reason for previous reassignment still exist? (Explain in remarks section.)

Figure 3-2.-Report of Suitability for Overseas Assignment, NAVPERS 1300/16-Continued.

MEMBER'S NAME		SSN	DATE
YES	NO		
4.	<input type="checkbox"/>	<input type="checkbox"/>	Does the member have serious problems of indebtedness, credit loss or other financial problems which have not been reconciled with the creditor(s) or interested parties?
5.	<input type="checkbox"/>	<input type="checkbox"/>	Has the member or spouse/dependent(s) been convicted for any civilian felonies or misdemeanors within the last 24 months (include pre-service time), e.g., crimes of violence, larceny, driving under the influence of alcohol, assault?
6.	<input type="checkbox"/>	<input type="checkbox"/>	Does the member have a record of military offenses within the last 24 months which should preclude overseas assignment, e.g., two or more Captain's masts, several minor unexcused absences, a lengthy unauthorized absence? (One time major offenses in the current enlistment are considered disqualifying as well.)
7.	<input type="checkbox"/>	<input type="checkbox"/>	Does the member or spouse/dependent(s) have a record of any involvement with illegal drugs within the past 24 months? (Exceptions are recent enlistees who received an enlistment waiver or from whom no waiver was required for enlistment.)
8.	<input type="checkbox"/>	<input type="checkbox"/>	Does the member or spouse/dependent(s) have a record of unresolved alcohol abuse within the past 24 months?
9.	<input type="checkbox"/>	<input type="checkbox"/>	Has the member or spouse/dependent(s) been treated for alcohol abuse within the last 6 months? (Include pre-service time.)
10.	<input type="checkbox"/>	<input type="checkbox"/>	Does the member have a history of unsatisfactory or marginal performance within the past 24 months?
11.	<input type="checkbox"/>	<input type="checkbox"/>	If member is being assigned a <u>consecutive overseas tour</u> , does the member have less than a <u>3.6 overall trait average</u> during current overseas tour? See ENLTRANSMAN article 4.023 for waiver criteria (not applicable for officers).
12.	<input type="checkbox"/>	<input type="checkbox"/>	Does the member have a spouse/dependent(s) who has long-term special medical/dental needs and/or is enrolled in special education?  If "YES," member must be screened for the Exceptional Family Member (EFM) Program. Ensure that the EFM application has been submitted.
13.	<input type="checkbox"/>	<input type="checkbox"/>	Is the member or spouse/dependent(s) involved in the Family Advocacy Program?
14.	<input type="checkbox"/>	<input type="checkbox"/>	Was the member's spouse previously a member of the armed forces? If so, what was the character of separation? (Explain in remarks section if other than honorable.)
15.	<input type="checkbox"/>	<input type="checkbox"/>	Does member/spouse have legal custody of all accompanying minor dependents?
16.	<input type="checkbox"/>	<input type="checkbox"/>	Are any of the member's dependents covered in a custody agreement? If "NO," go to question 17.
a.	<input type="checkbox"/>	<input type="checkbox"/>	Does agreement prevent removal of dependents from CONUS without prior court approval or agreement between the interested parties? If "NO," go to question 17.

Figure 3-2.-Report of Suitability for Overseas Assignment, NAVPERS 1300/16-Continued.

MEMBER'S NAME	SSN	DATE
YES	NO	
b. <input type="checkbox"/>	<input type="checkbox"/>	Has member obtained prior court approval or requisite agreement from other interested party for removal of dependents from CONUS, if required by state law. (Please Note: Navy policy does not require a separate agreement if not required by state law.)
17. <input type="checkbox"/>	<input type="checkbox"/>	Does the member meet Navy physical readiness criteria, including body fat percentage (OPNAVINST 6110.1 series)?
18. <input type="checkbox"/>	<input type="checkbox"/>	(Single parents/military couples with dependents) Have dependent care requirements been met in accordance with OPNAVINST 1740.4 series?
NOTE: While the unique situation of single parents with dependents is not in itself disqualifying, this fact should be pointed out upon submission of message certification of screening to COMNAVMILPERSCOM (NMPC-40)/(NMPC-462)/(EPMAC).		
19. <input type="checkbox"/>	<input type="checkbox"/>	Has mandatory urinalysis screening of servicemember been conducted in accordance with OPNAVINST 5350.4 series.
A check in any "YES" box in the above section can result in non-endorsement of the member depending on (a) the reason for the "YES" check and (b) the nature of the overseas assignment.		
NOTE: If the reason(s) for previous reassignment in question 2 or 3 no longer exist(s), the question is counted as a "NO" check. A member with a combination of minor problems in the areas questioned above may be unsuitable as well as an individual with major offenses/problems on record.		
REMARKS: _____		
_____		
_____		
I, _____, am aware that failure to divulge disqualifying information, or amplifying information (medical/dental/personal) pertaining to the above questions of this checklist may ultimately result in disciplinary action punishable under the UCMJ.		
_____	_____	_____
MEMBER (Signature)	DATE	MEMBER (Name, Rank/Rate)
On the basis of all available information, I endorse/I do not endorse (circle one) the member's orders to the overseas assignment.		
_____	_____	_____
COMMANDING OFFICER (Signature)	DATE	COMMANDING OFFICER (Name, Rank)
PRIVACY ACT STATEMENT: The authority to request this information is contained in 5 USC 301 Departmental Regulations. The information will be used to assist officials and employees of the Department the Navy in determining your future duty assignment. Completion of the form is mandatory except for duty and home phone numbers; failure to provide required information may result in delay in response to or disapproval of your request.		

Figure 3-2.-Report of Suitability for Overseas Assignment, NAVPERS 1300/16--Continued.

The following items, peculiar to overseas transfers, should be accomplished in addition to normal functions of PCS transfer:

STEP	DESCRIPTION	INITIAL
1	Upon receipt of assignment document, provide member with a written copy and explain to member all supplementary items. Provide member with a copy of appropriate section of NAVMILPERSCOMINST 1720.1. Service members being assigned to overseas locations not mentioned in the publication should be referred to Overseas Transfer Information Service (OTIS) for assistance and support. Spouses and other dependents are also encouraged to contact OTIS. Comply with Item 171 pertains.	_____
2	Upon receipt of the transfer directive, commanding officer (CO) will direct the member to undergo mandatory service directed urinalysis screening.	_____
3	Within 30 days of receipt of assignment document, CO or his or her qualified representative conducts screening interview in order to determine member's and dependents' (if any) suitability for such duty in accordance with OPNAVINST 1300.14F and MILPERSMAN 3810190 (Single Parents/Military Couples with Dependents). If the CO deems it appropriate, the service member may be interviewed by a chaplain. The chaplain is required to make only a recommendation of suitability/unsuitability; however, he/she may provide rationale for the decision if desired. COs shall also arrange for Medical/Dental screen for member and dependents. Document results of interview as follows:	_____
	a. If qualified:	
	(1) Complete page 13 entry as required by Article 4.013, and	_____
	(2) Complete NAVPERS 1300/16. File original in service record. Notify CHNAVPERS by message or NAVGRAM (info EPMAC in the case of nondesignated SN/ AN/FN). Continue to step 3.	
	(3) Provide ultimate destination, by message, names of family members and date of birth of children accompanying members overseas.	
	(4) In the case of single parents/military couples with dependents, service members are required to complete Dependent Care Certificate, OPNAV 1740/1, Block 13, Part II, before being eligible to screen for an overseas assignment. Counseling IAW MILPERSMAN 3810170 mandatory for all applicable personnel and must be documented on NAVPERS 1070/613.	
	b. If member or dependents not qualified:	
	(1) Complete NAVPERS 1300/16. File original in service record.	_____
	(2) Notify CHNAVPERS by message or NAVGRAM, with info copy to receiving command.	_____
	(3) Hold orders in abeyance and take no further transfer action until notified by CHNAVPERS (EPMAC in the case of a nondesignated SN/AN/FN).	_____
4	After completion of the suitability interview, verify member's obligated service. If member does not have sufficient obligated service, entitlement to dependents' travel and household goods shipment may be affected. As appropriate, execute agreement to extend enlistment to:	
	a. Provide sufficient obligated service to complete area tour as defined in Article 4.02, or	_____
	b. The OBLISERV date specified in the assignment document, or	_____

Figure 3-3.Mandatory checklist for overseas transfers.

STEP	DESCRIPTION	INITIAL
	<ul style="list-style-type: none"> <li>c. If member does not desire to acquire additional obligated service, hold orders in abeyance and notify CHNAVPER. Do not under any circumstances transfer service members to overseas duty without sufficient obligated service for completion of applicable overseas tour without prior CHNAVPER approval. Page 13 entries in lieu of contractual obligated service are prohibited. Early reenlistment for Zone B selective reenlistment bonus (SRB) is authorized (MILPERSMAN 1040300).</li> <li>d. Personnel who have completed 15 or more years' active duty must sign a page 13 entry in their service record agreeing to remain on active duty for the period of time required to complete the applicable tour prescribed for the overseas area to which assigned.</li> </ul>	<hr/> <hr/>
	NOTE: STO/PCSTO endorsement should not be prepared unless all requirements have been met to this point.	
5	<p>The member will be interviewed by an officer designated by the CO and given an opportunity to elect whether to serve "accompanied-by-dependents," or in an accompanied status, or to postpone this decision until after reporting to next permanent duty station overseas. Complete page 13 entry as required by OPNAVINST 1300.14F and Article 4.013.</p> <ul style="list-style-type: none"> <li>a. This interview should again address consideration of financial planning and overseas spouse employment.</li> </ul>	<hr/>
6	Request entry approval (if required) in accordance with Chapter II, Appendixes D and E of NAVMILPERSCOMINST 4650.2.	<hr/>
7	Request passports and visas for member and dependents (if required) in accordance with Chapter III of NAVMILPERSCOMINST 4650.2.	<hr/>
8	Arrange appointment for member and dependents to receive immunizations appropriate for area to which ordered.	<hr/>
9	Process transportation request for member and dependents in accordance with NAVMILPERSCOMINST 4650.2. Provide receiving command with dependents' names and ages of children accompanying member overseas.	<hr/>
10	Upon receipt of port call and appropriate transportation documents, the member should be informed that a port call constitutes a modification of orders. Failure to report as directed will be considered the same as missing movement and be regarded as unauthorized absence subject to disciplinary action under the UCMJ. The appropriate uniform shall be worn when traveling on government owned or controlled aircraft except when civilian attire is required by the U.S. Air Force Foreign Clearance Guide due to military specialty or local extenuating circumstances for political or personal safety reasons or is a prerequisite for entering a foreign country without official passport. In the latter case, security and diplomatic requirements take precedence. Civilian clothing may be worn when traveling by other mode of transportation, unless the appropriate uniform is required by the order-issuing authority. When civilian clothing is worn, it will be in good taste and not in conflict with accepted attire in the overseas country.	<hr/>
11	If member is married to a non-U.S. citizen, inform him/her that if the spouse is not a citizen of the United States and expects to work on the overseas base, the spouse if employed could be subject to area "Status of Forces Agreement" and not receive the same wages as a U.S. citizen.	<hr/>
12	<p>Verify enrollment of member's dependent(s) in DEERS Program.</p> <ul style="list-style-type: none"> <li>a. PERSUPPDETs or personnel offices shall verify DEERS enrollments via DEERS/Realtime Automated Personnel Identification System (RAPIDS) CRT (where available), telephone (if DEERS/RAPIDS CRT unavailable), or DD Form 1172 verification (where CRT and telephone access is unavailable). In cases where a service record entry confirms that a DEERS check was made within 90 days preceding the member's transfer, a new DEERS check is not required.</li> <li>b. Add, change, or terminate enrollment data as necessary in accordance with OPNAVINST 1750.2.</li> <li>c. A service record entry (typed or stamped) will be made on NAVPERS 1070/613 certifying the member's dependents are accurately enrolled in the DEERS data base.</li> </ul>	<hr/> <hr/> <hr/>

Figure 3-3. Mandatory checklist for overseas transfers-Continued.

## **REQUIRED INTERVIEWS**

The five required interviews are the reporting, the retention programs, the incentive programs, the 17-year monitor, and the preseparation/retirement interviews. Each is designed to be conducted at specific career points during an individual's career and to provide certain information relating to that particular career point. The action plan for the five required interviews is set forth in appendix B of the *Retention Team Manual*, NAVPERS 15878-G.

The retention programs interview and 17-year monitor interview will only be conducted one time for each individual during an entire career. The reporting, the incentive programs, and the preseparation interviews may be conducted many times during an individual's career. It is imperative that the required interviews be conducted when they are due because they impact heavily on the retention process.

### **Reporting Interview**

The reporting interview's group presentation should be conducted as part of the indoctrination process (I Division). This presentation should be part of the command career counselor's (CCC's) I Division lecture.

The one-on-one reporting interview must be conducted within 30 days from the time an individual reports on board a command. This interview should always be conducted by the division or work center career counselor. This will enforce the retention team concept to the new member from the start.

There are a number of CCCs who like to conduct this interview themselves because all individuals check in with them anyway. It is true that the CCC should meet personally with every individual when first reporting on board. The CCC should review the new member's service record so that an individual counseling file can be setup and the member's name placed in the interview tickler system. However, to conduct the reporting interview at this time can be counterproductive.

If the CCC conducts the interview, then the CCC, instead of the division or work center career counselor, is established as the new member's career counselor. The first time members need career assistance they will come straight to the CCC and bypass their division career counselor. Remember, the Career Information Program Management (CIPM) concept is to put retention back in the chain of command and use all assets available.

The reporting interview is the initial contact through which the retention process is established, Counseling members with their spouses present is appropriate and encouraged. Areas to discuss other than the ones covered in the group presentation are as follows:

- Learn the status of a member's career counseling exposure and arrangement to correct any deficiencies that are found by offering whatever voluntary interviews are deemed appropriate.
- Explain the commands retention program and give some insights into the programs and opportunities that are available to the individual.
- Show senior personnel how they may assist in reaching the retention goals of the command.
- Assist members in completing a Duty Preference Form, NAVPERS 1306/63, if they do not have one on file.

### **Retention Interview**

The group presentation should be conducted at active duty service date (ADSD) plus 17 months and the personal interview held by the division/work center career counselor at ADSD plus 18 months.

The division/work center career counselor must be prepared to discuss any material covered in the group presentation, as it is brought up by the individual being interviewed.

This interview is a formal expression of the command's interest in the member's progress to date. An examination of the member's service record, training record, and division officer's notebook before the interview will disclose the efforts and progress the individual has made. It is here the career counselor might discover the trends, both favorable and unfavorable, that can be corrected or complimented.

It is strongly recommended that the spouse be invited to the interview (subject to member approval). Remember to stress the good the spouse can do to assist the husband or wife in reaching full potential. Be patient when explaining services and programs available, since the spouse most likely will not be as familiar with benefits and entitlements as the member is.

Check to make sure minimum advancement requirements have been met for the member's advancement and thoroughly explain advancement requirements through PO2. Encourage completion of all requirements through PO2 at the earliest possible date.

Get the member thinking and preparing well in advance of mandatory requirement dates.

### **Incentive Interview**

The proper time frame for conducting the group presentation is 11 months before the individual's expiration active obligated service (EAOS) or projected rotation date (PRD). The group presentation is the same for all individuals, but the personal interviews should be conducted on the basis of whether the member is approaching PRD or EAOS. The personal interview should be conducted by the division/work center career counselor 10 months before the individual's EAOS or PRD.

The division/work center career counselor will primarily be concerned with reviewing and updating the enlisted duty preference form for the individual who is only transferring. This is also the time to talk about advance training for these individuals. Detailers are more likely to give individuals advance training (C school) with PCS orders than during the middle of a tour. This is the time to submit an Enlisted Personnel Action Request, NAVPERS 1306/7, for a school. Another important issue for these people is to make sure their training record and service record are up to date.

The incentive interview is the keystone of any retention program for individuals approaching EAOS. It is the point in time where the sailor is first encouraged to make a commitment to further naval service. It is here that the retention team's past efforts in improving a member's potential for retention start to pay off, and it is here that even the best laid efforts can fail if the interview is not properly conducted. Again, because of the family's acute involvement in the retention decision, it is recommended that the spouse be encouraged to attend (subject to the approval of the member). The areas that must be discussed at the incentive programs interview are listed in the following paragraphs.

The purpose of this interview is to make sure the individual understands the career benefits and reenlistment incentives to allow the member to make sound career decisions. It would be an error for the counselor to say, "The purpose of this interview is to get you to reenlist," although the statement would be partially true.

Review the member's performance marks and accomplishments up to the present tour/career point and advise the member about prospects for a future prosperous career. This may include suitability for officer programs as well as selection board

competitiveness for chief, senior chief, and master chief petty officer.

- Ask the member to make a career of the Navy. If the answer is yes, go right onto "gaining a commitment."

- Remind the member of the benefits of a career.

- Ask the member what problems a Navy career might present. List each problem the member presents on the left side of a sheet of paper.

- Proceed to eliminate or reduce the impact of those items listed on the left side of the sheet by listing corresponding good points of a Navy career on the right-hand side. Never lie or misrepresent facts, but always present positive points for the Navy's side. For example, frequent moves required by the Navy career on the left side of the sheet can be countered with the benefits gained from being in different parts of the country or world and the chance of using the GUARD III program or detailer to aid the member in getting to or remaining at a desired location. Do not forget to mention the travel aspects of civilian job possibilities; civilians move around too.

- Ask the member and spouse (if present) if they now think a Navy career would be a desirable life-style. If the answer is yes or maybe, go on to gaining a commitment. If the answer is an unequivocal no (and let us face it, not everyone will choose a Navy career), stress the importance of making preparation to start a civilian career. If the answer is "I don't know" or "We'd like to think about it," schedule another interview with the member. Maintain the positive attitude of "you will reenlist because the Navy offers the best opportunities for you and your family," and you will likely achieve excellent results.

It is important to know how to gain a commitment. All of us have seen the used car salesman pull out a blank contract (even though we have not firmly decided to buy a car), put our names across the top of the page, list the identification of the car, and start taking about price. With this action, the salesman has implied that we have decided to buy the car and are only interested in haggling about the price. Like the car salesman, the counselor should try to gain an early commitment (though it can always be changed). The counselor's contract is the special request chit. Start filling out the request chit with the member's name and ask for the member's social security number for use on the chit. Advise the member that the earlier the request is submitted the better, since it allows time for planning paper work requirements, gaining GUARD III approval, and so forth. Word the

request properly and ask the member to sign it. Offer to take care of the request from here. By performing this function the counselor can change many maybe's into yes's and allow plenty of time to routinely process the request. Provide follow-up interviews for those maybe's who have cold feet and have the ship's office or PASS office contact the CCC when someone cancels a request to reenlist/extend. Then the CCC can schedule follow-up interviews as required.

Do not try to sell civilian career opportunities to members who decide to reenlist; the effort is counterproductive. When members definitely decide against reenlistment, give the full-scale civilian career opportunities presentation. If, during follow-up interviews, members decide that they definitely do not wish to reenlist, give the full-scale presentation on preparing for a civilian career at that time.

Schedule follow-up interviews on a monthly basis until ayes can be obtained or the member has completed the loss tracking schedule as outlined in the *Retention Team Manual*. Scheduling should be done while the member is present to prevent a conflict in the times that the interviewer and the member are available. Let the member know the time, place, and date.

### **17-Year Monitor Interview**

The group presentation should normally be given when the members have 16 years and 11 months of active duty and the personal interview by the division/work center career counselor should be given at the 17-year point. The group presentation for this interview will probably include 2 or more months of scheduled interviews in advance to have a quorum for a group presentation. During this interview the benefits of remaining on active duty past the initial Fleet Reserve eligibility date should be stressed. There should be a complete discussion of the Survivor Benefits Plan (SBP) and other survivor annuities during the interview.

### **Preretirement/Separation Interview**

There will be a group presentation for the members due a separation interview because of EAOS only and a separate presentation for members retiring or going to the Fleet Reserve. The presentation for both groups

should be scheduled 120 days before departing active duty. The personal interviews for both groups must be conducted by the division/work center career counselor no later than 45 days before actual separation from active duty.

To assist fleet units and activities in carrying out the required procedures, the commander of the Naval Reserve Force provides preseparation presentations. These presentations are given by the Naval Reserve Career Information Teams (CARITs) headquartered in Norfolk, Virginia, and San Diego, California. For more information on the CARITs, refer to the *Naval Reserve Preseparation Counseling of Active Duty Personnel*, OPNAVINST 1900.IC.

Individual commands should schedule and require all eligible officer and enlisted personnel undergoing separation processing within CONUS, Alaska, or Hawaii to attend a formal CARIT presentation. Deploying units should schedule, 90 days before deployment, all personnel who are to be discharged/released from active duty before the unit's return.

The CCC attached to activities outside CONUS should give the preseparation and the retirement/Fleet Reserve presentation.

## **DOCUMENTATION OF REQUIRED INTERVIEWS**

It is important to document the results of all the required interviews. The results are recorded on the Career Counselor Record, NAVPERS 1160/11 (fig. 3-4A, front, and fig. 3-4B, back), the interview form provided in the SNAPS system, or a retention interview form such as the one in figure 3-5. The original interview form should be returned to the CCC via the member's retention team chain of command so it can be reviewed and placed in the member's individual counseling file. Keep in mind that all interviews conducted during the month will be discussed during the next month's departmental retention team meeting. Having accurate results of interviews will help the retention team determine what action, if any, is needed to help the individuals meet their goals or correct any problems they are experiencing.



**CAREER COUNSELOR RECORD**  
**NAVPERS 1160/11 (Rev. 4-80) S/N 0106-LF-011-6055**

1. NAME (Last, First, Middle)				2. HOME ADDRESS (Street, City, State, Zip Code)										
3. SSN		4. NEC		5. UNIT/DEPT/DIV										
6. DATE OF BIRTH		7. RATE		8. BR/CL		9. DATE REPORTED								
10. MARITAL STATUS <input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED NO. DEPNs _____		11. EDUCATION COMPLETED <input type="checkbox"/> HS <input type="checkbox"/> 1 YR COL <input type="checkbox"/> 2 YR COL <input type="checkbox"/> HS GED <input type="checkbox"/> 3 YR COL <input type="checkbox"/> 4 YR COL <input type="checkbox"/> COL GED				12. NAVY SCHOOL(S) COMPLETED								
13. College, Univ., Prof., or Tech. School		DATE		FIELD	Degree Total Hrs	14. CIV. OCCUPATION  Job Title/Position								
		FROM	TO											
15. EAOS		16. PRD	17. ADSD	18. PEBD	19. SHDCD/SDCD	20. CLEP Areas Completed 1    2    3    4    5								
21. Date last DUPREF submitted		22. BASIC TEST/ASVAB SCORES												
		GCT/WK	ARI/AR	MECH/AC	CLER/AD	NO	SHOP/SI	ETST/EI	MK	GS	GI	SP	AI	AFQT
23. CAREER INTENTIONS		DISCHARGE AT EAOS												
		FLEET RESERVE/RETIRE AT EAOS												
		REENLISTMENT			YEARS									
		EXTENSION OF ENLISTMENT			YEARS									
		UNCERTAIN												
24. INTERVIEW		Activity		Counselor		Date								
A. Reporting														
B. 6-9 Month Growth														
C. Retention Programs														
D. Incentive Programs														
E. 8-12 Year Monitor														
F. 17 Year Monitor														
G. Pre-Sep/Retirement														
H. Annual Career Update						RECORDED ON REVERSE								
I. Special/Congratulatory						RECORDED ON REVERSE								

**INSTRUCTIONS**

- a. This form will be initiated for each enlisted member who reports aboard their first operational duty station following Recruit Training. Item numbers circled shall be completed in pencil.
  - b. The reverse of this form will be utilized to record comments on any interviews and family counseling sessions held. Comments should address only the impressions, goals, frustrations, or commitments imparted to, taken on, or observed by the Counselor. These comments are intended to give aid and insight to future counseling efforts. When additional space is required, attach additional bond paper and continue.
  - c. When the member is transferred to another duty station, this form will be checked for accuracy and completeness, updated as necessary, and forwarded with the individual's service record to the new command.
  - d. When separated or released from active duty on board ship or station the FINAL STATUS section must be completed and sent to the Commander, Navy Recruiting Command, Code 335, 4015 Wilson Boulevard, Arlington, VA 22203.
- If the individual reenlists, this form will be maintained as a chronological consultation sheet throughout their uninterrupted career.

Figure 3-4A.-Career Counselor Record, NAVPERS 1160/11 (front).

FILL IN - IF SEPARATED OR RELEASED FROM ACTIVE DUTY

FINAL STATUS REENLISTMENT CODE

RECOMMEND FOR REENLISTMENT

RECOMMENDED FOR SCORE

INTENDED HOME ADDRESS (Street and Number, City, State, Telephone Number)

PERMANENT HOME ADDRESS (Street and Number, City, State, Telephone Number)

CO'S SIGNATURE AND RANK

LAST SHIP OR STATION

DATE

REMARKS

PRIVACY ACT STATEMENT FOR NAVPERS 1160/11 (Rev. 4-80)

The authority to request this information is derived from 5 U.S.C. section 301 Departmental Regulations. Its purpose is to document the required counseling sessions. The information collected on this form will be utilized by command career counselors as a chronological consultation sheet to provide aid and insight for future counseling sessions and to ensure member is provided facts about the opportunities of a Naval career upon which an intelligent career decision may be made. Information contained on this form is voluntary; however, failure to provide the requested information may result in inadequate facts for the counselor to properly assist the member in planning for and participating in the many Navy programs available for a successful Naval career.

Figure 3-4B.-Career Counselor Record, NAVPERS 1160/11 (back).

CAREER COUNSELING INTERVIEW FORM

NAME LAST, FIRST, M.I.	RATE	DEPT	DIV	WORK PHONE	COUNSELOR	DATE
REPORTING		INCENTIVE PROGRAMS		SEPARATION		
RETENTION PROGRAMS		17-YEAR MONITORING		PRERETIREMENT		
GOALS FOR THIS ENLISTMENT						
GOALS FOR CAREER (MILITARY AND/OR CIVILIAN)						
MEMBER'S INTENTIONS AT EAOS		REENLIST	SEPARATE/RETIRE	UNDECIDED		
REASONS FOR DECISION						
POSITIVE CONCEPTIONS ABOUT NAVY & CMD				NEGATIVE CONCEPTIONS ABOUT NAVY & CMD		
PERSONAL INTERESTS						
PERSONAL PROBLEMS HAVING AN IMPACT ON MEMBER'S CAREER DECISIONS						
OTHER FACTORS BEARING ON CAREER DECISIONS						
COUNSELOR'S IMMEDIATE OPINIONS AND IDEAS WITH REGARD TO INTERVIEW						
PLAN OF ACTION AS DETERMINED BY THE MEMBER AND THE RETENTION TEAM						
ACTION TAKEN BY MEMBER AND RETENTION TEAM						

Figure 3-5.Retention interview form.



## CHAPTER 4

# ADMINISTRATIVE PROCEDURES

As a senior Yeoman (YN), you are expected to compose letters from brief notes or even from oral instructions. In addition to drafting correspondence or directives, you should also be able to draft general messages, award recommendations, letters of appreciation, commendations, personal award recommendations, formal social correspondence, invitations to official social functions, and replies to such invitations. You should know enough about grammar and good English usage to avoid the most obvious errors.

This chapter is designed to give you some basic rules in drafting a general message and award recommendations. The latter part of this chapter covers formal social notes.

### MESSAGES

Although every command has its share of outgoing letters, outgoing messages are also a vital administrative function. A message is a written thought or idea, expressed briefly and to the point. Messages are prepared in a form suitable for transmission via telecommunications networks or by NAVGRAM. The *Telecommunications Users Manual*, NTP 3(I), provides guidance on preparing naval messages. It is designed to briefly explain procedures for drafting and preparing naval messages.

### RESPONSIBILITIES

As the Naval Telecommunications System (NTS) becomes more automated, the proper preparation of message traffic becomes more important. Errors cause manual intervention during the automated processing and may result in rejection of the message. To aid in the prevention of procedural errors, specific areas of responsibilities are assigned as follows:

- The user is any individual authorized to draft, release, and/or process electronically transmitted messages. It is the user's responsibility to consult the appropriate publication for guidance and procedures of the NTS.

- The originator of a message is the authority (command or activity) in whose name a message is sent.

The originator is responsible for the functions of the message releaser and drafter.

- The message releaser is a properly designated individual authorized to release a message for transmission in the name of the originator. In addition, the releaser's signature validates the contents of the message and affirms compliance with message drafting instructions contained in the NTP 3 and related publications. Also, the releaser's signature authorizes transmission of the message. The releaser is responsible for establishing message staffing and processing procedures to prevent delays, eliminate backlogs, and promote an even flow of messages. The releaser is also responsible for proofreading the message for procedural errors, accuracy, and clarity. These responsibilities include the following:

Making sure either OPS or ADMIN is typed in the Message Handling Instructions block.

Making sure all personnel under the control of the releaser are briefed and understand the meaning and importance of MINIMIZE.

Deciding whether the message qualifies for electrical transmission or should be sent via NAVGRAM by writing the word NAVGRAM below the Signature block on the message. NAVGRAMS are not processed in any form by naval telecommunications centers.

Making sure the drafter has complied with the NTP 3 and supplemental instructions, with particular attention to classified messages.

- The drafter is the individual who composes the message and must have a detailed knowledge and understanding of the procedures contained in the NTP 3. The drafter is responsible for the following:

Ensuring proper addressing by using the authorized Plain Language Addresses (PLAs) listed in the *Message Address Directory (MAD)*.

Making sure originators of an Address Indicating Group (AIG)/Collective Address Designator (CAD) are authorized users of that

AIG/CAD. See NT3 SUPP-1 for AIG/CAD information.

Composing clear and concise text.

Applying the proper security classification, special handling, and declassification markings required by the *Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.1H, and making sure records are maintained to show the source of derivation for the classification assigned.

Selecting the appropriate precedence.

Coordinating message staffing.

Making sure the message is correctly formatted and free of errors.

Ensuring the proper use and selection of appropriate message handling instruction(s) and/or operating signal(s).

The Communications Improvement Memorandum (CIM) Program is an after-the-fact training aid to inform message drafters, releasers, and communications personnel of procedural errors in order to prevent their recurrence.

CIMs are intended to enhance the user's awareness and the overall efficiency of the NTS. Receipt of a CIM should not be interpreted or considered as a reprimand to an individual or command but as an informal notice of a procedural error.

## TYPES OF MESSAGES

There are four types of classified and unclassified narrative messages: single address, multiple address, book, and general message.

- A single address is a message that has only one addressee, either action (TO) or information (INFO).

- A multiple address is a message that has two or more addressees, whether action or information, and is of such a nature that the drafter considers that each addressee should know the other recipients.

- A book is a message that is destined for two or more addressees but is of such a nature that the drafter considers that no addressee need or should be informed of the other addressee(s). For example, a commercial contract bid is a book message.

- General messages are designed to meet recurring requirements for issuing information to a wide,

predetermined standard distribution. General messages are titled; for example, ALCOM, ALMILACT, and NAVOP. Because the title indicates the distribution, it serves as the address designator in the address line of the message heading. To attain uniformity of format with joint procedures, general messages are assigned, following the general message title, a consecutive three-digit serial number followed by a single slant and the last two digits of the current calendar year; for example, NAVOP 015/93. The general message title and number/year stand alone on the line after the classification and before the subject.

## WRITING A MESSAGE

General Administrative (GENADMIN) is the format used for most narrative messages with the exceptions being those narrative messages from which a publication, instruction, or other directive requires a different format.

### Precedence

When writing a message, the drafter has the responsibility for the determination of precedence, although the releaser confirms, or may change, the precedence assigned. There are four precedence categories. Each precedence has an established speed-of-service (SOS) objective that provides the fastest communication support possible. The four precedence categories and their SOS objectives are as follows:

PRECEDENCE	SOS OBJECTIVE
FLASH	As fast as possible with an objective of less than 10 minutes
IMMEDIATE	30 minutes
PRIORITY	3 hours
ROUTINE	6 hours

The importance of not assigning a higher precedence than is necessary cannot be overemphasized. The following elements must be considered:

- The urgency of the subject matter, remembering that importance does not necessarily imply urgency.

- The time element involved, including consideration of time difference between widely separated geographical areas.

- Commercially refiled messages should be assigned ROUTINE precedence, except in the case of messages dealing with death, life-threatening situations, or operational matters.

### **Classification**

If the message you are drafting is classified, assign the appropriate security designation that identifies the overall classification of the message; that is, CONFIDENTIAL, SECRET, or TOP SECRET. Include the special handling instructions and declassification markings as required by OPNAVINST 5510.1H. If the message does not contain classified information, then identify it as unclassified.

### **Operational and Administrative Messages**

The message must be identified as an operational (OPS) or administrative (ADMIN) message. Operational messages direct or affect the actual use or movement of forces, ships, troops, and aircraft whether real or simulated; issue weather or other vital reports affecting the safety of life, ships, forces, or areas; deal with high command and strike coordination, tactical communications, combat intelligence, enemy reports or information control communication, cryptography, deception, and countermeasures; contain hydrographic and oceanographic information; deal with combat logistic matters; and relate to exercises conducted for fleet training and readiness.

Administrative messages pertain to matters of such nature or urgency to warrant electrical transmission. Subjects include various reports, perishable information, matters associated with operations and readiness, and urgent matters that require considerable coordination or that must be brought to the early attention of seniors. The highest precedence that maybe assigned is PRIORITY, except for those messages reporting death or serious illness, which are assigned IMMEDIATE precedence.

### **Message Address**

Verify the PLA, also known as the message address, for the command short titles and geographical locations contained in the MAD. Do not copy PLAs from incoming messages or memory. Correct spelling of PLAs is critical. If your activity does not have an NTP 3 or an NTP 3 SUPP-1 and needs to be placed on the distribution list for the MAD, forward a letter providing your command's complete mailing address, *Standard*

*Navy Distribution List* (SNDL) number, and copies required to the Director, Naval Telecommunications System Integration Center (IC15), NAVCOMMUNIT Washington, Washington, DC 20397-5340.

The geographical location must include the city/town spelled out; abbreviations are not allowed. The authorized state/country is abbreviated. When a city/town is an integral part of an activity title, the city/town is not repeated; for example, NAS NORFOLK, VA. Dual geographical locations are prohibited; for example, MINNEAPOLIS/ST PAUL MN. Geographical locations are not used for AIGs, mobile units, and alternate command posts.

Whenever the words SAINT, MOUNT, POINT or FORT are used as part of a geographical location, they are abbreviated as ST, MT, PT, or FT; for example, NTCC BARBERS PT HI. Whenever they are used as part of an activity's short title, they are not abbreviated; for example, USS MOUNT HOOD.POINT, when used as part of a task organization's PLA, is abbreviated as PT; for example, CTG SEVEN ONE PT ONE.

All numbers from ten to nineteen are written as one word, for example, ELEVEN. All numbers above nineteen are written out; for example, TWO ZERO or SIX EIGHT FOUR THREE. All letter designations are spelled phonetically; for example, FAIRECONRON ONE DET ALFA.

Office codes are required with all Navy shore activity PLAs. Office codes follow the PLA and are enclosed by double slants; for example, CNO WASHINGTON DC//094//. If the office code is unknown, use //JJJ// after the PLA. There is no limit on the number of office codes that can be used with a PLA. When multiple office codes are used, the first code is the action code. A single slant is used to separate codes; for example, CNO WASHINGTON DC//094/943/611//. Spaces are not permitted within office codes. Office codes are not used with AIGs/CADs.

In addition to message addressing, remember the rules of naval courtesy, Separate action addressees from information addressees first. Within either group, list addressees by proper protocol; highest echelons before lower, then by alphabetical order within echelons. Of course, observe protocol not only in the address element but throughout the message. Remember the assumptions that go with certain usages. Juniors never ADTAKE seniors is one familiar piece of naval advice. Another is that seniors direct attention while juniors request or invite attention to an issue or problem.

## Standard Subject Identification Codes

Except for message instructions contained in the NTP 3, all naval messages require a standard subject identification code (SSIC). The *Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes* (SSIC), SECNAVINST 5210.11D, lists all authorized SSICs. Select the SSIC that most accurately corresponds to the message subject matter. On messages, the SSIC follows the classification, special handling designations, and releasability statement and consists of six characters preceded and followed by double slants (/). The first character is the letter *N* followed by five digits. If the SSIC has only four digits, add a zero after the letter *N*. Messages that require but are not assigned an SSIC will be rejected by the telecommunications center.

## Subject and References

The subject line should tell the reader what the message is about. Give a descriptive title using normal word order; for example, REQUEST VERIFICATION OF SECURITY CLEARANCE CONCERNING YNC JACK FROST, USN, 123-45-6789. A descriptive title not only helps the reader, it helps in routing the message as well.

References are other documents to which the reader is directed to assist in dealing with the subject matter of the message. Make sure your references are complete and in order. Since messages are usually disposed of after 30 days, avoid references to previous messages.

## Text

First, it's important that you know the purpose of what you are writing. Is your goal to persuade, to provide information or interpretation, to request assistance, or to give instructions? Don't waste words. Messages are written in an informal, abbreviated style that should be complete and clear to the reader. Standard abbreviations that are recognized throughout the Navy can be found in the *Dictionary of Naval Abbreviations*.

Example 1:

1. ON 19 JANUARY 1993, MR. JOHN JONES, COMNAVAIRLANT, CODE 40, GAVE AN OUTSTANDING PRESENTATION REGARDING AVIATION REPAIRABLE MANAGEMENT. THE TRAINING WAS CONSIDERED OUTSTANDING IN EVERY RESPECT. UNFORTUNATELY, DUE TO THE SHORT PERIOD OF TIME MR. JONES WAS IN ROTA, ONLY A SMALL NUMBER OF PERSONNEL

PARTICIPATED IN HIS TRAINING LECTURE. IT IS THEREFORE REQUESTED THAT MR. JONES RETURN TO ROTA FOR THE PURPOSE OF PROVIDING TRAINING IN AVIATION REPAIRABLE MANAGEMENT. IT IS ALSO REQUESTED THAT MR. JONES REVIEW CURRENT AVIATION REPAIRABLE MANAGEMENT PRACTICES AND PROCEDURES AT ROTA. IF POSSIBLE IT IS REQUESTED THAT HIS VISIT BE SCHEDULED FOR ONE WEEK DURING THE MONTH OF APRIL 1993.

2. YOUR ASSISTANCE AND SUPPORT IN THIS MATTER IS GREATLY APPRECIATED.

Example 2:

1. REQ FOR A RTN VISIT TO ROTA BY MR. JOHN JONES, COMNAVAIRLANT, CODE 40.

2. ON 19 JAN 93, MR. JONES GAVE AN OUTSTANDING PRESENTATION AT ROTA ON AVIATION REPAIRABLE MGMT. UNFORTUNATELY, HIS STAY WAS SO SHORT THAT MANY PEOPLE MISSED HIS LECTURE.

3. WE WOULD APPRECIATE HIS STAYING FOR A WK IN APR93 TO TRAMORE PEOPLE AND TO REV OUR MGMT OF AVIATION REPAIRABLE.

The first example is a delayed request. It buries the main point in a long and wordy paragraph. The second example, using an abbreviated style, begins with the request and then explains why. The paragraphs, sentences, and words are short. The message is clear and to the point.

Short titles and abbreviations are not used in the text if the message is addressed to a Member of Congress, a commercial concern, or a nonmilitary addressee.

Punctuation marks that may be used to enhance clarity within the message text are as follows:

Hyphen	-
Question mark	?
Colon	:
Dollar sign	\$
Apostrophe	'
Ampersand	&
Parentheses	( )
Period	.
Comma	,



Virgule (or slant) /

Quotation mark “

Punctuation marks that may not be used in a naval message are as follows:

Number symbol #

“At” sign @

Percent %

Fractions 1/2, 1/4, 3/8, and so on

Asterisk \*

Underscore —

Cent sign ¢

## MESSAGE FILES

Messages are filed numerically in the order of the date-time-group (DTG). The DTG is expressed as six digits with a zone suffix plus an abbreviated month and a two-digit year. The first pair of digits denotes the date of the month, the second pair the hours, and the third pair the minutes, followed by a capitalized letter that indicates the time zone. For standardization, all naval communications use Greenwich (Z) time. The month and year are abbreviated by using the first three letters of the month and the last two digits of the year; for example, 172140Z OCT 93.

Separate message files are usually maintained for general messages such as ALNAV (All Navy) and NAVOPS (Navy Operations). They are normally filed in numerical order by calendar. Other forms of messages that are maintained separately are CASREP (casualty report), OPREPs (Operational reports), PERSONAL FOR, and messages classified CONFIDENTIAL, SECRET, and TOP SECRET.

Messages are usually destroyed 30 days after the release date or earlier if they have served their purpose. However, message directives are automatically canceled 90 days following the release date except when the message provides earlier cancellation, a subsequent release specially extends the time, or if it is reissued in a letter-type directive format.

## AWARDS

An award is given to publicly recognize a member whenever he or she does anything noteworthy or commendable beyond the usual requirements of duty, or displays exceptional energy, judgment, or initiative.

Awards are presented with appropriate formality. Such ceremonies may range from presentation at formal reviews to small office ceremonies at which the letter or citation is read and the letter or decoration presented to the member.

## LETTERS OF APPRECIATION AND COMMENDATION

Letters of appreciation (LOA) and letters of commendation (LOC) are intended to promote morale. These kinds of letters are difficult to write. In most cases, LOA and LOC are tailored to the recipient and cannot be reused. When writing letters of appreciation or commendation, be creative so your letter won't sound like a form letter.

In an LOA, begin by expressing your thanks to the individual. In an LOC, you should begin by commending the individual for his or her support or accomplishments as appropriate. Next, in both the LOA and LOC, summarize the type of support or accomplishments that the individual is being recognized for. Then end by thanking or praising the individual once again. A penned postscript on the letter gives it a special warmth.

## PERSONAL AWARD RECOMMENDATIONS

The policy on the considerations for personal award recommendations is contained in the *United States Navy and Marine Corps Awards Manual*, SECNAVINST 1650.1F. Awards are intended to recognize truly exceptional performance and valor. The value of an award is that it is given in cases only where it is clearly deserved. The following are not considered as a basis for military awards:

- A routine end-of-tour award
- A means of expressing appreciation to staff personnel for the loyalty and support afforded to the departing commanding officer (CO)

The most important element in writing a personal award recommendation is the summary of action. Each recommendation is evaluated on the merits of the justification contained in the summary of action. When drafting your summary of action, avoid the excessive use of superlatives and the job description approach. Noncombat award recommendations should be brief. One page in an outline or bullet format is sufficient in the majority of cases. Emphasis should be placed on specific accomplishments of the individual that set him or her apart from his or her peers. The amount of detail

and supporting documentation required depends upon the circumstances and the nature of the award being recommended.

Combat award recommendations for the Navy and Marine Corps Medal and higher heroic awards must be fully justified and include at least two eyewitness statements.

A proposed citation that summarizes the summary of action must accompany the recommendation. Although a citation is complimentary and formalized, it must be factual and contain no classified information. Noncombat citations are limited to 22 typewritten lines. In no case should citations exceed one typewritten page. The citation should consist of three parts:

- **Opening sentence.** The citation begins with a standard phrase describing the degree of meritorious or heroic service as specified for each award, the duty assignment of the individual, the inclusive dates of service on which the recommendation is based, and if desired, a description of operations of the unit to which the individual is attached. (See the example of a proposed citation.)

- **Statement of Heroic/Meritorious Achievement or Service.** The second part of the citation identifies the recipient by name, describes specific duty assignments, his or her accomplishments, and the outstanding personal attributes displayed. The description of the individual's achievements must show clearly that they were sufficient to justify the award included. If duty was performed in actual combat, the citation should so state. No classified information may be included in the proposed citation. (See the example of a proposed citation.)

- **Commendatory remarks.** The third part of the citation states that the outstanding attributes, mentioned or implied in the second part, "reflected great credit upon himself or herself and were in keeping with the highest traditions of the United States Naval Service." In the case of marines, the citation states "of the Marine Corps and the United States Naval Service." (See the example of a proposed citation.)

Example: Proposed Citation

The Secretary of the Navy takes pleasure in presenting the NAVY ACHIEVEMENT MEDAL to

SENIOR CHIEF AVIATION MACHINIST'S MATE  
JOHN A. DOE  
UNITED STATES NAVY

for service as set forth in the following CITATION:

For professional achievement in the superior performance of his duties while serving as Maintenance Control Chief Petty Officer for Helicopter Antisubmarine Squadron Light FORTY-TWO from March 1985 to August 1988. Senior Chief Petty Officer Doe's unsurpassed dedication and steadfast commitment to excellence has had far-reaching effects on the successful introduction of LAMPS MK III to the fleet. He was instrumental in developing a responsive, thorough, and fully knowledgeable Maintenance Control Team that prepared and totally supported over 15 detachments deployed worldwide from the Persian Gulf to the South Pacific. He employed exceptional personal initiative in assisting detachments during preparations for demanding pre- and postcruise corrosion inspections. Senior Chief Petty Officer Doe's technical expertise and superb managerial skills proved invaluable. A pivotal member of the command, his outstanding support of tasked operations resulted in high praise for squadron performance in CHALLENGER and LIBYAN Operations. Senior Chief Petty Officer Doe's managerial ability, personal initiative, and unswerving devotion to duty reflected credit upon himself and were in keeping with the highest traditions of the United States Naval Service.

For the Secretary,

### FORMAL SOCIAL NOTES

Whether you are the admiral's writer or the senior YN, at some point in your naval career you will come in contact with or have to prepare formal social correspondence. You may have to prepare invitations for a commissioning or decommissioning ceremony or you may have an opportunity to be involved with a change of command ceremony. The *Social Usage and Protocol Handbook*, OPNAV 092-P1, is the publication you should refer to for more detailed information concerning planning, organizing, and conducting official and unofficial social events.

### INVITATIONS

Formal invitations (except those that are engraved) are always written in longhand, never typed or run off on a duplicating machine. Brightly colored ink is considered too extreme; use blue-black or black. Use personal notepaper if the originator has any. If the originator has none, use white or cream-colored notepaper of good quality. The important thing is neatness; the writing must be legible (with no erasures

or other untidiness), and the contents must be properly centered.

## ENGRAVED INVITATIONS

When the ship sponsors a large social function, invitations may be wholly or partially engraved. If they are engraved for only one function, they are either wholly engraved (with the word *your* substituted for the guest's name) or wholly engraved except for the guest's name which is written in. Partially engraved cards are more practical since they can be used for many occasions (fig. 4-1). Space is left for inserting, in longhand, the guest's name, the type of function, and the date and time the affair will take place.

## WORDING

Figure 4-2 is a formal written invitation. Note several things. The invitation is written in the third person, present tense. The name of the host (in this case his or her title) is in the third person, the word *requests* is in the present tense, active voice. The name or title of the host is always shown in full, although the guest's name need not be (the words *your company* are permissible). The date and hour are written in words; that is, if dinner were to start at 7:30 p.m., it would be shown as "half past seven o'clock." Numbers may be used in an address. The only time you use punctuation is when words need separation on the same line. You will seldom see punctuation in formal invitations or replies.

The general format for wording the formal invitation is as follows: Line 1, name or title of the host,

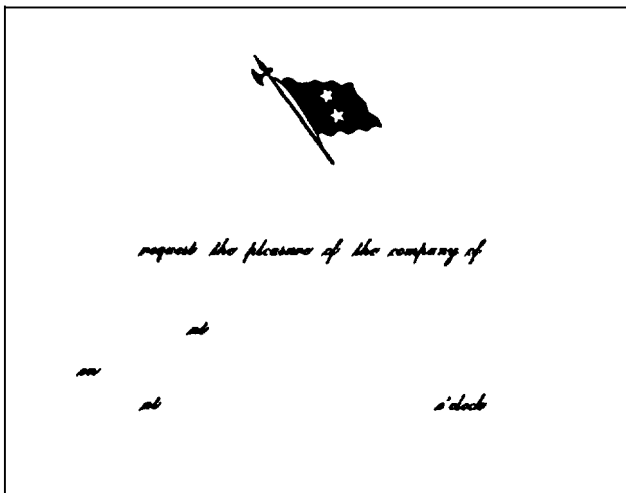


Figure 4-1. Partially engraved invitation.

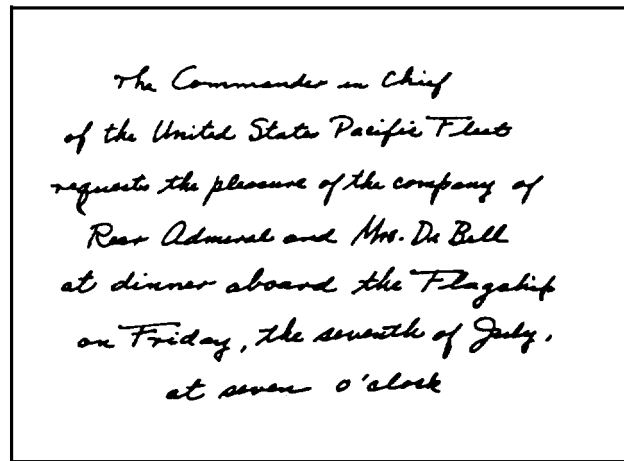


Figure 4-2. Formal written invitation.

(Fig. 4-2 uses two lines because of the length of the title.) This is followed by (1) the invitation, (2) the name(s) of the guest(s), (3) the type of function, (4) the date, and (5) the time. When at other than the host's home, (6) the address is centered below the line stating the time or in the lower right corner (fig. 4-3).

Many invitations contain the letters *R.s.v.p.* (or *R.S.V.P.*) in the lower left corner. This is a French phrase, *Repondez s'il vous plait*, meaning Please reply. The phrase. A favor of a reply is requested, is sometimes used instead. Thus, the host will know in advance the number of guests to expect.

When a function is held aboard ship, a schedule of boats and the dock from which they will leave may be included. This is usually shown in the lower left corner.

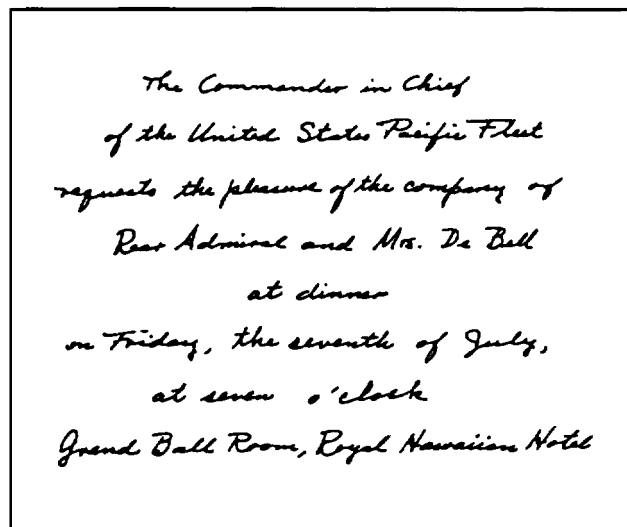


Figure 4-3. Formal written invitation to an event in a public ballroom.

When R.s.v.p. is at the lower left, the boat schedule will appear in the lower right corner.

## REPLIES

Whether or not an invitation requests a reply, most formal invitations should be answered. A notable exception is the invitation to a church wedding. Home weddings and wedding receptions require replies. The general rules about answering invitations are that they should be answered as promptly as possible after receipt of the invitation. One authority specifies that replies to dinner or luncheon invitations should be made within 48 or, if possible, 24 hours after receipt of the invitation. The second rule is that the form of the reply should correspond to the form of the invitation.

If you are asked to prepare a reply to a formal invitation, be sure that you use not only the correct form, but also, as with the invitation itself, that it is written as legibly and as attractively as possible. A centered format similar to that used in the invitation is appropriate.

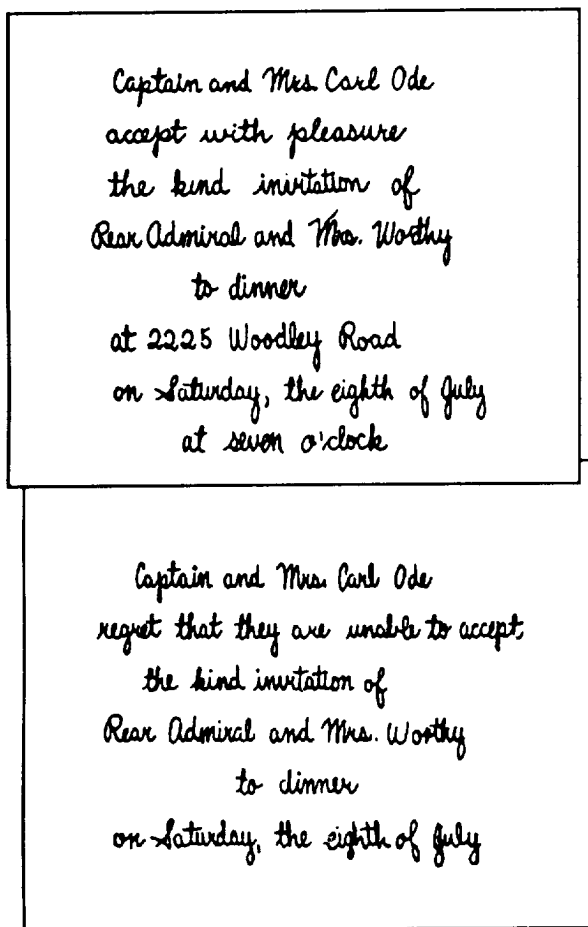


Figure 4-4. Formal acceptance and regret.

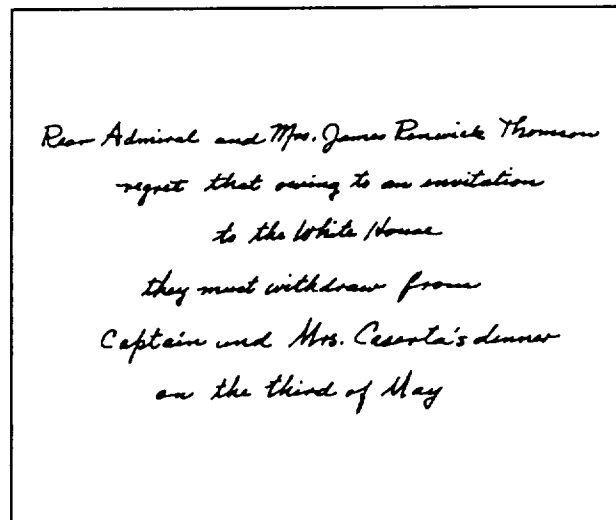


Figure 4-5. Withdrawal of acceptance.

Stationery and ink should be selected by the same rules as for invitations.

When an invitation is accepted, the date, time, and place are always repeated. This lets the host know there is no misunderstanding. In a reply expressing regret, it is not necessary to repeat the time. Figure 4-4 shows samples of an acceptance and a note of regret.

## WITHDRAWING AN ACCEPTANCE

There may be occasions when it is necessary to withdraw an acceptance. Some valid reasons are serious illness, a death in the family, prospective absence occasioned by a transfer of duty, official duty, or very important business elsewhere. Figure 4-5 is a sample withdrawal of acceptance. A point to remember is that an invitation from the White House or Chief of Mission takes precedence over all other invitations.

## CEREMONIES

Navy tradition dictates that each ship constructed for the service be honored on at least three historic ceremonial occasions: keel-laying, christening (or launching), and commissioning. Various directives pertaining to these events are issued periodically, but questions often arise concerning the proper wording of invitations and the agenda for the ceremony. Your primary source of information for any of the previous ceremonies is the *Social Usage and Protocol Handbook*, OPNAV 092-P1. The information contained in the handbook and this chapter is not intended to represent a rigid standard but to outline what has been

done in the past to provide guidance to what is traditional and appropriate for given situations.

### **KEEL-LAYING**

The first milestone in the history of a ship is the keel-laying ceremony. This is generally a simple ceremony. The invitation is issued by shipyard officials, and the ceremony is conducted by them.

### **CHRISTENING OR LAUNCHING**

The second significant ceremony is the christening or launching ceremony. When a recently constructed ship is christened, it is solemnly dedicated, named, and committed to the sea. There are many variations in launching programs, even as to whether it is known as a launching or christening, or both. The desires of the shipbuilder and of the Navy as well as existing circumstances will determine its final form. It should be noted that the designation of U.S. Ship (USS) is not properly used with the ship's name at this point for the ship has not yet been accepted into naval service.

### **COMMISSIONING**

The commissioning ceremony, the third and most important ceremony in the history of a ship, is the ceremony that designates the ship a U.S. Ship, entitles the ship to fly the commission pennant, and is the way the Navy formally accepts the ship.

There are two major steps in the commissioning process. Initially, the builder turns the ship over to the area commander. The area commander, who is the intermediary between builder and prospective CO, receives the ship and commissions it. The area commander then turns the ship over to the prospective CO who accepts the ship, assumes command, and proceeds to act as host for the remainder of the ceremony.

Commissioning invitations commonly take one of two forms. The principal difference between them lies in the consideration of who is the host for the ceremony and in whose name, therefore, invitations are extended. In practice, the first commissioning is the responsibility of the area commander. For this reason, invitations citing the area commander as one of multiple hosts are often used (fig. 4-6). However, invitations tendered in the name of the CO, officers, and crew members of the ship are at least equally traditional (fig. 4-7).

The Commander in Chief Atlantic,  
the Commanding Officer, and Ship's Company  
request the honor of your presence  
at the commissioning of  
USS NEVERSAIL (DD-2215)  
at the Norfolk Naval Shipyard, Norfolk Virginia  
on Monday, the fifteenth of August  
nineteen hundred and ninety-three  
at half past one o'clock

R.S.V.P.  
255-5812

**Figure 4-6.** Formal engraved invitation on bristol card stock.

The Captain, Officers, and Men of  
UNITED STATES SHIP NEVERSAIL  
request the honor of your presence  
on the occasion of the commissioning of  
UNITED STATES SHIP NEVERSAIL  
Boston Naval Shipyard, Boston, Massachusetts  
on Saturday, the tenth of May  
nineteen hundred and ninety-three  
at three o'clock

Please present this card  
at the Henley Street Gate

**Figure 4-7.** Sample commissioning invitation for a 4- by 5-inch invitation card.

Although the ship is not accepted as a U.S. Ship until midway in the ceremony, invitations customarily use the designation USS (without periods) with the ship's name. Since this title is preempted for early use, it seems stuffy to insist on the use of the designation "prospective" in reference to the captain and crew of the ship, but it is still seen occasionally.

The invitation may be engraved on full-size, double-white paper, similar in style to a wedding invitation (fig. 4-6) or, as is more usual, on a white invitation card that is entirely plain or topped by a replica of the commission pennant (fig. 4-7). It is incorrect to use the word *the* before a ship's name inasmuch as there is only one ship with that name in commission at any given time. The desired uniform or other information such as "Cameras not permitted" is indicated at the lower right-hand corner.

## DECOMMISSIONING

The decommissioning ceremony is the ceremony that terminates the active naval service of a ship. A decommissioning ceremony is not held for a ship lost at sea. This ceremony is generally a somber occasion and is far less elaborate than the ceremonies discussed earlier. As a general rule, invitations are not issued for a decommissioning ceremony. A sample program may be found in the *Social Usage and Protocol Handbook*, OPNAV 092-P1.

## CHANGE OF COMMAND

As a senior YN, you will more than likely be involved with a change of command ceremony at some point in your naval career. Invitations for such an occasion are normally headed by a replica of the relieving officer's personal flag or a commission pennant. A sample of the appropriate format is shown in figure 4-8. While it is equally correct to use the engraved invitation that requires the writing of the intended guests' names, it is by no means more correct than the fully engraved invitation that "requests the pleasure of your company." The latter creates needless work in its preparation.

In some instances, change of command and retirement ceremonies are combined. A properly worded invitation is shown in figure 4-9. Change of command orders to commanders and below may be

The Captain, Officers, and Men of  
UNITED STATES SHIP NEVERSAIL  
request the pleasure of your company at the  
Change of Command Ceremony at which  
Captain Roy Edward Turner, United States Navy  
will be relieved by  
Commander George Bukoski, United States Navy  
on Friday, the twenty second of June  
at ten o'clock  
on board USS NEVERSAIL (DD-219)  
pier twelve, United States Naval Station  
Norfolk, Virginia

R.S.V.P.                      Uniform:  
455-2345                      Service Dress Blue

Figure 4-8. Sample format for change of command.

Commander, Naval Supply Systems Command  
requests the pleasure of your company  
at the Change of Command and Retirement Ceremony  
at which  
Rear Admiral John Smith, United States Navy  
will be relieved by  
Rear Admiral Henry Jones, United States Navy  
on Friday, the twelfth of April  
at half past eleven o'clock  
Admiral Leutze Park, Washington Navy Yard

R.S.V.P.                      Uniform:  
423-3245                      Service Dress Blue

Figure 4-9. Sample format for change of command and retirement.

written using items and abbreviated titles and phrase equivalents. Steps should be taken upon receipt of such orders to translate the phrase equivalents into the proper terminology for use at the change of command ceremony. It is suggested that only that portion of the orders pertaining to detachment and reporting to the ultimate duty station be read at the change of command ceremony. Change of command orders to captains and above will not require translation since the pertinent paragraphs will be in the proper form for use at the change of command ceremony.

## RETIREMENTS

The retirement or transfer to the Fleet Reserve of a member is followed by a ceremony designed to express the Navy's appreciation for the many years of faithful and honorable service the member has devoted to his or her country. Invitations, if so desired by the member, to such an occasion are the member's responsibility. Participation in a formal ceremony is not a mandatory requirement for the member. Each member's preference in the matter must be determined before the scheduled date of retirement or transfer to the Fleet Reserve. Such ceremony may be waived upon request of a member or in other instances when, at the discretion of the CO, such action is warranted. In the case of personnel who are transferred to another activity for further transfer to the Fleet Reserve or the Retired List, the pre-separation ceremony must be conducted by the last permanent duty station and not by the activity to which transferred.

# CHAPTER 5

## FORMS

As a Yeoman 3 or Yeoman 2 you should be acquainted with the Navy's forms management system. This system is set up to design, order, and account for forms used by your command. As you become more senior and begin to take on more responsibility, the management of forms within a command may become part of your duties.

The information contained in this chapter should help you to become an effective forms manager. Suggestions given should not be considered all-inclusive; you must use your own imagination and initiative in establishing and carrying out an effective forms control system within your office or command.

Your job as forms manager will become easier, of course, as you gain more experience in the field, but, as with any job in the Navy, it is much more enjoyable when you begin the job with a general knowledge of what is expected. In addition to the material in this chapter, you should become familiar with the *Department of the Navy (DON) Forms Management Program*, SECNAVINST 5213.10C; *Introduction, Procurement, and Management of Cognizance Symbol "11" Forms Into the Navy Supply System*, NAVSUPINST 5600.20B, and *Introduction to Navy Stock List of Publications and Forms*, NAVSUP P-2002D.

For the Navy's purpose, the term *form* is defined as all printed or duplicated material, regardless of the method of reproduction, that contains predetermined blank spaces for the insertion of information by hand, typewriter, or other business machine.

### IMPORTANCE OF FORMS

The need for forms is well established. They are vital to the effective management of your office and your command because they provide information for formulating policy, controlling and improving operations, and evaluating performance. Operations often depend on forms. Forms guide the movement of materials, the performance of services, the authorization for expenditures, and the payment of money. They provide a basis for clerical and executive actions; they serve as historical references and records. They are the

orders, financial accounts, and portions of the reports by which government operates.

### FORMS MANAGEMENT

Forms management includes developing and examining the forms themselves, determining how forms relate to the overall efficient operation of the command, and making sure only the most effective forms are used.

Forms management requires a thorough study of your command's organization, workflow, operating policies, and programs, as well as the methods and procedures employed by the command. An important result from a study of forms including their designs and their related procedures should be suggested changes in procedures, record systems, reporting patterns, organization, and so forth.

### OBJECTIVES OF FORMS MANAGEMENT

The objectives of forms management at the command level are as follows:

- To make sure necessary forms and related procedures are developed and designed to make the maximum contribution to the command's mission
- To eliminate unnecessary and duplicate forms and, as appropriate, consolidate those serving like or similar functions using, wherever practical, the higher echelon form

### RESPONSIBILITIES FOR ADMINISTRATION OF FORMS MANAGEMENT

The *Department of the Navy (DON) Forms Management Program*, SECNAVINST 5213.10C, sets forth principles, techniques, and methods in establishing and administering the forms management program; improving forms and related procedures through analysis; designing forms to Navy standards; and training of personnel in forms management. It is considered to be the primary guide for forms design standards and criteria for the DON.

The Chief of Naval Operations (CNO) exercises overall supervision of the forms management program for the DON, according to the policies and standards established by the Secretary of the Navy. The CNO's responsibilities are the following:

- Develop and coordinate the overall program
- Serve as the single point of contact and liaison with the Office of Secretary of Defense, other components of the Department of Defense, the General Services Administration, and other federal agencies on forms management matters
- Provide related technical guidance and assistance to the Office of the Secretary of the Navy and the DON staff offices
- Develop and publish concepts, guides, techniques, and information for conducting the program, including analysis of forms and related procedures, and standards of design

Under the CNO, the Chief of Naval Material, and the Commander, Naval Supply Systems Command, the Navy Publications and Printing Service Offices (NPPSO) have the following responsibilities:

- Provide for the printing and procurement of forms, including liaison for stocking and distribution
- Recommend consolidation or standardization of existing forms wherever economy can be realized
- provide forms design service to ashore activities and fleet commands that do not have such capability or available service
- Provide forms design training for the DON

Each command is responsible for establishing and maintaining a forms management program. Forms management positions must be established and staffed with trained personnel. A clearing point must be maintained to review and approve proposed forms, formats, and directives or other issuances promulgating or requiring forms. In addition, design assistance and corrective guidance for forms and related procedures must be provided.

## **ESTABLISHING AND OPERATING THE FORMS MANAGEMENT FUNCTION**

As the first step in establishing the function in the activity, the commanding officer (CO) issues a directive that states the objectives of the function and assigns responsibility to one organizational unit for its administration.

### **Location and Staffing a Forms Management Office**

The forms management office should be established on the same level and usually within the same organizational unit as other management functions because of the following reasons:

- It is and should be considered as an integral part of the activity's total management improvement effort.
- A study of forms normally involves change in procedures, records systems, and reports or other phases of management improvement.
- Forms management can and should complement other management improvement programs.
- The analytical capabilities required for forms analysis can be found most readily in an organizational unit responsible for total management improvement.

The number and complexity of the forms and related procedures in an activity determine the number of personnel assigned on a full-time or part-time basis to the forms management function.

In a large activity, it may be beneficial to appoint a forms management representative from each department, division, or other organizational component. Such representatives act as liaison with the forms management officer. These representatives assist the forms management officer in various capacities. They may act as liaison for the submission of proposed new or revised forms. They may be responsible for assisting in reviews and analyses of existing and proposed forms and related procedures within their organizational units. They may often design the final form. The operational knowledge provided by the representatives in their liaison duties speeds up the process of analysis and helps assure division acceptance of proposed improvement.



## **Operating the Forms Management Function**

As the first step in the operation, the forms management office must obtain a complete picture of the forms situation of the activity. To do this, the forms management office collects copies of and information on all forms used in the activity. The forms include those initiated by the activity and those prescribed by other sources and used by the activity. These records are numbered according to the *Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes (SSIC)*, SECNAVINST 5210.11D, and arranged by function in a file. The file brings together data in one place to simplify the evaluation, combination improvement, and elimination of forms.

### **Reviewing New or Revised Forms**

Analysis is made not only of existing forms but also of all proposed new or revised forms. The proposed forms and the directives prescribing them or instructions for their use are submitted to the forms management office for review before issue.

The forms management office should stress its readiness and ability to assist in the developmental stages of the new or revised form. By assisting in the initial development of the form along with related procedures, the forms management officer can more readily understand problems that may arise and contribute to the development of solutions.

### **Continuing Review of Forms**

The forms management plan emphasizes a continuing review of forms and related procedures preferably on an annual basis. To establish the most effective new forms and procedures and to analyze and improve existing forms and procedures, follow these steps:

- Get all the facts; that is, collect all pertinent information concerning the form and procedure under study.
- Subject the facts to detailed analytical questioning.
- Evaluate the results of such questioning and develop the necessary solution to the problems revealed by the questioning.

- Install and test the solutions.
- Follow up to see that the recommended solutions are continuing in effectiveness.

Table 5-1 shows some of the important highlights of forms management.

## **FORMS MANAGEMENT RECORDS**

To analyze forms and their related procedures, it is essential to have an accurate and workable record of forms in use in the activity. This record is not the complete solution to effective forms management operation, but rather a tool with which you can obtain information and begin systematic analyses.

### **Collecting Samples of Forms**

As discussed earlier, it is necessary that copies of all forms used in the activity are collected. The most satisfactory method of collecting the samples is by obtaining them from all organizational components, despite the fact that there will be duplicates.

Organizational components should submit a copy of each form it uses, both local and nonlocal. It is essential that the organizational units write on each form the name of the office using the form and the estimated annual usage and attach copies of any directives that prescribe the form or furnish information for its use. If the instructions for the form are part of a manual or publication, only the reference to the manual or publication need be noted.

### **Filing Forms by Standard Subject Identification Codes**

When samples of forms have been collected, they are identified and filed. The SSIC is used to identify and number all the forms. When the forms are identified and assigned SSIC numbers, they should be placed in one file. Identifying and filing forms by subject or function bring together all those having similar problems. This permits comparison of proposed and existing forms with all other similar or related forms. Thus, forms may be consolidated, standardized, or eliminated if duplication exists.

To gain maximum benefits from the file, you should assign one individual the job of keeping the file up to date by adding new or revised forms and weeding out obsolete ones.

**ARRANGEMENT AND CONTENTS.**- Figure 5-1 shows a forms file arranged in numerical order by SSICs. Nonlocal forms are tiled in folders labeled with their basic SSIC; that is, all nonlocal forms in the 4700 subject group would be filed together, and the folder placed in numerical order in the file drawer.

A separate folder is prepared for each local form. It is labeled with (1) the originator's authorized abbreviation, (2) the SSIC, (3) the consecutive number, and (4) the title of the form; for example, SIMA PAC 4700/1-Job Order. As mentioned previously, the folders are filed numerically by SSIC and consecutive number behind the folders containing nonlocal forms in the same subject group. Dividers or dummy folders may be labeled and used to separate subject groups for which nonlocal forms are not available.

Each folder of local forms should contain the following:

- A copy of the directive prescribing the form or furnishing instructions for its use (or a reference to the directive if it is in manual form or otherwise unavailable)
- A copy of the approved design
- Printing requisitions and specifications
- A copy of the printed form and any subsequent revisions
- A reproducible copy, if pertinent
- A record of the cost of the form; that is, printing, designing, and procedural analysis costs

**Table 5-1. Highlights of Forms Management**

EACH NEW FORM (NEW OR REVISED) AND RELATED PROCEDURE		
Examined	Evaluated	Followed Up
<p>Is the form necessary?            Could it be eliminated entirely?            Could it be combined with other forms?            Does the use of the form justify the cost?</p> <p>If the form is necessary:            Does it provide adequate information?            Does it include any unnecessary information?            Does the content duplicate other forms?</p> <p>Is the procedure for collecting and furnishing the information the best for the particular situation?</p> <p>Is the procedure for using the completed form the simplest possible?</p> <p>Is the form design the most efficient for both entering the information and using it?</p> <p>Are the instructions clear and complete?</p> <p><b>IS IT NECESSARY?</b></p>	<p>If some criteria are not met:   <b>RECOMMENDATIONS MADE FOR DISAPPROVAL OR MODIFICATION</b></p> <p>After consultation with:            Requiring office            Preparing office(s)            Using office(s)            Others concerned</p> <p>If all criteria are met:   <b>APPROVED</b></p> <p><b>WILL IT DO THE JOB?</b></p>	<p><b>FOLLOW-UP AND CONTINUING SYSTEMATIC REVIEWS</b></p> <p>To ensure proper installation of proposed plans</p> <p>To determine modifications or improvements to meet changing conditions</p> <p>To determine continuing need</p> <p><b>IS IT WORTH THE COST?</b></p>

## AREAS FOR POSSIBLE ANALYSIS

Forms dealing with a particular function or subject matter; for example, personnel, administration, and cost accounting, may provide reason for analysis with a view toward combining or eliminating forms. These reasons may include the following:

- Apparent duplication of records or forms for performing the function. More than one office may appear to be performing the same functions or operations or, within one office, the types of forms used or records maintained to perform the function may appear to duplicate each other.
- More than one form appears to be used for the same or similar function. (Here again you should study operations with a view toward streamlining and simplification.)

### Usage of Forms

Estimates of annual usage entered on the forms by the offices submitting them may indicate areas in which to start analysis. One starting point often chosen is to analyze the highest usage forms in the activity; for example, the forms that are the 5 or 10 highest usage. These may involve not only high printing costs but a considerable man-hour expenditure on the procedures for their preparation or use.

### Information in Directives or Instructions

The following clues are available from the directives submitted with the form.

**FREQUENCY OF PREPARATION OR USE.**— Forms filled out or posted on a daily or weekly basis may have a larger potential for clerical and administrative savings or improvement than forms used at less frequent intervals. If it is believed the frequency of preparation or use can be reduced (from weekly to monthly or other frequently), paper work can be cut.

**DISTRIBUTION OF COPIES.**— Each copy of a form that is distributed can entail man-hours in its processing and use whether it is the original or a copy. Moreover, the provision of information or might-have-a-need-for copies may result in a considerable man-hour expenditure in distributing, handling, and possibly filing whether any action is taken or not. Examination of the actual use made of each copy

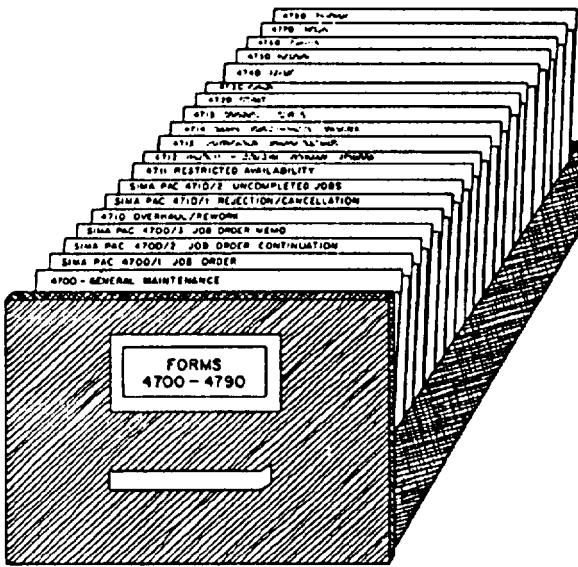


Figure 5-1. Forms filed according to standard subject identification codes (SSICs).

- Related papers, analyses, surveys, or memoranda pertaining to the form or related procedures; information on contemplated revisions; or other data
- Records such as Forms Progress Record, NAVSO 5213/12, SN 0104-LF-904-1020

This is helpful in providing usage data, progress information, and so on. When a form is discontinued, the reason could be noted on this record.

**CROSS-REFERENCE.**— Regardless of your efforts to consolidate related information into one form to serve a variety of purposes or functions, two or more forms may still be required. Under this condition, similar SSICs will probably be used (though not required) for each form. Periodic review or the revision or cancellation of any one of these related forms may require similar action with the others. Cross-reference to such related forms tiled in their respective folders will prove extremely helpful in effective forms management.

**DISCONTINUED FORMS.**— When a form becomes obsolete or is replaced by one prescribed by higher authority, the folder is transferred to a separate file. This file is organized in the same manner as the active file; that is, it is arranged by SSIC in numerical order. The reason for the discontinuation of the form is noted in the record before the folder is placed in the discontinued file. Disposition of these files is governed

of a multiple-copy distribution may be a source of eliminating or curtailing paper work.

**OBSOLETE SUBJECT MATTER OR SITUATIONS.**- Forms that are still being used that appear to contain obsolete material or to have outlived their usefulness furnish possible leads. Clues come particularly from dates on forms or directives that appear to be unusually old; subject matter no longer current (for example, shortage of materials or skills no longer critical); use of the form (preparing forms to show violations, performance data, and the like after the situation requiring the information has passed); or other out-of-date practices.

### **Design of the Forms**

Determining forms on which items can be rearranged or design improved for more efficient preparation or use is another profitable area. Some examples are the following:

- Forms on which completion could be improved by more effective use of aligned marginal stops, tabular and columnar spacing, eliminating or minimizing rollbacks and hand-positioning, or saving other typewriter motions

- Forms on which recurring items could be reprinted and fill-ins limited to variable information or on which ballot boxes could be used instead of lengthy write-ins

- Forms that could be mailed in window envelopes to eliminate retyping addresses

- Forms that should contain items for To and From information to eliminate preparing, handling, and filing separate transmittal letters

Part IV of the *Department of the Navy (DON) Forms Management Program*, SECNAVINST 5213.10C, contains a detailed treatment of design techniques.

### **BENEFITS FROM FORMS MANAGEMENT**

The management of forms and their related procedures results in benefits such as the following:

Greater efficiency in:

- organization;
- operations; and
- procedures.

Greater economy in man-hours, space, and materials through:

- elimination of unnecessary forms and related procedures.
- consolidation, simplification, and standardization of necessary forms and related procedures.
- rapid and uniform handling and processing of data.
- reduced printing, stocking, and distribution costs.

Improved records through.

- analysis of the required subject matter.
- systematic and orderly arrangement of the required data on the form.

Better relations:

- within the activity.
- with other activities and agencies.
- with the public.

Some examples of actual benefits accomplished through forms management follow.

### **Navywide Improvement**

The Secretary or the Under Secretary of the Navy is required by law to approve the payment of funds to nongovernmental institutions for training Navy civilian employees. The original procedure to approve or disapprove a request for payment of funds for such training required the processing of a minimum of 35 separate documents which, in turn, required a minimum of 56 separate operations. The requirements for the information to be submitted were not definite. The tendency was to include all possible data. Many of the requests were in the form of 30- to 40-page documents that contained a great deal of unnecessary information and lacked some of the essential details.

About 25 to 30 requests for tuition payment were being received each month. It was estimated that in 90 percent of the cases extensive use of telephone, letters, dispatches, and so forth, were required to obtain the actual data needed. Approximately 6 weeks elapsed between the time the activity forwarded the request and the time it was returned.

This procedure was simplified when one form was developed to take the place of the various documents that had previously been used. The form was designed so that all the offices involved could use the same one. The office requesting the training filled in the request and justification and each of the reviewing offices indicated approval or disapproval on the same form. Sufficient copies were prepared by the originator to provide copies for the tiles of offices concerned.

The revised procedure required the processing of a maximum of only 7 documents instead of the minimum of 35 documents. It also eliminated at least 26 of the 56 separate operations. The prescribed form provided for the submission of the right amount of information instead of too much or too little. It reduced the processing time in one office by 75 percent. The total processing time for all offices was reduced by a least 50 percent.

### **DON Headquarters Improvement**

A survey of all forms used and prescribed by one headquarters resulted in the cancellation of 171 forms. The consequential elimination of man-hours formerly spent in preparing and processing these forms and the elimination of storage space through destruction of existing stocks resulted in substantial savings.

Considerable savings also resulted from the development of two new forms (procurement request and request for modification) to take the place of 7 headquarters forms, one of which consisted of 12 pages. The improvement reduced backlogs; preparation time; processing time; and paper, printing, storage, and distribution costs.

### **Activity Improvement**

The preparation of a clearance order was found to be merely a copying operation as most of the data on the

form were obtained from another form used in the same office for another purpose. The clearance order form was not designed for the most efficient use because the space allowed for the entries was insufficient, the sequence of entries did not coincide with that of the form from which the data were transcribed, and constant data were not reprinted. The transcribing operation often required overtime work to avoid backlogs.

When these two forms were consolidated into one, the transcribing operation was eliminated, overtime work was no longer necessary, and more efficient operation resulted as one form serving two purposes.

So you can see there is a definite advantage in managing forms in the Navy. Perhaps your command's system will not be as elaborate as the procedures described in this chapter, but if the basic principles are applied with a sincere interest toward forms management, you will accomplish more, save time and roomy, and get a great deal of satisfaction from the job.

### **REMEMBER**

Personnel assisting you should be well-trained, both in forms design and in your command's forms management system. For assistance, contact your servicing NPPSO. They should especially understand the SSIC system for filing forms and be invited to suggest ways to improve its use; for example, a supplemental 3-inch by 5-inch card tile, arranged in alphabetical order by subject, showing printing dates and cost data (NAVSO 5213/12).

Personnel in organizational units with whom you have contact concerning forms should be aware of your desire to assist them as well as your need for their input and cooperation in carrying out your functions. Forms management cannot be accomplished by one person; it requires the active involvement of everyone from the CO down to be effective.



## CHAPTER 6

# REPORTS CONTROL AND RECORDS DISPOSAL

Reports control is a management tool designed to assure efficient response to local and higher echelon requirements for information. Each activity is required to establish a continuing and systematic appraisal of reports.

The contents of your files are of such significance that our Congress has passed laws governing their disposition and fixing penalties for unauthorized destruction. These laws apply to unclassified as well as classified matter.

This chapter gives you a basic understanding of the Department of the Navy Information Requirements (Reports) Management Program that a report control manager must deal with in order to have an effective information requirements management program. In the latter part of this chapter we discuss the major elements that govern the proper disposal of government records.

### REPORTS CONTROL SYSTEM

A single office within each Navy command should be designated as the reports control point to review and process existing and proposed reports, reporting systems, and their related directives. Normally, the reports control manager is a function of the ship's secretary (afloat) or the administrative officer (ashore), with a senior Yeoman (YN) as reports control point supervisor. The responsibilities of the reports control point include the following:

- Approving proposed new reports or revisions to reports before they are issued to make sure that they conform to reporting standards and that they do not duplicate required information
- Assigning identification symbols to such reports
- Performing follow-up reviews of individual reports on a scheduled basis
- Maintaining a central information inventory (case file) on reports required and prepared by the organization

### DEFINITIONS

Reports are required for distribution, training, promotion planning, statistical purposes, and so forth. To provide information for all these purposes, various reports are required. The definitions of the different kinds of reports are as follows:

- A report is a collection of data or information regardless of the method of preparation or transmission for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be submitted in any method of preparation or transmission; for example, narrative, statistical, graphic, magnetic tape, or other media.
- An as-required report is a report that a particular office or organization requires from another office or organization.
- A status report is an interim report explaining the amount of work completed or to be completed on an established report.
- A survey or personnel survey is an organized effort to obtain information from persons about themselves, their attitudes, perceptions, beliefs, opinions, or interests. The acquisition of such information is not a normal administrative requirement internal to the command.
- A one-time report is a report required one time only from one or more respondents. A new directive must be issued each time such a report is required. One-time reports are assigned a report control symbol according to the standard subject identification code (SSIC) using OT as the suffix number.
- A recurring report is a report that conveys essential y the same type of information at recurring intervals; for example, daily, weekly, monthly, or annually.
- Situation reports are recurring reports prepared and required upon each occurrence, recurrence, or nonoccurrence of an event or situation; for example, upon graduation or the occurrence of an accident.

- An information requirement is a report from which an office or organization draws part or all of the data required for another report.

- A reporting system is the means through which a report or related reports, including the procedures, methods of preparing, and transmitting, achieve either a single end result or support a complete information system, a portion of a system, or an operation.

- A reports analysis is a management service that provides for making or assisting in analysis studies for the purpose of developing and ensuring continued provision of the most effective reports and reporting systems.

- A public report is a plan and/or report form used by or for a government agency for the collection of information from the general public including private agencies and industrial concerns. Each request to collect information from the public must be approved by the Office of Management and Budget (OMB).

## **REPORT SYMBOLS/REPORT CONTROL SYMBOLS**

Although some reports are exempt from the requirement for a report symbol (see the *Review of Proposed Administrative Issuances*, SECNAVINST 5200.29B), most reports will be identified, along with their titles, by a report control symbol. This symbol indicates that the report has been reviewed and approved as a valid requirement and the respondents have the responsibility of providing the requested information.

## **ASSIGNMENT OF REPORT CONTROL SYMBOLS**

A report control symbol is assigned by the command reports control manager. The Secretary of the Navy (SECNAV) and Office of the Chief of Naval Operations (OPNAV) report control symbols are assigned by the Commander, Naval Data Automation Command (COMNAVDAC). The symbol of the highest authority will appear on the report. For example, if a DD symbol is assigned to a report, all responding commands will use the DD symbol, expiration dates as assigned by the Office of the Secretary of Defense (OSD), and associated report title. Reports control managers must not substitute their own command symbol to a report having a higher level symbol.

The composition of a Navy report control symbol assigned by the reports control manager is as follows:

Example: OPNAV 5214-1

- The letters *OPNAV* indicate the authorized abbreviation of the bureau, office, shore activity, or fleet command that requires the report.

- The four or five digits together—5214 in the example—indicate the SSIC number that identifies the subject of the report. The SSIC 5214 pertains to Reports Management. Use the *Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes*, SECNAVINST5210.11D, to find the appropriate SSIC numbers and their associated subjects.

- The last digit, separated by a dash, is the next consecutive number in that SSIC series. In the example, OPNAV 5214-1 is the first OPNAV symbolized report in the 5214 series.

- Consecutive numbers assigned in a report control symbol must not be reused even if the report is subsequently canceled or expired.

- The composition of a Department of Defense (DOD) report control symbol assigned by the reports control manager in the Office of the Assistant Secretary of Defense (Comptroller) is as follows:

Example: DD-COMP (SA) 725—Reimbursable Transactions

- The letters DD indicate that this is a DOD report.

- The abbreviation before the parenthesis is the office within DOD requiring the report. COMP is the Office of the Comptroller.

- The letters in parentheses indicate the frequency of the report. SA is semiannual.

- The digits indicate the next consecutive number assigned by the DOD reports control manager for the overall system. The number 725 is the next consecutive number assigned for all DOD reports, not the next consecutive number for COMP reports.

- The Navy reports control manager assigns an appropriate SSIC number in parentheses after the DOD symbol. For Navy purposes the report control symbol DD-COMP(SA)725( 7010) represents a DD report. The 7010 designates a report about nonappropriated funds. The entire number is written without spaces.

- A one-time DOD report control symbol is written as DD-COMP(OT)9336(7010). This is the same as the recurring report control symbol except that OT means the report will only be submitted one time. The first two



digits, 93, indicate the calendar year the report was established and the next two digits, 36, reflect the next consecutive number for one-time reports controlled for that year. The figure 9336 in the example indicates that this is the 36th one-time report assigned in calendar year 1993.

It is important to note that, although similar in nature, report control symbols and forms identification codes are separate entities. Even though the originator and subject identification code of both maybe the same, the consecutive number in each may not coincide. The same holds true for the relationship between the report and its requiring directive.

## INVENTORY OF REPORTS

An accurate and current inventory of recurring reports is essential for effective operation and is maintained by the reports control manager. A case folder must be maintained on all reports for which your activity has cognizance. The Reports Record Card, OPNAV 5214/5 (fig. 6-1), may be used to establish a manual inventory system or an automated management data fields system may be obtained from the COMNAVDAC.

A close working relationship with the directives control point, forms manager, mail room, publications review office, and other points or individuals within the command who may be aware of new or revised reports requirements will help greatly in your efforts.

## ESTABLISHMENT AND MAINTENANCE OF RECORDS

After all recurring reports have been inventoried and classified by a report symbol, one folder for each

1. REPORT SYMBOL	2. FREQUENCY	3. FORM # OR FORMAT	4. DATE
5. REPORT TITLE			
8. REQUIRING QUESTIONS OR REFERENCE			
7. REFER QUESTIONS TO		9. PHONE NO.	10. ROOM NO.
11. PREPARING COMMANDS OR ACTIVITIES		12. REVIEWED (Mo. Yr)	
		13. REVIEWED (Mo. Yr)	
14. CANCELED (Date and authority)			
OPNAV 5214/5 (REV. 8-82)	SN 0107-LF 052-1428	REPORTS RECORD CARD	

Figure 6-1.-Reports Record Card, OPNAV 5214/5.

report should be filed in a report case file. Every folder should contain the following documents

- A copy of completed Report Analysis Data, OPNAV Form 5214/10 (figs. 6-2A and 6-2B)
- A copy of the report form, format, or a copy of the report
- A copy of the document requiring the report
- Related papers, such as source records, analyses, surveys, and memos, pertaining to the report

Folders within the case file should be arranged chronologically by report control symbol.

## FOLLOW-UP PROCEDURES

Established reports required by the command must be given follow-up review to determine whether they continue to be needed and, if so, whether they continue to meet all the requirements in the most effective manner in light of changing needs and situations, relationship to other reports, possible consolidations, and new developments in reporting devices and techniques.

A report must be reviewed before its expiration to determine if it continues to meet requirements efficiently. This review is done by the report originator 60 days before the third anniversary of the administrative issuance requiring the report to include complete rejustification of the requirement. Reports not approved for extension are automatically canceled on the third anniversary date and are omitted from any subsequent effective reports listing.

Possibly the most effective way to provide an annual review of every report required by your command is to combine the reviews with the annual review of command directives. Since each required report has a command directive as its basis, a complete review of that directive 3 months before the anniversary month of its issue date would provide the opportunity for an in-depth look at any report listed therein. (This is also an excellent time to accomplish a review of the local forms used for these reports. See chapter 5.)

In accomplishing this review, a copy of the report form and a blank OPNAV Form 5214/10 covering the report would be provided to the reviewing office along with the applicable directive. A decision to modify, cancel, or continue the existing directive would, likewise, contain a similar decision concerning any report or form required by the directive.

<b>REPORT ANALYSIS DATA</b>		1. SSIC NUMBER	2. REPORT CONTROL SYMBOL
3. TITLE OF REPORT			
4. PURPOSE OF REPORT			
5. REQUIRING DIRECTIVE(S) (List of all that apply)		6. FREQUENCY OF REPORT <input type="checkbox"/> DAILY <input type="checkbox"/> QUARTERLY <input type="checkbox"/> ONE TIME <input type="checkbox"/> WEEKLY <input type="checkbox"/> SEMI-ANNUALLY <input type="checkbox"/> SITUATIONAL <input type="checkbox"/> MONTHLY <input type="checkbox"/> ANNUALLY <input type="checkbox"/> _____	
7. REPORT FORMAT <input type="checkbox"/> MESSAGE <input type="checkbox"/> LETTER <input type="checkbox"/> FORM (Attach copy)		8. IS REPORT SUBJECT TO MINIMIZE <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NOT APPLICABLE	
9. METHOD OF PREPARATION <input type="checkbox"/> ADPE <input type="checkbox"/> TYPEWRITER <input type="checkbox"/> MANUAL <input type="checkbox"/> _____		10. IS REPORT ENTERED INTO AN ADPE SYSTEM? <input type="checkbox"/> NO <input type="checkbox"/> YES (Specify name and location of system)	
11. WHO USES COMPLETED REPORT? (List by command, OP code, etc.)			
12. THIS REPORT IS COMPLETED BY <input type="checkbox"/> OPERATING FORCES (SNDL Part 1) <input type="checkbox"/> SHORE ESTABLISHMENT (SNDL Part 2) IF COMPLETED BY OPERATING FORCES, ARE FLEET CINC COMMENTS ATTACHED? <input type="checkbox"/> YES <input type="checkbox"/> NO			
13. RESPONDENTS	A. LIST RESPONDING COMMANDS BY A COLLECTIVE TERM OR BY NAME (FOR EXAMPLE: FLTCINCS, TYCOMS, NAVAL LABS, ALL LEGSERV/OFF, CRUITSTAS AREA COORDINATORS, ALL OPER AVIATION SQUADRONS, ALL SUBMARINES, ALL SSN, ALL SURFACE SHIPS, MAJOR CLAIMANTS, ALL SHOREACTS W/BEQ/BOQ, ALL COMDS W/DENTISTS, ALL S&S W/MEDPERS, SYSCOMS, COMDS W/GEN MESS, ALL S&S, ALL COMDS W/CIVILIANS, ALL OVS COMDS, ALL ECHELON 2 COMDS)		(1)
			(2)
	B. TOTAL NUMBER OF RESPONDENTS		(1)
	C. TOTAL COST TO PREPARE AND SUBMIT THIS REPORT (see reverse)		(1)
14. ACTION OFFICER	A. NAME, RANK/RATE/GRADE AND TITLE		B. ACTIVITY NAME AND ADDRESS (include room number)
	C. SIGNATURE		D. DATE    E. PHONE NO.

OPNAV 5214/10 (REV. 9-81)

S/N 0107-LF-052-1451

Figure 6-2A.-Report Analysis Data, OPNAV Form 5214/10 (front).

Combining reviews as discussed previous] y should provide new dimensions to your effectiveness as a reports control point supervisor/senior YN. In addition, your awareness of command directives, reports, and forms will enhance your value to the command.

**CLEARANCE PROCEDURES**

When new command directives are being originated and when existing directives are being revised, it is your responsibility as reports control point supervisor to

Use this worksheet for estimating the total cost to prepare and submit this report. Compute two costs—one for operating forces and one for shore establishments. The hourly rate may be taken from any current pay chart.

**OPERATING FORCES COSTS TO PREPARE AND SUBMIT**

PAY GRADE	NO. HOURS SPENT	X HOURLY RATE	= PERSONNEL COSTS	+ 25% OVERHEAD	= TOTAL COSTS BY PAY GRADE
Total Cost of Prepare and Submit One report: \$ _____ X _____ Commands Required of Submit = \$ _____ X _____ Reports per Year \$ _____ Total Costs to Prepare and Submit \$ _____					
*Enter this figure in column 13(c)(1)					

**SHORE ESTABLISHMENT COSTS TO PREPARE AND SUBMIT**

PAY GRADE	NO. HOURS SPENT	X HOURLY RATE	= PERSONNEL COSTS	+ 25% OVERHEAD	= TOTAL COSTS BY PAY GRADE
Total Cost of Prepare and Submit One report: \$ _____ X _____ Commands Required to Submit = \$ _____ X _____ Reports per Year \$ _____ Total Costs to Prepare and Submit ** \$ _____					
**Enter this figure in column 13(c)(2)					

**SAMPLE COMPUTATION (SALARIES ARE NOT ACCURATE)**

PAY GRADE	NO. HOURS SPENT	X HOURLY RATE	= PERSONNEL COSTS	+ 25% OVERHEAD	= TOTAL COSTS BY PAY GRADE
0-2 (Note 1)	.25	7.45	1.86	0.47	
E-8 (Note 2)	3	7.45	22.35	5.59	
GS-4 (Note 3)	1	4.77	4.77	1.19	
Total Cost of Prepare and Submit One report: \$ <u>36.23</u> X <u>4</u> Commands Required to Submit = \$ <u>144.97</u> X <u>4</u> Reports per Year \$ <u>579.68</u> Total Costs to Prepare and Submit \$ <u>579.68</u>					

Note 1: Reports and signs report  
 Note 2: Collects required information; prepares chart; writes report  
 Note 3: Types and mails report.

OPNAV 5214/10 (REV. 9-81) (BACK)

Figure 6-2B.-Report Analysis Data, OPNAV Form 5214/10 (back).

make sure any report required therein has been approved by the reports control manager and forms manager while the rough directive is still in the review process. This is also the time to verify that the report control symbol and report title are specifically included in the directive.

When a directive is to be canceled, you should make sure the control symbol and title of any report previously required by that directive are included in the canceling notice or in the cancellation paragraph of the superseding instruction. Always route canceled reports

through the forms manager so that obsolete report forms can be removed from case files.

## **PUBLIC REPORTS**

Requirements for public reports are examined and controlled by the reports control manager or supervisor, as are all other reports. Each request to collect information from the public must be approved by OMB. To obtain this approval, the originator of the request must include the report in the information collection budget (ICB) submitted to OMB in July of each year. The ICB consists of all existing and new public reports (both recurring and one-time) that might be established during the year. Since requirements for submission of the ICB frequently change each year, the originator should notify COMNAVDAC as soon as possible of any potential new public report in order to obtain guidance for including it in the ICB.

When a new report is to be approved or an existing one extended, the originator will submit six copies of the following completed documents via the chain of command to COMNAVDAC:

- Clearance Request and Notice of Action, Standard Form 83. Instructions for completing this form are contained in Standard Form 83a.
- A supporting statement prepared on bond paper following the specific instructions provided in the Standard Form 83a.
- The form, survey, questionnaire, or report, and all Privacy Act statements.
- Proposed instructions for completing the report, if any.
- The information to be submitted for publication in the *Federal Register*.

COMNAVDAC will submit the ICB to the Assistant Secretary of Defense (Comptroller) (ASD [C]) for review and forwarding to OMB for final action.

The originator will receive written notification of OMB's final action. If the report is approved, a report control symbol and expiration date will be assigned to the report. The symbol must be used on all subsequent documentation concerning the report. If approval is not granted, the information may not be collected. Collecting information that has not been approved by OMB is a direct violation of Public Law 96-511.

## **PUBLISHING LISTS OF REPORTS**

The reports control office should publish and distribute a list of current and canceled reports required or prepared by the command. Organizational units within the command are required to review the list and notify the reports control office of any discrepancies. Revised lists should be published annually with quarterly supplements as necessary.

### **List of Current Reports**

The published list of current reports should include the following information:

- Report control symbol
- Title of the report
- Form number or format
- Frequency of submission
- Reference to the directive or document requiring the report
- Specific office within the organization or the unit outside the organization requiring the report
- Specific office(s) that prepare(s) the report

One copy of the list (usually a command notice) should be maintained as a master by the petty officer assigned to monitor reports submissions.

### **List of Canceled Reports**

Append to each revised list of current reports and quarterly supplement a list of all reports canceled during the period covered by the issuance. The document that originally required the canceled report should also be listed.

Regardless of how efficient you feel you may have been in keeping the master list and case file current, you should always make an inventory of the reports (and forms) case file before issuing a new effective list of current and canceled reports.

## **OVERDUE REPORTS**

The most elaborate reports management system that could be devised is only as good as the actions taken to make sure reports are submitted/received on time. This is accomplished by completing a Reports Record Card, OPNAV 5214/5, on each report. This is known as the reports tickler card. With these cards, a tickler system

can be established. If a report is late, the purpose of the system and perhaps the report itself is defeated.

### Tickler System

The tickler system provides an index to the required reports and shows the submission date of each. The manner in which a tickler file is made up may vary with each command. It is suggested that you use 5-inch by 8-inch cards with separations or tabs marked as follows:

DAILY	January through
WEEKLY	December
MONTHLY	
QUARTERLY	
SEMIANNUALLY	1 through 31 for use with current month
ANNUALLY	
WHEN OCCURRING (SITUATIONAL)	

Although it may not be necessary to use all the tabs or separators, depending on the makeup of your file, those separators are generally placed in a standard-size box (called the tickler box) with the Reports Record Card, OPNAV 5214/5, tiled between the appropriate separators to reflect the tickler date on which the report should be prepared. The report tickler file requires daily attention if it is to be an effective aid.

In addition to current reports, the reports tickler file may be used for the following:

- As a reminder of action required on incoming mail, such as a reply that may be required on an incoming letter
- As a reminder of nonreceipt of a reply to an outgoing letter from your command

Tickler cards maybe prepared to serve the purposes of either of the previous conditions. However, an easier and more economical method would be to attach the third copy of the routing slip to incoming mail. In the case of outgoing mail, file a copy of the correspondence itself in the appropriate place in the tickler box to serve as a reminder of action required.

### Notice to Departments

To make sure departments submit all reports when due, a command should have a system for alerting them in sufficient time before the actual due date. This may be done in one or both of the following ways:

- Add a list of all the reports that will come due in the following week to the command's weekly list of overdue reports/correspondence. This is a recommended practice for improving timeliness in reports submissions.

- Provide a reports tickler card to offices preparing reports. This can stimulate good two-way communication between the departments concerned and the reports control office.

### RECORDS DISPOSAL

All tasks connected with files, including their disposition, must be taken seriously. Since you maybe responsible for the work of juniors, you may also be directly involved in the proper disposal of files that have served their purpose.

Decisions to save or not save must not be avoided by saving all your files. No matter how firmly you believe that disposing of a file today will mean someone will need it tomorrow, holding files simply because someone might need them is not good management. If you are in doubt about disposal of certain records, avoid taking it upon yourself to either retain them or dispose of them. Before any decision is reached where doubt exists, consult with your superiors to decide what course of action should be taken.

The *Navy and Marine Corps Records Disposition Manual*, SECNAVINST 5212.5C, spells out the retention period of official files. It also gives information about whether official files must be destroyed or forwarded to a records center at the end of their retention period.

### DEFINING RECORDS

It is possible that your files contain material that is not considered to be official record material. Pamphlets, books, extra copies of letters, directives, and so forth, are sometimes taking up space because nobody made a decision with regard to their retention value. Whether official or unofficial, material in your files must be disposed of at regular specified period. It must not be allowed to remain in your files longer than necessary.

The statutory definition of records, 82 Statute 1299, as amended, defines records as all documentary material, including books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics made or received by an agency of the United States Government under federal law in connection with the

transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the information value of data in them.

Library and museum material made or acquired or preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.

The *Standard Organization and Regulations of the U.S. Navy* (SORM), OPNAVINST 3120.32B, defines official correspondence as all written material, documents, publications, charts, messages, and so forth, addressed to or sent from a command. These regulations prohibit persons having custody, possession, or control of official correspondence, forms, or records knowingly to deliver them or divulge their contents to any person not authorized to receive them. They prohibit selling, bartering, or trading official correspondence for monetary gain or other consideration.

Nonrecord material, then, may be defined as any material that serves no documentary or record purpose. (See SECNAVINST 5212.5C, appendix F, item 69.) In other words, it is material that is not worth having around except for a limited time. Within this category are items such as the following:

- Rough drafts, extra copies of letters kept for convenience of reference or for tickler purposes
- Some forms of publications received from other than government agencies and commercial firms (catalogs, trade journals)
- Items of only temporary value that serve no purpose once action is completed
- Reproduction materials, such as stencils, hectograph masters, and offset plates
- Shorthand notes, stenographic notebooks, and stenotype tapes that have been transcribed

It isn't always easy, or necessary, to draw a neat distinction between record and nonrecord material and apply a hard and fast rule to each item. Each should be matched with a retention standard from SECNAVINST 5212.5C, and regularly disposed of by destruction or transfer to a records center. On rare occasions, it may be decided that because of some special circumstance, some items normally scheduled for destruction should be retained longer or indefinitely. In such cases the items

would be transferred to a records center for further retention, rather than destroyed. But if you are as familiar with the business of your office as you should be, you won't have much trouble in applying the right disposal provisions to the records as they accumulate. And, normally, records should be disposed of promptly as scheduled.

Going back to the wording of the 82 Statute 1299, "appropriate for preservation" gives you a good rule of thumb as to whether or not an item should be destroyed or even filed in the first place, although almost everything that comes into your hands is filed for at least a short time.

## WHAT GOVERNS DISPOSAL

The *United States Code* provides for fines and penalties including imprisonment, for unlawful and willful destruction or removal of government records. The Records Disposal Act of 1943 established the means to obtain legal authority for destruction of government records that are of no future value. This authority is granted by the Archivist of the United States. The National Archives and Records Administration (NARA) establishes procedures pertaining to disposal of government records.

To avoid indiscriminate destruction or removal of Navy records, *Navy Regulations*, 1990, Article 1115, states, "No person without proper authority shall withdraw official records or destroy them or withdraw them from those persons authorized to have access to them."

## AUTHORITY FOR DISPOSAL

SECNAVINST 5212.5C provides the authority for disposition of naval records, including naval correspondence, accumulated by naval activities ashore and afloat. Recommendations for changes to this instruction must be addressed to the Chief of Naval Operations. Recommended changes must include a description of the records, a statement of their purpose and use, and justification for the change. A sample should be submitted for any record recommended for periodic destruction.

## DISPOSITION RESPONSIBILITY

The individual responsible for custody of official records at your activity also has the additional responsibility of making sure official files are disposed of according to the appropriate disposal instructions.

To guarantee that the handling of records is not left to chance, an officer is usually assigned to the collateral duty of coordinating all records disposal action aboard an activity, either ship or station. This officer takes charge of the physical disposition of all records designated for transfer to a federal records center (FRC) or for destruction.

Your job, as the YN in charge of files, is to assist the responsible officer in making sure your records are complete and documented.

## TYPES OF GENERAL RECORDS

The following types of general records normally are transferred to the nearest FRC:

- Records designated in SECNAVINST 5212.5C
- Records that have at least 3 years' retention period at the FRC
- Records designated in SECNAVINST 5212.5C for permanent retention
- Records that are inactive and no longer required for local operating purposes determined to be cost-effective to transfer to the FRC vice storing them locally

## METHODS OF DISPOSITION

The official methods for the disposition of records are as follows:

- Destruction
- Donation to another federal agency or to nonfederal recipients
- Retirement
- Microfilming
- Transfer to an FRC for later destruction, or, if of permanent value, for eventual preservation at the NARA

### Destruction

Most unclassified records are destroyed locally at the end of their retention period. Large quantities of unclassified matter may be sold for wastepaper or scrapped. Classified material must be destroyed by burning or other authorized method as outlined in the *Information and Personnel Security Program Regulation Manual*, OPNAVINST 5510.1H. The

Records Disposal Act of 1943 provides for naval records to be destroyed without regard to statutory and regulatory requirements under two emergency conditions.

- When a state of war exists or hostile action appears imminent, naval records held outside the territorial limits of the continental United States (CONUS) may be authorized for emergency destruction. This authorization may come from SECNAV or the head of the command having custody of the records. However, before destruction, a determination must be made that retention of the records would be prejudicial to United States interests or that the records occupy space urgently needed for military purposes and are without sufficient value to warrant continued preservation. Within 6 months after the disposal of any records under this authorization, submit a written statement describing the records and showing when and where disposal occurred to COMNAVDAC (Code 80).

- Records such as nitrocellulose base film or tape sometimes become a menace to property, health, or life. Under such circumstances, 41 CFR 101-11.407-2 provides for their emergency destruction regardless of their retention period. If any naval record constitutes such a menace, a request should be made for its emergency destruction to COMNAVDAC (Code 80) via the administrative chain of command. COMNAVDAC (Code 80) will determine whether or not immediate destruction is warranted and, when necessary, obtain the concurrence of the Archivist of the United States.

The accidental destruction of records will be reported to COMNAVDAC (Code 80). If you are at sea, your unclassified and classified records should be destroyed by burning. At ashore activities, unclassified records may be scrapped or sold as wastepaper provided the records are either treated to destroy word content (by shredding), or by inserting a contract clause that prohibits the resale or use of the records or documents.

### Donations

Naval records may be moved and assigned to other custody within the Naval Establishment, to FRCs, to the NARA, or to other government agencies. When moving the records involves a change in custody, the move is referred to as a records transfer. Changes in location within the activity, usually by removal to local storage areas, are referred to as records retirement.

When the public interest will be served, records authorized for disposal may be offered to an eligible

person, organization, institution, corporation, or government (including a foreign government) that has made application for them. Records will not be transferred without prior written approval of the NARA. Request approval via COMNAVDAC (Code 80).

### **Retirement**

Most naval records are short-term temporary records eligible for destruction in less than 5 years, and the bulk of these have retention periods of 2 years or less. These short-term records should be cut off at regular intervals, retired locally, and destroyed by the accumulating activity as soon as their retention periods have expired. Generally, it is not economical to transfer them to FRCs. The following records maybe retired to local storage areas:

- Short-term records eligible for destruction in less than 5 years
- Long-term records that must be retained close at hand until frequency of reference to the records will permit their transfer to an FRC

### **Microfilming**

A micrographic system is used within the Department of the Navy (DON) for two basic purposes:

- To improve administrative or operating processes
- To replace paper records when it has been determined that space and equipment savings or other benefits will outweigh microfilming costs

### **Transfer**

Indefinite or permanent retention of official records is known as preservation. This does not include those records retained at the local level, but is composed of all official records retained at an authorized FRC. Few records are actually transferred for preservation. Those records that have a retention value are transferred to the nearest FRC, unless authority for an exception is authorized by SECNAVINST 5212.5C. An up-to-date listing of FRCs is contained in SECNAVINST 5212.5C, appendix C.

A Records Transmittal and Receipt, Standard Form 135, must be sent to the FRC for approval before shipping records. Complete the form in triplicate. Forward the original and two copies of the form to the FRC. Do not ship the records at this time. The FRC will

review the form for completeness and accuracy and return one copy of the form authorizing shipment of the records.

### **TERMINATING FILES**

Termination of a file means that you close out the entire file and begin a new one to run until the next termination date. Since your terminated file will be relatively inactive, it should be placed in an appropriate location.

So that your records may be disposed of systematically and in blocks, files are terminated periodically. This makes your job of deputation and removal of the records for destruction or transfer much easier.

If your volume of correspondence is too great for terminating your files at the end of each calendar year, you may terminate them semiannually. You may also remove and destroy certain material on a daily basis; however, you will find this procedure impractical at most activities.

### **REVIEWING**

The instructions for records disposal usually contain listings of material or items by subject matter. It is easy to determine whether a particular group of documents should be destroyed locally, held until eligible for destruction, or forwarded to an FRC.

To guarantee timely disposal of your records, it is a good idea to label your records disposal instructions for each file you maintain, showing the disposal authority. Periodically check your instructions and take appropriate action. Remove for immediate burning, scrapping, or shipping those groups that have passed the deadline for final disposition. Be sure the disposition date has passed so you are not disposing of material on which action may be pending.

Records designated in disposal instructions for transfer to an FRC are forwarded as scheduled or earlier. Those records designated for permanent or indefinite retention and records for which you cannot find a disposal authority are transferred when they are of no further value to the activity.

### **DESTRUCTION DATES**

Federal law makes it mandatory that, except in extenuating circumstances, records scheduled for destruction must be destroyed. This doesn't mean,



however, that each and every item must be disposed of on the day authorized for destruction. You will recall the discussion in previous paragraphs on terminating the files. Individual commands setup any sort of destruction program they wish, such as once every 3 months, semiannually, or annually as convenient. What the law intends is that records no longer having value should not take up valuable space over long periods of time. This is especially important on ships, where every square foot of space has an allotted purpose. It must be emphasized that records are not to be destroyed before the scheduled destruction date except in case of emergency.

## WHERE TO SHIP AND HOW TO SHIP

Certain specialized record categories are centralized at designated centers for convenience of administration and reference. The records to be centralized are listed in Navy records disposal schedules for transfer to the designated specialized center.

SECNAVINST 5212.5C indicates that personnel records are always shipped to the following records center:

Civilian personnel records	National Personnel Records Center (Civilian Personnel Records) 111 Winnebago Street St. Louis MO 63118
Navy and Marine Corps military records	National Personnel Records Center (Military Personnel Records) 9700 Page Boulevard St. Louis MO 63132

Other records are shipped to the appropriate FRC listed in appendix C, SECNAVINST 5212.5C. As a general rule, this is the nearest center.

## Packing for Shipment

Records are packed in standard FRC cartons preserving the original file arrangement. Leave a half-inch space for each carton to permit easy withdrawal of folders. Use only standard record center cartons available through General Services Administration (GSA). FRCs will reject any shipment of records not in authorized records center cartons. Each carton holds 1 cubic foot of material. Letter-size folders are packed upright facing the front of the carton, legal-size folders facing the left side of the carton. The front is the 10-inch by 12-inch end opposite the staple end (fig. 6-3). Contact FRC regarding shipments of odd-sized material such as bound volumes, ledgers, maps, and charts that will not fit into standard FRC

cartons or fragile items such as glass plate negatives that require special handling.

Using a permanent black felt-tip marker, write the full accession number (items 6 [a], [b], and [c]) of the approved Standard Form 135; for example, 181-87-134, in the front upper left corner of each carton. Also, number the cartons sequentially; for example, 1 of 10, 2 of 10, in the front upper right corner of each carton as shown in figure 6-3. Do not use labels to mark cartons. No standard method of affixing labels is effective in long-term FRC storage. Write the accession number and box number directly on the box.

## Classified Records

Classified records are shipped according to the *Information and Personnel Security Program Regulations Manual*, OPNAVINST 5510.1H. Before packing classified records, make every effort to declassify them under the provisions of OPNAVINST 5510.1H. Those records that cannot be declassified should be carefully inventoried and shipped according to security regulations contained in OPNAVINST 5510.1H. All FRCs have classified stowage space for all categories of security classified records.

## Federal Records Centers

Ten Federal Records Centers (FRCs) have been established at locations conveniently accessible to the various geographic areas. COMNAVDAC, under the Chief of Naval Operations, is responsible for managing the Navy Records Disposal Program, managing SECNAVINST 5212.5C, and acting as the single Navy liaison with the NARA regarding naval records disposition.

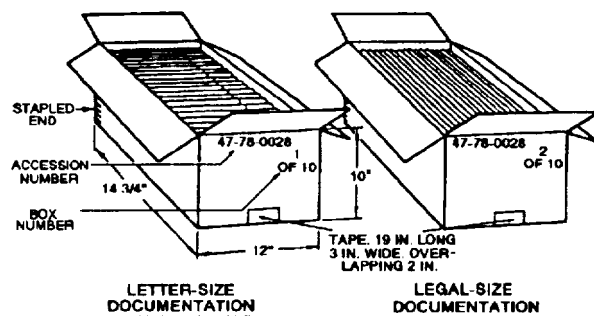


Figure 6-3. Packing records for shipment.

## **ACCESS TO CENTER RECORDS**

The NARA and FRCs provide prompt reference service on or access to records in their custody under the following conditions:

- NARA. The Archivist of the United States is authorized to grant access to or release information from the permanent Navy and Marine Corps unclassified records in the NARA's legal custody according to the Freedom of Information Act.

- FRCs. FRCs will furnish information or documents only by authority of the record group manager and in some cases to personnel of the activity that transferred the records. Requests for access or information from other than authorized personnel will not be honored. If the activity has been disestablished, approval must be obtained from the cognizant records manager. An exception to the rule applies if, at the time of transfer, the transferring activity grants blanket approval to FRCs to release information to those properly and rightfully concerned. Activities are encouraged to grant such blanket authority on routine, unrestricted, and unclassified files. Note the blanket authority on the Standard Form 135 at the time of transfer.

The National Archives and FRCs normally provide the following services:

- Information over the telephone in emergencies only
- Authenticated copies of documents for a fee
- Original documents on a loan basis
- Information extracted from the records, provided prior arrangements are made and personnel are available

Requests for FRC reference services should be made in writing directly to the FRC by the requesting activity. Centers also will grant authorized personnel access to review the records at the centers. Requests for reference service from the National Archives should be made only through command records managers.

Records transferred to the custody of the NARA (either to the National Archives or to the FRCs) may be withdrawn for reference on a 30-day loan basis. However, requests for the indefinite or permanent withdrawal of records from the National Archives should be made to COMNAVDAC (Code 80).

## CHAPTER 7

# PERSONNEL SUPPORT

The Navy is very definitely affected, either directly or indirectly, by the service you provide to its members. You will probably administer one or more of the administrative and financial services and benefits the Navy provides to help military members and their dependents to adjust and cope with the needs of the service. The Navy benefits from good service. The attitudes of satisfaction and gratitude for good service extend beyond the person providing it to include the Navy.

In this chapter we begin with customer service. Later we discuss the various types of accountability of identification cards, the preparation of an application for commission or warrant rank and the interviewer's appraisal sheet, screening of financial supporting documents, and computation of travel documents.

### CUSTOMER SERVICE

Customer service is an integral part of your daily operations and an area rarely given as much planning and thought as it warrants. Up to one-half of your business comes from across the counter. It is therefore imperative for you to conduct customer service efficiently. Your technical expertise, personal and office appearance, willingness to listen, and ability to comprehend and resolve problems will be tested by each customer. Write specific minimum standards for conducting customer service and post them near the customer service windows. When helping a customer, remember that you represent the entire office operation in every respect.

### ATTITUDE

A person can still be given good service even though it is impossible to provide the desired results. People may ask for things or services to which they are not entitled or you do not have the authority to approve or grant. In such cases service refers to the quality of your service rather than whether or not you comply with all of a person's wishes. The runaround, fast shuffle, or a don't bother me response to the person needing service indicates one of the following attitudes:

- You are not important.

- Your request or problem is not important.
- You don't know what you're talking about.
- I have more important things to do.

Attitude can be described as the tendency to move toward a situation or away from it, to be either positive or negative in our outlook or feelings toward a subject or a like or dislike for someone or something. Attitudes can't be measured or graded, but the effect or results of our attitudes can be. They are apparent in our actions and performance. You may have said or heard someone else say, "That person has a poor attitude." How was this opinion formed? Was it formed as the result of the way that person acted toward co-workers or customers or in the way the work was completed?

Let us look at some specific instances in which attitude plays a big part. Consider a YN2 who, in an administrative office, has been assigned to complete the lieutenant fitness reports in addition to routine duties. The YN2 receives a personal phone call and a few minutes later a customer comes in for service. The YN2 is the only one in the office at the time. The YN2 does not acknowledge the customer's presence. A YN3 who previously worked in the administrative office before being reassigned to the security office enters the administrative office to pick up service records. The YN3 notices the YN2 conversing on the phone while a customer is waiting. The customer asks the YN3 for assistance. The YN3 replies, "I am sorry, but I no longer work in this office. The YN2 should be off the phone shortly."

Five minutes later, before leaving the administrative office, the YN3 notices the YN2 is still talking on the phone while the customer is waiting. The YN3 approaches the customer, apologizes for the delay, and states, "Because the office is short-handed on personnel, it should not create a problem if I assist you." The customer needs assistance with correcting an error on his officer data card. The location of his spouse and an annual re-verification of a variable housing allowance (VHA) form must be turned into disbursing within the next 2 weeks or the officer's VHA payments will stop. The YN3 obtains the *Manual of Navy Officers' Classifications*, volume II, to assist the officer. The YN3

tells the officer that the YN2 must verify the VHA form before it is submitted to disbursing. The YN3 advises the officer to leave the form and a phone number for the YN2 in case there are any questions. The YN3 interrupts the YN2's conversation to explain the officer's situation. The YN2 responds, "Yeah, yeah, I'll get to it. Just leave it in my basket." The YN3 places the officer's VHA form and the officer data card (ODC) with the corrections annotated in the YN2's basket with a note attached. The YN2 continues to talk on the phone, complaining about how the stupid computer was messing up the fitness reports, how he is being treated like a servant, how co-workers were being treated special, and the aggravation of the so-and-so dumb kids and officers who come in asking questions.

Two weeks later the YN2 takes leave and the officer returns to the administrative office angry concerning a decrease in pay. Apparently the officer's VHA form was not forwarded to disbursing; it was still in the YN2's basket. Was this dereliction of duty? Probably. However, we are not considering the legal aspects of the act, but the attitude that prompted it. The YN2 wasn't going to lose VHA. The YN2 is not interested in doing a good job-just a job.

It isn't difficult to be pleasant when dealing with pleasant people; it may become difficult when people are unpleasant. The customer who is emotionally upset may have difficulty in stating a problem accurately or completely. Significant information may be omitted; one's opinion may have been confused with fact or there may be a feeling that the information you request is too personal.

Usually, it will help to first determine the cause of anger and to whom it is directed. You maybe able to sort out this information by letting the customer unload.

The old adage, "The customer is always right," is not true in all situations. Personal abuse is not a right of the customer. But, the customer who is allowed to blow off steam (within reason) may then become apologetic and ready to accept your help.

When you are faced with an upset customer, remember that your purpose is to serve that customer's needs. Any other response on your part may serve to justify the customer's state of mind-you either cannot or will not provide the needed service.

A calm, confident manner is the best approach. When you do not respond with anger or rudeness to a customer's emotional outburst, you have taken the first step toward solving the customer's problem, whatever

its nature. A good attitude is important to customer satisfaction.

## **PRIDE**

An office may be capable of rendering quality service but does not because of the attitude of the workers in the office. Office supervisors' fairness, courtesy, and cooperation toward the office workers, customers, and other office personnel will be reflected in the personal characters of their own office workers. If you want your workers to have pride in their work then you must have pride in them because they are a part of your work. If you want them to be courteous toward others, then you must be courteous toward them and others.

Attitudes have a major influence on face-to-face skills, and since our attitude toward others is a reflection of our attitude toward ourselves, it is vital that you have proper appreciation of yourself.

You should have a value as a person that you have accomplished certain things, and that you have the ability to climb higher. This recognition of who you are, what you are, and what you hope to become enables you to meet each day with an expectation of winning rather than a certainty of defeat.

The customer forms a mental picture of you from the messages you unconsciously communicate-what kind of person you are and how you view your job, your rating, the Navy, the customer, and the customer's problem.

Without a degree of pride in self, ability, and job, it is likely that a person's performance will be less than the person's best effort. Such a person usually performs only when told to do so and then does only enough to get by.

## **COURTESY**

Regulations do not require courtesy beyond formal military courtesy. Formal courtesy is that which is demanded by custom and tradition, and failure to observe it can have unpleasant consequences. But, as in the previous example, we are not discussing the punitive aspects of actions. The common courtesy we are concerned with here is a totally different subject. Probably nothing is more discouraging to the customer than being ignored, and there is no justification for this type of treatment. There are times when you can't drop what you are doing; however, you can acknowledge the customer's presence. Most people don't mind a

reasonable wait when they know that you are aware of their presence, but they should not have to beat on the counter to get your attention.

Common courtesy goes beyond what we are required to do. It is a voluntary expression of respect for another's rights or feelings. It is opening a door for someone heavily laden with packages; extending military courtesy and respect for a person rather than merely extending the required recognition; treating the customer as a person and the problem as important rather than the "jerk with a stupid question." Answering the questions that are asked requires a sizable amount of patience. It wouldn't be so bad if you didn't have to answer the same ones over and over.

Some of the questions are simple, others are hard, and some are ridiculous. All deserve the courtesy of an answer, even the stupid question. By answering the stupid question, the customer may realize that the wrong words were used, and the question can be rephrased to obtain the desired information. It may be a signal that more information is needed. For example, when a PO3 asks, "Hey, can I ship my furniture now?," he really means something quite different. Sure, the furniture can be shipped now or anytime. What is really being asked is, "Am I now entitled to ship my furniture at government expense?"

## **COOPERATION**

You must keep in mind that, no matter how simple or unimportant you consider a request, the customer depends upon you to provide a service. Yes, it requires a little effort on your part to answer a question or look up a reference, but that extra effort or interest is a mark of good service.

Another element of cooperation required is responding to the customers' needs. They will often need information or assistance from another office before you can act on their request. You can send them on a "wild goose chase" to get it, or you can provide them with specific instructions on what to get, where to get it, and how to get it. You might also make a phone call so that they will be expected.

## **MONITORING**

To exercise control properly, you should know what is going on at all times. Learn to work at one thing and, at the same time, keep an eye and ear out for what your people are doing. Monitoring is necessary to have a degree of uniformity and effectiveness. Just the fact that

you are paying attention to what they do has a beneficial effect on the atmosphere of the office.

Be careful how you supervise. It is a curious thing that, while most of us like to feel that our seniors know what is going on, we strongly resent the sense that someone is watching our every move. We especially resent being watched if we think the watcher is constantly looking for something to complain about.

As a supervisor, you should refrain from interfering with your personnel when they are attempting to tackle a problem and identify its cause. When you see that the best solution has not been found, give them an opportunity to ask for advice. Keep in mind that being tactful in handling situations is very important to your personnel. Do not belittle what they have done. Use a work situation as a training opportunity. Supervision that does not interfere with performance is an excellent method that can be used to monitor the effectiveness of a customer service office.

As the senior Yeoman in charge of a customer service office, you must be aware of as well as monitor personnel practices and skills in the following areas:

- The check-in and check-out process should be simplified to reduce to the absolute minimum the number of offices where members must present themselves when reporting on board or being detached. The Detaching (Departing) Endorsement to Orders, NAVCOMPT Form 3067, and Reporting (Arrival) Endorsement to Orders, NAVCOMPT Form 3068, must contain an authenticating officer's signature (figs. 7-1 and 7-2) and the proper copies must be provided to the disbursing office. We can assume that an officer, having just reported, perhaps with leave en route, is interested in getting financial matters taken care of promptly. Therefore, the necessary papers should be submitted to the disbursing office as soon as possible. Make sure that a receipts and transfer check-off sheet is used to complete all actions.

- There will be times when your personnel are snowed under with work. Appointments, special counter hours, and "purpose of visit" chits should be used to speed service and reduce the customer's waiting time. Make sure the operating schedule is flexible enough to provide for emergency situations and is never used as a device to limit service.

- Private filing systems for retain files may work fine and require less time for the individual who is working in the receipts and transfers or in the reenlistments or separations section; however, that

NFC USE ONLY	3067	NFC USE ONLY
<b>DETACHING (DEPARTING) ENDORSEMENT TO ORDERS</b>		<b>(OFFICER-ENLISTED)</b>
1. ORDER AUTH NO. 063834	2. DATE OF ORDERS (YR/MON/DAY) 75APR11	3. END. NO. 1
4. UNIT I.D. CODE 68322		5. DETACHING A. HOUR 0800
6. NAME (LAST, FIRST, MIDDLE INITIAL) CAMPBELL, ROBERT C		8. DATE (YR/MON/DAY) 75JUL31
7. SSAN 123-45-6789		8. GRADE 04
9. SERVICE NO.	10. UIC TO WHICH REPORTING 65548	11. NO. MEN PER ATTACHED LIST
MEMBER BEING DETACHED FOR	12. PERMDY <input type="checkbox"/>	13. TDY <input checked="" type="checkbox"/>
	14. TAD <input type="checkbox"/>	15. FFT <input type="checkbox"/>
	16. FFA <input type="checkbox"/>	
NATURE OF DUTY	17. REG DUTY <input checked="" type="checkbox"/>	18. INST <input type="checkbox"/>
	19. TREATMT <input type="checkbox"/>	20. SEPTN <input type="checkbox"/>
	21. CONFMT <input type="checkbox"/>	22. TRAHAB <input type="checkbox"/>
23. PROSPECTIVE CM <input type="checkbox"/>	24. OTHER DUTY	25. QTRS TERM FOR DEPNS ON DATE OF DETACHMENT
WITH AUTHORIZED	26. DAYS DELAY (LV) 30	27. DAYS PROCD TIME 4
		28. DAYS TVL TIME 1
MEMBER IS AUTHORIZED	29. EMGNCY LV <input type="checkbox"/>	30. SPCL LV <input type="checkbox"/>
		31. NO. DAYS
		32. LV PERMDY STA AREA <input type="checkbox"/>
		33. LV OUTSIDE CONUS <input type="checkbox"/>
SEPARATION PAYMENTS AND REASON CODE	34. READJMT <input type="checkbox"/>	35. DSABLYT SEVRNC <input type="checkbox"/>
	36. SEVRNC <input type="checkbox"/>	37. CONTRCANCLTN <input type="checkbox"/>
	38. OTHER	40. SEPTN CODE
	41. DUE AT DISCHARGE	42. PERSONAL FUNDS
		43. DISCH GRAT PAID
<b>MAILING ADDRESS</b>		
44. STREET ADDRESS		45. CITY
46. STATE	47. ZIP CODE	48. COUNTRY
49. REMARKS		
50. AUTHENTICATING OFFICER'S SIGNATURE <i>Floss A. Brush</i>		51. TYPE AUTHENTICATING OFFICER'S NAME F. A. BRUSH
		52. GRADE LTJG USN
		53. TITLE ASST ADMIN OFF
<input type="checkbox"/> VALIDATION ERROR		

Figure 7-1.-Detaching (Departing) Endorsement to Orders, NAVCOMPT Form 3067.

individual may not always be there. Others must also be able to locate items in the files. Forms that are being held for future action should have a note attached indicating what action is required and when. Notes should be made in a tickler file or on a calendar as a reminder for when certain types of action should be taken.

- A good supervisor should rotate people in the various jobs occasionally. By doing this you will have initiated the first step in preventing office routine from breaking down when a key person is absent, and you will have given each individual an insight as to how each task contributes to the overall functions of the office. Be

REPORTING (ARRIVAL) ENDORSEMENT TO ORDERS					(OFFICER-ENLISTED)	
1. ORDER AUTH. NO. 063834	2. DATE OF ORDERS (YRMONDA) 75APR11	3. END. NO. 2	4. UNIT I.D. CODE 65548	5. REPORTING HOUR 1630	6. DATE (YRMONDA) 75AUG05	
9. NAME (LAST, FIRST, MIDDLE INITIAL) CAMPBELL, ROBERT C			7. SSN 123-45-6789	8. GRADE 04		
8. SERVICE NO.		GROUP TRAVEL		10. NO. MEN PER ATTACHED LIST		
MEMBER REPORTING FOR	11. PERMDY <input type="checkbox"/>	12. TDY <input checked="" type="checkbox"/>	13. TAD <input type="checkbox"/>	14. PFT <input type="checkbox"/>	15. FFA <input type="checkbox"/>	
NATURE OF DUTY	16. REG DUTY <input checked="" type="checkbox"/>	17. INST <input type="checkbox"/>	18. TRTMNT <input type="checkbox"/>	19. SEPTN <input type="checkbox"/>	20. CONFMT <input type="checkbox"/>	
	22. PROSPECTIVE CM <input type="checkbox"/>	23. OTHER DUTY		24. ESTIMATED PD OF TAD OR TDY A. MONTHS B. DAYS		
ORDERED TO	25. DIVING PAY BILLET NO.	26. MSTL FIRE AREA <input type="checkbox"/>	27. COMBAT ZONE <input type="checkbox"/>	28. OTHER 12345		
29. SUB INST STARTS (YRMONDA)	30. AUTHD SEP RAYS COMMENCING A. HOUR B. DATE (YRMONDA)		31. MESS NOT AVAILABLE <input type="checkbox"/>			
32. QTRS NOT AVAILABLE TO MEMBER <input checked="" type="checkbox"/>	33. QTRS ASSIGNED MEMBER & DEPNS <input type="checkbox"/>		34. MEMBER NOT IN PER DIEM STATUS <input type="checkbox"/>			
35. SHIPS MESS/QTRS CLOSED <input type="checkbox"/>	SHIPS OVERHAUL SCHEDULED FOR	36. OVER 90 DAYS <input type="checkbox"/>	37. 90 DAYS OR LESS <input type="checkbox"/>			
38. DAYS DELAY (LV)	39. DAYS PROC TIME 4	40. DAYS TVL TIME 1	41. UNACCTD FOR DAYS			
LEAVE	42. SPECIAL <input type="checkbox"/>	43. TAD <input type="checkbox"/>	44. EMENCY <input type="checkbox"/>	45. NO. OF DAYS	46. FROM (YRMONDA)	47. TO (YRMONDA)
	48. SPECIAL <input type="checkbox"/>	49. TAD <input type="checkbox"/>	50. EMENCY <input type="checkbox"/>	51. NO. OF DAYS	52. FROM (YRMONDA)	53. TO (YRMONDA)
	54. SPECIAL <input type="checkbox"/>	55. TAD <input type="checkbox"/>	56. EMENCY <input type="checkbox"/>	57. NO. OF DAYS	58. FROM (YRMONDA)	59. TO (YRMONDA)
60. REMARKS						
Date REPORTED <u>05 Aug 75</u> = JULIAN Date <u>217</u>						
Date DETACHED <u>31 Jul 75</u> = JULIAN Date <u>212</u>						
TOTAL ELAPSED TIME = <u>05</u>						
TT: (FM <u>05 AUG 75</u> TO <u>05 AUG 75</u> ) = <u>01</u>						
PT: (FM <u>01 AUG 75</u> TO <u>04 AUG 75</u> ) = <u>04</u>						
LV: (FM - TO -) = -						
TOTAL ACCOUNTED FOR TIME = <u>05</u>						
61. SIGNATURE OF SENIOR IN CHARGE OF GROUP TRAVEL						
62. AUTHENTICATING OFFICER'S SIGNATURE <i>P. T. Boat</i>			63. TYPE AUTHENTICATING OFFICER'S NAME P. T. BOAT			
			64. GRADE ENS USN		65. TITLE PERS OFF	
<input type="checkbox"/> VALIDATION ERROR						

Figure 7-2.-Reporting (Arrival) Endorsement to Orders, NAVCOMPT Form 3068.

prepared for the unexpected by training your people to be able to replace each other and to replace you.

- The timeliness of submission and accuracy of supporting documents for pay, allowances, and bonuses are very important and must be screened. The *Department of Defense Military Pay and Allowances*

*Entitlement Manual (DODPM)*, the *Source Data System Procedures Manual (SDSPROMAN)*, the *Joint Federal Travel Regulations (JFTR)*, and the *U.S. Navy Travel Instructions (NTIs)* provide the means of determining entitlement for pay, allowances, and bonuses.

- Make sure your personnel present a neat and well-groomed appearance at all times. No personnel should wear any article of clothing that is not prescribed as part of the uniform of the day without the permission of the proper authority. Although the Navy does not prescribe or distinguish among styles of haircuts, a wide variety of hair styles, if maintained in a neat manner, is acceptable. The determination of hairstyles for male and female personnel within the criteria detailed in the *U.S. Navy Uniform Regulations*, NAVPERS 15665, is an individual decision.

- Prohibit the use of profane, obscene, or vulgar words or gestures.

- The importance of service and information provided to Navy members and their dependents must not be minimized. No person should accept any money or other compensation from a person in return for a service that is his or her duty to perform or render, regardless of the circumstances incident to such services. Nor should personnel give or offer any money or other compensation to any person for a service performed in the line of duty, regardless of the circumstances incident to such service.

- Prohibit any action, whether or not specifically prohibited by the standards of conduct, that might result in or reasonably be expected to create the appearance of any violation of the government code of ethics. For example: Soliciting get rich quick investments, selling cosmetics, or furnishing a roster or the names of crew members to any solicitor without the permission of the commanding officer (CO).

You will or should find yourself constantly scanning your environment; maintaining liaison with contacts; talking with seniors, peers, and subordinates; and, in the process, receiving a large quantity of unsolicited information. As you collect information, share and distribute the information with your personnel to support and improve customer service.

## IDENTIFICATION CARDS

An identification (ID) card is issued to all members of the U.S. Navy and Naval Reserve serving on active duty and U.S. Naval Reserve on inactive duty, retired members of the uniformed services entitled to retired pay, and eligible dependents. There are four types of ID cards.

- The Armed Forces Identification Card, DD 2N (ACT), is printed in green security-type ink and issued to assist in identifying the bearer as a member of the

armed forces serving on extended active duty and to serve as identification for purposes of Article 17, Geneva Convention, relative to the Treatment of Prisoners of War, of 12 August 1949 (GPW).

- The Armed Forces Identification Card, DD 2N (RES), is printed in red security-type ink and issued to assist in identifying the bearer as a member of the U.S. Naval Reserve on inactive duty. The DD 2N (RES) dated 1 May 1979 must be issued to those persons requiring the card. All previous editions are obsolete and may not be used.

- The United States Uniformed Service Identification Card, DD 2 (RET), is printed in blue security-type ink and issued to assist in identifying the bearer as a retired member of the uniformed services entitled to retired pay.

- The Uniformed Services Identification and Privilege Card, DD 1173, is printed in black security-type ink and issued to assist in identifying the bearer as an eligible family member of a U.S. military sponsor.

## ISSUE

ID cards are issued by the following authorized issuing activities only: personnel support activities, personnel support activity detachments, destroyer tenders (AD), combat store ships (AFS), fast combat support ships (AOE), replenishment oilers (AOR), repair ships (AR), submarine tenders (AS), guided missile cruisers (CG), carriers (CV), aircraft carriers (nuclear) (CVN), amphibious command ships (LCC), amphibious assault ships (LHA/LPH), and battleships (BB). Activities other than those listed must request authority to issue cards from the Chief of Naval Personnel.

The issuing activity is responsible for the following:

- Reviewing the application.
- Making sure it has been properly verified.
- Making sure the applicant is a bona fide recipient.
- Contacting the verifying officer if the applicant's status is questionable.
- Returning any DD Form 1172 that is more than 90 days old to the verifying officer.
- Correcting obvious errors on the form such as color of eyes and hair, weight, and height. Other



erroneous data must be resolved with the verifying officer.

Any ID card issuing activity may verify eligibility of, and issue an ID card to, sponsors and beneficiaries in the following categories:

- Retired
- Dependents of active duty and retired military personnel
- Survivors of deceased active duty and retired personnel
- 100 percent disabled American veterans and their dependents
- Medal of Honor winners and their dependents
- Dependents of other service active duty personnel

ID cards are not issued to dependents without verification of eligibility through the Defense Enrollment Eligibility Reporting System (DEERS) or presentation of legal documentation establishing relationship to the military sponsor. Specific legal documents must be seen by the issuer and listed on the Application for Uniformed Services Identification Card/DEERS Enrollment, DD Form 1172, or entered in the Real Time Automated Personnel Identification System (RAPIDS). DEERS should always be checked first. If dependents are listed in DEERS, no other supporting documentation is required. When active duty dependents are not listed in DEERS, or when the DEERS data is incorrect, the following procedures should be used to establish eligibility or correct data:

- Inspect the member's service record for entries that show current dependents. The primary document is the Application/Record of Emergency Data, NAVPERS 1070/602.

- When the member's service record is not available, verifying a dependent's eligibility can be done by contacting the Defense Finance Accounting System (DFAS) Center, Cleveland, Ohio, either by phone or by message.

- When no service record is available and there is no current information available from DFAS, verifying activities should request message verification from the sponsor's ship or unit.

- Verifying the dependency status of a parent or parent-in-law must be done through DFAS.

Activities authorized to issue active, retired, and dependent ID cards must follow the current cross-servicing agreement. The cross-servicing agreement allows verification of DD 1172 and the issuance of DD 1173 to all categories of eligible individuals with the exception of eligible dependents of active duty personnel and unremarried former spouses. Active duty dependents must have the DD 1172 properly verified by the parent service, after which it may be presented to any military ID card issuing activity for issuance of ID cards. Navy former spouses and incapacitated dependents must have the DD 1172 verified by the Chief of Naval of Personnel. Unremarried former spouses of other services must have their initial eligibility verified by their parent service.

Cross-servicing must also be provided to Navy active duty and reserve personnel only if they hold the member's service record or receive a preverified DD 1172.

## **CONTROL**

All ID cards must be controlled to make sure only authorized persons receive, issue, or handle the material at the command. The following procedures must be followed:

- A record must be maintained of all ID cards issued to activities.

- All issuances and receipts must be recorded and accounted for by serial number.

- ID cards must be stored in a security type combination safe and access to the safe must be controlled by a written log.

- ID cards must be shipped by registered mail from the supply center and records must be maintained for 5 years after shipment to each activity by the naval supply center servicing that activity.

- Only the CO or designated representative (in writing) may order and receipt for ID cards to be issued by an activity.

The CO of the ID card issuing activity must confirm that the command is authorized by the Chief of Naval Personnel to issue ID cards. He or she must maintain proper procedures for strict accountability and security of ID cards. This includes the following:

- Keeping a record by serial number of all cards received

- Making sure all requisitioning documents for ID cards submitted by an ID card issuing activity are maintained for 5 years

The Commander, Naval Supply System Command (COMNAVSYSKOM) is responsible for maintaining records associated with the issuance and accountability of ID cards requisitioned by ID card issuing activities. This includes the following:

- Shipping ID cards to requisitioning activities by registered mail.
- Maintaining records of requisitioning and shipping documents for a period of 5 years. Such records must contain sufficient information to allow for a complete audit trail including receipt information for Naval Investigative Service inquiries.
- Notifying the Chief of Naval Personnel of failure to deliver any ID cards. These cards must be identified by requisition control number and ID card serial number.

The ID card maybe photocopied when necessary to facilitate administrative requirements such as admission to medical facilities, check cashing, or administering military related benefits to eligible beneficiaries.

## ACCOUNTABILITY

The ID card is the property of the United States and must be carried by the bearer at all times. It is not a pass. Lending or giving an ID card as collateral for the return of property or equipment used in, or provided by, civilian or naval recreation activities is not authorized. An example of this is signing out a basketball at the base gym.

If required by proper military authority, it must be surrendered by the bearer under any of the following conditions:

- It is replaced.
- The bearer is released from active duty.
- It is required for identification or investigation purposes.
- The bearer is in disciplinary confinement.
- There is a change in status affecting eligibility.

When an active duty member does not surrender the ID card, an entry indicating the circumstances must be made on page 13 (Administrative Remarks, NAVPERS 1070/613) of the member's enlisted service record.

Members that are being separated must surrender the ID card as soon as the member is identified for separation. A new DD 2N (ACT) should be issued for a 90-day period and over stamped Preseparation. Renewal of this card must be verified by the member's service record holder. All cards surrendered must be destroyed by the confiscating authority.

## APPLICATION FOR COMMISSION OR WARRANT RANK, U.S. NAVY OR NAVAL RESERVE

Requirements for appointment in the Regular Navy and Naval Reserve are prescribed by statutes and regulations. Basic requirements are contained in the *Naval Military Personnel Manual* (MILPERSMAN), NAVPERS 15560C. The *Navy Officer Recruiting Manual* (CRUITMAN-OFF), volume 2, COMNAVCUITCOMINST 1131.2A, provides a matrix that indicates the forms and information required for the proper completion and submission of an application package for officer program. In this section we cover the preparation of the Application for Commission or Warrant Rank, U.S. Navy or Naval Reserve, NAVCRUIT 1100/11. Dependent upon the applicant's answer to individual questions, additional action may be needed. Refer to figure 7-3 as blocks are discussed.

Block 1 - NAME: List Mr., Mrs., or Miss as appropriate and the full name to include the maiden name in the following order: first, middle or maiden (if any), last. If no middle name, enter NMN. If the name consists of (an) initial(s) only, enter the appropriate initial(s) followed by IO. Include additional designations such as Jr., Sr., II, when applicable following the last name.

Block 2 - STATUS: Check civilian, military-active, or military-inactive. In the appropriate boxes enter the military paygrade (ENS, LT) and social security number, including dashes.

Block 3 - a. PRESENT ADDRESS: Provide the expiration of the current address to include the city, county, and state where applicant currently resides.

b. MAILING ADDRESS: Provide the address at which the applicant can be reached at anytime to which orders or official correspondence should be mailed to include the street number, city, county, state, and ZIP Code.

OMB No. 0703-0029

**APPLICATION FOR COMMISSION OR WARRANT RANK,  
U.S. NAVY OR NAVAL RESERVE  
NAVCRUIT 1100/11 (REV. 1-82) S-N 0114 LF-011-0068**

*INSTRUCTIONS: This questionnaire in conjunction with Form DD-198, will establish a permanent record for use in evaluating your qualifications for appointment in your future career. It may well play an important part in determining the kinds of duty to which you will be assigned. Answer all questions completely. Write "none" in any blank not applicable to you. Read the certification at the end of this questionnaire before entering required data. If more space is needed, make entries in Block 20 on additional sheets.*

1 NAME (Last, Middle, Maiden name if any) (Last)		2 STATUS		RANK OR RATE	
Mr. Mrs. Miss		<input type="checkbox"/> MILITARY - ACTIVE <input type="checkbox"/> MILITARY - INACTIVE <input type="checkbox"/> CIVILIAN		SOCIAL SECURITY NO.	
3 (a) PRESENT ADDRESS (Street) (Date)		(City)	(Country)	(State)	
(b) MAILING ADDRESS (Street and number)		(City)	(Country)	(State)	
<small>(Address to which orders or official correspondence should be mailed)</small>					
4 HOME OF RECORD (Address Manual, Article 50751AB)		(City)	(Country)	(State)	
5 APPLICANT FOR					
<input type="checkbox"/> USNA <input type="checkbox"/> NROTC <input type="checkbox"/> AOC <input type="checkbox"/> NFOC <input type="checkbox"/> AVROC <input type="checkbox"/> NAVCAD <input type="checkbox"/> OCS <input type="checkbox"/> MERMAR <input type="checkbox"/> OTHER - specify _____					
<input type="checkbox"/> DIRECT APPOINTMENT <input type="checkbox"/> REAPPOINTMENT <input type="checkbox"/> SUPERSEDING APPOINTMENT				TYPE	
				<input type="checkbox"/> COMMISSION <input type="checkbox"/> WARRANT	
GRADE	DESIGNATOR PREF	COMPONENT		Submitted in accordance with	
(a) (b)	1st	<input type="checkbox"/> U.S. NAVY <input type="checkbox"/> NAVAL RESERVE		CRUITMAN-OFF _____ BUPERS INST _____	
<input type="checkbox"/> YES    5 Have you ever previously applied for (a) a commission, (b) program leading to a commission, (c) enlistment in the Navy, Marine Corps, Coast Guard, Army, Air Force or of any component thereof? (Includes Service Academies, Federal and State Maritime Academies, all ROTC programs, Officer Candidate Training, Platoon Leaders School, Flight Training, NESEP, etc.) If "Yes," complete the following information. <input type="checkbox"/> NO					
NATURE OF APPLICATION		DATE (Month and Year)	PLACE	RESULT	
				ACCEPTED	REJECTED
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
<small>If previously accepted for a program leading to a commission, provide information specifying why a commission was not obtained through that program. If disenrolled from that program, provide complete dates and circumstances regarding disenrollment.</small>					

Figure 7-3.-Application for Commission or Warrant Rank, U.S. Navy or Naval Reserve, NAVCRUIT 1100/11.

c. HOME OF RECORD: Provide the address recorded as the home of record when commissioned according to the MILPERSMAN.

Block 4 - APPLICATION FOR: Check either USNA, NROTC, AOC, NFOC, AVROC, NAVCAD, OCS, MERMAR, or Other as appropriate; direct appointment, reappointment, or superseding appointment as appropriate; check the type of appointment as either commission or warrant; indicate

the grade(s) the applicant is applying for, the first designator preference; component of the U.S. Navy or the Naval Reserve, and the reference by which the application is submitted according to CRUITMAN-OFF or BUPERSINST.

NOTE: Block 4 - If the applicant indicates disenrollment from an officer-type training program, a Request for Record of Disenrollment from Officer Candidate Type Training, NAVCRUIT 1110/98, should

NAVCRUIT 1100/11 (REV. 1-82)

6. MARITAL STATUS (check appropriate box)

SINGLE     MARRIED     WIDOWED     DIVORCED     SEPARATED     ANNULLED     REMARRIED

NO. OF DEPENDENTS (Type)     WIFE     OTHER    NO. OF CHILDREN \_\_\_\_\_

---

7. EDUCATION

CHECK HIGHEST SCHOOL YEAR COMPLETED

HIGH SCHOOL    1    2    3    4    COLLEGE    1    2    3    4     GRADUATE WORK

DEGREES EARNED:

UNDERGRADUATE MAJOR SUBJECTS (College)	SEMESTER HOURS	GRADUATE MAJOR SUBJECTS (College)	SEMESTER HOURS

---

8. KNOWLEDGE OF FOREIGN LANGUAGE

LANGUAGE	HOW ACQUIRED (School, Family Work, etc.)	READ			SPEAK			UNDERSTAND		
		EXC.	GOOD	FAIR	EXC.	GOOD	FAIR	EXC.	GOOD	FAIR

---

9. COURSES TAKEN IN FLIGHT TRAINING, METEOROLOGY, NAVIGATION, MATHEMATICS, PHYSICS, ELECTRONICS, OCFANOGRAPHY

COURSE	NAME OF SCHOOL	INCLUSIVE DATES	CREDITS EARNED

---

10. OTHER TYPES OF TRAINING COMPLETED THAT REFLECT BACKGROUND QUALIFICATIONS OF VALUE TO THE NAVY SUCH AS SCUBA DIVING, COMPUTER PROGRAMMING/OPERATION, PRACTICAL ENGINEERING

---

11. PROFESSIONAL, OCCUPATIONAL, BUSINESS OR TRADE LICENSE(S)

TYPE OF LICENSE	FIRST LICENSE YR.	MOST RECENT LICENSE YR.	CITY, STATE OR TERRITORY	Have you ever had an application for license denied or a license suspended or revoked?
				<input type="checkbox"/> YES <input type="checkbox"/> NO

If answer to above is "Yes," amplify here:

---

12. TRAFFIC VIOLATIONS FOR WHICH A FINE OR FORFEITURE OF \$50,000 OR LESS WAS IMPOSED (Identify date, place, nature of offense and disposition)

DATE	PLACE	NATURE OF OFFENSE	DISPOSITION

2

Figure 7-3.-Application for Commission or Warrant Rank, U.S. Navy or Naval Reserve, NAVCRUIT 1100/11-Continued.

be initiated. Disenrollments that require this form are listed in the *Navy Officer Recruiting Manual*.

Previous disenrollment, either voluntary or involuntary, from a military officer candidate-type training program is not automatically disqualifying for commission programs except where specifically stated otherwise. However, no such applicants are enlisted or appointed without review by selecting officials of the Record of Disenrollment from Officer Type Training, DD Form 785.

Block 5 - HAVE YOU EVER PREVIOUSLY APPLIED FOR: Check yes or no for each question. If yes is checked, list below the nature of the application, the date by month and year, place where application was submitted, and check the result as accepted or rejected.

Block 6 - MARITAL STATUS: Check single, married, widowed, divorced, separated, annulled, or remarried, as appropriate; list the number of dependents—wife, husband, or other; and indicate the number of children. Dependency status is defined as being a parent, natural or adoptive, of a child under 18,

NAVCRUIT 110Q/11 (REV. 1-82)

13. SWIMMING ABILITY: can you swim 200 yards using the crawl, backstroke, side stroke and breast stroke 50 yards each and can you swim 50 feet under water and can you tread water.

YES       NO

---

14. ATHLETICS: give information pertaining to membership on athletic teams, personal fitness programs, outdoor activities, etc. for the past SIX years.

ORGANIZATION OR TYPE OF ACTIVITY	DATES	NUMBER OF DAYS PER MONTH

---

15. SCHOLARSHIPS, HONORS AND AWARDS: ACADEMIC AND ATHLETIC

AWARD TITLE	DATE RECEIVED

---

16. EMPLOYMENT

*In the space furnished below record every employment, both public and private of two months or more duration performed subsequent to your 16th birthday. Start with your present position and work back. Describe your field of work and position and give your duties and responsibilities in such detail as to make your qualifications clear. (Include information relating to duties, billet assignments, etc. relating to periods of Military Service.)*

NAME OF EMPLOYER	KIND OF BUSINESS OR ORGANIZATION	EXACT TITLE OF POSITION (Specify hours per week)
NUMBER AND TYPE OF PERSONS SUPERVISED	DATES OF SERVICE (Month and Year) FROM _____ TO _____	ANNUAL SALARY Starting _____ Final _____
REASON FOR TERMINATION OF EMPLOYMENT		
DUTIES AND RESPONSIBILITIES		

---

NAME OF EMPLOYER	KIND OF BUSINESS OR ORGANIZATION	EXACT TITLE OF POSITION (Specify hours per week)
NUMBER AND TYPE OF PERSONS SUPERVISED	DATES OF SERVICE (Month and Year) FROM _____ TO _____	ANNUAL SALARY Starting _____ Final _____
REASON FOR TERMINATION OF EMPLOYMENT		
DUTIES AND RESPONSIBILITIES		

3

Figure 7-3. Application for Commission or Warrant Rank, U.S. Navy or Naval Reserve, NAVCRUIT 1100/11—Continued

having personal custody of a child under 18, or being a stepparent of a child under 18 who resides in the household more than 30 days a year. Refer to the CRUITMAN-OFF for information about dependents.

Block 7 - EDUCATION: Check the highest school and college, if any, completed. Numbers 1 through 4 represent the following: 1 - freshman, 2 - sophomore, 3 - junior, 4 - senior. If any, check graduate work and also indicate the type of degree(s) earned. List in the appropriate boxes the applicant's college undergraduate

and graduate major subjects and semester or quarter hours.

Block 8 - KNOWLEDGE OF FOREIGN LANGUAGE: List the foreign languages the applicant speaks and how the skill was acquired; for example, in school, by family, or at work. Next check the level of reading, speaking, and understanding as excellent, good, or fair.

Block 9 - COURSES TAKEN IN FLIGHT TRAINING, METEOROLOGY, NAVIGATION,

NAVCRUIT 1100 11 (REV. 1 82)

**17. EXTRA CURRICULAR ACTIVITIES**

Membership in clubs, societies, fraternities, organizations (professional, religious, social) give names, dates and offices held, if any, during the last 10 years.

ORGANIZATION	OFFICES HELD	DATES

**18.**  YES  NO Have you ever claimed or been granted a pension, disability allowance, disability compensation, or retired pay from the U.S. Government?

YES  NO Are you presently receiving such compensation?

**19. DRUG STATEMENT**

Have you ever taken any narcotic, sedative, or tranquilizer drugs other than as prescribed by a physician or dentist?

YES  NO

Have you ever used LSD, marijuana, sniffed glue or used any other hallucinogens, hypnotics, stimulants or other known harmful or habit forming drugs and/or chemicals?

YES  NO

If the answer to either of the above is "YES," set forth full circumstances regarding drug use specifying type of drugs, number of times used, dates of use, reasons used, whether ever arrested for use or possession, and whether future use is rejected in block 20 or attach a separate page as amendment to this application.

**20. REMARKS:** This space and/or additional pages may be used for any amplifying information, completion of previous blocks and for a statement specifying why a commission is being sought.

**21.** I certify that all statements made in this application and any additional statements pertaining thereto are entirely true and complete to the best of my knowledge and belief. I understand that failure to answer any correspondence promptly or to accept any appointment tendered me will subject my application or appointment to cancellation without further notice.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Signature)

Figure 7-3. Application for Commission or Warrant Rank, U.S. Navy or Naval Reserve, FAVCRUIT 1100/11—Continued.

MATHEMATICS, PHYSICS, ELECTRONICS, OCEANOGRAPHY: List the courses taken in the above areas, the name of the school, the actual dates of the course, and the credits earned.

Block 10 - OTHER TYPES OF TRAINING COMPLETED THAT REFLECT BACKGROUND QUALIFICATIONS OF VALUE TO THE NAVY SUCH AS SCUBA DIVING, COMPUTER PROGRAMMING/OPERATION, PRACTICAL ENGINEERING: List any additional training other than those listed in block 9.

Block 11 - PROFESSIONAL, OCCUPATIONAL, BUSINESS OR TRADE LICENSE(S): List the type of license(s) held by the applicant, the year when first obtained, the current year, and the city, state or territory in which issued. Check either yes or no if a license was ever denied, suspended, or revoked. If the answer to either question is yes, explain in the space below. Use block 20 for continuation. Attach additional sheets as necessary; however, additional sheets are normally discouraged.

Block 12 - TRAFFIC VIOLATIONS FOR WHICH A FINE OR FORFEITURE OF \$50 OR LESS WAS IMPOSED: List the date(s) and place(s) of traffic violations or incidents that resulted in a fine or forfeiture of \$50 or lesser penalty was imposed and the disposition of each case.

Block 13 - SWIMMING ABILITY: Check either yes or no.

Block 14 - ATHLETICS: List all organizations or types of activities (membership on athletic teams, personal fitness programs, outdoor activities, and so forth), dates, and the number of days per month for the past 6 years.

Block 15 - SCHOLARSHIPS, HONORS AND AWARDS: ACADEMIC AND ATHLETIC: List all awards in the above areas by title and the date received.

Block 16 - EMPLOYMENT: List any employment of 2 months or more after your 16th birthday. For each employment give the employer's name, kind of business or organization, your position title to include the amount of hours worked per week, number of people supervised, the month and year employment started and ended, starting and ending annual salary, reason for leaving employment, and a clear description of your position and your duties and responsibilities. Start with present job. Include information relating to military service.

Block 17 - EXTRA CURRICULAR ACTIVITIES: List all membership in clubs, societies, and organizations-professional, religious, or social. Give the name of the organization, office held (if any), and the dates for past 10 years.

Block 18 - Check either yes or no for each question.

Block 19 - DRUG STATEMENT: Check either yes or no for each question. If yes is answered to any of the questions, provide the following information in block 20 or attach a separate sheet of paper. Describe the circumstances regarding drug use. Identify the particular substance used, number of times used, dates of use, whether ever arrested for use or possession, and whether future use is rejected.

Block 20 - REMARKS: Use this space for continuation of any block. For additional space, use a blank piece of paper. Each blank piece of paper used

must contain your name and social security number at the top of the page.

Block 21 - CERTIFICATION: Before completing this block the applicant is encouraged to review all answers to blocks 1 through 20 to make sure the form is complete and accurate. In block 21 the applicant must date and sign in ink certifying that all the information is true and complete, acknowledging that failure to answer any correspondence promptly or to accept any appointment tendered will subject application or appointment to cancellation without further notice.

### INTERVIEWER'S APPRAISAL SHEET

Selection of the best qualified applicants for officer training is a matter of vital importance to the U.S. Navy. The problem of selection is to find those measurements presently available that will predict future performance of the applicant. One such tool is the interview, the primary objective of which is to determine if the applicant possesses those personal characteristics desired in a naval officer. In addition to its use as a selection technique, the interview has secondary functions that should be kept in mind. It provides an opportunity to inform the applicant of the details of the program for which he or she is applying, the training he or she will receive, and the opportunity to answer questions, all of which enable the interviewer to make judgments based upon the applicant's reaction. In addition, it serves to establish a friendly relationship; that is, to instill a favorable Navy image that can, and often does, pay dividends at a later date, regardless of whether the applicant is selected.

Information for completing the *Interviewer's Appraisal Sheet*, NAVCRUIT 1100/13, is located on the reverse side of the form (figs. 7-4A and 7-4B). The form is pretty much self-explanatory. Written interview results should not be recorded during the course of the interview. However, each interviewer must evaluate carefully and impartially the characteristics of the applicant before he or she leaves the room and while the details of the interview are still fresh in his or her mind.

If the candidate's second language is English, the comments must include a statement as to the applicant's ability to communicate in English.

Appraisal forms that are legibly handwritten in ink are acceptable.

INTERVIEWER'S APPRAISAL SHEET											
NAVCRUIT 1100/13 (REV. 3-81) 8/N 0114-LF-011-0088					(See information on reverse before completing)						
TYPE OR PRINT LEGIBLY											
NAME (Last, first, middle)					PROGRAM FOR WHICH APPLYING			DATE			
<b>PERSONAL QUALITIES</b>											
DESCRIPTIVE: Observe the applicant and write 6 adjectives or phrases which you believe to be most descriptive of the applicant.											
1.		2.			3.						
4.		5.			6.						
EVALUATIVE Consider the applicant as a potential naval officer, and evaluate him on the following											
APPEARANCE AND POISE		*OUTSTANDING		EXCELLENT		GOOD		ADEQUATE		*UNSATISFACTORY	
ORAL COMMUNICATION AND EXPRESSION OF IDEAS		*OUTSTANDING		EXCELLENT		GOOD		ADEQUATE		*UNSATISFACTORY	
LEADERSHIP POTENTIAL		*OUTSTANDING		EXCELLENT		GOOD		ADEQUATE		*UNSATISFACTORY	
YOUR WILLINGNESS TO HAVE INDIVIDUAL SERVE UNDER YOUR COMMAND WHEN COMMISSIONED		PARTICULARLY LIKE TO HAVE		PREFER TO MOST		BE PLEASED TO HAVE		BE SATISFIED WITH		PREFER NOT TO HAVE	
		10* 9		8 7 6		5 4 3		2 1		0*	
COMMENTS (A summary statement evaluating the applicant is required. All extreme ratings marked by an asterisk (*) should be further commented upon in this page.)											
<b>MOTIVATION</b>											
PROGRAM MOTIVATION (Indicate the applicant's motivation for the program for which applying.)		VERY HIGHLY MOTIVATED FOR PROGRAM		DEFINITELY MOTIVATED FOR PROGRAM		MOTIVATED FOR NAVY PROGRAM NOT IMPORTANT		MOTIVATED FOR COMMISSION PROGRAM AND SERVICE NOT IMPORTANT		UNABLE TO DETERMINE	
<b>POTENTIAL</b>											
POTENTIAL AS A CAREER NAVAL OFFICER (Complete for Naval Academy, NROTC, and ECP applicants only.)		OUTSTANDING (1)		EXCELLENT (2)		GOOD (3)		AVERAGE (4)		LESS THAN AVERAGE (5)	
COMMENTS (Supplement or qualify the motivation rating and potential as a career naval officer, as appropriate.)											
SIGNATURE OF INTERVIEWER					TYPED OR PRINTED NAME OF INTERVIEWER			GRADE, CORPS (if any), BRANCH OF SERVICE			

Figure 7-4A.-Interviewer's Appraisal Sheet, NAVCRUIT 1100/13 (front).



### INFORMATION FOR COMPLETING INTERVIEWER'S APPRAISAL SHEET

1. The purpose of the interview is to evaluate accurately and impartially the characteristics of the candidate to determine potential as a commissioned officer and motivation toward service in the Navy.
2. The interview should take a minimum of 15 minutes. A period of 15-30 minutes is usually adequate, although more time may be necessary on occasion.
3. Discussion topics should draw out the applicant. Suggested topics include: Navy programs, service life, school experiences, personal interests, goals in life, current events, sports, family attitude toward application, and any others suggested by a review of the application file.
4. Marking is difficult. Your judgements form an important part of each applicant's file, and usually represent the only personal contact with the applicant reported by an official of the Navy. Be fair and impartial, neither too easy nor too hard on the applicant. Mark only on what you have observed personally, not on the opinions or comments of others.
5. No marks should be put on this form until the interview has been completed.
6. If it appears that the space for comments will not be sufficient, phrases may be used rather than complete sentences.
7. Below is a check list of characteristics which interviewing officer can observe and of adjectives which can be used to describe these characteristics in applicants. This list is meant only to assist the interviewer in preparing for the interview and in making a written evaluation afterward. It is not intended to be all-inclusive.

Characteristics/Descriptive Adjectives.

<b>Bearing</b>	<b>Grooming</b>	<b>Composure</b>
Good posture	Careless	Poised
Slouch	Neat	Awkward
Forceful	Clean	Relaxed
Apathetic	Unclean	Nervous
Casual	Well-dressed	Confident
Formal	Inappropriately dressed	Insecure
<b>Attitude</b>	<b>Oral Expression</b>	<b>General Impression</b>
Sincere	Articulate	Impressive
Flippant	Inarticulate	Unimpressive
Enthusiastic	Responsive	Dull
Indifferent	Unresponsive	Interesting
Cooperative	Tactful	Mature
Uncooperative	Loquacious	Immature
Contentious		
<b>Pleasant</b>	<b>Voice Quality</b>	
Forthright	Strident	
Secretive	Soft-spoken	
Arrogant	Speaks Clearly	
Modest	Inaudible	

NAVCRRUIT 1100/13 (REV. 3-81) S/N 0114-LF-011-0085

Figure 7-4B.-Interviewer's Appraisal Sheet NAVCRUIT 1100/13 (back).



## CHAPTER 8

# MANPOWER AUTHORIZATION

To accomplish its mission, an activity must have people assigned to do a specific job or task—not just any group of people, but properly trained people. For this reason, specific guidelines have been set forth by the Chief of Naval Operations (CNO) as to the number and type of personnel assigned to each activity. CNO directs and coordinates the development and implementation of the manpower planning system. In this chapter we discuss the manpower requirements resulting from the policies and procedures described in the *Manual of Navy Total Force Manpower, Policies, and Procedures*, OPNAVINST 1000.16G, that provide the base from which manpower is programmed and plans are developed to procure, train, and assign personnel.

### MANPOWER REQUIREMENTS

Manpower requirements are established based upon the most effective and efficient methods of performing assigned tasking. Manpower, Personnel, and Training Information System (MAPTIS) is the aggregate of the separate but interrelated automatic data processing (ADP) information systems that support the Navy's total force management, the Navy Manpower Data Accounting System (NMDAS). The NMDAS is the authoritative source for activity information, manpower authorizations (MPAs), personnel authorizations, billet authorizations, and requirements. These are recorded in three major subsystems—the Navy Activity Accounting Subsystem (NAAS), Navy Manpower End Strength Accounting Subsystem (NMESS), and the Navy Manpower Authorizations and Requirements Accounting Subsystem (NMARS). The NMDAS provides a means of preparing, reporting, and monitoring military positions and civilian positions and assists in integrated manpower planning and programming. The manpower requirements in the NMDAS files are displayed across the Six Year Defense Program (SYDP) and are based upon the following manpower documents:

- Preliminary Ship Manpower Documents (PSMDs)
- Preliminary Squadron Manpower Documents (PSQMDs)

- Preliminary Shore Manpower Documents (PSHMDs)
- Sea Operational Detachment (SEAOPDET)

The requirements developed by these documents serve as the basis for the billets in the NMDAS and, therefore, for MPA.

The term *manpower authorization* is used in the following ways:

- To specify categories of personnel used to perform functions or missions and to indicate a commitment of resources to satisfy a requirement
- To describe a military position and means by which it is resourced; whereas, civilian manpower is managed to payroll
- To function as a generic term in place of precise statements applicable to authorizations from several automated data base sources, at various levels of detail, and over a span of several fiscal years

Manpower requirements may be satisfied by several categories of personnel including military (active and Reserve), civilian, and contractor personnel.

Civilian positions in the MPA are a reflection of requirements and represent estimates for use in planning and programming, but do not constitute a ceiling or constraint in execution. Military MPAs are the basis for planning military personnel inventory in the out years and for the placement of inventory in the fiscal year that is being executed. In general, laws and regulations such as total authorized strength and grade structure apply only to military personnel. The MPA system is integral to personnel management. The management objective in maintaining an authorization system is that of translating resources earmarked to meet manpower requirements into orders for the development and maintenance of personnel inventory. To achieve this objective, the manpower system is maintained to establish controls for end strength and is adjusted as these controls are revised in the planning, programming, and budgeting system (PPBS) and congressional budget cycle. The interrelationship between the manpower system and the personnel planning and budgeting process often results in the use of adjectives for

manpower that in reality are applicable only to personnel. For example, funded billets or funded MPAs suggest that an authorization and an appropriation have been obtained for the billets. Lacking out year requirements, it is useful to assume equality between future MPAs and personnel and take actions to manage personnel to the level of these authorizations. As out year requirements are developed, these should become the planning goals.

## **NAVY MANPOWER MOBILIZATION SYSTEM**

The Navy manpower mobilization system (NMMOS) is a manpower requirements determination process that identifies the wartime manpower requirements for a shore/support activity. It determines the minimum quantity, quality, and time-phasing of required manpower over the mobilization planning period (Mobilization-day [M-day] through M+12 months). NMMOS is maintained and operated by the Navy Manpower and Material Analysis Center (NAVMAC).

The scheduling or time-phasing of manpower is determined by the activity's projected workload at various times during the mobilization planning period and is normally described in a logistics support mobilization plan (LSMP). If no measurable workload is available, manpower mobilization requirements are analytically derived. Manpower claimants, with the concurrence of the resource sponsor(s), define the operating environment and time-phasing of work functions. NAVMAC determines/validates quality, quantity, and time-phasing of required mobilization manpower.

## **RESERVE REQUIREMENTS DETERMINATION**

Reserve requirements determination (RRD) separates types of military manpower such as active duty, Selected Reserve (SELRES), or other military (reassigned active Individual Ready Reserve [IRR], Standby Reserve, Fleet Reserve, and retired personnel).

A manpower mobilization requirement may be designated SELRES if it meets all the following criteria:

- The position is military essential.
- Manpower is required within M+10 days.
- Premobilization training is required.

Other manpower mobilization requirements at M-day, M+30 days, M+60 days, M+90 days, M+120 days, or M+180 days may be designated as other military (OM). These manpower requirements are resourced from reassigned active, IRR, Standby Reserve, Fleet Reserve, and/or retired personnel.

## **MOBILIZATION PLANNING**

In planning mobilization requirements, the following requirements should be observed:

- Manpower documents should show efficient use and assignment of manpower.
- AU combat forces should attain organizational manning by M+1 month. Support activities should attain organizational manning by M+3 months.
- The full mobilization of combat forces (active and Reserve) with supporting assets constitutes full mobilization. For planning purposes, this level of manpower mobilization requirements is attained at M+3 months.
- To go beyond full mobilization into building or creating additional force units is defined as total mobilization. The buildup from full mobilization into total mobilization is shown at M+12 months. Due to extensive buildup for new construction, ships, and aircraft, M+12 is an extension of M+6 and represents manpower required for increased training and other preparatory activity.

## **TIME-PHASING**

Time-phasing is both a practical necessity and a convenient management tool. Time-phasing spreads manpower requirements across the mobilization planning period. The demand for manpower will vary with billet priority (necessity) and system constraints such as administrative processing, personnel berthing, messing, and transportation (capacity).

## **RESPONSIBILITIES**

A number of officials have responsibilities in connection with MPAs and the manning of activities. Here we discuss some of their more important duties.

## **THE DEPUTY CHIEF OF NAVAL OPERATIONS (MANPOWER, PERSONNEL, AND TRAINING)**

The Deputy Chief of Naval Operations (DCNO) (Manpower, Personnel, and Training) consults various designated manpower advisors in the exercise of overall manpower management. These advisors have unique knowledge within their area of assigned advisory responsibilities. The advice received is considered along with all other appropriate factors in forming manpower management decisions. The DCNO is responsible for the following management actions:

- Managing the quality and distribution of authorized manpower (active and reserve military, civilian, and contractor)
- Issuing policies and procedures for manpower management
- Approving and maintaining manpower classification systems; coordinating these matters with the Bureau of Naval Personnel (BUPERS)
- Initiating and conducting reviews of various categories of manpower, restructure authorized billets, and redistributing authorizations for maximum manpower effectiveness
- Authorizing only those billets that can be fulfilled by qualified personnel on a long-term basis
- Recommending to higher authority the size and composition of the Naval Reserve, based upon mobilization manpower requirements, and prescribing the allowed personnel strength or individual programs of the Naval Reserve
- Maintaining the authoritative manpower requirements and authorizations data bases
- Providing manpower managers with total force manpower requirement and authorizations information
- Soliciting management advice, as appropriate, from designated manpower advisors
- Approving all statements of manpower requirements and approving manpower authorization change requests

## **MANPOWER CLAIMANTS AND SUBCLAIMANTS**

The manpower claimants and subclaimants are assigned the responsibility for overall management of

assigned manpower resources. Requests for changes to MPAs are forwarded via the chain of command to the manpower claimant and subclaimant who then forward requests that are recommended for approval to CNO. The manpower claimant and the subclaimant have the following specific responsibilities in addition to the general responsibilities of superiors in the chain of command as previously stated:

- Conducting efficiency review (ER) studies
- Recommending reprogramming authorized manpower as necessary for optimum accomplishment of assigned functions within CNO policy constraints
- Periodically reviewing the manpower/personnel classification systems to ensure proper statement of manpower requirements and related personnel qualifications; submitting recommended changes as appropriate
- Reviewing all requests originated within the assigned claimancy for changes to activity MPAs; ensuring conformance with CNO policies and procedures; and providing compensation where required per own priorities within a claimancy
- Minimizing the number of manpower authorization change requests by proper planning, annual billet and position reviews, and consolidation of desired manpower changes
- Making sure billet or position qualifiers assigned to billets or positions on MPAs of all assigned activities indicate the minimum requirements for satisfactory performance of billet and position functions
- Identifying for deletion all nonessential authorized manpower
- Submitting to cognizant fleet commanders in chief for approval an impact statement of all billet additions on commands affected by overseas personnel limitation policies and agreements (this statement must include the anticipated impact on facility loading)

## **COMMANDING OFFICER**

Commanding officers exercise overall management of assigned manpower resources, making sure the number of billets, including skills, paygrades, and special qualifications reflected in MPAs are the minimum requirements necessary to support the mission, tasks, and functions of the command. The commanding officer is responsible for keeping the manpower claimant informed by identifying all billets

and positions in excess of those requirements. To guarantee optimum manpower use, each commanding officer must annually review and evaluate his or her MPA, including mobilization requirements and, when appropriate, recommend changes to his or her manpower claimant via the chain of command. Particular emphasis should be placed on identifying areas in which manpower may be saved or skill levels reduced without adverse effect on accomplishment of the mission of the command.

The following actions should be taken when submitting change requests:

- Before requesting an increase in manpower resources because of changes in tasks or increased workload, analyze all manpower requirements (military and civilian) and the billets and positions authorized. Accommodate increased requirements by reassigning existing resources to the extent feasible.

- Minimize the number of manpower authorization change requests by proper planning, annual billet and position reviews, and consolidation of desired manpower changes.

- Make sure change requests are submitted sufficiently in advance of the requested effective date of change to permit adequate time for review at the various levels of the chain of command, for thorough consideration by CNO, and for orderly response by personnel distribution authorities. It should be understood that, due to fiscal constraints, rotational patterns, training support, and deployment schedules in the case of ships and squadrons, actual manning of newly authorized billets may not be satisfied in less than 9 to 12 months from the date of approval.

- Make sure each requested action is complete and accurate and includes necessary mobilization requirements.

- If it becomes necessary to request increases in manpower resources and no compensation is available from within the manpower assets of the activity, indicate a priority for each of the requested billets or positions to assist the manpower claimant in making recommendations to CNO. Should any subsequently identified compensation be insufficient, invalid, or unacceptable, approval of only portions of the request may be possible according to the stated priorities.

- Summarize requested changes by designator/grade, rate/rating.

- Make sure complete justification is provided for each request for revision.

- In certain instances, when specific functions or an activity prevent geographic collocation or require a separate program element code or sea/shore code from that of the parent activity, requests for establishment of components to the parent activity MPA should be submitted. Justification for the establishment of the component must be submitted under OPNAVINST 1000.16G, article 506.

## **SUPERIORS IN CHAIN OF COMMAND**

When requests for changes are forwarded that include quantity or grade increases, but do not identify compensation, the chain of command must make recommendations regarding compensation. In the event compensation is to be provided by reprogramming manpower from another activity, such recommendations must identify by activity and sequence code the billets to be reprogrammed. While compensatory recommendations are not currently required for revisions to mobilization requirements, these requirements should be carefully reviewed to avoid unjustified increases. Include a corrected OPNAV Form 1000/4A if appropriate.

Forwarding endorsements should indicate whether changes are considered to be applicable to other activities having the same mission, tasks, functions, or equipment. This is particularly applicable to recommendations for ship or aircraft squadron classes originating within the chain of command of a fleet commander or type commander (TYCOM). Where changes appear to be applicable to given types or classes, both fleet commanders and TYCOMs should be provided copies of the request for their comments and recommendations.

## **ADVISORS**

To assist CNO and BUPERS in executing their responsibilities with regard to officer manpower and personnel, officer designator advisors are designated from among the Deputy and Assistant Chiefs of Naval Operations and commanders of systems commands. An advisor is assigned for each billet and personnel designator specialty category. In addition, the Deputy and Assistant Chief of Naval Operations, commanders of systems commands, and other offices are assigned officer subspecialty system consultants, coordinators, and sponsors responsibilities. The assigned officer designator advisors and subspecialty sponsors and

consultants are listed in the *Manual of Navy Officer Manpower and Personnel Classifications*, volumes I and II, NAVPERS 15839-G.

To assist CNO and BUPERS in executing their responsibilities with regard to enlisted manpower and personnel, enlisted rating advisors are designated from among the Deputy Chiefs of Naval Operations, commanders of systems commands, and heads of other offices as required. Each rating and Navy enlisted classification (NEC) code is assigned a primary advisor and, if necessary, a technical advisor to provide operational and technical expertise in the occupational areas in which a rating is involved. The assigned enlisted rating/NEC advisors we listed in volumes I and II of the *Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*, NAVPERS 18068-F.

### **MANPOWER AUTHORIZATION**

Whenever significant change requests are approved, OPNAV prepares and distributes a new Manpower Authorization, OPNAV Form 1000/2. However, minor changes in most cases do not justify the cost of the printing and distribution of a new form. In these cases most of the data reflected in the officer billets authorized may be verified by checking the Officer Distribution Control Report (ODCR).

Note the transaction number on the ODCR and compare it with the transaction number on your activity's latest MPA. If the number is different, a minor change has been probably approved that did not warrant reprinting a new MPA.

Block descriptions for the OPNAV Form 1000/2 are located in the *Manual of Navy Total Force Manpower*, OPNAVINST 1000.16G. All codes used in the Manpower Authorization, OPNAV Form 1000/2, and the Manpower Authorization Change Requests, OPNAV 1000/4A, are located in the following documents:

- *Manual of Navy Total Force Manpower Policies and Procedures*, OPNAVINST 1000.16G
- *Manual of Navy Officer Manpower and Personnel Classification*, volume I, NAVPERS 15839
- *Manual of Navy Enlisted Manpower and Personnel Classification and Occupational Standards*, volume I, *Occupational Standards* (OCCSTDs) and volume II, *Navy Enlisted Classifications* (NECs), NAVPERS 18068-F.

- *Enlisted Transfer Manual*, NAVPERS 15909-D
- *Required Functional Category (RFC) Directory*
- *Department of the Navy Civilian Personnel Data System* (NCPDS), SECNAVINST 12298.1A
- *Civil Service Handbook*

### **BILLET REQUIREMENTS REVIEW**

Proper classification of authorized billets is extremely important in managing the Navy's overall manpower and personnel resources. The numbers of billets throughout form the basis for strength planning, recruiting, training, and promoting military personnel.

Billet reviews are conducted periodically at the CNO level. In these reviews, decisions are made based on the existing classification of each billet as indicated on MPAs. Billets that are improperly classified become the lowest priority billets in the category in which they are classified. Consequently, if the objective is to delete or redistribute billets, the billets improperly classified are prime candidates for deletion or reprogramming.

The billet requirements and billet classifications within each Navy activity should be specifically reviewed at the activity level annually to guarantee the deletion of unnecessary billets and the proper classification of each authorized billet. If changes are required, a Manpower Authorization Change Request, OPNAV Form 1000/4A, should be submitted.

Valid requirements for billet changes that will require the movement of personnel should be identified and requested as early as feasible to permit orderly personnel management. Normally, 12 months are required after final billet approval before new or changed billets can be filled with personnel.

Compensation should normally be required for the requesting activity, manpower claimant, or subspecialty consultant for approval of the following:

- Increase in the number of billets.
- Increase in the billet paygrade.
- Billet designator or rating change.
- Increase in graduate education subspecialty requirements. These requirements must be prioritized to assist the manpower claimant and CNO in decisions in the event the request can be only partially approved.
- Special categories, such as headquarters, geographic locations, and counselors.

As a general rule, compensation is valid only when the quantity or quality requirement is removed from one billet and the corresponding quantity or quality requirement is applied to another billet. Compensation can neither be stored nor accumulated.

Even though an immediate requirement for personnel to satisfy approved manpower changes may exist, fiscal constraints, individual considerations, and nonavailability of distributable personnel assets may prevent early fulfillment of billet requirements.

### **DESIGNATION OF BILLETS FOR ENLISTED WOMEN**

Women in the Navy have an equal opportunity for assignment to all billets for which qualified and not otherwise prevented by law. However, in the interest of efficient distribution and use of personnel, procedures have been established to identify certain billets ashore as requiring women petty officers. The determining factor is the number of women petty officers relative to the total number of distributable personnel. There is, as a result, a need to make sure a minimum number of each are detailed to activities as required by activity function.

The conversion NEC WP-9999 has been authorized for use in identifying billets requiring women petty officers. This NEC may be used as either a primary or secondary NEC on MPAs. The intent is to make sure the activity is detailed sufficient women petty officers to till functions involving supervision, training, and counseling of enlisted women. Examples of appropriate billets are enlisted women's quarters (EWQ) managers, recruit training command (RTC) company commanders, or billets in correctional centers involving confinement of women.

Commanding officers should identify billets qualifying for NEC WP-9999 and submit appropriate MPA change requests. Use of this NEC must be adequately justified. Be prepared, cm request, to provide continued justification for such billet coding.

The manpower claimants should evaluate requests for billet coding in light of the previous guidance and the Navy Equal Opportunity Program.

The DCNO should evaluate requests for billet coding and approve or disapprove as appropriate.

### **REQUESTING CHANGES**

The MPA is prepared on OPNAV Form 1000/2. Requests for changes to the MPA must be submitted on the Manpower Authorization Change Request, OPNAV

Form 1000/4A, except when requesting minor changes. The *Manual of Navy Total Force Manpower Policies and Procedures*, OPNAVINST 1000.16G, contains information on the block descriptions and procedures for completing OPNAV Form 1000/4A. You should study and understand all applicable portions of this manual when you prepare a request to change your activity's MPA.

Submit requests of a routine nature separately from those that involve policy changes. This will expedite processing of routine change requests. To make sure an accurate data base exists to support the ER process, changes will not be accepted for the MPA while an ER study is being conducted. This freeze will be effective 3 months before the scheduled start date of the ER and continue until implemented. When submitting MPA change requests for implementation of ER most efficient organizations (MEOs), use the designated input function in the Manpower Claimant Access Support System (MANCLASS). Procedures for preparing the implementing manpower change requests for the ER MEO are contained in OPNAVINST 1000.16G. Routine MPA change requests are submitted according to the *Manpower Claimant Access Support System (MANCLASS) Users Manual*.

The completed Manpower Authorization Change Request, OPNAV Form 1000/4A, is forwarded with a cover letter that must explain the requested changes, reasons for the changes, compensation available if required, uncompensated requirements, and the justification for these requirements. If the request is not a result of the scheduled annual manpower review or ER MEO, explain the mission or function changes or other impacts imposed by higher authority that necessitate a change in manpower requirements.

Bold, legible hand-printing is quite acceptable on OPNAV Form 1000/4A. The expense of typing these forms is seldom warranted. The expense of photographically reducing these forms is never warranted because a new MPA can only be generated with a keypunch operation that uses completed full-size OPNAV Forms 1000/4A. Separate OPNAV Forms 1000/4A must be prepared to request changes to officer and enlisted MPAs. When either an officer or enlisted change request is prepared, consideration must be given to all officer or all enlisted billets in the activity that will be affected by the change. Unless a complete reorganization is being requested, only those billets to be added, changed, or deleted are entered on the OPNAV Form 1000/4A. The original and two copies (not reproductions) of the completed OPNAV Form 1000/4A and the original



forwarding letter we forwarded via the administrative chain of command to the activity manpower claimant. Provide a complete copy for each via addressee and the manpower claimant.

### **MANPOWER CHANGE SUMMARY SHEET**

A summary of aggregated qualitative changes must be included with requests for changes to MPAs. These changes are recorded on the Manpower Change Summary Sheet, OPNAV 100/52. Procedures for completing OPNAV 1000/52 are as follows:

- If 10 or more billets are involved in the revision, use the Manpower Change Summary Sheet, OPNAV 1000/52. Summarize the requested changes by designator and grade for officer billets and rates for enlisted billets. When submissions involve fewer than 10 billets, the summary may be included in the forwarding letter. If all the affected billets are not valid for the current plus 6 fiscal years, summaries must be submitted for each fiscal year.

- A separate summary must be submitted for changes involving officer and enlisted MPAs.

- If a change request involves two or more activities, a summary sheet for each individual activity and a consolidated summary should be submitted.

- If the summary differs by fiscal year, differences must be clearly indicated or a separate summary sheet must be submitted for each fiscal year.

- Each designator and rating should be listed on a separate line of the summary sheet in the order appearing on the Manpower Authorization, OPNAV 1000/52, summary. All designators/ratings being changed should be shown.

- Record the losses (compensation) on the upper left portion of the blocks on the form. Record gains on the lower right portion.

- Summarize the Total columns vertically and horizontally. Enter the results in the blocks directly above the Grand Total column.

- Omit Grade Points line. This line is no longer used.

### **SHORT-FORMAT CHANGE REQUEST**

A short format is provided for requesting minor changes to MPAs to reduce response time. These changes must be of such a routine nature as not to require action, review, or comment by officers in the chain of command or control. The changes that maybe requested by use of the short-format change request are restricted to the following:

- NEC changes incident to changes in authorized equipment. Changes of aircrew, instructor, or counselor NECs are not authorized for short-format change requests.

- Navy officer billet code (NOBC) changes for billets that do not require special pay and are not applicable to other similar commands.

- Correction of typographical errors noted in MPAs; for example, billet title.

The following format should be used when requesting minor changes:

To: CNO (OP-121)

Via: Type Commander/Claimant

Manpower Authorization (activity title) \_\_\_\_\_

Activity Code or UIC \_\_\_\_\_

Transaction Number of latest MPA held \_\_\_\_\_

Change Requested: (Clearly state what change is requested.)

Billet: (Identify each billet for which a change is requested. Indicate billet sequence code, title, and designator/grade or rating/rate.)

Justification: (Clearly state why the change is requested.)

Type commander statement of applicability to other like commands: (Forward via MANCLASS)

Copy to:

CO, NAVMAC



## CHAPTER 9

# TRAVEL

Reimbursement for travel cannot be made unless a travel order is issued or approved by the Secretary of the Navy (SECNAV). SECNAV's authority has been delegated or redelegate to other officials to issue orders directing a member or a group of members to travel between designated points. The *Joint Federal Travel Regulations (JFTR)*, volume I, and the *U.S. Navy Travel Instructions (NTI)* define travel status and contain detailed requirements for travel orders.

A travel order establishes, in writing, the conditions for official travel and transportation at government expense and provides the basis for the traveler's reimbursement. The principal type of travel orders that Yeomen (YNs) are concerned with are cost temporary additional duty (TAD) orders.

TAD orders are a form of temporary duty (TDY) that involves one journey away from the member's permanent duty station (PDS) in the performance of prescribed duties at one or more places and directs return to the starting point upon completion of such duties. Personnel on TAD remain assigned to the PDS from which they proceeded on TAD.

### TRAVEL TERMS

As a YN, you must become familiar with the terminology used in travel and know under what circumstances travel allowances are authorized and when they are paid. The travel terms and allowances most frequently encountered are as follows:

- Mileage allowance in lieu of transportation (MALT) is an allowance paid on a per mile basis for the official distance between the authorized points of travel to members performing travel at personal expense under permanent change of station (PCS) or TAD orders.

- Per diem is an allowance designed to offset the cost of lodging, meals, and incidental expenses incurred by a member while performing travel, TDY, or TAD away from the PDS. The allowance under the lodgings-plus system is established on the basis of the actual amount the member pays for lodging plus a prescribed amount for meals and incidental expenses (M&IE). A per diem allowance is payable for whole days, except for the day of departure from and the day

of return to the PDS, in which case it is computed on a quarter-day basis.

Applicable reductions and deductions for meals are made based on the availability of government facilities (quarters and meals). Per diem rates inside the continental United States (CONUS) are prescribed in the JFTR, volume I, appendix D, part I, and per diem rates for locations outside CONUS are prescribed in appendix B, part 1.

- Miscellaneous expenses are certain miscellaneous expenses that are not covered by another allowance and are reimbursed to a member incurring additional expenses while in a travel status. Specific expenses authorized for reimbursement are listed in the JFTR, volume I, chapter 4, part F.

- Common carrier is a firm finishing commercial transportation as a public service under rates prescribed by lawful authority. It includes railroad, bus, airplane, or ship.

- Government transportation request (GTR) is a document used to procure passenger transportation and/or specified passenger transportation services or accommodations from common carriers for members authorized to travel on official U.S. Government business. Transportation furnished is generally the most cost-efficient and quickest way to travel between authorized points.

- Transportation in kind is transportation provided on a government-owned conveyance at no cost to the member.

Table 9-1 lists the mileage allowance in lieu of transportation (MALT) and selected per diem rates. Before we go any further, remember that the rates listed in table 9-1 were current at the time this training manual was written. We will use these rates as we go through travel allowance computations. Although some of these rates will still be the same, you must refer to the appropriate section of the JFTR, volume 1, and use the current rates of MALT, per diem, and other travel allowances.

**Table 9-1.-Mileage Allowance in Lieu of Transportation (MALT) and Selected Per Diem Rates, for Illustration and Computation Purposes Only**

TYPE (REFERENCE)	RATES AND ALLOCATIONS
MALT, PCS MALT PLUS (JFTR, vol. 1, par. U5105)	\$0.15/mile (one authorized traveler) 0.17/mile (two authorized travelers) 0.19/mile (three authorized travelers) 0/20/mile (four or more authorized travelers)
Flat Per Diem, PCS MALT PLUS (JFTR, vol. 1, par. U5105)	\$50 per day for the allowable travel time (no deductions for meals)
Regular Per Diem, Inside CONUS (JFTR, vol. 1, appendix D, part I)	\$66 per day (Max. lodging - \$34 M&IE - \$26)
M&IE Allocation (JFTR, vol. 1, appendix D, part II)	\$5 (2.25) - Breakfast \$5 (0) - Lunch \$14 (9.00) - Dinner \$2 - Incidental expense
Locality Per Diem, Outside CONUS (JFTR, vol. 1, appendix B, part I)	\$120 per day (Max. lodging - \$86 M&IE - \$34)
M&IE Allocation (JFTR, vol. 1, appendix B, part II)	\$5 (2.25) - Breakfast \$9 (4.00) - Lunch \$13 (8.00) - Dinner \$7 - Incidental
MALT, TAD (JFTR, vol. 1, par. U3305)	\$0.25 (privately owned automobile) \$0.20 (privately owned motorcycle) \$0.45 (privately owned airplane)
DLA (JFTR, vol. 1, par. U5615)	Equal to the member's BAQ (with or without dependent) for 2 months.

**TEMPORARY ADDITIONAL DUTY  
TRAVEL ALLOWANCES**

A member ordered to perform TAD remains attached to the same PDS but a member on TDY in conjunction with PCS involves an old PDS and a new PDS. The JFTR makes no distinction between TDY and

TAD with regard to travel allowances while the member is at the temporary station.

**TAD MALT**

Normally, when a member travels by privately owned conveyance (POC) on TAD and he or she pays

the operating expenses of the POC, the member receives MALT for the official distance of the ordered travel plus per diem for the allowance travel time (TT). The MALT rate is based on the type of conveyance used as shown in table 9-1. Reimbursement of parking fees, ferry fares, road, bridges, and tunnel tolls for travel over the most direct route between the stations involved is also authorized.

**PER DIEM UNDER THE LODGINGS-PLUS SYSTEM**

The formula for computing per diem under the lodgings-plus system is as follows:

- Daily lodging cost + M&IE - deductions - per diem allowance.
- The amount calculated must not exceed the applicable locality per diem rate. The rates listed in the JFTR, volume 1, appendixes B and D, are the maximum per diem rates prescribed for reimbursing expenses incurred during official travel.

**Lodging Expense**

Lodging expense is based on the availability of government quarters. The amount allowed is the actual amount incurred or the maximum amount prescribed in the JFTR, volume 1, whichever is less. Some factors considered in determining allowable lodging expenses are as follows:

- Receipts for lodging are required to support a member's travel claim. If receipts are lost or destroyed or impractical to obtain, the traveler furnishes a statement to that effect to support payment of the travel voucher.
- Lodging cost includes charges paid for government quarters and commercial lodging facilities (hotels, motels, and boarding houses) including applicable taxes imposed, but does not include tips or porter fees.
- Lodging expenses are based on the single room rate when a member uses commercial lodging facilities.
- If a lodging receipt shows a charge for double occupancy and the other person sharing the room is a member or government employee on official travel, the traveler is allowed one-half of the double occupancy charge. If the other person is not on official travel, the traveler is allowed the single room rate. The rate is required to provide the single room rate.

- No cost for lodging is allowed if a member stays with friends or relatives while on TAD or TDY. This is regardless of whether or not payment of lodging is made to the friend or relative.

Additional instructions on lodging expenses are listed in the JFTR, volume 1, paragraph U4125.

**Meals and Incidental Expenses**

The M&IE are based on the availability of government mess and apportioned as follows: breakfast (BR), lunch (LU), dinner (DI), and incidental (IN) expense rates as shown in table 9-1. The current amounts, including apportionment, are listed in the JFTR, appendix B, part II, for outside CONUS and appendix D, part II, for inside CONUS. The dollar amounts in parentheses are used to reduce or increase the M&IE rate when government mess is available and the member is charged the full rate for each meal taken in the government mess.

Using the M&IE rate for inside CONUS in table 9-1 and assuming that a government mess is available to the member, the M&IE allowance is determined as follows:

\$5.00	(BR)
+5.00	(LU)
<u>+14.00</u>	(DI)
\$24.00	(Meal portion)
-11.25	(Total amounts in parentheses)
\$12.75	(Adjusted meal portion)
<u>+2.00</u>	(IN)
\$14.75	(M&IE allowance when a government mess is available)

Let us go further and assume that a government mess is available, but due to the nature of duty, use of two meals (BR and LU) is impractical. The M&IE allowance is determined as follows:

\$14.75	(M&IE rate when a government mess is available)
<u>+2.25</u>	(Total amounts in parentheses for BR and LU)
\$17.00	(M&IE allowance when a government mess is available but use of two meals is impractical)

Now you know how to determine M&IE when a government mess is available and the member is

charged the full rate for each meal taken in the government mess.

It is a different story when meals are furnished at no cost to the member. A deduction of the appropriate M&IE full meal rate (not in parentheses) is made from the member's M&IE allowance for each full day. This time we will assume that a member is on TAD or TDY outside CONUS, the locality M&IE is that amount shown in table 9-1, and BR and LU are furnished at no cost to the member. M&IE allowance is determined as follows:

\$34.00 (Full M&IE rate)
<u>-14.00 (BR and LU full meal rates)</u>
\$20.00 (M&IE allowance when a government mess is not available and BR and LU are furnished at no cost to the member)

Compared to lodging expense reimbursement, M&IE is payable to members without itemization of expenses and without receipts. Do not forget to add the daily lodging cost to the M&IE allowance to come up with the daily per diem allowance.

### **Essential Unit Messing**

When SECNAV determines that government messing is essential to training and readiness, enlisted members are provided meals without charge and officer members we assessed the discounted rate (charges for food only). Enlisted and officer members are not entitled to the meal portion of the M&IE rate. All members are paid an incidental expense rate of \$2 inside CONUS and the incidental expense rate in the JFTR, volume 1, appendix B, part II, outside CONUS, or \$3.50 when government quarters are available on a U.S. installation outside CONUS. These rates were current during revision of this training manual. As always, refer to the JFTR, volume 1, for the correct rates.

A good example in this case is when a naval mobile construction battalion assigns a detachment to an installation outside CONUS and unit messing is essential. Using table 9-1 and the rate of M&IE for outside CONUS, all members of the detachment are enlisted to a per diem of \$7 or \$3.50 a day when government quarters are available. These per diem rates are paid from the day after arrival through the day before departure at the TAD station.

### **Computations**

Before discussing the computation of per diem, be aware that there are situations when per diem

allowances are not payable. A complete list of circumstances in which per diem is not payable is found in the JFTR, volume 1, paragraph U4102. Some of the most common situations are as follows:

- Travel or temporary duty performed within the limits of PDS other than as authorized for the day of arrival at, departure from, or return to the PDS
- For any day of delay en route that is classified as leave or proceed time
- For any day that PCS MALT PLUS is payable
- For any period from the day after arrival through the day before departure that a member is a bed patient or an inpatient in a hospital
- For any period from the day after arrival through the day before departure that a member is on TDY or TAD aboard a government vessel where both quarters and mess are available
- For any period an enlisted member is undergoing processing, indoctrination, basic training, or instruction in a TDY/TAD status in a place where both government mess and government quarters are available before reporting to the first PDS
- For any period while a member is in a group travel status
- For any period when a member is ordered to active duty under orders that do not designate a specific PDS

The time allowable to complete the ordered travel is also considered in computing per diem allowances. Constructive travel time is the method you use to establish a basis for payment of per diem when the mode of travel directed is available but not used and the member is authorized to travel by another mode of transportation for his or her convenience (not advantageous to the government). Per diem allowances payable must not exceed the per diem payable for constructive travel over a usually traveled route by air or surface common carrier, whichever meets the requirements of the orders and is more economical to the government.

When constructive travel is determined, the travel allowances are based on the carrier's required check-in time plus travel time from home, office, or place travel actually began, and the carrier's scheduled arrival time at the terminal plus travel time to home, office, or place travel actually ended.

The availability of government facilities (quarters and mess) is another factor in per diem computation. Normally, available government facilities are used by members in a travel status to the maximum extent practical. Box lunches, in-flight meals, and rations furnished by the government on military aircraft are not considered a government mess for per diem computation purposes.

**DAY OF DEPARTURE FROM AND DAY OF RETURN TO PDS.**— The applicable M&IE rate is prorated on a quarter-day basis on the day of departure from and the day of return to the PDS as follows:

- On the day of departure and the member's travel status begins in the:
  - 1st quarter (0001 - 0600), 100 (4/4) percent of the M&IE rate is allowed;
  - 2d quarter (0601 - 1200), 75 (3/4) percent of the M&IE rate is allowed;
  - 3d quarter (1201 - 1800), 50 (2/4) percent of the M&IE rate is allowed;
  - 4th quarter (1801 - 2400), 25 (1/4) percent of the M&IE rate is allowed.
- On the day of return and the member's travel status ends in the:
  - 1st quarter (0001 - 0600), 25 (1/4) percent of the M&IE rate is allowed;
  - 2d quarter (0601 - 1200), 50 (2/4) percent of the M&IE rate is allowed;
  - 3d quarter (1201 - 1800), 75 (3/4) percent of the M&IE rate is allowed;
  - 4th quarter (1801 - 2400), 100 (4/4) percent of the M&IE rate is allowed.

On these days the prorated M&IE rate is reduced by the amount in parentheses shown in the JFTR, volume 1, appendix B, part II, or appendix D, part II, for each meal available in a government mess at the TAD station or stopover point.

Generally, per diem is based on the location of the member at 2400; however, there are occasions when the member is en route to a TDY or TAD location and does not arrive at the lodging site until 2400 or later. In that case, the member claims the lodging cost for the preceding calendar day and the maximum per diem is determined as if the member was at the lodging location at 2400 of the preceding day. If authorized travel to the TDY station requires more than 1 day and a stopover for

the night is required, the maximum per diem is based on the stopover point.

Likewise, when return travel requires more than 1 day and a stopover for the night is required or if authorized travel requires additional stopovers, the maximum per diem is based on the additional stopover points. The M&IE rate for the last en route stopover point applies to the day of return to the PDS.

**WHILE AT THE TAD/TDY STATION.**— The following factors are considered in computing the maximum daily per diem payable while at the TAD/TDY station:

- Locality per diem rate
- Availability of government quarters and mess
- Daily lodging cost not to exceed the maximum amount for lodging prescribed for the locality
- Endorsement to orders regarding impractical use of available government mess and meals finished at no cost to the member

The daily lodging cost added to the M&IE rate less deductions equals the maximum daily per diem payable. In most cases, the daily per diem rate is constant from the day after arrival until the day before departure at the TAD station.

Computation of per diem allowances is better understood by providing you with the following examples:

**EXAMPLE 1:**

Itinerary: (enlisted member travels on TAD via POC [automobile])

12/10	Dep: PDS	0930	
	Arr: TAD station	1600	310 miles
12/11	TAD		
12/12	TAD		
12/13	Dep: TAD station	1530	
	Arr: PDS	2215	310 miles

Lodging on a TAD station in government quarters costs \$6 per night and a government mess is available. We will use the regular per diem and M&IE rates for inside CONUS in table 9-1.

Reimbursement:

12/10	3/4 times \$26 = \$19.50 minus \$9 (dinner) plus \$6 (lodging)	= \$16.50
12/11	\$26 minus \$11.25 (amounts in parentheses) plus \$6 (lodging)	= 20.75
12/12	same as 12/11	= 20.75
12/13	4/4 times \$26 minus \$2.25 (breakfast and lunch)	= 23.75
	Round trip of 620 miles times \$0.25	= 155.00
	Total reimbursement	= \$236.75

EXAMPLE 2:

Itinerary: (officer members on TAD via air [GTR])

7/11	Dep: Residence	1500
	Arr: TAD station	2200
7/12	TAD	
7/13	TAD	
7/14	TAD	
7/15	Dep: TAD station	0930
	Arr: PDS	1700

Government quarters are not available and commercial lodging costs \$90 per night. A government mess is not available. We will use the regular per diem and M&IE rates for outside CONUS in table 9-1.

Reimbursement:

7/11	1/2 times \$34 plus \$86 (\$90 = limited to \$86)	= \$103.00
7/12	\$34 Plus \$86	= 120.00
7/13	same as 7/12	= 120.00
7/14	same as 7/12	= 120.00
7/15	5 3/4 times \$34	= 25.50
	Total reimbursement	= \$488.50

**PASSENGER TRANSPORTATION**

The policy of the U.S. Navy is to provide efficient, economical, and complete one-stop passenger transportation services for eligible Navy-sponsored travelers worldwide through the Pay/Personnel Administrative Support System (PASS).

As part of the overall management program, the passenger transportation division at a personnel support activity detachment (PERSUPPDET) of each personnel support activity (PERSUPPACT), as identified by the PERSUPPACT commanding officer (CO), is designated by the Bureau of Naval Personnel (BUPERS) as a Navy Passenger Transportation Office (NAVPTO).

NAVPTOs are full service transportation offices equipped with the latest state-of-the-art airline computer reservation equipment, complemented by a commercial travel office (CTO) having direct access to the Military Airlift Command (MAC). Normally, NAVPTOs and PERSUPPDETs are the sole source for obtaining official passenger transportation services.

In addition to NAVPTOs, passenger control points (PCPs) have been designated to arrange international and transoceanic passenger transportation in geographic regions where there are no NAVPTOs.

Passenger transportation services in connection with official travel are provided only by PERSUPPDETs. All international or transoceanic travel must be arranged by a NAVPTO or PCP. Only NAVPTOs and PCPs are authorized to deal with the MAC and Military Traffic Management Command (MTMC) in this capacity. A passenger reservation request (PRR) is submitted to a NAVPTO or a PCP for international or overseas passenger transportation. Overseas PCPs are not authorized to arrange any segment of international or transoceanic travel originating in CONUS. NAVPTOs and PCPs submit requests for passenger transportation to the appropriate MAC passenger reservation center according to OPNAVINST 4630.23 (NOTAL).

**TIMELY ARRANGEMENT OF TRANSPORTATION**

Transportation should be arranged as soon as requirements are known. It is not necessary to wait until travel orders are published and received. As all PCS travel is arranged in a standard manner within the PERSUPPDET, this applies primarily to temporary and TAD travel and special group moves. By arranging transportation at the earliest possible date, the PERSUPPDET/NAVPTO is able to obtain reservations on the desired date and route at the lowest overall cost.

As soon as the itinerary of temporary duty Navy-sponsored travelers (TAD/TDY/TEMADD) is known, commands where the travelers are originating are required immediately to accomplish the following:



- Submit the transportation requirements such as travel orders or PRR to the supporting PERSUPPDET or NAVPTO for arrangement of transportation.

- Prepare an Authorization to Apply for a “No-Fee” Passport and/or Request for Visa, DD Form 1056, when required and make sure the traveler applies promptly for a no-fee passport and/or visa from the supporting PERSUPPDET/NAVPTO.

## **PASSENGER RESERVATION PROCEDURES**

When passenger transportation is requested, the following passenger reservation procedures should be followed:

- When the travel is originating from a shore station, international or transoceanic travel must be arranged through the supporting PERSUPPDET. The PERSUPPDET will provide a PRR to the supporting NAVPTO, which will determine the method of travel and issue a port call as appropriate.

- When the travel is originating from a ship, afloat staff, or mobile unit, the following rules apply:

At home port/PDS, PRRs must be submitted to the NAVPTO or PCP supporting the home port/PDS; for example, ships home-ported in San Diego must submit PRRs to NAVPTO, San Diego.

If the member is deployed away from home port/PDS, PRRs must be submitted to the NAVPTO/PCP with regional responsibilities for the area in which operating.

On short operational requirements away from home port/PDS, PRRs must be submitted to the NAVPTO supporting the home port/PDS as well as a request to the nearest PCP/NAVPTO for return transportation to the home port/PDS if required.

Appendix A, chapter 1, *Issuance of Navy Passenger Transportation Manual* (PTM), NAVMILPERSCOMINST4650.2A, lists the NAVPTOs. The NAVPTO geographic areas of responsibility are identical to those of their PERSUPPACTs unless otherwise specified. Appendix B, NAVMILPERSCOMINST 4650.2A, illustrates the geographic areas of responsibility for CONUS PERSUPPACTs and their NAVPTOs.

Appendix C, chapter 1, NAVMILPERSCOMINST 4650.2A, lists the PCPs and their cognizant commands. Appendix D, chapter 1, NAVMILPERSCOMINST

4650.2A, illustrates the locations of all NAVPTOsS and PCPs worldwide.

## **PASSENGER RESERVATION REQUEST**

As stated earlier, all overseas travel or Navy-sponsored travelers are arranged by a NAVPTO or PCP. PRRs must be submitted to the servicing NAVPTO/PCP. The format for message, NAVGRAM, or letter PRR is as follows:

Item 1 - Name/Grade/Title: Complete last name, first name, middle initial, and Navy grade/rate or civilian rating, as applicable, of each person for whom a seat is requested in item 3. Include the dates of birth of children.

Item 2 - SSN/Officer Designator: Traveler or sponsor social security number is required on all PRRs. Officer designator is required for military personnel or their dependents.

Item 3 - Seats Required: Enter the total number of seats required.

Item 4 - Special Passenger Category: If the request contains passenger(s) who fall within categories listed below, enter the code indicated. Otherwise, omit item.

A - Civilians or dependents not otherwise described below

B - Civilians or military dependents who are close blood/affinitive relatives

D - Civilians paying cash instead of using a customer identification code (CIC) or for whom special credit billing procedures (account handling) must be applied

E - Military paying cash instead of using a CIC or for whom special credit billing (account handling) must be applied

F - Combination of passengers in codes D and E

H - Foreign nationals

J - School teachers

K - School key officials

M - Retirees

N - Separates

P - Prisoners

R - Prisoner escorts

S - Board actions

T- Passengers described in NOTE 1

Item 5 - Excess Baggage: Normally, two pieces of baggage per passenger are authorized on all MAC flights. Omit the item if no excess baggage is authorized. If excess baggage (over and above the normal baggage allowance) is authorized, indicate the number of pieces of excess baggage authorized.

Item 6 - Transportation Passenger Movement Priority: Enter the appropriate transportation movement priority code if shown in orders. Otherwise, omit item.

Item 7 - Type Travel Codes:

- PT - Authorized or directed air travel of military personnel in TDY (TEMADD/TAD/TAO.) See NOTE 1. This code is not to be used for emergency leave (EL) or temporary duty in connection with PCS orders.
- CT - Authorized or directed air travel of civilian personnel in TDY status.
- OA - Authorized or directed air travel of military officer personnel in PCS status, accompanied by dependents.
- EA - Authorized or directed air travel of military enlisted personnel in PCS status, accompanied by dependents.
- CC - Authorized or directed air travel of civilian personnel in PCS status, accompanied by dependents.
- PE - A dependent of a U.S. citizen employee of the Department of Defense (DOD) when classified as an armed forces patient.
- PU - Authorized or directed air travel of military personnel in PCS status, not accompanied by dependents.
- CU - Authorized or directed air travel of civilian personnel in PCS status, not accompanied by dependents.
- DU - Dependent(s) not accompanied by military member.
- CD - Dependent(s) not accompanied by civilian employee.
- EL - Emergency leave, military member (space required).

- RL - Reemployment leave, civilian sponsor and/or dependents (space required).
- RT - Authorized reimbursable air travel for non-DOD funded passengers.
- PC - A U.S. citizen employee of the DOD when classified as an armed forces patient.
- PM - An active duty or retired member of a military department, excluding the U.S. Coast Guard, in an armed forces patient status.

A dependent of a member of a military PD department on active duty or of a member deceased while on active duty, or a dependent of a retired or deceased retired member of a military department who is authorized medical care under the provisions of AFR 168-9 (NOTAL).

- PZ - Family members authorized to accompany U.S. Armed Forces patients who are transported in PCS status—reimbursable.
- PP - All other patients/persons for whom reimbursable transportation has been authorized, including members of the U.S. Coast Guard and their dependents.
- PA - Special medical or nonmedical attendants.

Passengers electing reimbursable space-required travel will be assigned travel codes as follows:

- RA - Dependent travel in connection with a family emergency.
- RB - Close blood/affinitive relatives traveling per the member's PCS move.
- RC - All other reimbursable travelers.

Item 8 - Date of Detachment/Graduation: Enter the date of detachment from present duty station, or the date of graduation if the member is a student.

Item 9 - Availability Departure Date: Preferred date of departure from the aerial point of embarkation (APOE). Indicate the day and month travel is desired from APOE after completion of authorized DELREP/TEMADD/TAD/TEM DU/TDY and travel time.

Item 10 - Mandatory Departure Date: Date by which the traveler must depart in order to arrive at destination in time to fulfill mission requirements (official commitment, conference, reporting deadline, or other). If there is no mandatory date in the orders, omit (this date is not applicable for dependents),

Item 11 - Origin Station: Enter the geographical location of present duty station, or in the case of ships,

the port where the individual will be detached. If detached overseas, state the location.

Item 12 - Ultimate Duty Station: Permanent or temporary duty station (activity or ship to include the unit identification code [UIC]) to which traveler is ending one-way trip. (Use the *Standard Navy Distribution List* [SNDL] or Navy communications abbreviations for activities, and include hull number of ship.)

Item 13 - Intermediate Duty Station: Station to which traveler will report for TEMADD/ TAD/ TEMDU/TDY while en route to ultimate duty station.

Item 14 - Leave Address After Detachment: Provide leave address, ZIP Code, and telephone number (including area code).

Item 15 - Orders Directing Transfer: Submit order number/transportation code (TC) directing PCS transfers (example: BUPERS Order 123456 for officers; BUPERS TC B0155 for enlisted). Submit TANGO number and date orders issued for TEMADD/TAD/TEMDU/TDY travel.

Item 16 - Additional Information: When applicable, indicate TEMADD/TAD/TEMDU/TDY activities in CONUS en route to overseas duty. Furnish any other pertinent information.

Item 17 - Return Date: If the traveler is on TEMADD/TAD, provide the date available for return transportation to duty station.

Item 18 - Return Origin: Point where temporary duty traveler will be available for return transportation.

Item 19 - Return Destination: Point to which temporary duty traveler must return.

Item 20 - Passports:

Member/sponsor. If travel is to a destination requiring a passport, and a no-fee passport is in the traveler's possession, give passport number and expiration date. If applying for a no-fee passport, give date and place of birth and date and place passport application was submitted.

Dependent. If dependent(s) are traveling to a destination requiring a passport, and no-fee passports are in their possession, give passport number and expiration date for each dependent. If applying for a no-fee passport, give date and place of birth and date and place each passport application was submitted.

Item 21- Dependent Travel: For dependent travel, provide the following information:

EAOS of member or obligated service date of naval reservist.

Estimated date dependents will be available to depart CONUS.

DOD prescribed accompanied tour length as indicated in the OFFTRANSMAN and/or ENLTRANSMAN.

Suitability of member and dependents for residency overseas. See OFFTRANSMAN and/or ENLTRANSMAN.

Item 22 - Fiscal Data: For personnel detaching from deployed units, include the funding appropriation to be used by the NAVPTO in case routing via commercial transportation may be required and a MAC CIC in case routing is via MAC transportation.

NOTE 1: Certain categories of passengers who were previously authorized space-available only are now also authorized the option of accepting space-required transportation reimbursable to the government by the traveler or sponsor. See NAVMILPERSCOMINST 4650.2A, chapter 6, section C.

## **PERMANENT CHANGE OF STATION TRAVEL FORM**

Each year the Navy spends millions of dollars for the transportation of military personnel and their dependents and the shipment of personal property between the old and new duty stations. The PCS Travel, NAVPERS 7041/1, is the primary source of statistical information regarding transfers and is an essential tool used in the fiscal management of the Permanent Change of Station (PCS) Program. Without the travel information, effective and efficient budgeting of PCS funds is impossible.

### **TYPES OF TRANSFERS**

Orders initiating PCS transfers originate as either BUPERS orders or field orders. BUPERS orders are delivered to the member's command from the orderwriting community. Field orders are delivered to the member under the authority of the CO and include the following:

- Accessions and separations (enlisted members, midshipmen, officer candidate school members,

aviation officer candidates, Navy flight officer candidates, and nuclear petty officer candidates)

- Change of PDS of organized units (ships, air units, other mobile units)
- Relocation of a shore-based activity

A NAVPERS 7041/1 must be submitted each time a member is involved in a PCS transfer. Failure to submit a NAVPERS 7041/1 has a negative effect upon the management of PCS funds and, as a result, members may be forced to cope with the following:

- Move freezes
- Tour extensions
- No new entitlements
- Possible promotion freezes
- Family hardships
- Extra work for the receiving command
- Unnecessary order modifications

It is the responsibility of both the member and the detaching PASS/personnel office to make sure the NAVPERS 7041/1 is completed. The PASS/personnel office must complete the accounting data and cost contained in the upper portion of the NAVPERS 7041/1 and then pass it to the member who must complete the remaining blocks that are applicable to the transfer (fig. 9-1).

## **COMPLETION AND SUBMISSION**

The member should complete the NAVPERS 7041/1 during the check-out process from the detaching PDS. This provides the member with sufficient time to resolve any indecisions concerning movement of dependents and/or household goods (HHG) and to adjust plans to conform to any modifications or cancellations to orders. For those members who are reentering the Navy, NAVPERS 7041/1 must be completed and submitted when they report to duty.

Upon completion, the NAVPERS 7041/1 should be mailed by the detaching office to the Director, Defense Finance Accounting System (PCSVAD), Anthony J. Celebrezze Federal Building, Cleveland OH 44199-2088.

Because of the importance of the NAVPERS 7041/1, correspondence is generated to ensure submission. Prospective detachment letters and listings are sent to commands requesting they make sure each

detaching member completes a NAVPERS 7041/1 during the check-out process. The Command Performance Monitoring System also summarizes the NAVPERS 7041/1 submission rate of detaching commands by UIC. Members who do not submit a NAVPERS 7041/1 are reported on a quarterly basis to the members' receiving command and proper submission is requested. The information the Navy member provides on the NAVPERS 7041/1 is vital to the effective management of the PCS Program by providing the means to closely estimate the cost of the PCS move and the subsequent obligation of funds. The data is also compiled for statistical use in developing budgets, costing proposed legislation, and responding to legislative inquiries.

## **INSTRUCTIONS FOR COMPLETION OF THE PCS TRAVEL FORM**

The NAVPERS 7041/1 is divided into the following blocks for ease of reference:

- Member/PCS Order Identification (blocks 1 through 5)
- Part I - Itinerary (blocks 6 through 18)
- Part II - Dependents' Itinerary (blocks 19 through 26)
- Part III - Household Goods (blocks 27 through 39)
- Part IV - Vehicles (blocks 40 through 43)

The following instructions are provided to assist you in preparing the PCS Travel, NAVPERS 7041/1. Refer to figure 9-1 as the blocks are discussed.

### **IDENTIFICATION**

Block 1 - NAME: Enter the member's last name, first name, middle initial.

Block 2 - SSN: Enter the member's social security number.

Block 3 - PAYGRADE: Enter the member's paygrade.

Block 4 - ORDER NO./AUTHORIZATION: Enter the authority for the PCS transfer.

Block 5 - ACCOUNTING DATA: Use the accounting data furnished on the PCS orders. All blanks on the form that do not contain prefilled data require accounting information. Refer to BUPERINST 7040.6, chapter II, for additional information relative to PCS accounting data.

PCS TRAVEL								
NAME DOE, JOHN D. (1)		SSN 123-45-6789 (2)	PAY GRADE E-5 (3)	ORDER NO/AUTHORIZATION B02748 (4)				
ACCOUNTING DATA (Fill in the following blank--Use accounting data on orders)								
(5) N D K E █ █ 1 7 8 1 4 5 3 .2 2 5 2 █ F 0 0 0 0 2 2 █ A L █ D K 8 1 1 B D █ COST CODE D K 8 1 2 3 4 5 6 7 8 9								
COMPLETE DATA BELOW AND SUBMIT THREE DAYS BEFORE DETACHMENT								
I YOUR ITINERARY								
A PRESENT DUTY STATION (PDS) FLELOG SUPPRON 24 DET, ROTA, SPAIN (6)		HOMEPORT ROTA, SPAIN (7)	DETACHMENT DATE 11/87 (8)	IF DEPLOYED ACTUAL LOC (9)				
B INTERMEDIATE DUTY STATIONS (If more than five use section I on reverse side)								
NAME/LOCATION		MDTVL (See Rev. Sec II)	NATURE OF DUTY (See Rev. Abbreviations)	CLCVN DATE	DURATION TD/TDI	LEAVE PERIODS		
(10) SHEPPARD AFB, WITCHITA FALLS, TX		(11) PA	(12) TEMDUINS	(13) 12/11/87	(14) 73 DAYS	(15) 11/20-12/8/87		
2 LITTLE ROCK AFB, LITTLE ROCK, AR		PA	TEMDUINS	2/28/88	71 DAYS			
3 NAS, N. ISLAND, SAN DIEGO, CA		CP	TEMDUINS	5/22/88	18 DAYS	6/10-6/13/88		
4								
5								
C ULTIMATE PERMANENT DUTY STATION (PDS) NAS PATUXENT RIVER, MD (16)		HOMEPORT PAX R. MD	IF DEPLOYED CHECK ONE (18) <input type="checkbox"/> INDIAN OCEAN <input checked="" type="checkbox"/> ATLANTIC <input type="checkbox"/> PACIFIC <input type="checkbox"/> CARIBBEAN <input type="checkbox"/> MED					
II DEPENDENTS' ITINERARY								
A MARITAL STATUS (19) WILL DEPENDENTS MOVE? (20)		INDICATE NUMBER OF DEPENDENTS MOVING BY AGE GROUP (21)						
<input type="checkbox"/> SINGLE <input checked="" type="checkbox"/> MARRIED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		UNDER 2 YRS 1 2-11 YRS 1 12 YRS & OLDER 1						
DESIGNATED PLACE Are dependents awaiting entry approval or will they establish a permanent residence? (provide location)								
<input checked="" type="checkbox"/> ENTRY APPROVAL <input type="checkbox"/> PERMANENT RESIDENCE AT (CITY/STATE)								
B MOVEMENT OF DEPENDENT(S) (Provide itinerary/See reverse side (Sec I) if for two letter modes of travel (MDTVL))								
(23) DATE	(24) FROM CITY/STATE/CNTRY	(25) TO CITY/STATE/CNTRY	(26) MDTVL (See Rev)					
1 11 87	ROTA, SPAIN	PHILADELPHIA, PA	GP					
2 11 87	PHILADELPHIA, PA	DALLAS, TX	CP					
3 6 88	DALLAS, TX	PATUXENT RIVER, MD	PA					
4								
III HOUSEHOLD GOODS								
A USEHOLD GOODS (HHG) (Complete blocks below and see reverse side (See I) for additional instructions if you are shipping HHG)								
SHIP NO	DATE SHIPPED FROM OLD PDS	EST ARRIVAL AT NEW PDS	METHOD	SHIP FROM	CITY/STATE/CNTRY ORIGIN	CITY/STATE/CNTRY DESTINATION	ESTIMATED WEIGHT	SHIPMENT CODE
1	11/87	6/88	C	R	ROTA, SPAIN	DALLAS, TX	300	EXP
2	11/87	6/88	C	R	ROTA, SPAIN	PAX RIVER, MD	5000	HHG
3								
B STORAGE (Complete if storing your HHG for more than six months)								
(36) ESTIMATED WEIGHT	(37) DATE STORED MO DA YR	(38) EST MOS IN STORAGE	(39) STORAGE LOCATION CITY / STATE					
█	█	█	█ / █					
IV VEHICLES								
A HOUSE TRAILER (Complete if you are moving a house trailer) Check one								
METHOD (40) <input type="checkbox"/> COMMERCIAL <input type="checkbox"/> SELF		LOCATION FROM (City/State) (41) TO (City/State)						
B ARE YOU MOVING YOUR POV OR MOTORCYCLE?								
(42) POV <input type="checkbox"/> YES <input type="checkbox"/> NO		(43) MOTORCYCLE <input type="checkbox"/> YES <input type="checkbox"/> NO						

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Figure 9-1. PCS Travel, NAVPERS 7041/1.

PART I - ITINERARY

Block 6 - PRESENT DUTY STATION: Enter the complete name of the present duty station from which member is being detached on PCS orders.

Block 7 - HOME PORT Enter the location at which ship, squadron, or other deployable unit is assigned.

Block 8 - DETACHMENT DATE: Enter the date on which the member is authorized to depart from the transferring command.

Block 9 - IF DEPLOYED ACTUAL LOC: If the member is detaching on PCS from a deployed ship, squadron, or other mobile unit, provide the actual location from which the travel commences.

**Block 10 - NAME/LOCATION:** Enter in sequence the complete titles of all the intermediate duty stations to which the member will report in carrying out the PCS orders. If there are more than five intermediate duty stations, continue the itinerary or sequence on the reverse side of the form in section I.

**Block 11 - MDTVL:** Enter appropriate two-digit mode of travel code contained on the reverse side of the form (sections I/II additional instructions) that reflects the method of transportation used in the execution of the PCS orders. The first character of the code should come from column (a) and the second character from column (b). The MDTVL code must be provided for the intermediate duty stations and ultimate PDSs; example: PA = Travel by Private Auto.

**Block 12 - NATURE OF DUTY:** Enter the reason member is reporting to the intermediate duty station. See Nature of Duty in Abbreviations section on reverse side of form; example: temporary duty under instruction (TEMDUINS).

**Block 13 - CLCVN DATE:** Enter the class convening date for the course of instruction.

**Block 14 - DURATION TD/TDI:** Enter the estimated number of days or weeks ordered to the associated TEMDUINS intermediate duty station or the estimated number of days or weeks at the TEMDU intermediate duty station; example: GRAD DATE less CLCVN DATE= DURATION OF TDI (21 FEB 93 TO 11 DEC 93 = 73 DAYS).

**Block 15 - LEAVE PERIODS:** Provide an estimate of any leave periods anticipated before, during, and/or between intermediate duty assignments.

**Block 16 - ULTIMATE PERMANENT DUTY STATION:** Enter the complete name of the ultimate activity to which the member is ordered to report.

**Block 17 - HOME PORT** Enter the home port of the ultimate duty station.

**Block 18 - DEPLOYED:** If the ultimate duty station is deployed (ship, squadron or mobile unit), provide the geographical location by checking the appropriate block.

#### **PART II - DEPENDENTS' ITINERARY**

**Block 19 - MARITAL STATUS:** Indicate if the member is single or married.

**Block 20 - WILL DEPENDENTS MOVE:** Indicate if dependents will accompany member in the PCS move.

**Block 21 - NUMBER OF DEPENDENTS MOVING BY AGE GROUP:** Indicate the number of dependents by age group. Spouse should be included in the 12 years and over group.

**Block 22 - DESIGNATED PLACE:** If the member is ordered to an overseas duty on PCS orders, indicate whether dependents will be awaiting entry approval or established permanent residency. Provide the actual location (city/state) of the new permanent resident determined by the member and his or her dependents.

**Block 23 - DATE:** Provide anticipated month/year of dependents' movement.

**Block 24 - FROM:** Provide the location (city/state/country) where travel commences.

**Block 25 - TO:** Provide the location (city/state/country) where travel terminates. Include all movements to locations that are leave points and ports of embarkation and debarkation.

**Block 26 - MDTVL:** Enter two-digit mode of travel code contained on reverse side of form (sections I/H, additional instructions) that reflects method of transportation used by the dependents. MDTVL code constructed in the same manner as described in member itinerary, block 11.

#### **PART III - HOUSEHOLD GOODS**

**Block 27 - SHIP. NO.:** Provides space for three separate shipments.

**Block 28 - DATE SHIPPED FROM OLD PDS:** Enter the month/year of the HHG shipment from the old PDS.

**Block 29 - EST ARRIVAL AT NEW PDS:** Enter month/year HHG are expected to arrive at the new PDS. The required delivery date (RDD) determined by the transportation counselor per information supplied by the member and provisions of the DOD regulations maybe used.

**Block 30 - METHOD:** Enter C for commercial shipment or D for the do-it- yourself method. Reverse side of form (section III) contains these codes.

**Block 31 - SHIP FROM:** Enter R if HHG were shipped from residence or S if shipped from storage. Reverse side of form (section III) contains these codes.

**Block 32 - CITY/STATE/CNTRY ORIGIN:** Location from which HHG are being shipped.

**Block 33 - CITY/STATE/CNTRY DESTINATION:** Location where HHG are to be shipped.

Block 34 - ESTIMATED WEIGHT: Enter the total estimated weight of the member's HHG shipment. An accurate estimate of the weight is very important and may prevent an excess-weight shipment. Three methods of estimating the weight are provided as follows:

- Past experience from a previous shipment of HHG.
- Estimate of 1,000 pounds per room.
- Inventory of Household Goods, DD Form 1701.

This form is an inventory of HHG and can be used to estimate the total weight. The DD Form 1701 can be obtained through the local transportation office.

NOTE: Assistance can be provided by the counselor at the local transportation office in developing an estimate of HHG weight and obtaining information concerning entitlements to ship/store HHG.

Block 35 - SHIPMENT CODE: Enter HHG for shipments that contain all or the majority of personal effects and property. Enter EXP for those HHG that are shipped separately from the bulk shipment and are required immediately or soon after the arrival of the member from performance of duty and welfare of their dependents.

NOTE: Complete blocks 36 through 39 only if storage of HHG is anticipated to be more than 6 months.

Block 36 - ESTIMATED WEIGHT: Enter the estimated weight of HHG to be stored.

Block 37 - DATE STORED: Enter the date HHG will enter storage.

Block 38 - EST MOS IN STORAGE: Enter the estimated number of months HHG will be in storage.

Block 39 - STORAGE LOCATION: Enter the city/state where HHG are to be stored.

#### PART IV - VEHICLES

House Trailers. Note the following restrictions regarding movement of house trailers:

If the transfer involves a move within CONUS and the member is moving a house trailer, the member is not entitled to ship HHG.

If the member is being transferred to/from overseas, the member may ship HHG to/from overseas and move a house trailer; however, the house trailer cannot be moved outside CONUS.

Block 40 - METHOD: Check the applicable block (commercial or self) for preferred method of movement.

Block 41 - LOCATION: Provide the location (city/state) the house trailer is being moved from and the location (city/state) the house trailer is being moved to.

Privately Owned Vehicle. Complete this section only if the member is being transferred overseas. Either a POV or a motorcycle may be shipped overseas as a single vehicle shipment, but not both. If a member wishes to ship both, the motorcycle should be shipped as part of the member's HHG and the POV as a vehicle shipment. When shipping a motorcycle as HHG, include it in the estimated weight of the HHG shipment.

Block 42 - POV: Check the Yes box if shipping a POV overseas; otherwise, check the No box.

Block 43 - MOTORCYCLE: Check the Yes box if shipping a motorcycle overseas; otherwise, check the No box.

The reverse side of the form contains additional instructions and provides for member's signature.





## CHAPTER 10

# SECURITY

“You have been given two ears, two eyes, and but one tongue—to the end that you should hear and see more than you speak.”

This chapter contains information about the security of documents and personnel in the Navy. The information will help you to become familiar with the individuals within the chain of command who are responsible for making sure security requirements are fulfilled. The chapter also covers security briefings and debriefings.

### THE NAVY SECURITY PROGRAM

The basis of the information and personnel security program is the fact that there is official information truly essential to the national security that requires control of its dissemination so the information will not be used to the detriment of the United States. To protect this information from disclosure to any persons except those whose official duties require knowledge and possession and who have been determined to be trustworthy, it is classified. A level of classification is assigned from which flows standards for protection under the varying conditions that may arise in connection with its use, dissemination, storage, transmission, and disposal. Only that information that is truly essential to the national security maybe classified, and then only to the extent and for the period of time necessary.

All personnel who have been granted access to classified material must be knowledgeable as to security orientation, education, and training. When the Navy security program is in place and working as it should be, it will accomplish the following goals:

- Familiarize all personnel who are granted access to classified information with proper security measures necessary in performing their duties
- Remind all levels of command of their responsibility for ensuring that classified information is effectively and economically safeguarded
- Ensure conscientious and willing compliance with security regulations, procedures, and practices

- Remind commands of their responsibilities in proper classification, upgrading, downgrading, and declassification procedures as outlined in the *Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.1H

- Inform personnel who have access to classified material of the hazards involved due to unauthorized disclosure and impress on these personnel their responsibility in protecting classified documents

- Inform personnel of their responsibility to report attempts by foreign agents to obtain U.S. classified information

- Familiarize personnel with the techniques and devices used by foreign agencies to obtain classified U.S. information

- Advise personnel against using the telephone as a means of transmitting or discussing classified material

- Make personnel aware of the disciplinary action that may result from unauthorized disclosure of classified documents

### RESPONSIBILITY

The Secretary of the Navy (SECNAV) is responsible for establishing and maintaining an information security program and a personnel security program in compliance with the provisions of Executive orders, public laws, National Security Council, Department of Defense, and other security directives regarding the protection of classified information, acceptance and retention of personnel, and assignment to sensitive duties.

The Chief of Naval Operations (CNO) is responsible to SECNAV for information and personnel security. The Special Assistant for Naval Investigative Matters and Security (OP-09N) has been designated as the official primarily responsible for making sure that there is an effective program and that it complies with all the directives issued by higher authority.

Commanding officers are held responsible for the proper indoctrination of personnel in safeguarding classified material. However, you, as the senior YN in

your office, are responsible for proper indoctrination of personnel under your supervision. You must be sure your personnel are fully aware of regulations and execute a policy of strict compliance with all security regulations at all times.

Effective security is accomplished when you recognize, understand, and apply the security requirements that prevent compromise and subversion. Some individuals who work with classified information on a daily basis may become careless about using proper safeguard measures. When you see this happen in your office, take corrective action immediately.

## **EFFECTIVE SECURITY**

The primary objective in organizing and conducting an effective security program that should be impressed on your personnel is that security is not something separate and apart from their other duties. It is a natural element of every duty they perform.

An effective security program will help you to make your personnel security conscious at all times. You can use various approaches to organizing a security program that have real meaning and create a lasting impression on your personnel. Posters, cartoons, charts, and films are effective tools if properly used.

When you use posters, place them in areas of maximum travel and always at eye level. Use various types and rotate them often to combat boredom. People become security conscious only when you stimulate their interest and provide motivation for personal involvement.

When you have instilled a sense of self-responsibility in your personnel, a trait that eliminates carelessness, ignorance, or plain indifference, you have accomplished security consciousness.

Effective security can only be achieved when personnel know how, when, and with whom to discuss classified information.

## **BRIEFINGS**

Security education/briefings fall into the following categories:

- Indoctrination
- Orientation
- On-the-job training

- Annual refresher briefings
- Counterespionage briefings
- Special briefings
- Debriefings

## **INDOCTRINATION**

Everyone who enters the Navy and the Marine Corps needs to have a basic understanding of what classified information is and why and how it is protected. This basic indoctrination is done during training at the time of accession nose who don't go through a formal training period are indoctrinated by the receiving command.

It is not enough to make sure an initial indoctrination briefing is accomplished for new personnel; you must also make sure periodic briefings are conducted for all personnel having access to classified information. In addition, security briefings may be appropriate when:

- an abnormal number of security violations occur.
- there is an increase in quantity or sensitivity of classified information being handled.
- the mission of a command increases in terms of security risk involvement (personnel or physical).

## **ORIENTATION**

Orientation briefings are a must for personnel whose job requires access to classified material. The briefing should be conducted as soon as possible after an individual reports aboard and before he or she is granted access to classified information. Orientation briefings are also necessary for personnel who, although not required to have access to classified material, are closely associated with cleared personnel or who are attached to a command that has a primary mission that involves highly classified material and information. The orientation briefing places emphasis on the following factors:

- Personnel having knowledge of classified defense information must not disseminate it until it has been determined that the recipient has the appropriate security clearance and needs the information to perform his or her official duties. Each person has the responsibility for making this determination.

- Individuals may not have possession of classified information unless they have the necessary clearance and a need for the information in the performance of their duties.

- Individuals must be made keenly aware of their moral and legal responsibility for any classified material or information they may have in their possession. Individuals are required to make sure such material or information is given the degree of protection that it requires.

- Individuals must be made aware of the possibility of espionage and subversion attempts and the defensive steps that they must take against such attempts.

- Personnel must not discuss classified information on the telephone.

### **ON-THE-JOB TRAINING**

Supervisors must make sure subordinates know the security requirements. Supervision of the on-the-job training process is critical. Leaving subordinates to learn by trial and error is costly to security, and so is assuming they know how classified information is to be protected. Compromise reports often reveal that fault lies with the supervisor who negligently or incorrectly assumed that subordinates knew what they were supposed to do. Examples include sending people on burn (destruction) detail without instructing them on proper destruction methods; assigning people to mail rooms without training them in preparation and transmission of classified material; or designating Top Secret control officers without reviewing control requirements.

### **REFRESHER BRIEFINGS**

Once a year, all personnel who have access to classified information must receive a refresher briefing or equivalent training by supervisory personnel designed to enhance security awareness. The annual refresher briefing or equivalent training may be addressed to the entire command on general security matters, changes in policies, or procedures. It is unlikely that it will be possible to schedule everyone in the command at the same time. The refresher briefing will probably be more effective if it is tailored for a particular group. For example, brief those who are most likely to travel on command business. For clerical personnel, concentrate on the preparation of classified material. People who draft classified documents should be briefed on procedures for classifying and marking material.

## **COUNTERESPIONAGE BRIEFINGS**

Once every 2 years, personnel who have access to material classified Secret or above must be given a counterespionage briefing by a Naval Investigative Service (NIS) agent. The security manager is responsible for arranging for the briefing with the local NIS office. A list of NIS components are listed in OPNAVINST 5510.1H appendixes.

### **SPECIAL BRIEFINGS**

A special briefing covers a specific topic or problem and is given to a designated group. This type of briefing is often longer and more detailed than most other briefings. Special briefings are used to acquaint personnel with particular enemy capability. Some examples of such briefings are as follows:

- Foreign travel briefing
- NATO briefings
- Single-integrated operational plan extremely sensitive information (SIOP-ESI)
- Sensitive compartmented information (SCI)

### **Foreign Travel Briefings**

Sometimes individuals are required to travel through certain foreign countries or when representatives of certain foreign countries are expected to participate in a meeting, the commanding officer must make sure the individual who is going to travel undergoes a defensive foreign travel briefing. Individuals who frequently travel (more than once a month) or attend meetings or host meetings for foreign visitors need not be briefed at each occasion. However, such individuals must be provided a thorough briefing at least once every 6 months and a general reminder of security responsibilities before each such activity. Individuals intending cruises on Soviet ships, which have recently become available, also require this precautionary briefing. In the interest of national security, and when deemed appropriate by the commanding officer, dependents may also be provided with the same briefing. It should place special emphasis on the various areas of interest to hostile intelligence services, the techniques used by these services, and on the nature of conduct or activity that could place a person in a compromising situation.

When the individual returns, he or she must be debriefed to provide the opportunity to report any

incident—no matter how insignificant it might have seemed—that could have security implications. A record should be maintained on individuals given the foreign travel briefing for follow-up.

### **Special Access Programs**

Any program requiring additional security protection and handling measures; special investigative, adjudicative and clearance procedures; reporting procedures; or formal access lists is considered a special access program. These programs require special briefings before access may be granted.

- NATO-Individuals who are to have access to NATO information must be briefed on NATO security procedures by the NATO security officer. See OPNAVINST C5510.101.

- Single-integrated operational plan extremely sensitive information (SIOP-ESI)—A special briefing is given by an individual with SIOP-ESI access and is based on OPNAVINST S5511.35. A briefing and debriefing certificate is issued in the form recommended in DOD 5200.2-R.

- Sensitive compartmented information (SCI)—The special security officer (SSO) is responsible for briefing those individuals who are to have access to SCI.

Additional special access programs are listed in OPNAVINST 5510.1H. Special access programs cannot be established within the Department of the Navy without prior approval.

### **DEBRIEFINGS**

When personnel no longer require access to classified material, are transferred, separated from active duty, or inadvertently gain substantive access to information that they were not eligible to receive, the commanding officer must make sure a security debriefing is conducted. The purpose of this debriefing is to inform the individuals of their responsibility in protecting classified material they have knowledge of, and it serves as a reminder that the persons are to report to proper authorities any attempt by unauthorized individuals to obtain classified information that they may possess.

### **DEBRIEFING STATEMENT**

The Security Termination Statement, OPNAV Form 5511/14 (fig. 10-1), must be executed by civilian and

military personnel including senior officials (flag and general officers and senior executive service and equivalent positions) when any of the following events occurs:

- An individual terminates active military service or civilian employment or is temporarily separated for a period of 60 days or more including sabbaticals and leave without pay.
- A limited access authorization expires.
- A security clearance is revoked for cause.
- A security clearance is administratively withdrawn.

When a security termination statement has been executed, the witness to the signature must sign the security termination statement. If someone refuses to execute the security termination statement, the individual will be debriefed anyway, before a witness if possible, stressing the fact that refusal to sign the security termination statement does not change the individual's obligation to protect classified information from unauthorized disclosure. The statement will be annotated to show the identity and signature of the witness, if one was present, and that the individual was debriefed, but refused to sign. A copy will be forwarded to CNO (OP-09N). Failure to execute the statement is reported immediately to the Deputy Under Secretary of Defense for Policy via CNO (OP-09N).

When the action described above has been accomplished, the security termination statement becomes part of the individual's record. The original security termination statement will be placed in the individual's official personnel record for permanent retention except for the following:

- When the security clearance of a marine has been revoked for cause, the original is forwarded to the Commandant of the Marine Corps (MSRB) as an enclosure to the revocation letter, and a copy is placed in the service record.

- When the security termination statement has been executed at the conclusion of a limited access authorization, the original is retained in command tiles for 2 years.

A security termination statement is not executed when a member is being transferred from one command to another. A debriefing is given and the member is told that all classified material must be returned. Any

Commanding Officer  
Fleet Intelligence Center Pacific  
Honolulu, HI 96860-5000

1. I HEREBY CERTIFY that I have conformed to the directives contained in the Information Security Program Regulation (OPNAV Instruction 5510.1), and the Communications Security Material System Manual (CMS-4) in that I have returned to the Department of the Navy all classified material which I have in my possession.

2. I FURTHER CERTIFY that I no longer have any material containing classified information in my possession.

3. I shall not hereafter communicate or transmit classified information orally or in writing to any unauthorized person or agency. I understand that the burden is upon me to ascertain whether or not information is classified and agree to obtain the decision of the Chief of Naval Operations or his authorized representative on such matters prior to disclosing information which is or may be classified.

4. I will report to the Federal Bureau of Investigation or to competent naval authorities without delay any incident wherein an attempt is made by an unauthorized person to solicit classified information.

5. I Paul Tee Boat have been informed and am aware that Title 18 U.S.C., Sections 793.799, as amended and the Internal Security Act of 1950 prescribe severe penalties for unlawfully divulging information affecting the National Defense. I certify that I have read and understand appendix F of the Information Security Program Regulation OPNAV Instruction 5510.1. I have been informed and am aware that certain categories of Reserve and Retired personnel on inactive duty can be recalled to duty, under the pertinent provisions of law relating to each class for trial by court-martial for unlawful disclosure of information. I have been informed and am aware that the making of a willfully false statement herein renders me subject to trial therefor, as provided by Title 18 U.S.C. 1001.

6. I have/have not received an oral debriefing.

SIGNATURE OF WITNESS

  
TYPE OR PRINT NAME OF WITNESS

Water T. Door

SIGNATURE OF EMPLOYEE OR MEMBER OF NAVAL OR  
MARINE CORPS SERVICE (Fill in first, middle, and last name  
If military, indicate rank or rate. If civilian indicate grade.)

  
DATE

15 Apr 93

Figure 10-1. Security Termination Statement, OPNAV Form 5511/14.

material personally compiled, such as classified notes or notebooks, for which the member has a legitimate

need at the new command will be forwarded through official channels.



# CHAPTER 11

## LEGAL

Military law consists of the statutes governing the Military Establishment and regulations issued thereunder, the constitutional powers of the President and regulations issued thereunder, and the inherent authority of military commanders. Military law includes jurisdiction exercised by courts-martial and the jurisdiction exercised by commanders with respect to nonjudicial punishment. The purpose of military law is to promote justice, to assist in maintaining good order and discipline in the armed forces, to promote efficiency and effectiveness in the Military Establishment, and thereby to strengthen the national security of the United States.

This chapter contains information about the exercise of military jurisdiction through investigations.

### ADMINISTRATIVE INVESTIGATIONS (FACT-FINDING BODIES)

The Judge Advocate General is responsible for the administration, supervision, collection, storage, and release of investigations conducted by administrative fact-finding bodies under the provisions of the *Manual of the Judge Advocate General*, (JAGMAN), JAGINST 5800.7C.

An officer in command is responsible for initiating investigations of incidents occurring within his or her command or involving his or her personnel. The reporting command of a member who is injured or dies during permanent change of station (PCS) transfer should make sure appropriate investigations are conducted. If a command believes that its investigation of an incident is impractical, it may request another command to conduct the investigation.

Administrative fact-finding bodies collect and record information. Their reports are advisory. Their opinions, when expressed, do not constitute final determinations or legal judgments, and their recommendations, when made, are not binding upon convening or reviewing authorities.

The primary function of an administrative fact-finding body is to search out, develop, assemble, analyze, and record all available information about the matter under investigation.

The convening authority prescribes the time period an administrative fact-finding body has to submit its investigation. This period should not normally exceed 30 days from the date of the convening order. For good cause, however, the convening authority may extend the period. Requests and authorizations for extensions must be included as enclosures to the investigations.

The convening authority and subsequent reviewers have 30 days to review the investigation. In death cases, the period for review is 20 days. Noncompliance with these time requirements must be explained in the endorsement of the deviating command.

### TYPES OF ADMINISTRATIVE FACT-FINDING BODIES

There are three types of administrative fact-finding bodies:

- Courts of inquiry
- Fact-finding bodies required to conduct hearings
- Fact-finding bodies not required to conduct hearings

The type of fact-finding body convened is determined by the purposes of the inquiry, relative seriousness of the subject under inquiry, complexity of factual issues involved, time allotted for completion of the investigation, and the nature and extent of powers required to conduct the investigation.

#### Court of Inquiry

A court of inquiry is convened by persons authorized to convene general courts-martial or so designated by the Secretary of the Navy. (See Article 135, *Uniform Code of Military Justice* [UCMJ].) A court of inquiry consists of at least three commissioned officers as members and appointed legal counsel for the court. A court of inquiry is convened by a written appointing order. Testimony is taken under oath and all open proceedings are recorded verbatim, except arguments of counsel, regardless of whether it is directed in the appointing order. Hearing procedures are used. Persons subject to the UCMJ whose conduct is subject to inquiry must be designated parties. Upon their

request to the court, persons subject to the UCMJ or employed by the Department of Defense who have a direct interest in the subject of inquiry must be designated parties. The court of inquiry has the power to subpoena civilian witnesses.

**Fact-Finding Body Required to Conduct a Hearing**

A fact-finding body required to conduct a hearing is convened by persons authorized to convene general or special courts-martial. It consists of one or more commissioned officers and should have legal counsel appointed for the proceedings. It is convened by a written appointing order. The appointing order should direct that all testimony be taken under oath and/or all proceedings recorded verbatim. A hearing procedure is used. Persons whose conduct is subject to inquiry or who have a direct interest in the subject of the inquiry may be designated parties by the convening authority in the appointing order. Additionally, the convening authority may authorize the fact-finding body to designate parties during the proceedings. A fact-finding body to conduct a hearing does not possess the power to subpoena witnesses, unless convened under Article 139, UCMJ, and JAGINST 5800.7C, chapter IV.

**Fact-Finding Body Not Required to Conduct a Hearing**

A fact-finding body not required to conduct a hearing is convened by a person authorized to convene general, special, or summary courts-martial, or to impose disciplinary punishment under Article 15, UCMJ, including an officer in charge or an officer who holds delegation of authority for such purpose from the convening authority. It consists of one or more persons within the Department of the Navy and may have legal counsel appointed for the proceedings. It is convened by a written appointing order. Ordinarily, a fact-finding body not required to conduct a hearing is not directed to take testimony under oath or to record testimony verbatim. However, it may collect evidence by personal interviews, telephone inquiries, and correspondence. It may not designate any person as a party to the investigation, nor does it possess the power to subpoena witnesses.

**SUSPECT'S RIGHTS ACKNOWLEDGEMENT/STATEMENT**

A person subject to the code who is required to give warnings under Article 31 may not interrogate or request any statement from an accused or a person suspected of an

offense without first complying with the following actions:

- Informing the accused or suspect of the nature of the accusation
- Advising the accused *or* suspect that the accused or suspect has the right to remain silent
- Advising the accused or suspect that any statement made may be used as evidence against the accused or suspect in a trial by court-martial

Interrogation includes any formal or informal questioning that either an incriminating response is sought or is a reasonable consequence of such questioning. If a person chooses to exercise the privilege against self-incrimination or the right to counsel under the Military Rule of Evidence (Mil. R. Evid.) 305, questioning must cease immediately.

After receiving applicable warnings under Mil. R. Evid. 305, a person may waive the rights described therein and in Mil. R. Evid. 301 and make a statement. The waiver must be made freely, knowingly, and

SUSPECT'S RIGHTS AND ACKNOWLEDGEMENT/STATEMENT			
FULL NAME (ACCUSED/SUSPECT)	SSN	RATE/RANK	SERVICE (BRANCH)
ACTIVITY/UNIT			DATE OF BIRTH
NAME (INTERVIEWER)	SSN	RATE/RANK	SERVICE (BRANCH)
ORGANIZATION		BILLET	
LOCATION OF INTERVIEW		TIME	DATE
RIGHTS			
I certify and acknowledge by my signature and initials set forth below that, before the interviewer requested a statement from me, he warned me that:			
(1) I am suspected of having committed the following offense(s): _____			
(2) I have the right to remain silent; -----			<input type="checkbox"/>
(3) Any statement I do make may be used as evidence against me in trial by court-martial; -----			<input type="checkbox"/>
(4) I have the right to consult with lawyer counsel prior to any questioning. This lawyer counsel may be a civilian lawyer retained by me at my own expense, a military lawyer appointed to act as my counsel without cost to me, or both; and-----			<input type="checkbox"/>

Figure 11-1. Suspect's Rights Acknowledgement/Statement, NAVJAG 5810/10.



intelligently. A written waiver is not required. The accused or suspect must acknowledge affirmatively that he or she understands the right involved, affirmatively decline the right to counsel, and affirmatively consent to making a statement.

The Suspect's Rights Acknowledgement/ Statement, NAVJAG 5810/10, (fig. 11-1) is a suggested format that may be used by investigative personnel in cases in which suspects desire to waive their rights concerning self-incrimination and to make statements. This format is designed as a guide and its use is not mandatory.

**RECORD OF THE FACT-FINDING BODY**

The courts of inquiry and administrative fact-finding bodies required to conduct a hearing must keep a written record of their proceedings that will be authenticated by the signature of the investigating officer or president, In the case of a minority report it must be signed by the members, if available, of the fact-finding body acknowledging the report to be true.

The statement which appears on this page (and the following \_\_\_\_\_ page(s), all of which are signed by me), is made freely and voluntarily by me, and without any promises or threats having been made to me or pressure or coercion of any kind having been used against me.

\_\_\_\_\_

SIGNATURE (ACCUSED/SUSPECT)

---



---

Figure 11-1.Suspect's Rights Acknowledgement/Statement, NAVJAG 5810/10-Continued.

When the record cannot be authenticated by the investigating officer or president, it should be signed by counsel to the investigation.

The record of proceedings of a fact-finding body should include the original appointing order and any other communications from the convening authority. It should contain the verbatim testimony of all witnesses, all exhibits received in evidence by the fact-finding body, and all proceedings of the investigation except that, in the discretion of the fact-finding body, arguments presented on behalf of the government and any party to the inquiry maybe summarized. A copy of the findings of fact, opinions, and recommendations should be prefixed to the record. (See example in JAGINST 5800.7C.)

The record of proceedings, together with the number of complete copies required by the circumstances, should be forwarded to the convening authority.

If at anytime during the proceedings an individual is requested by a government representative to supply personal information, compliance with the Privacy Act

(5) I have the right to have such retained civilian lawyer and/or appointed military lawyer present during this interview. \_\_\_\_\_

-----

WAIVER OF RIGHTS

I further certify and acknowledge that I have read the above statement of my rights and fully understand them, and that, \_\_\_\_\_

(1) I expressly desire to waive my right to remain silent; \_\_\_\_\_

(2) I expressly desire to make a statement; \_\_\_\_\_

(3) I expressly do not desire to consult with either a civilian lawyer retained by me or a military lawyer appointed as my counsel without cost to me prior to any questioning; \_\_\_\_\_

(4) I expressly do not desire to have such a lawyer present with me during this interview; and \_\_\_\_\_

(5) This acknowledgement and waiver of rights is made freely and voluntarily by me, and without any promises or threats having been made to me or pressure or coercion of any kind having been used against me. \_\_\_\_\_

SIGNATURE (ACCUSED/SUSPECT)	TIME	DATE
SIGNATURE (INTERVIEWER)	TIME	DATE
SIGNATURE (WITNESS)	TIME	DATE

Figure 11-1.Suspect's Rights Acknowledgement/Statement, NAVJAG 5810/10-Continued.

is mandatory. The record of proceedings must reflect compliance with the Privacy Act. JAGMAN, appendix A-2-a, should be used.

Because of wide circulation of reports of investigation, classified information should be omitted unless inclusion is essential. When classified matter is included in the investigative report, the report should be assigned classification of the highest subject matter contained therein. Encrypted versions of messages should not be included or attached to investigative reports where the content or substance of such message is divulged.

Investigative reports for an administrative fact-finding body not required to conduct a hearing should be submitted in letter form. Normally, the report will consist of a preliminary statement, findings of fact, opinions, recommendations, and enclosures. (See the example in JAGINST 5800.7C, appendix A-2-e.)

### **REPORT OF OFFENSE**

Any person may report an offense subject to trial by court-martial. Ordinarily, any military authority who receives a report of an offense should forward as soon as possible the report and any accompanying information to the immediate commander of the suspect. Competent authority superior to that commander may direct otherwise. Upon receipt of a report, the immediate commander of a suspect should refer to Rules for Courts-Martial (R.C.M.) 306 for initial disposition.

### **INITIAL DISPOSITION**

Each commander has the discretion to dispose of offenses by members of that command. Ordinarily the immediate commander of a person accused or suspected of committing an offense triable by court-martial initially determines how to dispose of that offense. A superior commander may withhold the authority to dispose of offenses in individual cases, types of cases, or generally. A superior commander may not limit the discretion of a subordinate commander to act on cases over which authority has not been withheld.

Allegations of offenses should be disposed of in a timely manner at the lowest appropriate level of disposition listed in R.C.M. 306. The disposition decision is one of the most important and difficult decisions facing a commander. Many factors must be taken into consideration and balanced, including, to the extent practical, the nature of the offenses, any mitigating or extenuating circumstances, the character and military service of the accused, any recommendations made by subordinate commanders,

the interests of justice, military exigencies, and the effect of the decision on the accused and the command. The goal should be a disposition that is warranted, appropriate, and fair.

Within the limits of the commander's authority, a commander may take the following actions to initially dispose of a charge or suspected offense:

**No action.** A commander may decide to take no action on an offense. If charges have been preferred, they may be dismissed.

**Administrative action.** A commander may take or initiate administrative action, in addition to or instead of other action taken under R.C.M. 306, subject to regulations of the Secretary concerned. Administrative actions include corrective measures, such as counseling, admonition, reprimand, exhortation, disapproval, criticism, censure, reproach, rebuke, extra military instruction, or the administrative withholding of privileges, or any combination of the above.

**Nonjudicial punishment.** A commander may consider the matter pursuant to Article 15, nonjudicial punishment.

**Disposition of charges.** Charges may be disposed of according to R.C.M. 401.

**Forwarding for disposition.** A commander may forward a matter concerning an offense, or charges, to a superior or subordinate authority for disposition.

**National security matters.** If a commander not authorized to convene general courts-martial finds that an offense warrants trial by court-martial, but believes that trial would be detrimental to the prosecution of a war or harmful to national security, the matter should be forwarded to the general court-martial convening authority for action under R.C.M. 407(b).

### **PREFERRAL OF CHARGES**

Any person subject to the code may prefer charges. No person may be ordered to prefer charges if that person is unable to make truthfully the required oath. A person who has been the accuser or nominal accuser may not also serve as the convening authority of a general or special court-martial to which the charges are later referred. However, a summary court-martial convening authority is not disqualified by being the accuser. Charges may be preferred against a person subject to trial court-martial at anytime but should be preferred without unnecessary delay.

A person who prefers charges must sign the charges and specifications under oath before a commissioned officer of the armed forces authorized to administer oath and state that the signer has personal knowledge of or has investigated the matters set forth in the charges and specifications and that they are true in fact to the best of that person's knowledge and belief.

**CHARGE SHEET**

The format of charges and specifications is used to allege violations of the UCMJ on the Charge Sheet, DD

Form 458. The charge sheet consists of five sections. Refer to figures 11-2A and 11-2B as we discuss each section in the following paragraphs.

**SECTION I - PERSONAL DATA**

This section identifies the accused and provides personal information from the accused's service record. Any type of pretrial restraint of the accused is identified here also.

**SECTION II - CHARGES AND SPECIFICATIONS**

This section contains the formal written accusation against the accused in the form of charges and

CHARGE SHEET				
I. PERSONAL DATA				
1. NAME OF ACCUSED (Last, First, MI) James, Reiben J.		2. SSN 111-11-1111		3. GRADE OR RANK PFC
5. UNIT OR ORGANIZATION Co A, 1st Battalion, 61st Inf Bde, Fort Blank, MO		6. CURRENT SERVICE		4. PAY GRADE E-3
		a. INITIAL DATE 1 April 1983		b. TERM 3 years
7. PAY PER MONTH		8. NATURE OF RESTRAINT OF ACCUSED		9. DATE(S) IMPOSED 1 August 1984
a. BASIC \$500	b. SEA/FOREIGN DUTY None	c. TOTAL \$500	Restriction	
II. CHARGES AND SPECIFICATIONS				
10. CHARGE: I VIOLATION OF THE UCMJ, ARTICLE 86				
SPECIFICATION: In that Private First Class Reuben J. James, U.S. Army, Company A, 61st Battalion, 1st Infantry Brigade, Fort Blank, Missouri, on active duty, did, on or about 15 July 1984, without authority, absent himself from his unit, to wit: Company A, 1st Battalion, 61st Infantry Brigade, located at Fort Blank, Missouri, and did remain so absent until on or about 30 July 1984.				
Charge II: Violation of the UCMJ, Article 112a				
Specification: In that Private First Class Reuben J. James, U.S. Army, Company A, 1st Battalion, 1st Infantry Brigade, Fort Blank, Missouri, on active duty, did at Fort Blank, Missouri, on or about 12 July 1984, wrongfully possess 10 grams of marijuana.				
III. PREFERRAL				
11a. NAME OF ACCUSER (Last, First, MI) Richards, Jonathan E.		b. GRADE Captain	c. ORGANIZATION OF ACCUSER Co A, 1st Bn, 61st Inf Bde	
d. SIGNATURE OF ACCUSER <i>Jonathan E. Richards</i>			e. DATE 1 August 1984	
AFFIDAVIT: Before me, the undersigned, authorized by law to administer oaths in cases of this character, personally appeared the above named accuser this <u>1st</u> day of <u>August</u> , 19 <u>84</u> , and signed the foregoing charges and specifications under oath that he/she is a person subject to the Uniform Code of Military Justice and that he/she either has personal knowledge of or has investigated the matters set forth therein and that the same are true to the best of his/her knowledge and belief.				
Will M. Wilson <i>Will M. Wilson</i>		61st Bn, 1st Inf Bde		
Typed Name of Officer		Organization of Officer		
Captain		Adjutant		
Grade		Official Capacity to Administer Oath (See R.C.M. 387(b)—must be commissioned officer)		
<i>Will M. Wilson</i>				
Signature				

DD FORM 458  
84 AUG

EDITION OF OCT 68 IS OBSOLETE.

Figure 11-2A.-Charge Sheet, DD Form 458, front.

2. On 2 August, 19 84, the accused was informed of the charges against him/her and of the name(s) of the accuser(s) known to me (See R.C.M. 308 (a)). (See R.C.M. 308 if notification cannot be made.)

Jonathan E. Richards Co A, 1st Bn, 61st Inf Bde  
Typed Name of Immediate Commander Organization of Immediate Commander

Captain  
Grade

Jonathan E. Richards  
Signature

---

IV. RECEIPT BY SUMMARY COURT-MARTIAL CONVENING AUTHORITY

13. The sworn charges were received at 1100 hours, 2 August, 19 84 at 1st Battalion, 1st Inf Brigade  
Designation of Command or

Will M. Wilson Adjutant  
Typed Name of Officer Official Capacity of Officer Signing

Captain  
Grade

Will M. Wilson  
Signature

---

V. REFERRAL; SERVICE OF CHARGES

14a. DESIGNATION OF COMMAND OF CONVENING AUTHORITY <u>1st Infantry Brigade</u>	b. PLACE <u>Fort Blank, Missouri</u>	c. DATE <u>7 August 1984</u>
---	---	---------------------------------

Referred for trial to the special court-martial convened by CMCO number 12 dated  
1 August, 19 84, subject to the following instructions:<sup>2</sup> None

By of  
Command or Order

Carl E. Nevins Commander, 1st Inf Brigade  
Typed Name of Officer Official Capacity of Officer Signing

Colonel  
Grade

Carl E. Nevins  
Signature

---

16. On 8 August, 19 84, I caused to be served a copy hereof on (each of) the above named accused.

Hamilton Burger Captain, JAGC  
Typed Name of Trial Counsel Grade or Rank of Trial Counsel

Hamilton Burger  
Signature

---

FOOTNOTES: 1 - When an appropriate commander signs personally, inapplicable words are stricken.  
2 - See R.C.M. 601(e) concerning instructions. If none, so state.

Figure 11-2B.-Charge Sheet DD Form 458, back.

specifications. The charge identifies by number tie UCMJ article that has allegedly been violated. The specification provides alleged facts concerning the violation (the where, when, what, and how).

### Charges

A charge states the article of the code, law of war, or local penal law of an occupied territory that the accused is alleged to have violated. The particular subdivision of an article (for example, Article 118(1)) should not be included in the charge. When there are numerous infractions of the same article, there will be

only one charge, but several specifications thereunder. There may also be several charges, but each must allege a violation of a different article of the code.

If there is only one charge, it is not numbered. When there is more than one charge, each charge is numbered by a Roman numeral. Charges preferred after others have been preferred are labeled additional charges and are also numbered with Roman numerals, beginning with *I* if there is more than one additional charge. These ordinarily relate to offenses not known at the time or committed after the original charges were preferred. Additional charges do not require a separate trial if

incorporated in the trial of the original charges before arraignment.

When charges are drafted, an offense specially defined by Articles 81 through 132 may not be alleged as a violation of Article 134. In the case of a person subject to trial by general court-martial for violations of the law of war, the charge should be Violation of \_\_\_\_\_, \_\_\_\_\_ referring to the local penal law of the occupied territory. Ordinarily persons subject to the code should be charged with a specific violation of the code rather than a violation of the law of war.

### **Specifications**

A specification should be brief but complete. It should be a plain, concise, and definite statement and must contain all the following essential facts constituting the offense charged:

- Rate of accused
- Name of accused
- Branch of service of accused
- Unit of accused
- Time of alleged offense based on a 24-hour clock
- Place of alleged offense
- Statement of facts constituting the alleged offense

A specification is sufficient if it alleges every element of the charged offense expressly or by necessary implication. No particular format is required. Detailed instructions on drafting specifications can be found in the *Manual for Courts-Martial, United States*, 1984, under R.C.M. 307(c)(3).

If there is only one specification under a charge, it is not numbered. When there is more than one specification under any charge, the specifications are numbered in Arabic numerals. The term *additional* is not used in connection with the specifications under an additional charge.

Charges and specifications alleging all known offenses by an accused may be preferred at the same time. Each specification should state only one offense. A specification may name more than one person as an accused if each person so named is believed by the accuser to be a principal in the offense that is the subject of the specification.

### **SECTION III - PREFERRAL**

This section contains the identification of the accuser, the signature of the accuser, the identification of the officer administering the oath to the accuser, and the signature of the officer administering the oath.

The accuser must be a person who has knowledge of the alleged offenses and must be a person who is subject to the UCMJ also. Normally, the officer who conducts the preliminary investigation is the one who signs and swears to the charges as the accuser. Article 136 of the UCMJ specifies what officers are authorized to administer oaths to accusers.

This section is continued on the reverse of the charge sheet with the date the accused was informed of the charges and identification and signature of the person informing the accused. The immediate commander of the accused should cause the accused to be informed of the charges preferred against the accused and the name of the person who preferred the charges and of any person who ordered the charges to be preferred, if known, as soon as possible.

### **SECTION IV - RECEIPT BY SUMMARY COURT-MARTIAL CONVENING AUTHORITY**

Immediately upon receipt of sworn charges, an officer exercising summary court-martial jurisdiction over the command should cause the hour and date of receipt to be entered on the charge sheet. This date is important. This signature, with the exact hour and date of receipt, is necessary to fix the time period of the statute of limitations. If an offense is committed more than 2 years (3 years for some crimes) before receipt of charges by the officer having court-martial jurisdiction over the accused, the member may not, as a rule, be tried for that offense. There are a few extremely serious offenses for which there is no statute of limitations. Article 43, UCMJ, details the rules applying to statute of limitations.

### **SECTION V - REFERRAL: SERVICE OF CHARGES**

This section is endorsed by the convening authority's signature. The purpose of this block is to order a particular court (summary, special, or general) to try the case and to provide the court with specific instructions. Although the endorsement should be completed on all copies of the charge sheet, only the original must be signed. The signature maybe that of a person acting by the order or direction of the convening authority. In such a case the signature element must reflect the signer's authority.

If the only officer present in a command refers the charges to a summary court-martial and serves as the

summary court-martial under R.C.M. 1302, the endorsement should be completed with the additional comment, "Only officer present in the command."

The summary court-martial officer, or the trial counsel in a special court-martial, will provide the accused with a copy of the charge sheet. The date this is done is the last entry on the charge sheet. This date is used to determine the earliest date that the accused may be tried. An accused may not be tried by a special court-martial within 3 days after being served a copy of the charges, unless the accused waives this right. While this right does not exist in a summary court-martial, the accused should be granted adequate time to prepare a defense.

If, for any reason, charges are referred to a court-martial different from that to which they were originally referred, the new referral is ordinarily made by a new endorsement attached to the original charge

sheet. The previous endorsement should be lined out and initialed by the person signing the new referral. The original endorsement should not be obliterated.

### CENSURE

Censure is a statement of adverse opinion or criticism of an individual's conduct or performance of duty expressed by a superior in the member's chain of command. Censure may be punitive or nonpunitive. Admonition and reprimand are two forms of censure intended to express adverse reflection upon or criticism of a person's conduct. A reprimand is a more severe form of censure than an admonition. Procedures for issuance of punitive or nonpunitive letters are contained in JAGINST 5800.7C.

The omission of the word *private* preceding *admonition* or *reprimand* in Article 15, UCMJ, does not

NONPUNITIVE LETTER OF CAUTION		Date _____
From:	Commander Service Force, U.S. Atlantic Fleet	
To:	Ensign _____, SC, U.S. Navy/3100	
Via:	(1) (2)	
Subj:	NONPUNITIVE LETTER OF CAUTION	
Ref:	(a) Report of investigation into discrepancies in the the ship's store returns for the first quarter of of fiscal year 19__ in USS _____ ( ____ ) (b) R.C.M. 306, MCM 1964 (c) JAGMAN 0105	
1. Reference (a) is the record of an investigation by _____ to inquire into certain discrepancies in the ship's store returns for the first fiscal year 19__ in USS _____.		
2. (Here insert a precise statement of the relevant events and circumstances for which the letter of caution is issued.) From the foregoing, it is apparent that you performed your duties in a careless manner. Such carelessness contributed to the improper operation of the ship's store in USS _____. Accordingly, you are hereby administratively cautioned pursuant to references (b) and (c).		
3. This letter, being nonpunitive, is addressed to you as a corrective measure. It does not become a part of your official record. You are advised, however, that in the future you will be expected to exercise greater care in the performance of your duties in order to measure up to the high standard of performance of duty required of all officers in the Service Force. Commander Service Force, U.S. Atlantic Fleet, trusts that the instructional benefit that you will receive from the experience will cause you to become a more proficient naval officer.		
(Signature)		
FOR OFFICIAL USE ONLY (WHEN FILLED IN)		

Figure 11-3.-Nonpunitive letter of caution.

constitute authority to commanding officers (COs) to issue public reprimands that are looked upon with disfavor by the Department of the Navy.

**NONPUNITIVE**

A nonpunitive letter is not considered punishment, rather to remedy a noted deficiency in conduct or performance of duty (fig. 11-3). A nonpunitive letter will be kept a personal matter between the member and the superior issuing the nonpunitive letter. Other than secretarial letters of censure (see JAGINST 5800.7C), the letter may not be forwarded to the Chief of Naval Personnel or the

Commandant of the Marine Corps, quoted in or appended to fitness reports, included as enclosures to investigations pursuant to the *Manual of the Judge Advocate General* or to other investigations, or otherwise included in official departmental records of the recipient.

**PUNITIVE**

A punitive letter is issued as nonjudicial punishment or as the result of a sentence by court-martial (fig. 11-4). In the case of commissioned officers and warrant officers, punitive letters given as nonjudicial punishment must be administered in writing. When

<b>PUNITIVE LETTER OF REPRIMAND</b>		Date _____
From:	Commander Cruiser-Destroyer Force, U.S. Atlantic Fleet	
To:	Lieutenant _____, U.S. Navy, _____/1100	
Via:	(1) (2)	
Subj:	PUNITIVE LETTER OF REPRIMAND	
Ref:	(a) Report of investigation of collision between USS _____ ( _____ ) and SS _____ that occurred on ____ April 19 ____ (b) UCMJ Art. 15 (c) Par. 5 of Part V, MCM, 1984 (d) JAGMAN 0114	
<p>1. Reference (a) is the record of an investigation convened by Commander Cruiser-Destroyer Force, U.S. Atlantic Fleet, to inquire into the collision between USS _____ ( _____ ) and SS _____ on ____ April 19 ____ . The collision occurred in the Atlantic Ocean about 60 miles east of Norfolk, Virginia. You were a party to the investigation and were accorded your rights as such. (As applicable, except in the case of a member attached to or embarked in a vessel, add: You have been advised that you have the right to refuse imposition of nonjudicial punishment and you have elected to accept nonjudicial punishment.)</p> <p>3. Your actions clearly show that you were derelict in the performance of your duties as Officer of the Deck, USS _____, on the morning of ____ April 19 ____ in that you negligently failed to:</p> <ul style="list-style-type: none"><li>a. Maintain USS _____ on a safe course as required by U.S. Navy Regulations, 1990.</li><li>b. Employ all means and devices available to you for detecting and avoiding danger from collision as required by USS _____ Standing Night Orders and U.S. Navy Regulations, 1990.</li><li>c. Inform your commanding officer when you made a course and speed change at about 6 minutes before the collision as required by U.S. Navy Regulations, 1990.</li></ul> <p>4. Pursuant to references (b), (c), and (d) you are hereby reprimanded for your negligence in the performance of duty as set forth above.</p> <p>(Here insert final paragraphs prescribed by 0114f(3)(d).)</p> <p style="text-align: center;">(Signature)</p> <p style="text-align: center;"><b>FOR OFFICIAL USE ONLY (WHEN FILLED IN)</b></p>		

Figure 11-4. Punitive letter of reprimand.

imposed upon enlisted personnel as nonjudicial punishment, punitive letters may be either written or oral. Punitive letters issued to enlisted personnel in execution of a court-martial sentence must be in writing.

Unless withdrawn or set aside by higher authority upon appeal, punitive censure letters become part of the official service record of the member to whom they are addressed. The issuance of a punitive letter and the facts of the underlying offenses may be mentioned in the member's fitness report or enlisted evaluation and used to support a detachment for cause proceeding, relief of command, or any other administrative action on the part of the service concerned.

### **MISCONDUCT AND LINE OF DUTY**

Cases of injury resulting in loss of time from duty for less than 24 hours require no investigative report by a fact-finding body unless such report is required for a different reason as listed in the following paragraphs.

Cases of injury resulting in loss of time for more than 24 hours, but not likely to result in permanent disability, or in the case of injury resulting from enemy action even if likely to result in permanent disability, require no investigative report by a fact-finding body if both medical officer and CO are of the view that the injury was incurred in line of duty without misconduct on the part of the member and if there are no other circumstances as listed in the following paragraphs that require an investigative report. The pertinent factual and medical details are recorded in the health or dental record of the individual.

In cases in which an investigative report is not required, a preliminary investigation may have to be made so that the CO can determine the line of duty and misconduct status.

Cases of injury that may result in permanent disability require an investigative report. However, if the medical officer and CO are of the view that the injury was incurred in line of duty without misconduct on the part of the injured member, and if there are no other circumstances as listed in the following paragraphs that require an investigative report, the case is reported by an Injury Report, NAVJAG 5800/15. The two-page form is filled out by the medical officer and the CO and then forwarded via the officer exercising general court-martial jurisdiction to the Judge Advocate General.

Cases of injury require an investigative report by a fact-finding body when the following circumstances occur:

- Loss of time from duty exceeds 24 hours and the injury may have been incurred due to misconduct of the member or not in the line of duty.

- The injury resulted from enemy action under circumstances suggesting misconduct of the member or not in line of duty.

- The injury resulted in death. (The Death Report form may be used to report the circumstances when the medical officer and CO are of the view that the death was incurred in the line of duty without misconduct, not apparent suicide, or did not occur as the result of enemy action.) However, while an investigative report is required, the findings of fact are not followed by opinions as to line of duty or misconduct.

- The injury was incurred under unusual or peculiar circumstances.

- The injury causes an adverse reflection on the conduct or performance of members of the naval service or connected therewith.

- The injury was incurred by members of the Naval Reserve or Marine Corps Reserve en route to or from a period of active duty, training duty, or an inactive duty training (drill) period.

- Claims are possible for or against the government under chapters XX through XXIII of the *JAG Manual*.

- There is any question of the mental responsibility or mental capacity of the injured party.

- Convening of higher authority determines that the best interests of the naval service or the individual would be served by an investigative report.

In any formal investigation that might possibly result in an opinion of misconduct or not in line of duty, the injured person is designated a party and accorded rights.

In any informal investigation, if the convening authority has substantial doubts that the injury was incurred in line of duty or not as the result of misconduct, then the convening authority must afford the member a hearing.

Any adverse finding as to misconduct and line of duty is never applied as a punitive measure. Any disciplinary action is taken independently of such



determination. In fact, a favorable finding does not always mean that disciplinary action will not be taken.

## **MISCONDUCT**

Ordinary negligence or carelessness is not misconduct. Even when an act violates law, regulation or order, or is engaged in while intoxicated, the act in question does not necessarily constitute a basis for a misconduct determination. Misconduct means intentionally wrongful conduct or gross negligence. To support a fact-finding body's opinion of misconduct, the wrongful conduct must be found to have been a proximate cause of the injury or disease; that is, the misconduct must have directly caused injury or disease that otherwise would not have occurred. Furthermore, the wrongful conduct must be such that it could have been reasonably foreseen that injury or disease might result. If the injury or disease was caused by something not reasonably foreseeable at the time the act of apparent misconduct was committed, the act may not be considered as a proximate cause of the injury or disease.

Conjecture, guesswork or inference is not enough for a finding of misconduct. Until found otherwise, it is always presumed that injury or disease is not the result of misconduct. There must be clear and convincing evidence that the injury or disease is the proximate result of the person's misconduct.

Thus, in summary, injury or disease, in order to support an opinion of misconduct, must have the following characteristics:

- It must be intentionally incurred by wrongful conduct or result from gross negligence.
- It must be the proximate result of the member's action.
- It must have been reasonably foreseeable as the result of the act.

## **LINE OF DUTY**

Whether or not misconduct is involved becomes an integral part of the line of duty determination. For instance, if it is found that misconduct is involved, the act cannot have been committed in the line of duty. Conversely, if the investigating body gives as its opinion that a particular act was done in the line of the duty, it may not at the same time say that misconduct was involved.

An act maybe done not in the line of duty, but not necessarily as a result of misconduct. If a person is

innocently injured in a traffic accident ashore, for instance, after having been on unauthorized absence for several days, the finding would probably be not in line of duty (since he or she was on unauthorized absence that exceeded 24 hours), but not due to own misconduct (since the injury was certainly not intentional or through gross negligence).

The determination is always not in line of duty if the injury or disease is found to have been incurred under the following circumstances:

- As a result of misconduct.
- While avoiding duty by deserting the service; while absent without leave and such absence materially interfered with the performance of required military duties; there is a rebuttable presumption for or against such material interference dependent on whether the unauthorized absence exceeded 24 hours or not, respectively. NOTE: The element of material interference is inapplicable in regard to physical disability separation and retirement benefits so that a disability incurred during desertion or unauthorized absence of any duration will result in ineligibility for those benefits.
- While confined under sentence of general court-martial involving an unremitted dishonorable discharge.
- While confined under sentence of civil court following conviction of a felony.

## **RELATIONSHIP BETWEEN MISCONDUCT AND LINE OF DUTY**

Misconduct can never be in line of duty. Hence, a finding or determination that an injury was incurred as a result of the member's own misconduct must be accompanied by a finding or determination that member's injury was incurred not in line of duty. It is permissible, however, to find that an injury was incurred not as a result of misconduct and not in line of duty. As an example, a member who is absent without authority may be injured by a felonious assault or struck by a vehicle driven by a drunken driver. Obviously, the injury was incurred through no fault of the member, but if the absence materially interfered with the performance of his or her required military duties, a finding of not in line of duty must result.

A fact-finding body can arrive at only one of the possible combinations of findings as follows:

- In line of duty and not due to the member's own misconduct
- Not in line of duty and not due to the member's own misconduct
- Not in line of duty and due to the member's own misconduct

## DEATHS

In cases of death, a fact-finding body should not express opinions concerning the misconduct or line of duty status of an individual in the report of investigation of the death or in any endorsement thereon. However, eligibility for payment of certain federal benefits that may be due survivors is determined by the Department of Veterans Affairs.

## UNAUTHORIZED ABSENCE AND DESERTION

The term *absentee* describes any member not administratively classified a deserter who is absent without authority from his or her unit, organization, or other place of duty.

An absentee will be declared a deserter under the following circumstances:

- The facts and circumstances of absence, without regard to the length of absence, indicate that the member may have committed the offense of desertion as defined in Article 85 of the UCMJ and Part IV of the *Manual of Courts-Martial, United States, 1984*.

- The member has been absent without authority for 30 consecutive days.

- The member is absent without authority, without regard to the length of absence, and has gone to, or shown intention of going to, any foreign country, or remains in any foreign country and requests or accepts any type of asylum or residence permit from that country or any of its governmental agencies.

Absentees may not be declared deserters when their absence is determined to be unintentional and the circumstances surrounding the absence are beyond their control, such as civil arrest and confinement, hospitalization, or other unusual circumstances. Parent commands are responsible for monitoring a member's status while confined or hospitalized.

Every practical effort must be made by all concerned to locate and return absentees and deserters

as quickly as possible. Parent commands must make a vigorous effort to investigate circumstances surrounding absences and to expedite appropriate notification procedures. The parent command must prepare a Deserter/Absentee Wanted by the Armed Forces, DD Form 553 (figs. 11-5A and 11-5B), including any information on the form that will assist in locating and apprehending a deserter. The DD Form 553 is submitted to the Chief of Naval Personnel (PERS 843).

## UNAUTHORIZED ABSENTEES

When a member is absent from an assigned duty station, commands must list the member on the daily absentee report prescribed by *U.S. Navy Regulations* and provide a copy of the report to the disbursing office or appropriate personnel support activity detachment.

The following actions (not all-inclusive) are completed immediately:

- Inspecting local living quarters for clues to member's whereabouts

- Questioning cohorts about possible whereabouts

- Inquiring of member's local next of kin or friends about possible whereabouts

- Checking with local disbursing office for member's requested distribution of funds, then inquiring of that banking institution as to recent, large withdrawal of funds

- Inquiring of local hospitals (military and civilian)

- Inquiring of local law enforcement agencies (military and civilian)

- Inquiring of local transportation management office about member acquiring recent long distance transportation arrangements

- Inquiring of local religious and counseling services as to recent visits by member in which overpowering personal concerns might have caused member to leave without authority

If the member's physical whereabouts remains unknown and foul play is suspected, strong consideration should be given to request the assistance of professional criminal investigative agencies. This is of special importance at overseas locations due to the small number of personnel, particularly women, who may fall under these circumstances while outside the continental United States.

DESERTER/ABSENTEE WANTED BY THE ARMED FORCES						1. DATE FORM PREPARED
2. TO: (Local, State or Federal law enforcement authority as indicated by Military Deserter Information Point)			3. FROM: (Organization or activity and place from which absent. If unauthorized absence occurs in transit, list old and new unit in Item 36 - Remarks)			4. DISTRIBUTION (Attach photograph, if available.)
6. NAME OF ABSENTEE (Last, First, MI)			6. GRADE OR RATE	7. SEX	8. RACE	
9. PLACE OF BIRTH	10. DATE OF BIRTH	11. HEIGHT	12. WEIGHT	13. EYES	14. HAIR	
15. DIP CONTROL NUMBER	16. SERVICE	17. SOCIAL SECURITY NO.	18. CITIZENSHIP			
19. MILITARY OCCUPATION			20. CIVILIAN OCCUPATION			
21. PERMANENT RESIDENCE ADDRESS OF ABSENTEE (Include ZIP Code)						
22. DATE AND PLACE OF CURRENT ENLISTMENT			23. DATE AND PLACE OF ENTRY INTO CURRENT PERIOD OF SERVICE			
24. DATE/HOUR OF ABSENCE			25. ADMINISTRATIVE DATE OF DESERTION			
26. ESCAPED OR SENTENCED PRISONER <input type="checkbox"/> YES <input type="checkbox"/> NO Convicted for: _____			27. DISCHARGE STATUS a. DISCHARGED: <input type="checkbox"/> YES <input type="checkbox"/> NO b. SUSPENDED: <input type="checkbox"/> YES <input type="checkbox"/> NO			
OPERATOR'S LICENSE INFORMATION			LICENSE PLATE INFORMATION			
28a. LICENSE NUMBER	b. STATE	c. EXPR DATE	29a. PLATE NO.	b. STATE	c. EXPR DATE	d. TYPE
VEHICLE INFORMATION						
30a. VEHICLE IDENTIFICATION NUMBER	b. YEAR	c. MAKE	d. MODEL	e. STYLE	f. COLOR	
31. NAME AND ADDRESS OF RELATIVES AND/OR PERSONS KNOWN BY ABSENTEE (Include ZIP Code) (If more space is needed, continue on reverse or on a separate sheet of paper, making reference to this item number.)						
a. NAME			b. ADDRESS (Include ZIP Code)			
(1)						
(2)						
32 (See Footnotes on reverse.) The undersigned states That (he) (she) is a commissioned officer of the United States _____ (Military Department), presently assigned as the Commanding Officer, _____ (Unit from which the Alleged Deserter Absented Himself or Herself), and in the performance of official duties imposed by Department of Defense Directive 1325.2 and _____ (Regulations of the Service concerned which implement DOD Directive 1325.2, e.g., Army Regulations 190-9 and 630-10), (he) (she) has conducted an investigation into the absentee status of _____ (Name and Rank of Alleged Deserter), a member of the United States Armed Forces serving on active duty with _____ (Unit and Service from which the Alleged Deserter Absented Himself or Herself), by questioning (his) (her) unit cohorts, by examining (and verifying) the field service records of said service member which reflect (his) (her) duty status, by requesting the member's next of kin to urge (his) (her) voluntary return to military control if they are aware of (his) (her) whereabouts, by inquiring to the fullest extent possible into the feasibility of other explanations for the member's absence to include sickness, injury, hospitalization, and confinement by civil law enforcement officials (and officially ordered diversion from (his) (her) unit of assignment by querying the member's losing unit (and en route temporary duty unit), the appropriate career management division, (the servicing replacement organization) (and the servicing Military Personnel and Transportation Assistance Office) (and _____ ) <sup>1</sup> . That based on the aforesaid investigation, the undersigned has personal knowledge that, on or about _____ (Date), _____ (Name and Rank of Alleged Deserter), did, without authority and with intent to remain away therefrom permanently, absent (himself) (herself) from (his) (her) (unit) (organization) (place of duty), to wit: (See Item 3 Above) located at (See Item 3 Above), in violation of Section 885, Title 10, United States Code and (he) (she) has remained continuously so absent until _____ (Date this Statement is Executed). I state under penalty of perjury (under the laws of the United States of America <sup>2</sup> ) that the foregoing is true and correct. Executed on _____ (Date).						
33. ORGANIZATION AND INSTALLATION		34. TYPED NAME, GRADE AND TITLE			35. SIGNATURE (All Copies)	

DD FORM 553 (Test)  
83 FEB

REPLACES EDITION OF 1 AUG 79 WHICH IS OBSOLETE.

S/N 0102-LF-000-5532

Figure 11-5A.-Deserter/Absentee Wanted by the Armed Forces, DD Form 553 (front).

**36 REMARKS:** (List peculiar habits and traits of character, unusual mannerisms and speech; peculiarities in appearance, clothing worn, aliases (names), marks and scars, tattoos, facial characteristics, complexion, posture, build, other SSNs used by individual, or other data that may assist in identification. (Do not know facts, e.g. armed and dangerous, drug user, suicidal tendencies, guards are needed, etc.)

#### INFORMATION

##### 1. Authority to Apprehend.

a. Any civil officer having authority to apprehend offenders under the laws of the United States, or of a State, territory, commonwealth, possession, or the District of Columbia may summarily apprehend deserters from the Armed Forces of the United States and deliver them into custody of military officials. Receipt of this form and a corresponding entry in the FBI's NCIC Wanted Person File, or oral notification from military officials or Federal law enforcement officials that the person has been declared a deserter and that his/her return to military control is desired, is authority for apprehension.

b. Civil authorities may apprehend absentees (AWOL's) when requested to do so by military authorities.

##### 2. Payment of Reward or Reimbursement for Expenses.

a. **Rewards.** Receipt of this form, or oral or written notification from military authorities or Federal law enforcement officials, prior to apprehension of the individual, that the person is an absentee and that his/her return to military control is desired will be considered as an offer of reward. Persons or agency representatives (except salaried officers or employees of the Federal Government or servicemembers) apprehending or delivering absentees to military control are authorized:

- (1) Payment for apprehension and detention of absentees until military authorities assume custody, or,
- (2) Payment for apprehension and delivery of absentees to a military installation.

b. **Reimbursement for Expenses.** Reimbursement may be made for actual expenses incurred when conditions for payment of a reward cannot be met. If two or more persons perform these services, payment will be made jointly or severally, but total payment to all may not exceed prescribed limitations.

c. **Payment.** Payment will be made to the person or agency representative actually making arrest and detention or delivery by the disbursing officer servicing the military facility to which the absentee is delivered and will be in full satisfaction of all expenses of apprehending, keeping and delivering the absentee. Payment may be made whether the absentee surrenders or is apprehended. Payment will not be made for information leading to apprehension, nor for apprehension not followed by return to military control. Both reward and reimbursement may not be paid for the same apprehension and detention or delivery.

3. **Individual Claims He/She Is not Absent Without Authority.** When a detained individual claims that he/she is not absent without leave and does not have the papers to prove his/her claim, the apprehending person or agency representative should communicate directly by the most rapid means available, with the nearest military installation manned by active duty personnel. When necessary, communicate directly (telephone or telegraph) with the Deserter Information Point of the military service concerned.

- a. **US Army.** United States Army Deserter Information Point (USADIP), Fort Benjamin Harrison, IN 46249, telephone collect: Area Code (317) 542-3355.
- b. **US Navy.** Commander, Naval Military Personnel Command (NMPC-843), Washington, D.C. 20370, telephone: Area Code (800) 336-4974 (In Va., Call (800) 572-0266).
- c. **US Marine Corps.** Commandant, US Marine Corps, Code MPH-57, Washington, D.C. 20380, telephone collect: Area Code (202) 694-2180/8526.
- d. **US Air Force.** USAF Manpower Personnel Center, Randolph AF Base, Texas 78148, telephone collect: Area Code (512) 652-5118/2148.

#### FOOTNOTES:

<sup>1</sup> For use only when a servicemember fails to report to a gaining unit of assignment during a permanent change of station.

<sup>2</sup> For use only when statement is executed outside the United States, its territories, possessions and commonwealths.

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Figure 11-5B.-Deserter/Absentee Wanted by the Armed Forces, DD Form 553 (back).

In foreign ports, where the aid of the civil authorities is required, the CO must, in addition to the previous actions, furnish a copy of a DD Form 553 to the nearest consulate of the United States.

When a member's period of unauthorized absence is less than 24 hours, make a page 13, Administrative Remarks, NAVPERS 1070/613, entry to the service record with the exact hours and date(s) of the authorized absence's beginning and end and circumstances of the unauthorized absence.

If the member has been absent over 24 hours, prepare and distribute the Record of Unauthorized Absence, NAVPERS 1070/606, under paragraph 90435 and table 9-4-38 of the *Navy Pay and Personnel Procedures Manual* (PAYPERSMAN), NAVSO P-3550.

On the 10th day of absence, the disbursing officer must stop all allotments and the next of kin must be notified in the following format with a copy provided to the Reserve chaplain nearest the absentee's home of record according to BUPERSNOTE 1600.

"I regret the necessity of informing you that your (son, daughter, husband, wife, or other), (insert rate and full name of absentee) who enlisted in the Navy on (date) and was attached to (name of ship or station) has been on unauthorized absence since (date). Should you know of (his or her) whereabouts, please urge (him or her) to surrender to the nearest naval or other military activity immediately. The gravity of the offense increases with each day of absence. At this time all pay and allowance, including allotments, have been suspended pending return to Navy jurisdiction. Should (he or she) remain absent for 30 days, we will declare (him or her) a deserter. Information will be provided to the Federal Bureau of Investigation (FBI) National Crime Information Center (NCIC) Wanted Persons File, which is available to all federal, state, and local law enforcement agencies."

## **DESERTERS**

Desertion is from the time the unauthorized absence commenced. In cases of failure to return from leave or liberty, the desertion is from the time leave or liberty expired.

Commands must take the following action to declare an enlisted member a deserter:

- Using the format in the *Naval Military Personnel Manual* (MILPERSMAN) 3430250, prepare and submit the Declaration of Desertion message no later

than the 31st day of a member's unauthorized absence. If the 31st day falls on a weekend or holiday, then the message must be submitted on the first workday following the member's 30th day of unauthorized absence. This report is assigned Report Control Symbol NMPC 1600-3, Report of Declaration of Desertion.

- Prepare an Administrative Remarks, NAVPERS 1070/613, page 13 service record entry containing all the information in the Declaration of Desertion message.

- Prepare the DD Form 553 (figs. 11-5A and 11-5B) on the day of declaration and mail to the Chief of Naval Personnel (PERS-843), Washington, DC 20370-5000. (Leave the Distribution block blank.) his report is assigned Report Control Symbol NMPC 1600-1. Prompt and accurate completion of the DD Form 553 is extremely important. To enter the member into the FBI NCIC Wanted Persons File, PERS-843 must receive the DD Form 553. Until a member is entered in the NCIC, no efforts will be made to locate and apprehend the member. Include a photograph of the deserter if at all possible.

- In foreign ports, where the aid of the civil authorities is required, the CO must, in addition to the previous actions, furnish a copy of the DD Form 553 to the nearest consul of the United States.

## **APPREHENSION OF ABSENTEES AND DESERTERS**

Members of the armed forces may apprehend absentees and deserters under the circumstances prescribed by Article 7b of the UCMJ and R.C.M. 302(b) of the *Manual for Courts-Martial, United States*, 1984. Naval personnel do not normally apprehend suspected absentees and deserters outside the confines of military installations.

The responsibility for coordinating apprehension and return of Navy deserters rests with the Deserter Branch of the Bureau of Naval Personnel (PERS-843) and its component activities, the Navy Absentee Collection Units (NACUs). They initiate actions and coordinate efforts with civil law enforcement authorities in locating and apprehending Navy deserters.

The responsibility for coordinating apprehension and return of absentees normally rests with the unit CO. Units may request assistance from PERS 843 or directly from the NACUs.

Any military installation manned by active duty members will receive absentees and deserters.

Immediate action must be taken to transfer members to the nearest installation of their branch of service having facilities to process absentees and deserters.

The Deserter Branch of the Bureau of Naval Personnel (PERS-843) manages the Navy's Deserter Apprehension Program. The Navy Deserter Information Point (DIP), a component of PERS-843, operates on a 24-hour basis. Responsibilities include control, accounting, and dissemination of information concerning members administratively classified as deserters, as well as providing timely and complete deserter information to civil law enforcement agencies, and initiating the return of deserters apprehended by civil authorities. The NACUs, under the direct control of PERS-843, are responsible for the collection and delivery of absentees and deserters to the proper command and for liaison with civil law enforcement agencies. MILPERSMAN 3430100 lists the cities w-here NACUs are located.

## RETURN OF ABSENTEE

When an absentee returns to military control on board his or her parent command, that command must comply with MILPERSMAN 3430150 if the member was absent less than 24 hours. In the case of unauthorized absences of more than 24 hours, prepare and distribute the Record of Unauthorized Absence, NAVPERS 1070/606, within 5 working days as specified in the PAYPERSMAN, NAVSO P-3050. When the member returns after 10 days' absence, notify the next of kin of the member's return, with a copy of the letter to the Reserve chaplain who was originally notified. Appropriate disciplinary action must be taken promptly.

When an absentee returns to a unit other than his or her parent command, that command must contact the member's parent command immediately, requesting confirmation of the member's status. In compliance with Article 31(b) of the UCMJ, request from the absentee and the parent command the date and hour of absence.

In coordination with the supporting personnel support detachment (PERSUPPDET), return the surrendered to his or her parent command by first available means of transportation. If an absentee's parent command is outside of the 48 contiguous United States or is deployed, comply with the *Issuance of the Navy Passenger Transportation Manual* (PTM), NAVMILPERSCOMINST 4650.2A, to obtain overseas routing instructions and information on passport/visa

requirements. Passenger reservation requests (PRRs) must clearly state that the member is traveling under technical arrest orders (TAOs) in a disciplinary status or failed to report in compliance with funded (PCS, TEMDU or TEMADD) orders.

- Surrendered traveling in connection with funded (PCS/TEMU/TEMADD) orders. The orders will be endorsed using Detaching (Departing) Endorsement to Orders - (Officer-Enlisted) (OCR), NAVCOMPT 3067, and Report (Arrival) Endorsement to Orders - (Officer-Enlisted) (OCR), NAVCOMPT 3068. The following statement is included in the Remarks section of NAVCOMPT 3067:

"I understand that all expenses and travel costs in connection with this transfer that are in excess of the original cost of my PCS/TEMU/TEMADD orders will be charged against my pay record."

- (1) Include signature, rate, and social security number of absentee. Include signature, name, and grade of witness.

- (2) In this situation, the PERSUPPDET must issue a U.S. government transportation request (GTR) subject to checkage to cover transportation costs according to NAVMILPERSCOMINST 4650.2A. When possible, provide a cash advance to a member without funds to cover local transportation from the transportation terminal to his or her ultimate destination. Prepare a Pay Adjustment Authorization, DD Form 139, to make sure the member's pay account is adjusted for the cost of travel.

- If the member is not in possession of the original or copies of funded orders, then TAOs must be issued and an Administrative Remarks, NAVPERS 1070/613, page 13 entry will indicate that the member is not in possession of funded (PCS/TEMU/TEMADD) orders. TAOs are issued using Standard Transfer Order, NAVCOMPT 536, according to the *Enlisted Transfer Manual* (TRANSMAN), NAVPERS 15909D, chapter 23. Clearly indicate on the TAOs Transferred in a Disciplinary Status and include the following statement:

"(Date). I acknowledge receipt of these orders. I have read their contents and understand that failure to comply with these orders will render me liable to charges of further unauthorized absence, disobedience of orders, or manifest desertion as the circumstances may warrant. I also understand that all expenses and travel costs in connection with this transfer will be charged against my pay records."

- Prepare a page 13 entry, providing as much information as possible. Add the following statement:

“(Date): Written technical arrest orders were issued and delivered this date transferring (name of absentee) to (name of parent command) in a disciplinary status in (his or her) own custody to report not later than (hour and date required to report). (Name of absentee) has acknowledged in writing the receipt of such orders.”

- Provide the original TAO, pay adjustment authorization (PAA), and NAVPERS 1070/613 to the member and forward a signed copy of each to the parent command. If there is an intermediate command, provide a copy of the TAO to that command.

Make sure the absentee’s appearance does not reflect discredit on the naval service.

## **RETURN OF DESERTERS**

In addition to the procedures required for the return of absentees in MILPERSMAN 3430200, the activity to which an administratively declared deserter returns to military control must transmit a message, using the format in MILPERSMAN 3430300, to the Bureau of Naval Personnel (PERS-843). This report is assigned Report Control Symbol NMPC 1600-2 (Report of Return of Deserter).

A declared deserter discharged *in absentia* as authorized by the Chief of Naval Personnel (PERS 83) is considered returned to military control for administrative purposes on the date before the actual discharge date. The discharging activity must transmit a Returned to Military Control message to PERS-843 for the purpose of clearing the deserter off the active deserter files. Prepare the message using the format in MILPERSMAN 3430300. The Remarks section of the message must indicate the authority used for discharge *in absentia* and the actual date of discharge.

Upon the member’s return to the parent command, it is imperative that the command verify that the message report has been submitted so that the member may be taken out of deserter status and removed from the FBI NCIC Wanted Persons File. If not previously submitted by an intermediate activity, the member’s parent command must immediately send the message as indicated previously to PERS-843.

The parent command or command to which the member is assigned for disciplinary action or disposition must complete and distribute the Record of Unauthorized Absence, NAVPERS 1070/606,

according to paragraph 90435 and table 9-4-38 of the PAYPERSMAN, NAVSO P-3050.

Detailed guidelines on the return of deserters are contained in MILPERSMAN 3430300.

## **POWER OF ATTORNEY**

A power of attorney is a legal document by which you give another person full, complete power to act for you either in some particular transaction or in any and all transactions. The person so appointed is known as your attorney-in-fact. The actions taken by your legally appointed attorney-in-fact are as binding on you as if you had personally acted in the matter. You do not need to be consulted before your attorney-in-fact takes action.

In a few instances, powers of attorney maybe very useful, particularly where transactions are needed and you are wholly unable to be at the required place. On the other hand, a power of attorney given simply to satisfy a whim or because you feel it is expected of you is the surest and most direct route to disaster.

The two power of attorney categories area limited power of certain named transactions and a general power of attorney authorizing the attorney-in-fact to act for you in any transaction, regardless of type, amount, or consequences involved. Under a general power of attorney, your name may be pledged to loans or to mortgages and your property may be sold for any amount regardless of its worth. A power of attorney may not be used to delegate authority to another to act on matters of judgment about your retired pay account, such as electing to waive your retired pay to have military service credited under the Civil Service Retirement Act or electing to participate in the Survivor Benefit Plan.

A power of attorney may not be needed, or it may be preferable for you to execute a limited or a special power of attorney with authority for the attorney-in-fact, to perform certain stated acts under certain stated conditions and no more. It maybe desirable to limit the duration of your attorney-in-fact’s authority.

Before executing a power of attorney, consult your legal assistance officer, the nearest naval legal service office (NLSO), or other qualified legal counsel. If it is decided that a power of attorney is needed, visit your NLSO to have a power of attorney typed with the appropriate information.

Inform your next of kin or dependents if you have granted a power of attorney and, if so, to whom. Legal authority granted in a power of attorney is revoked by

the death of either the grantor or the grantee, by any time limit set by the document itself, or by specific revocation. If you have an outstanding power of attorney that has served its purpose, you should seek its return. Additionally, if you have an outstanding power of attorney that has been placed in public records and you have any reason to believe that the powers granted might be abused, talk with your legal assistance officer or civilian attorney about obtaining surrender of the original power of attorney and entering a specific revocation in the proper public records.

## INDEBTEDNESS

The policy of the Department of the Navy is to promote habits of thrift and to encourage all members of the naval service to conduct their financial affairs in such a manner as to reflect credit upon the naval service. From inception to final settlement, the responsibility for an obligation rests solely with the creditor and the debtor. The extent to which COs may cooperate with creditors is limited to administrative referral of correspondence to the member. The CO should make sure the member concerned communicates his or her intentions in the matter to the creditor. However, under the Fair Debt Collection Practices Act (Public Law 95- 109), contact by a debt collector with third parties, such as COs, for the purpose of aiding debt collection is prohibited without prior consent of the debtor or without a court order.

The CO should make sure members of the command have been instructed in the provisions of MILPERSMAN 6210140. Disinterested third party counseling should be made available by each command to assist members with problems.

Thrift is not only a virtue but, for most people, a necessity. The way in which members handle their private financial affairs provides a reliable indication of their general character and trustworthiness.

Before acceptance of any credit plan, members should practice the following:

- Evaluate their financial capabilities and set up a budget that will prevent hopeless entrapment in overburdening and ever-increasing debts.
- Consult with a legal assistance officer when contemplating large purchases on credit to avoid commitments that may be difficult or impossible to carry out.
- Be wary of the high-pressure salesperson.

- Think carefully and seek advice before signing an agreement or contract. Never sign a blank contract and always multiply the number of payments by the amount to determine the total payment. Note particularly the penalty clauses.

Failure to pay just debts or repeatedly incurring debts beyond a member's ability to pay is evidence of irresponsibility and may jeopardize the member's security clearance status, advancement status, duty assignment, qualification for reenlistment or extension of enlistment, and in aggravated circumstances may become grounds for disciplinary action or administrative discharge.

A savings maybe realized by setting funds aside to provide for cash purchases through civilian military stores. Encourage members to take advantage of the saving, counseling, and lending services provided by credit unions organized by and for Department of the Navy civilian and military personnel.

Instruct your members on the use of the Statement of Full Disclosure forms. Each member desiring to obtain credit or execute a loan should receive beforehand from the legal assistance officer or other source of supply two copies of the Certificate of Compliance and Standards of Fairness (one copy for each party to the contract). It should be noted that a seller or lender may present the information provided for in the Statement of Full Disclosure form through any different form as most convenient to them as long as all the information is disclosed and a copy provided to the borrower or purchaser.

Members who do not seek or heed advice beforehand or who otherwise encounter difficulties in paying their debts should be encouraged to consult with a legal assistance officer as prescribed in the *Manual of the Judge of Advocate General*, JAGINST 5800.7C.

Bankruptcy is not an easy way out of indebtedness. The Navy neither encourages nor discourages the filing of a petition in bankruptcy. The circumstances prompting bankruptcy proceedings are considered officially since they may reflect adversely on the military character of the petitioner. A discharge in bankruptcy does not give a member immunity from prosecution for offenses of failure to pay just debts committed before a petition of bankruptcy.

Upon receipt of an indebtedness complaint, the CO must make a determination about the creditor. If it is determined that the debt collector is in violation of the Fair Debt Collection Practices Act or a state statute regulating debt collection practices, the correspondence



must be returned to the sender, along with a letter similar to figure 11-6

If the creditor is in violation of the Fair Debt Collection Practices Act or a state statute regulating debt collection practices, the CO should send to the creditor a letter similar to figure 11-7.

If the creditor is not in violation of the Fair Debt Collection Practices Act or a state statute regulating debt collection practices and complied with the Standards of Fairness, the CO should refer the correspondence to the member concerned, have the member communicate in a proper and timely manner with the creditor regarding his or her intentions in the matter, and send a letter similar to figure 11-8 to the creditor.

If the creditor has not satisfactorily met the requirements for full disclosure or signed the Certificate of Compliance, the CO should send to the creditor a letter similar to figure 11-9. The creditor's Correspondent should be returned and no further action should be taken by the CO or other officials of the Navy Department until the Standards of Fairness are met and the creditor sends to the CO a complete Statement of Full Disclosure and a signed Certificate of Compliance.

When a creditor's letter is received via a Member of Congress, a letter similar to figure 11-10 should be sent. When commands receive letters from creditors desiring to contact a member about indebtedness and the member is not or is no longer attached to the command, the creditor should, unless a different course of action is clearly indicated, be advised of the member's new duty station address or that the member is not with the command and that the creditor might obtain the member's duty station address by writing to the locator service of the Chief of Naval Personnel(PERS-312D), enclosing \$3.50 (subject to change) as a fee for the service. The member's home address may not be released.

Requests received to furnish information concerning the personal rating of a member of the naval service should be courteously refused. The policy of the Department of the Navy is to require that replies to such inquiries be limited to a verification that the member is in the naval service and to a statement of the member's duty station address and basic pay. A letter similar to figure 11-11 is applicable in this situation. The requester should be further informed that information concerning a member's credit rating maybe obtained from civilian agencies that have been established for that purpose.

Dear Sir/Madam:

This is in reply to your letter of (date) concerning the alleged indebtedness of (grade/rate, name).

The policy of the Department of the Navy is that members of the naval service shall honorably discharge their just and fair debts. The Department of the Navy, however, has no authority to enforce settlement of any private claims made against members of the naval service, nor is adjudication of disputed claims a matter under the cognizant of the Department of the Navy.

The Navy will forward complaints of indebtedness to members advising them to communicate directly with the claimant regarding their intention in the matter, provided that the letter of indebtedness complies with statutory and regulatory requirements.

A careful review of the contents of your correspondence suggests that it is in violation of (statute [federal or state or both]), in that (brief description of apparent violation; that is, correspondent is a member of the class of persons prohibited from contacting third parties). Therefore, the correspondence is returned to you without action.

You are advised to communicate directly with (grade/rate, name) about this matter.

Sincerely,

Enclosure(s)

**Figure 11-6.-Letter of indebtedness to debt collector in violation of the Fair Debt Collection Practices Act or a state statute.**

Dear Mr./Miss./Mrs./Ms. (surname):

This is reply to your letter of (date) concerning the alleged indebtedness of (grade/rate, name).

The policy of the Department of the Navy is that members of the naval service shall honorably discharge their just and fair debts. The Department of the Navy, however, has no authority to enforce settlement of any private claims made against members of the naval service, nor is adjudication of disputed claims a matter under the cognizant of the Department of the Navy.

Department of Defense directives require that as a condition precedent to forwarding complaints of indebtedness to a service member the enclosed forms must be completed and the Standards of Fairness complied with. If, after review, it appears that the provisions of the Department of Defense directives have been fully satisfied the matter will be referred to the service member for reply directly to you.

Sincerely,

Encl:

(1) Standards of Fairness and forms for a Statement of Full Disclosure and a Certificate of Compliance

**Figure 11-7.-Letter of indebtedness creditor in violation of the Fair Debt Collection Practices Act or a state statute.**

Dear (fill in):

This is in reply to your letter of (date) concerning the alleged indebtedness of (grade/rate, name).

In view of your letter, the service member has been advised to communicate directly with you regarding (his, her) intentions in the matter. It is hoped that the above action will result in the matter being satisfactorily resolved.

Sincerely yours,

**Figure 11-8.-Letter of indebtedness creditor not in violation of the Fair Debt Collection Practices Act or a state statute.**

The CO may furnish the member with a statement of service, including a statement of pay and allowances. this information should be sufficiently complete to meet the needs of the member, such as those in connection with home mortgages or purchase applications.

The Chief of Naval Personnel receives letters from various sources in foreign territories and countries regarding alleged indebtedness or related matters

concerning naval members. In the interest of maintaining harmonious relationships with citizens of other nations, these letters are forwarded to the CO who should quickly dispose of these cases and ensure satisfactory and positive conclusion of the matter. If the situation cannot be disposed of satisfactorily or permanently before the member's departure from the foreign port or station in question, a report setting forth all pertinent facts should be made to the senior officer present afloat (SOPA) or other authority, as appropriate.

Dear Mr./Miss/Mrs./Ms. (surname):

This is in reply to your letter of (date) concerning the alleged indebtedness of (grade/rate, name).

After a careful review of the contents of your correspondence, it does not appear that the Full Disclosure test and the Standards of Fairness requirement have as yet been met. (Specify particulars to the extent appropriate.) This command is not permitted to assist you until the Standards of Fairness have been complied with or until such time as you have obtained a civil judgment in a court of competent jurisdiction that complies with the provisions of the Soldiers' and Sailors' Civil Relief Act.

By copy of this letter the Chief of Naval Personnel is being advised of the foregoing.

Sincerely yours,

Encl:

(1) correspondence in this case

Copy to:

CHNAVPERS

**Figure 11-9.-Letter of indebtedness; creditor has not met the requirements for full disclosure or signed the Certificate of Compliance.**

My dear Mr./MissMrs./Ms. (Congressman/Congresswoman):

This is in reply to your letter of (date) concerning the alleged indebtedness of (grade/rate, name), United States Navy.

Navy personnel are well indoctrinated in the Department of the Navy's policy of expecting all members of the naval service to discharge their acknowledged debts and just obligations. The Department desires to cooperate and be of assistance to persons who are experiencing difficulty in collecting from naval personnel acknowledged personal debts. There is no legal pay in matters of personal indebtedness. Cooperation is restricted to bringing the matter of delinquency in indebtedness to the attention of the member concerned, with the request that he or she communicate with the creditor regarding his or her intentions in the matter.

Department of Defense directives require that as a condition precedent to forwarding complaints of indebtedness to a service member the enclosed forms must be completed and the Standards of Fairness complied with. Your constituent should be advised to send the forms to the Commanding Officer (fall-in).

Sincerely yours,

Encl:

(1) Standards of Fairness and forms for a Statement of Full Disclosure and a Certificate of Compliance

**Figure 11-10.-Letter of Indebtedness received via a Member of Congress.**

Dear Sir/Madam:

This in reply to your letter of (date) requesting certain information relative to the credit rating of (grade/rate, name), United States Navy.

(Grade/rate, name) is currently a member of the naval service on active duty. His/Her official address is (fill in). His/Her basic rate of pay is (fill in) per month. Current policy of the Department of the Navy prevents finishing further information in this regard. If more detailed data is required, it is suggested that it be requested directly from (grade/rate, name) or from credit bureaus or other commercial rating agencies.

It is hoped that the foregoing information satisfactorily answers your inquiry.

Sincerely yours,

**Figure 11-11. Response to letter of request for information relative to a member's credit rating.**

The following action should be taken in aggravated situations of nonpayment of legal debts:

- A CO's action in the case of an officer should be governed by the article on performance of officer members.

- Enlisted members should be counseled under the provisions for discharge of enlisted members for reasons of misconduct. When considered to be in the interest of systematizing the management of the member's financial affairs, it maybe suggested that the member submit to the CO a statement of monthly finances and outstanding obligations.

- COs should submit to the Chief of Naval Personnel (PERS-8) a full report of circumstances in connection with any petition in bankruptcy, discharge in bankruptcy, or approved wage earner's plan concerning any member of their command.

### **CONGRESSIONAL CORRESPONDENCE**

All communication from a United States Senator, a Representative in Congress, or other official concerning personnel should receive a prompt, courteous, and complete reply even though the nature of the reply may necessarily be unfavorable.

Send a final or interim reply within 5 workdays from the time a congressional inquiry reaches the action officer's desk. Interim replies take several forms:

- If the interim reply gives an estimated date for the final reply, only unusual developments require further interim replies.

- If the interim reply doesn't give an estimated date for the final reply, send more interim replies every 10 workdays until a date for final reply can be set. Send an interim reply in less than 10 workdays when significant information develops.

- If you have announced a date for the final reply but cannot meet it, then by that date send an interim reply that explains the added delay and, if possible, sets a new date for the final reply.

Send a blind copy of your final reply and substantive interim replies to the Office of Legislative Affairs, Washington, DC 20350. Also send blind copies to other Washington headquarters as good judgment dictates.

A courtesy copy is an extra copy that accompanies the original. Always send a courtesy copy when responding to a congressional inquiry.

The requirement for correctness of replies cannot be overemphasized. Guidance concerning congressional correspondence may be obtained from the Military Correspondence and Congressional Liaison Office (PERS-3C). A copy of the inquiry and reply should be promptly sent to the Chief of Naval Personnel (PERS-3C) and the Chief of Legislative Affairs (Code LA-23).

## CHAPTER 12

# SEPARATIONS

The term *separation* is defined in the *Naval Military Personnel Manual* (MILPESSMAN) as “all means by which an individual may cease to hold the status of a member of the naval service on active duty, except death or desertion.”

The Secretary of the Navy (SECNAV), acting for the President, establishes criteria by which the Navy and Marine Corps may allow voluntary officer and enlisted separations and still maintain a sound officer corps and enlisted community.

The majority of officer and enlisted separations are due either to retirement or release from active duty. When an officer or an enlisted member is separated by either method, it may be effected voluntarily or involuntarily, depending on the circumstances involved. There is a distinct and legal difference between retirement or release from active duty and total separation. Upon retirement or release from active duty, officers and enlisted members continue to be fully subject to naval jurisdiction and orders except only to the extent that jurisdiction is specifically limited by statute. The jurisdiction is limited by law, but the legal status is there.

In this chapter we discuss the various methods of voluntary and involuntary officer and enlisted separations.

### OFFICER SEPARATIONS

Once a member has legally accepted a commission or warrant and has executed the oath of office, he or she has acquired a legal status that continues until it is terminated legally. Termination may be accomplished only through a specific legally authorized process. Once a person has become an officer of the naval service under a commission or warrant in the Navy or any Reserve component thereof, that person is then presumed to remain in that office until his or her status as such is shown to have been terminated by a duly constituted governmental authority acting pursuant to law.

Six forms of termination presently authorized by law in officer cases include the following:

- Acceptance of resignation

- Separation for cause
- Revocation of commission
- Dropping from rolls
- Dismissal
- Termination of commission

Separations of officers from the naval service must be approved by SECNAV.

### VOLUNTARY

Officers of the Regular Navy and Naval Reserve retain their commissions at the pleasure of the President and no terminal dates are established for their commissions. SECNAV, by virtue of his or her authority to act for the President, prescribes criteria for the voluntary termination of an officer's commission as deemed necessary for the maintenance of a sound corps.

### Resignation (Unqualified)

An unqualified resignation is a voluntary separation. An officer who submits an unqualified resignation may want to resign for the following reasons:

- Expiration of statutory service obligation
- Expiration of obligated service
- Change of career intentions
- Interservice transfer
- Selected changes in service obligation
- Retirement
- Discharge of a reservist to become a minister

An officer may also wish to separate for the convenience of the government for reasons such as the following:

- Conscientious objection
- Dependency or hardship
- Officers married to other service members

- Pregnancy or childbirth
- Surviving family member
- Separation of aliens
- Separation to accept public office

Regular Navy officers may usually submit a resignation after they have completed 4 years' commissioned service. If their commissioned service is less than 6 years, they may be required to join the Naval Reserve to complete a total of 6 years. Section 651, Title 10, *United States Code* (USC), provides, among other things, that all persons who become members of the armed forces on or after 10 November 1979 must serve in the armed forces for a total of 6 years. Each person under 26 years of age at the time of entry in the armed forces between 1 February 1978 and 9 November 1979 must serve in the armed forces for a total of 6 years.

Approval of an unqualified resignation is not automatic; it is governed by the needs of the service, including availability of qualified relief. Favorable consideration for resignation normally will be given to an officer who will have no active duty obligated service remaining on the requested detachment date.

An unqualified resignation must be submitted by letter in the format specified in the MILPERSMAN, NAVPERS 15560C, in order to be accepted by SECNAV.

An unqualified resignation, once accepted by SECNAV, carries with it an honorable discharge.

### **Early Release**

Reserve officers who are on active duty for the purpose of fulfilling their military obligation may submit a request to the Bureau of Naval Personnel (BUPERS) for early separation.

There are various reasons for this type of request. One officer may desire early release for timely school enrollment; another may do so because of a personal hardship. Requests for early release under any circumstance must be accompanied by documented evidence to substantiate the reason for the request.

Some of the reasons for which early separation is not authorized are as follows:

- Attendance at night school
- Summer school (part-time sessions)
- Part-time school

- Trade school
- Courses that prepare one for a hobby
- The officer is serving a period of active duty in return for schooling received after being commissioned

Release of an officer to inactive duty varies from time to time and as the needs of the service dictate. Therefore, you should consult the latest instructions and notices for up-to-date requirements.

### **Retirements**

An officer or enlisted member of the Regular Navy has a vested right to retire voluntarily upon completion of at least 30 years of active duty. Requests for voluntary retirement with less than 30 years of active duty will be considered on the basis of the overall needs of the service and the individual cases. Final approval of requests for retirement rests with SECNAV. If an officer qualifies for voluntary retirement by virtue of meeting the time in service, the officer must have a medical examination to determine if any nonincapacitating disabilities exist. If some disabilities do exist, the officer then receives a disability retirement. If no disabilities exist, the officer is voluntarily retired without disability.

### **INVOLUTARY**

An officer may put forth his or her best efforts, but simply not be able to handle the responsibility of a job. The harder the person tries, the more the person bungles. In spite of rigid entrance requirements, it sometimes happens that a person who is not capable of performing the duties receives a commission. This, in many cases, is no direct reflection on the officer; the person is simply in over his or her head. Some fail academically despite their best efforts and others have a personality or physical deficiency that prevents them from doing the job as well as required. Officers who fail to meet the standards of their fellow officers are involuntarily separated.

### **Resignation (Qualified)**

A qualified resignation is an involuntary separation. A qualified resignation is one that indicates there is some stigma, however slight, attached to the resignation that prevents the awarding of an honorable discharge certificate. A qualified resignation, if accepted, usually results in separation with a general discharge certificate.

**RESIGNATION FOR THE GOOD OF THE SERVICE.**— Resignation of an officer for the good of the service provides a means of separating those few officers who are not considered fit to continue as members of the Navy officer corps. Just as a dishonest policeman reflects adversely on the entire police force, or a troublemaking sailor gives his or her shipmates a bad name, so does one misfit wearing gold cast doubt in the minds of enlisted personnel toward officers in general.

Resignation of an officer for the good of the service is normally accepted when it is known that an officer is guilty of wrongdoing, but where trial by general court-martial may not be warranted.

An officer who elects to resign in this manner receives a discharge characterized as being under conditions other than honorable.

**RESIGNATION TO ESCAPE TRIAL BEFORE A GENERAL COURT-MARTIAL.**— An officer may be separated instead of trial by court-martial upon the officer's request if charges have been preferred with respect to an offense for which a punitive discharge is authorized.

This form of resignation is submitted by the officer concerned as an alternative to facing trial before a general court-martial. This avoids subjecting himself or herself to the ever-present possibility that such a trial may result in a conviction with an ensuing sentence perhaps extending to dismissal from the naval service and imprisonment. Whenever practical, an officer desiring to submit such a resignation should be given, and should receipt for, a copy of the charges and specifications preferred; or if charges and specifications actually have not been preferred, he or she should be given, and should receipt for, a set of sample charges and specifications alleging offenses for which he or she might be brought to trial. It usually will be required before permitting an officer to resign in this manner, that he or she submit with the resignation a complete, detailed statement in the nature of a confession of the offenses concerned and matters pertaining thereto. A statement by a naval psychiatrist or by a naval medical officer if a psychiatrist is not conveniently available is required setting forth a professional observation and impression concerning the apparent mental and physical condition of the officer submitting the resignation.

This is the only type of resignation acceptable once court-martial charges have been preferred. An officer whose resignation for the good of the naval service and to escape trial before a general court-martial is accepted

will subsequently be awarded a certificate of discharge under other than honorable conditions.

### **Separation for Cause**

Officers who do not maintain required standards of performance or professional or personal conduct may be processed for separation for cause when there is reason to believe that one or more of the following circumstances exist:

- Substandard performance of duty. Inability of an officer to maintain adequate levels of performance or conduct as evidenced by one or more of the following:

- Failure to demonstrate acceptable qualities of leadership required of an officer in the member's grade

- Failure to achieve or maintain acceptable standards proficiency required of an officer in the member's grade

- Failure to properly discharge duties expected of officers of the member's grade and experience

- Failure to satisfactorily complete any course of training, instruction, or indoctrination that the officer has been ordered to undergo

- A record of marginal service over an extended time as reflected in fitness reports covering two or more positions and signed by at least two reporting seniors

- Personality disorders, when such disorders interfere with the officer's performance of duty and have been diagnosed by a physician or clinical psychologist according to regulations

- An officer who has been referred to a program of rehabilitation for personal abuse of drugs fails, through inability or refusal, to participate in or successfully complete such a program

Officers in this category are given the opportunity to submit an unqualified resignation and to receive an honorable discharge. They are said to be separated for cause; the cause being that they are either physically or mentally incapable of performing their duties properly, through no fault of their own. Although their separation is an honorable one, they may never again serve as an officer in the armed forces.

- Misconduct or moral or professional dereliction
- Retention not consistent with the interests of national security

- Separation instead of trial by court-martial

Policies and regulations set forth in SECNAVINST 1920.6A are not intended to prevent trial by court-martial when appropriate.

### **Revocation of Commission**

SECNAV may revoke the commission of a Regular Navy officer who holds a permanent appointment above W-4, provided the officer has less than 3 years' continuous commissioned service. Naval Reserve officers and the warrant or chief warrant officers and temporary officers are subject to revocation at any time, regardless of the length of service.

The right to revoke a commission is deliberately held to the junior officer level since the first 3 years of a junior officer's career is a probationary period. Should the officer prove unsatisfactory, the officer may be removed from the naval service with a minimum of red tape.

Using fitness reports, recommendations from commanding officers (COs), or other sources of information, the Chief of Naval Personnel (CHNAVPERS) may determine whether an officer will be processed for dropping from the rolls, revocation of commission, termination of appointment, or such separation from the naval service as maybe appropriate. COs who have officers attached to their command who, in their opinion, should not retain their status as an officer or should be released from active duty must forward an appropriate recommendation with substantiating information to CHNAVPERS via the chain of command. A special fitness report covering the officer's performance of duty to the date of recommendation must accompany the recommendation as an enclosure. The very nature of the recommendation is adverse and, before forwarding, must be referred to the officer for comment and statement according to *Navy Regulations, 1990*. Before forwarding a recommendation that an officer be released from active duty or separated from the service for cause, it should be determined whether the officer desires to submit a resignation for an appropriate type of discharge. If the officer submits a resignation, whether considered an appropriate type or not, it must be forwarded for consideration together with the CO's recommendation concerning acceptance. Any resignation solicited by either the command or CHNAVPERS must enclose a special fitness report covering the officer's performance of duty to the date of the resignation request. If the officer does not submit a request for resignation, the fact

that the officer was afforded the opportunity and declined to do so must be stated.

In some cases an officer who has been recommended for revocation of commission is entitled to a hearing. If a command recommends to SECNAV that a commission be revoked for the following reasons, the officer is normally not entitled to a hearing:

- Failure to satisfactorily complete a course of instruction that the officer has been ordered to undergo or is a condition to qualifying for promotion, designation, or duty assignment
- Unsatisfactory performance of duty, reported by at least two reporting seniors
- Temperamental unsuitability or unfitness for service as established by a medical examination
- An officer's request for a hearing will normally be granted for any of the following reasons:
  - Failure to support a dependent adequately
  - Violation of any criminal statute
  - Malfeasance in performance of duty
  - Violation of a regulation

The reasons stated in both of the previous groups are not inclusive, but given for general guidance. An officer granted a hearing is merely there in an informal capacity to present a personal version of the problem. Detailed information and guidance for processing officers for separation because of misconduct, unsatisfactory or poor performance of duty, unsuitability, or other conditions that render the continuation of officers in their present status undesirable are contained in SECNAVINST 1920.6A.

### **Dropping From the Rolls**

It has happened on occasion that enlisted members have gone over the hill, remained AWOL for months, finally returned to naval jurisdiction, and, after completing their punishment, have remained in the Navy after a retraining period to serve well, and, but for this one mistake, honorably.

An officer doesn't usually get a second chance for an offense either of this type or for a major civil offense.

Under Sections 1161, 1163, and 6408, Title 10, USC, the President or SECNAV, depending upon the applicable statute, may drop from the rolls of an armed force a Regular or Reserve officer at any time who has



been absent from the place of duty for at least 3 months or who has been sentenced to confinement in a federal or state penitentiary or correctional institution after having been found guilty of an offense by a court other than a court-martial or other military court, and whose sentence has become final. There is no elaboration on the type of offense or the length of the confinement awarded.

Action to initiate dropping an officer from the rolls should normally be undertaken by CHNAVPERs or the Commandant of the Marine Corps, on a case-by-case basis, after a finding that one or both of the previous conditions exist, and that the return of the officer to military control for processing for separation for cause under SECNAVINST 1920.6A will serve no useful purpose.

Neither a hearing nor a board of inquiry is required to drop an officer from the rolls. However, the officer considered must be notified of such prospective adverse action (or reasonable efforts must be made to provide such notification if actual notification cannot be made) and provided the opportunity to respond within 30 days of receipt of notification. Upon completion of the dropping from the rolls action, notification will be addressed to the officer concerned. No certificate of discharge is issued upon separation by dropping from the rolls since such service is not characterized. For the purpose of any federal benefit based upon characterization of service, dropping from the rolls must be considered as a discharge under other than honorable conditions. Except for members who are absent without authority, members who are entitled to retired pay may not be dropped from the rolls unless they are ineligible to receive their retired pay under authority of subchapter II, chapter 83, Title 5, USC.

### **Dismissal**

Except in time of war, dismissal from the service is done only as the result of sentence by general court-martial. When the sentence includes dismissal and SECNAV approves the action, the Judge Advocate General's office notifies the officer concerned by letter that the officer is thereby dismissed from the service.

In time of war, SECNAV, acting for the President, may dismiss an officer without court-martial. As distinguished from being dropped from the rolls, such an officer may make written application for trial by court-martial on the charges on which the officer was dismissed. If tried and convicted of those charges, however, the officer would probably still be dismissed

and may even be incarcerated. If the officer is found guilty, or if the sentence does not include dismissal or death, SECNAV substitutes an administrative discharge for the dismissal order. If no court is convened to try the dismissed officer within 6 months of the officer's application, an administrative discharge replaces the dismissal.

Dismissal from the service is equivalent to a dishonorable discharge and is the lowest type of separation an officer can receive.

### **Statutory Retirement**

Statutory retirements are made to guarantee youth and vigor in responsible positions and to prevent stagnation in grade. Accordingly, the Navy is governed bylaws that require the retirement of permanent officers and warrant officers after they reach a certain age, fail selection for promotion, complete a certain number of years of service, or a combination thereof. Statutory retirements require no application from the officer concerned as they are handled administratively by BUPERS. The statutory retirement age for permanently commissioned Regular officers in the grade of ensign and above is 62 years. Those officers who fall into this category are retired on the first day of the month following the month in which they attain age 62. An officer with a grade above rear admiral who has reached age 62, may, at the discretion of the President, be retained on active duty until the officer attains age 64. However, the number of officers in this status may not exceed 10 on active duty at any given time. The health of an officer has a bearing on the circumstances of retirement. If an officer is disabled and cannot perform the duties of office, the person will be retired with disability, regardless of age or length of service. Statutory service retirements for officers are contained in Section 1251, Title 10, USC.

### **Disability Retirement**

Section 1201, Title 10, USC, states the statutory authority for retirement of personnel of the Navy and Naval Reserve for service-connected disabilities. Under this law, a member may be permanently retired or placed on the temporary disability retired list (TDRL) dependent upon a determination that the disability that necessitates retirement is, or may be, of a permanent nature. Final determination as to entitlement to disability retirement benefits rests with SECNAV.

The law governing physical disability retirement and separations states that:

- officer and enlisted personnel of the Regular Navy and Naval Reserve are equally entitled to disability retirement;
- eligibility for disability retirement is based on a combination of degree of disability and years of service; and
- under certain conditions personnel may be separated with severance pay rather than be retired for physical disability.

The basic purpose of the law is to provide a means of separating from active service those personnel who are physically unfit for further duty. One of the key provisions is that no member may be separated or retired for physical disability without an opportunity of a full and fair hearing if the member so desires.

Conditions that must be met for placement on the TDRL are contained in the *Disability Evaluation Manual*, SECNAVINST 1850.4.

**DISPOSITION.**— Pending findings of a physical evaluation board (PEB), an enlisted person may be ordered home (if not outside the continental United States [CONUS]) in a home-awaiting-orders status until such time as SECNAV determines final disposition of the disability. During this process, enlisted members are ordered home by their COs. Officers, however, may be ordered home only by CHNAVPERS while awaiting SECNAV disposition.

It is not mandatory that a member be placed in an awaiting-orders status as, under certain conditions, it might be expedient and proper to retain the member while waiting for final action. Final action on PEB proceedings that involve retirement is normally completed within 30 days after the hearing is completed. When a member has been in an awaiting-orders status for 60 days and either retirement orders or other directives from CHNAVPERS have not been received, the CO of the member concerned should request information from CHNAVPERS as to the current status of the case. The member concerned should be cautioned to request advice from the activity holding his or her records when no word is received within the 60-day period.

The records and accounts of personnel who have been placed in an awaiting-orders status should be retained by the responsible activity until final action has been taken and disposition is directed by CHNAVPERS. You may have occasion to process a person who is being ordered home in an awaiting-orders status. Before the person departs, be sure you complete all portions of the

separation processing that require the member's presence. This is necessary in the event SECNAV subsequently directs separation or retirement of the member, as it will prevent the necessity of the individual returning to his or her command for final processing. The final step can then be accomplished through the mail. Once disability retirement is approved, CHNAVPERS issues orders placing the member on the appropriate retired temporary or permanent list.

**TEMPORARY DISABILITY RETIRED LIST.**— The TDRL is in the nature of a pending list for all members who, through due process of medical procedures, have been found unfit to perform the duties of their office, grade, rank or rating and who, according to accepted medical principles, may be permanently disabled. In this sense the list provides a safeguard in the best interests of the government against permanently retiring a member who may subsequently recover fully, or nearly so, from the disability that originally caused the person to be placed on this list. Also, the list provides a safeguard in the best interests of the member from being permanently retired with a condition that may develop into a more serious disability that is permanent. CHNAVPERS will issue orders to a member on the TDRL to appear at a medical activity for periodic physical examinations. The medical activity at which a periodic physical examination is to be conducted is designated in each case by the Chief, Bureau of Medicine and Surgery and is the activity nearest the residence of the member concerned with proper facilities for conducting the examination. Upon completion of the medical examination, the CO of the examining activity is requested to forward the medical record and a summary of the findings of the medical board in the case, with special reference to the physical condition for which the member was retired, to the Physical Review Council, Navy Department, Washington, DC.

#### **PAPER WORK INVOLVED WITH OFFICER SEPARATION**

Processing an officer for separation involves a vast amount of paper work and certain procedures must be accomplished. To help you to accomplish and complete the smooth separation of officers, the Personnel and Administration Assistance Team, Atlantic developed the Officer's Separation Procedure Sheet/Checklist. This is a step-by-step procedure of actions required before and after separation and also contains the references pertaining to the different actions. If properly used, this procedure sheet/checklist can be a valuable tool in the

proper separation of officer personnel. The procedure sheet/checklist is contained in the *Officer Transfer Manual*, NAVPERS 15559, appendix A.

## **ORDERS FOR SEPARATION**

Separation orders for officers will be final orders and are issued only by CHNAVPERS or SECNAV. Specific types of orders may be issued in the field, but only with authorization from CHNAVPERS or SECNAV.

Final endorsements are required for officer separations. Commands must use Officer Separation Orders (Final Endorsement), NAVPERS 1920/14, for officer separation orders. This form is designed to account for most situations involved in separating an officer. Should a situation occur that is not indicated on NAVPERS 1920/14, commands may use block 49 of NAVCOMPT 3067, Detaching (Departing) Endorsement to Orders - (Officer - Enlisted) (OCR), to annotate a paragraph that should apply to the situation. When block 49 of NAVCOMPT 3067 is used, make sure a copy of the NAVCOMPT 3067 is attached to NAVPERS 1920/14.

## **DISCHARGE CERTIFICATES**

Officers who have been totally separated from the naval service, with certain infrequent exceptions, are entitled to one of the following types of discharge certificates:

- Honorable
- General
- Discharge Under Conditions Other Than Honorable

Officers separated from the service by dismissal pursuant to sentence of general court-martial should not be awarded a certificate of any of the types of discharges listed previously. Their only separation document should be a letter signed by SECNAV, or by an authority to whom SECNAV has lawfully delegated the function, informing the officer concerned of his or her trial, conviction, sentence, departmental action upon and approval of the sentence, and fact of dismissal. This is the lowest type of separation from the naval service. It is now officially in all respects equivalent to a dishonorable discharge.

The foregoing certificates are issued by the Navy Department only. Under no circumstances should a ship or station issue any form of certificate of discharge to a

member separated from the service as a warrant or commissioned officer.

## **ENLISTED SEPARATIONS**

The policy of the Navy is to promote readiness by maintaining high standards of conduct and performance. To maintain high standards of conduct and performance it is necessary to provide, in a variety of circumstances, for the orderly and expeditious administrative separation of naval personnel. There are several reasons for this: namely, to make sure the Navy is served by individuals capable of meeting required standards of duty, performance, and discipline; to maintain standards of performance and conduct through appropriate separation and characterization of service that emphasizes the traditional concept of honorable military service; and to achieve authorized force levels and grade distributions.

In general, some of the formal reasons for separation of enlisted personnel are discussed in the following paragraphs. Procedures, additional reasons covering defective enlistments and inductions, entry level performance and conduct, unsatisfactory performance, misconduct, drug abuse and rehabilitation failure, and alcohol abuse and rehabilitation failure are discussed in detail in the MILPERSMAN.

## **SELECTED CHANGES IN SERVICE OBLIGATION**

CHNAVPERS may authorize or direct the separation of enlisted personnel due to selected changes in service obligation. Some of these changes might involve general demobilization, reduction in authorized strength, or an order applicable to all members of a class of personnel specified in the order. Other changes might involve the acceptance of an active duty commission or permanent appointment or acceptance into a program leading to an active duty commission or appointment in any branch of the armed forces. Another change might involve immediate enlistment or reenlistment.

## **EXPIRATION OF ENLISTMENT, FULFILLMENT OF SERVICE OBLIGATION, OR EXPIRATION OF TOUR OF ACTIVE SERVICE**

Unless voluntarily or involuntarily retained beyond normal expiration of term of service as provided in the MILPERSMAN or applicable directives issued by SECNAV or CHNAVPERS, enlisted and inducted members of the Regular Navy or Naval Reserve are

separated or released from inactive duty at certain times. These include the following:

- Upon normal date of expiration of enlistment, extension of enlistment, or period of induction, provided the member does not have an additional service obligation

- At the fulfillment of service obligation acquired under the provisions of the Military Selective Service Act, provided no portion of the contractual enlistment or extension thereof remains to be served

- At the completion of the period of active obligated service or period of such service as voluntarily or involuntarily extended

- Within 30 days of the normal date of expiration of enlistment, extension of enlistment, fulfillment of service obligation acquired under the provisions of the Military Selected Service Act, or normal date of completion of period of active obligated service

## **FOR CONVENIENCE OF THE GOVERNMENT**

CHNAVPERS may authorize or direct the separation of enlisted or inducted members before the expiration of enlistment or other obligated service for any one of the reasons listed as follows:

- Some Navy personnel and their families will encounter hardships. Upon the request of the member and concurrence of CHNAVPERS, separation may be directed when genuine hardship exists. The criteria and format for a request for hardship discharge we contained in the MILPERSMAN.

A written request for a separation hardship should be addressed to the appropriate special court-martial convening authority (SPCMCA). In unusual circumstances, members in an authorized leave status may submit requests for dependency of hardship discharge. To expedite the procedure, the nearest naval activity should submit a properly prepared request to the appropriate SPCMCA with the assisting command's synopsis included in its endorsement. All requests must be accompanied by affidavits substantiating the hardship claim. Where practical, one affidavit should be submitted from the family member(s) concerned. The preparing activity should immediately inform the member's parent command of the pending request and ask for a leave extension, if orders as delineated in the *Enlisted Transfer Manual*, NAVPERS 15909D, chapter 18, may be used.

- A member who is unable to perform duties assigned, who is repetitively absent, or who is unavailable for worldwide assignment or deployment due to parenthood may be separated under this provision.

- A member maybe separated within 3 months of the expiration of enlistment to attend an instruction of higher education, college, university, vocational, or technical school. The Deputy CHNAVPERS is the separation approving authority and not the member's CO.

- A member, on active duty or inactive duty, may not be separated on the basis of pregnancy or childbirth unless it is determined to be in the best interest of the service member or if the member demonstrates overriding and compelling factors of personal need that warrant separation.

Additional reasons such as conscientious objection, surviving son or daughter, failure to meet physical readiness standards (obesity/physical readiness test [PRT]), and other designated physical or mental conditions are discussed in the MILPERSMAN.

## **PHYSICAL DISABILITY**

A member not physically qualified by reason of physical disability means that a member is unable to perform the duties of his or her rate in such a manner as to reasonably fulfill the purpose of the member's employment on active duty.

Members on inactive duty may be separated by reason of physical disability upon determination that they are not physically qualified to perform the duties of their rating on active duty in the Naval Reserve by reason of disease or injury.

Members who have been found to be physically not qualified for active duty or retention in the Naval Reserve should not be involuntary discharged upon the expiration of their enlistment, or enlistment as extended, until the action pertaining to the resolution of their physical status is completed. When the members' enlistment, or extension of enlistment, expires before their physical status is resolved, members may be administratively retained in the service beyond the expiration date with their consent. If a member does not consent to the retention, the member's discharge should be executed in the normal manner and an entry made on the Administrative Remarks page of the service record denoting the member's desire to be discharged in lieu of retention as herein authorized.

## **IN LIEU OF TRIAL BY COURT-MARTIAL**

A member may be separated in lieu of trial by court-martial upon the member's request if the charges have been preferred with respect to an offense for which a punitive discharge is authorized in the Maximum Punishment Chart, appendix 12, *Manual for Courts-Martial*, 1984, and the member's CO determines that the member is unqualified for further naval service under the guidance contained in MILPERSMAN 3610200.

This provision may not be used as a basis for separation when Rules of Court-Martial (R.C.M.) 1003(d) of the *Manual of Courts-Martial*, 1984, provides the sole basis for a punitive discharge unless the charges have been referred to a court-martial authorized to adjudge a punitive discharge.

A request for administrative separation under other than honorable conditions in lieu of trial by court-martial does not prevent or suspend disciplinary proceedings in a case. Whether such proceedings will be held in abeyance pending final action on a request for discharge is a matter to be determined by the officer exercising general court-martial jurisdiction over the member concerned. As a condition precedent to approval of the request, the member, if serving in paygrade E-4 or above, must also request administrative reduction to paygrade of E-3. Upon approval of the request for separation in lieu of trial by court-martial, such member will be reduced to paygrade E-3 by his or her request.

## **HOMOSEXUALITY**

Homosexuality is incompatible with naval service. The presence in the naval environment of persons who engage in homosexual conduct or who, by their statements, demonstrate a propensity to engage in homosexual conduct seriously impairs the accomplishment of the naval mission. The presence of such members adversely affects the ability of the Navy to maintain discipline, good order, and morale; foster mutual trust and confidence among service members; guarantee the integrity of the system of rank and command; facilitate assignment and worldwide deployment of service members who frequently must live and work under close conditions affording minimal privacy; recruit and retain members of the Navy; maintain the public acceptability of the Navy; and prevent breaches of security.

The basis for separation may include preservice, prior service, or current service conduct or statements. Preservice or prior service conductor statements should be processed according to the MILPERSMAN. A member will be separated under homosexuality if one or more of the approved findings listed in the MILPERSMAN are made.

## **FLEET RESERVE**

The Fleet Reserve is composed of enlisted members who have served in the Regular Navy and the Naval Reserve and who may, in the event of a national emergency or war, be recalled to active duty without additional training.

Personnel who have completed 20 years of active service may submit a request using Application for Transfer to the Fleet Reserve, NAVPERS 1830/1, for transfer to the Fleet Reserve not less than 6 months and not more than 1 year before the desired date of transfer. All Fleet Reserve transfers are effective on the last day of the month.

An effective date of transfer to the Fleet Reserve may be held in abeyance if the member is in any of the following circumstances:

- In a disciplinary status
- Serving a sentence of a court-martial
- Awaiting civil action
- Awaiting an administrative discharge
- Under medical treatment (member must signify his or her consent by signing a page 13 entry)

COs may defer transfer to the Fleet Reserve up to 30 days beyond the date authorized only when urgent operational commitments demand the member's service. When deferment is effected for this reason, a full report of the circumstances should be forwarded by message to CHNAVPERS, with an information copy to the appropriate type commander.

Transfer of a person to the Fleet Reserve means you will close out the record and open a Fleet Reserve record that will be kept by the Commanding Officer, Naval Reserve Personnel Center, New Orleans, Louisiana.

A fleet reservist is required to do the following:

- Be ready for active service in time of war or national emergency

- Keep the Commanding Officer, Naval Reserve Personnel Center informed of member's current address
- Inform the Commanding Officer, Naval Reserve Personnel Center if the member plans to reside outside of CONUS in excess of 30 days
- Promptly answer all official correspondence
- Make known to proper authority any change in health that may prevent the member from performing active duty
- Subject himself or herself to all laws, regulations, and orders governing the Navy
- Perform no more than 2 months' active duty each r-year period so ordered
- Be physically examined at least once every 4 years

Once in the Fleet Reserve, you are entitled to medical and dental care. Although excluded from dental care, except in remote areas, your dependents are also entitled to medical care. Fleet reservists are eligible for hospitalization in a Department of Veterans Affairs (DVA) hospital.

Members of the Fleet Reserve are subject to the *Uniform Code of Military Justice (UCMJ)* and may not be discharged without their consent, except by sentence of a court-martial.

### **ADMINISTRATIVE SEPARATION (DISCHARGE)**

The Navy separation policy strengthens the concept that military service is a calling different from any civilian occupation. Enlisting in the Navy involves a commitment to the United States, to one's service, and to one's fellow citizens and service members that one will complete successfully a period of obligated service. Early separation for failure to meet required standards of performance or discipline violates that commitment.

When persons enter the naval service, the Navy invests substantial resources in their training, equipment, and related expenses. Separation before completion of a period of obligated service represents a loss of that investment while requiring increased accessions. Conversely, retaining individuals in the naval service who will not or cannot conform to naval standards of conduct, discipline, and performance creates a high cost in terms of pay, administrative efforts, degradation of morale, and substandard mission

performance. Both situations represent an inefficient use of limited defense resources. Therefore, every reasonable effort must be made to identify in a timely manner members who exhibit a likelihood for early separation and either improve those members' chances of retention through counseling, retraining, and rehabilitation, or separate promptly those members who do not demonstrate potential for further useful naval service.

Administrative processing is mandatory for members involved in homosexuality, drug trafficking, one incident of drugs for E-4 and above, commission of a serious offense involving sexual perversion, and felony convictions or a conviction for a felonious offense. If a member is sentenced by a civil court to more than 6 months' confinement, regardless of suspension or probation, the command should consider processing for separation.

The MILPERSMAN, NAVPERS 15560C, lists the formal bases for separation and reasons for processing for administrative separation.

### **NOTIFICATION PROCEDURES**

When commands process personnel for administrative separations/discharge, strict compliance with the policies and procedures set out in the articles in the MILPERSMAN are mandatory to guarantee speedy processing, safeguarding of the member's rights, and avoidance of future litigation. One of the primary reasons for delays in directing final action on administrative separations (discharges) is the failure of commands to process a case properly. Unfamiliarity with processing policies and procedures is a major factor in delayed and drawn-out cases. Members should be processed for all reasons for which they qualify.

When preparing an administrative separation, the CO must give the member a letter of notification procedure. (See the MILPERSMAN for the correct format.) If any reason for separation, set forth in the Notice of Notification Procedure Proposed Action, requires processing under the administrative board procedure, the entire matter should be processed under that procedure. (See the MILPERSMAN for guidance.)

When processing a member for administrative separation, there are three very important procedural requirements that must be followed:

Notice. The member should be notified in writing of the basis for administrative processing by his or her CO.

Counsel. A member has the right to consult with qualified counsel when the notification procedure is initiated.

Response. The CO should allow a reasonable period of time of not less than 2 working days for the member to respond to the notice. An extension may be granted upon a timely showing of good cause by the member.

All separation recommendations must be signed by the CO or acting CO and not by direction.

## **ADMINISTRATIVE BOARD PROCEDURE**

If a member being processed for administrative separation is entitled, and elects, to present his or her case before a board, strict compliance with the provisions of the MILPERSMAN is required. The administrative board procedure should be used to process administrative separations in the following circumstances:

- If a member with 6 or more years of total active and Reserve military service being processed under the notification procedure requests a board
- If the proposed reason for separation requires a board
- If the proposed characterization of service is under other than honorable conditions

When an administrative board is required, the member should be notified in writing by his or her CO. Specific guidelines on the matters that should be covered in the CO's notification letter and the proper format for the Notice of an Administrative Board Procedure Proposed Action are contained in the MILPERSMAN.

If the CO of the member's command does not have SPCMCA and the member desires a board, the following procedure must be used. The CO will give the member the letter of notification and statement of awareness. The next reporting senior with SPCMCA will convene the administrative board. The member's command will forward the case to BUPERS via the convening authority, using a standard letter of transmittal.

Detailed instructions pertaining to the actions of a CO without authority to convene an SPCMCA and the convening authority of an administrative board are outlined in the MILPERSMAN.

The convening authority is responsible for appointing members to an administrative board of at

least three commissioned, warrant, or noncommissioned officers well qualified by reason of grade, leadership, experience, and judicious temperament. The senior member will be appointed as the president of the board. Enlisted personnel appointed to the board should be in paygrade E-7 or above and should be senior to the respondent. Enlisted personnel frocked to E-7 are not eligible for appointment. At least one member of the board should be a lone officer serving in grade O-4 or higher and a majority should be commissioned and/or warrant officers (except that a Staff Corps officer in the grade O-4 or higher may be appointed if the convening authority has no line officer in grade O-4 or higher reasonably available). If the respondent is on active duty when the board convenes, the senior member must be on the active duty list of the service in which the respondent serves.

An officer frocked to grade O-4 is not eligible for appointment to meet the O-4 officer requirement. When no active duty list officer is reasonably available, the convening authority may substitute an officer in the temporary active reserves (TAR) of fill-time support (FTS) who has served on continuous active duty for more than 12 months immediately before appointment to the board. An explanation as to why an O4 officer on the active duty list is not reasonably available should be included in the comments of the CO in the letter of transmittal that is forwarded following the conclusion of the administrative board to CHNAVPERS via the convening authority. Care should be exercised in the appointment process to prevent the appearance of any impropriety in the appointment of any board members who may have a preconceived opinion regarding the findings and recommendations to be made relative to a particular respondent's case. To avoid split decisions, the convening authority should not appoint an even number of members to an administrative board.

The convening authority may appoint a nonvoting legal advisor who should not be both junior to and in the same direct chain of command as any voting member of the board.

The convening authority also appoints a nonvoting recorder. The recorder is to be an active duty member if the respondent is serving on active duty. As an exception, the convening authority may appoint a Reserve Judge Advocate as recorder for administrative board proceedings.

The recorder is responsible for the clerical and preliminary work of the hearing but is not a member of the board. The recorder conducts a preliminary review of available evidence and, before the hearing, interviews

prospective witnesses after warning them of their rights under Article 31, UCMJ, where appropriate. After consultation with the CO and the president of the board, the recorder notifies the respondent, legal advisor if appointed, essential witnesses as determined by the president and allowed by the convening authority, and counsel as to the time, date, and place of the hearing and of the witnesses expected to be present. Subject to the provisions of MILPERSMAN 3640350, the recorder arranges for the attendance at the hearing of the respondent all witnesses for the government, and military or other essential witnesses for the respondent, and assembles pertinent directives, regulations, and records for use by the board. At the hearing, the recorder presents the case against the respondent and is responsible for preparing the record of the proceedings which should be kept in the summarized form. However, the president of the board, legal advisor, or recorder may request a reporter for making a verbatim record of proceedings as directed by the convening authority or the separation authority. In all cases, the findings and recommendations of the board should be in verbatim form. Before the hearing the recorder should read Articles 3630100 through 3630900 and 3640350 of the MILPERSMAN and NAVMILPERSCOMINST 1910.1.

### **General Procedural Instructions**

The board functions as an administrative rather than a judicial body. Strict rules of evidence need not be observed; however, reasonable restrictions should be observed concerning relevancy and competency of evidence as specified in the MILPERSMAN. The board may refuse to consider further any oral or written matter presented if it is irrelevant, immaterial, or unnecessarily repetitive and cumulative, but no such matter should be rejected or withheld from consideration on the grounds that it would be incompetent for presentation to a court of law. If evidence is classified, the provisions of the *Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.IH, should be observed.

Any member of the board or legal advisor maybe challenged only on grounds that show that the member or legal advisor cannot render a fair and an impartial decision. The challenged member or legal advisor may be examined by the respondent's counsel and other members of the board.

No authority exists for the issuance of subpoenas to witnesses in connection with these hearings. Appearance of civilians as witnesses, including

members of the armed forces on inactive duty, may be arranged for, but only on a voluntary basis. Attention is directed to the fact that military personnel on active duty may not be compelled to testify or produce evidence that will incriminate them or be required to answer questions not material to the issue that might tend to degrade them.

### **Findings and Recommendations**

The board should deliberate and vote on its findings and recommendations in closed session. Only voting members of the board should be present during deliberations and voting.

The board must make findings relative to each of the reasons for processing and, if any positive findings are made, a recommendation as to retention or separation, suspension of separation, and characterization of service or description of separation if separation or suspended separation is recommended. If the member is eligible for transfer to the Fleet Reserve, the board should recommend whether he or she should be transferred in the current or next inferior paygrade.

Findings and recommendations must be completed as a report, using the format set forth in the MILPERSMAN. The report must be signed by all members and the counsel for the respondent, or the respondent, if he or she has no counsel. The dissent of any member and the reason(s) must be recorded. The recorder should have the report prepared for completion and signing immediately upon concluding the board.

### **BENEFITS**

COs should make sure members under their command are informed of the benefits provided for members and their families, especially of the provisions and benefits of Servicemen's Group Life Insurance (SGLI), Veterans' Group Life Insurance (VGLI), National Service Life Insurance (NSLI), and the benefits available from the DVA and other government agencies.

Such information should be provided by the command in conjunction with the program of general military training (GMT). Life insurance agents should not be permitted to address or attend meetings, classes, or mass formations, or any other assembly of naval personnel. It is immaterial that such assembly is for other purposes and the agent's appearance is incidental. Major commands should designate one or more benefits and insurance officers who may be commissioned or warrant officers or master, senior, or chief petty officers.



(A major command should be one with 500 or more permanently assigned members unless further defined by the cognizant area coordinator.)

### **SERVICEMEN'S GROUP LIFE INSURANCE**

Public Law 89-214 established the SGLI program (effective 29 September 1965), providing group life insurance for members on active duty for more than 30 days unless they choose (in writing) not to be insured or to be insured for a lesser amount. Through the years, the maximum amount of coverage became \$100,000. Members still have the option of electing no coverage or coverage of lesser amounts in increments of \$10,000.

SGLI protection continues for all members without further payment for 120 days after separation from active duty. If a member is totally disabled on the separation date, coverage continues for 1 year after the separation date or until the insured ceases to be totally disabled, whichever comes first. An extension of coverage for reasons of total disability must be granted by the Office of Servicemen's Group Life Insurance (OSGLI).

### **VETERANS' GROUP LIFE INSURANCE**

The VGLI is a 5-year, nonrenewable term coverage that has no cash, loan, paid-up, or extended values. The VGLI is available to separated or retired members and becomes effective once the OSGLI receives the separation information. VGLI coverage will not become effective before the end of the 120-day free coverage under the SGLI.

The VGLI is available to individuals being released from active duty or active duty for training under calls or orders that do not specify a period of 31 days or less. Reservists insured under part-time coverage who incur a disability or aggravate a preexisting disability while performing active duty or active duty for training under calls or orders specifying a period of 31 days or less or inactive duty training can within a 120-day period following separation apply for VGLI.

To obtain VGLI coverage, an Application for Veterans Group Life Insurance, DVA Form 29-8714, and payment of the first month's premium must be sent to the OSGLI within the 120-day period. For more information about coverage, contact the local DVA office.

### **NATIONAL SERVICE LIFE INSURANCE**

Service Disabled Veterans Insurance (SDVI) is the only NSLI program of insurance currently open to new issues. Any member who is released from active service under other than dishonorable conditions and who is found by the Administrator of Veterans Affairs to be suffering from a disability or disabilities for which compensation would be payable if 10 percent or more in degree, but is otherwise in good health, may apply for insurance within 1 year from the date such service-connected disability was determined by the DVA. Totally disabled personnel may apply for any of the NSLI plans except for the endowment plans.

NSLI policies basically provide for the waiver of premiums in the event the insured becomes totally disabled for 6 consecutive months before attaining age 65.

### **DEPARTMENT OF VETERANS AFFAIRS**

The DVA is responsible for administering the major veterans programs authorized by Congress. The benefits they administer range from interment assistance to full hospitalization. Retirees are eligible for the same benefits available to those separated or discharged from active service.

The DVA annually publishes *Federal Benefits for Veterans and Dependents*, IS-1, a booklet describing the benefits they administer. Copies may be purchased from the Superintendent of Documents at the U.S. Government Printing office. Also available from your DVA office is *A Summary of Department of Veterans Affairs Benefits*, DVA Pamphlet 27-82-2.

The DVA determines retirees' eligibility for specific benefits. The Navy Department has no control over benefits authorized by law and payable by other government agencies. The percentage of disability determined by the Navy for retirement purposes does not affect the DVA's determination of percentage of disability for DVA benefits. The Navy's only role concerning the DVA is supplying requested information about the retired member's service and pay.

The DVA has regional offices and centers throughout the United States. Contact the nearest DVA office on questions about DVA benefits, A list of DVA offices is included in the *Navy Guide for Retired Personnel and Their Families*, NAVPERS 15891G.

Some of the benefits the DVA is authorized by law are to guarantee home loans, administer the NSLI, SGLI, and VGLI programs, provide medical benefits to

disabled veterans and wartime veterans, administer financial help payable to eligible veterans and their survivors, offer educational assistance to veterans who served after 31 January 1955 and before 1 January 1977, administer the contributory educational assistance programs for veterans who entered active duty on or after 1 January 1977, and administer benefits for deceased veterans and eligible dependents.

## **SOCIAL SECURITY**

Title IV of the Servicemen's and Veterans' Survivor Benefits Act, Public Law 881, 84th Congress, provides wage credits for active military service toward social security benefits. Under this act, on or after 1 January 1957, all members of the Armed Services of the United States performing active duty or active duty for training, including midshipmen at the Naval Academy and NROTC midshipmen and contract students during such periods when they are ordered to active duty for training purposes (summer cruises), come under the contributory coverage Provisions of the Social Security System.

The responsibility of COs is to adequately inform members of their rights and benefits under the Social Security Act and of the procedure for replacement of a social security account number card that has been lost or destroyed. Various Department of Health and Human Services pamphlets on social security for service members and veterans should be distributed to all ships and stations.

Social security benefits for retirement, health insurance, survivors, and disability are earned as a result

of military service and civilian employment covered for social security purposes. To receive monthly benefits for yourself, your family, or for survivors, you must have been in work or self-employment covered by the social security law for a certain length of time. The types of benefits include retirement, disability, and survivors' benefits, as well as benefits that have reduced so they may be paid out over a longer period of time.

Contact the nearest social security office to obtain family members' social security cards, check on earnings records, get information about your obligation under social security, and to apply for benefits. To locate the nearest office, inquire at your post office or look in the telephone directory under Social Security Administration.

## **U.S. NAVAL HOME**

Officers and enlisted members of the United States Navy or United States Marine Corps and those of the United States Coast Guard who have served in that organization while it operated as a part of the Navy may be admitted to the benefits of the Naval Home by authority of CHNAVPERS.

Individuals applying for admission to the Naval Home should be ambulatory and capable of caring for their personal needs and of cleaning their room.

Applications for admission to the Naval Home should be submitted in duplicate and addressed to the Governor, United States Naval Home, 1800 East Beach Boulevard, Gulfport, Mississippi 39507-1597.

# APPENDIX I

## GLOSSARY

- ABBREVIATION**-A shortened form of a written word or phrase used in place of the whole.
- ABSENTEE**-A person missing at a muster.
- ACCESS**-The ability and opportunity to obtain knowledge or possession of classified information.
- ACRONYM**-A word formed from the initial letter or letters of each of the successive parts or major parts of a compound term.
- ACTIVITY**-An organizational unit designated to perform a specific mission or function.
- ADMIN OFFICE**-As used in relation to optical character recognition documents, any personnel, administrative, or executive office that has responsibility for preparing OCR input documents and for maintaining personnel records.
- BOARD OF INVESTIGATION**-An investigatory body of one or more persons. No power of subpoena. General term for all such bodies below court of inquiry.
- BRIEFING**-Conference or meeting held to give instruction or provide details on a specific operation.
- CONUS**-Continental United States.
- CONVENING AUTHORITY (CA)**-The command legally empowered to organize courts-martial, courts of inquiry, and boards of investigations.
- CORRESPONDENCE**-As used in the Navy, the term that applies to all written material including publications, letters, memorandums, and forms.
- COURT OF INQUIRY**-Three or more officers convened by any person authorized to convene a general court-martial to investigate something. Has subpoena power. Designated witnesses may have counsel.
- DEERS**-Defense Eligibility Enrollment System.
- DIRECTIVE**-Military communication in which policy is established or a specific action is ordered; plan issued with a view to placing it in effect so directed, or in the event that a stated contingency arises; any communication that initiates or governs action, conduct, or procedure. An instruction, notice, or change transmittal.
- DIRECTIVE CONTROL POINT**-The individual within a command whose job it is to oversee all aspects of the Directives Issuance System.
- DISCHARGE**-A complete severance from all military service in the U.S. Navy or U.S. Naval Reserve.
- DODPM**- *Department of Defense Pay Manual.*
- DTG**-Date-time-group.
- ENLTRANSMAN**- *Enlisted Transfer Manual.*
- ER**-Efficiency review.
- FLEET RESERVE**-A form of retirement by which a naval member who has completed more than 20 but less than 30 years of active duty is released from active to an inactive status.
- FRC**-Federal record center.
- GCM**-As used in naval justice matters, general court-martial.
- JAGMAN**- *Manual of the Judge Advocate General.*
- JFTR**- *Joint Federal Travel Regulations,*
- LSMP**-Logistics Support Mobilization Plan.
- MAPMIS**-Manpower and Personnel Management Information System.
- MAPTIS**-Manpower, Personnel, and Training Information Systems.
- MCM**- *Manual for Courts-Martial, United States, 1984.*
- MILPERSMAN**- *Naval Military Personnel Manual.*
- NAAS**-Navy Activity Accounting Subsystem.
- NARA**-National Archives and Records Administration.
- NAVAL MESSAGE**-A typed piece of naval correspondence that is transmitted via telecommunications.
- NAVPTO**-Navy passenger transportation office.
- NEC**-Navy enlisted classification code.

NJP-As used in naval justice matters, nonjudicial punishment.

NMARS-Navy Manpower Authorizations and Requirements Accounting Subsystem.

NMESS-Navy Manpower End Strength Accounting Subsystem.

NMP-Navy manning plan.

NTI-Navy travel instructions.

OUTCONUS-Outside the continental United States.

PAYPERS MAN- *Navy Pay and Personnel Procedures Manual*.

PCS-Permanent change of station.

PER DIEM-The allowance authorized to cover the cost of quarters, subsistence, and other necessary incidental expenses related to travel.

PERSUPPDET (PSD)-Personnel support activity detachment.

PPBS-Planning Programming Budget System.

PROCEED TIME-A period of time authorized on PCS transfers that is granted to ease the necessary personal arrangements involved in a PCS move.

PRR-Passenger reservation request.

PSHMDS-Preliminary shore manpower documents.

PSMDS-Preliminary ship manpower documents.

PSMDS-Preliminary squadron manpower documents.

RATE-The military rate of an enlisted person, such as PO3, CPO, MCPO.

RATING-The professional rating of an enlisted person, such as Yeoman, Personnelman, Quartermaster, Postal Clerk.

SCM-As used in naval justice matters, summary court-martial.

SDSPROMAN- *Source Data System Procedures Manual*.

SEAOPDET-Sea Operational Detachment.

SEPARATION-The broad term used to describe any of the various reasons an individual discontinues active duty service. Types of separation include discharge, release from active duty, transfer to the Fleet Reserve, and retirement.

SGLI-Servicemen's Group Life Insurance.

SORM-Standard *Organization and Regulations of the U.S. Navy Manual*.

SPCM-As used in naval justice matters, special court-martial.

SSC-Sea/shore code.

SSIC-Standard subject identification code.

TAD-Temporary additional duty.

TDRL-Temporary disability retired list.

TICKLER FILE-A file that may be established and used to remind administrative personnel of pending actions or events.

UA-Unauthorized absence. The proper all-inclusive term for a naval person absent without authority from the command to which assigned.

UCMJ- *Uniform Code of Military Justice*.

VA-Veterans' Administration; now Department of Veterans Affairs.

## APPENDIX II

# REFERENCES USED TO DEVELOP THE TRAMAN

**NOTE:** Although the following references were current when this TRAMAN was published, their continued currency cannot be assured. Therefore, you need to be sure that you are studying the latest revision.

### Chapter 1

*Department of the Navy Correspondence Manual*, SECNAVINST 5216.5C, Secretary of the Navy, Washington, DC, August 1983.

*Department of the Navy Directives Issuance System Manual*, SECNAVINST 5215.1C, Secretary of the Navy, Washington, DC, April 1970.

*Department of the Navy Information Security Program Regulation*, OPNAVINST 5510.1H, Chief of Naval Operations, Washington, DC, May 1991.

*Department of the Navy Standard Subject Identification Codes (SSIC)*, SECNAVINST 5210.11D, Secretary of the Navy, Washington, DC, October 1987.

*Family Service Center Program*, OPNAVINST 1754.1A, Chief of Naval Operations, Washington, DC, 1985.

*Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*, NAVPERS 18068F, Bureau of Naval Personnel, Washington, DC, 1992.

*Naval Military Personnel Manual (MILPERSMAN)*, NAVPERS 15560, Bureau of Naval Personnel, Washington, DC, August 1991.

*Navy Family Ombudsman Program*, OPNAVINST 1750.1B, Chief of Naval Operations, Washington, DC, 1990.

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*Yeoman 3*, NAVEDTRA 10298, Naval Education and Training Command, Pensacola, FL, February 1991.

## **Chapter 2**

- Advancement Manual*, BUPERSINST 1430.16D, Bureau of Naval Personnel, Washington, DC, July 1991.
- Broadened Opportunity for Officer Selection and Training (BOOST) Program*, OPNAVNOTE 1500, Chief of Naval Operations, Washington, DC, June 1992.
- Command Advancement Program*, BUPERSINST 1430.17D, Bureau of Naval Personnel, Washington, DC, 1991.
- Enlisted Commissioning Program*, OPNAVNOTE 1530, Chief of Naval Operations, Washington, DC, June 1992.
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- Officer Candidate Preparatory School*, OPNAVINST 1530.6A, Chief of Naval Operations, Washington, DC, January 1990.
- Service procurement for Appointment Under the Active and Inactive Limited Duty Officer and Chief Warrant Officer Programs*, NAVMILPERSCOMINST 1131.1.1A, Bureau of Naval Personnel, Washington, DC, 1986.
- U.S. Naval Reserve Officer Programs Open to Active Duty Naval Enlisted Personnel*, OPNAVINST 1120.2B, Chief of Naval Operations, Washington, DC, 1991.

## **Chapter 3**

- Career Information Program Management*, NAVEDTRA 10238-A, Naval Education and Training Command, Pensacola, FL, February 1990.
- Enlisted Transfer Manual (ENLTRANSMAN)*, NAVPERS 15909D, Bureau of Naval Personnel, Washington, DC, September 1988.
- Manual of Navy Total Force Manpower Policies and Procedures*, OPNAVINST 1000.16G, Chief of Naval Operations, Washington, DC, June 1990.
- Navy Retention Program*, OPNAVINST 1040.6A, Chief of Naval Operations, Washington, DC, 1988.
- Retention Team Manual*, NAVPERS 15878-H, Chief of Naval Operations, Washington, DC, March 1992.

## **Chapter 4**

- Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.IH, Chief of Naval Operations, Washington, DC, April 1988.

*Department of the Navy Standard Subject Identification Codes (SSIC)*, SECNAVINST 5210.1 ID, Secretary of the Navy, Washington, DC, 1987.

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*Navy Customer Service Manual*, NAVEDTRA 10119-B1, Naval Education and Training Command, Pensacola, FL 1988.

*Navy Officer Recruiting Manual (CRUITMAN-OFF)*, volume 2, COMNAVCRUICOMINST 1131.2A.

## **Chapter 8**

*Manual of Navy Total Force Manpower Policies, and Procedures*, OPNAVINST 1000.16G, Chief of Naval Operations, Washington, DC, June 1990.

## **Chapter 9**

*Issuance of Navy Passenger Transportation Manual (PTM)*, NAVMILPERSCOMINST 4650.2A, Bureau of Naval Personnel, Washington, DC, November 1987.

*Joint Federal Travel Regulations (JTFTR)*, volume I, NAVSO P6034, Per Diem, Travel and Transportation Allowance Committee, Alexandria, VA, July 1986.

*U.S. Navy Travel Instructions*, NAVSO P-1459, Office of the Comptroller, Washington, DC, August 1985.

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## **Chapter 12**

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# *Assignment Questions*

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**Information:** The text pages that you are to study are provided at the beginning of the assignment questions.



## ASSIGNMENT 1

Textbook Assignment: "The Navy Yeoman" and "Education and Advancement," chapters 1 and 2, pages 1-1 through 2-13.

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Learning Objective: Describe naval standards (NAVSTOs) and occupational standards (OCCSTDs) and how they fit into the naval advancement system.

---

1-1. Which of the following publications forms the basis for the advancement, training, and distribution of personnel?

1. *Manual of Advancement*
2. *Retention Team Manual*
3. *Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*
4. *Enlisted Transfer Manual*

1-2. NAVSTDs are skills other than those defined by OCCSTDs and are essential in order for an individual to function effectively at a given level of responsibility.

1. True
2. False

1-3. OCCSTDs are defined as which of the following standards?

1. Maximum level of skill required to perform a task
2. Maximum enlisted paygrade required to perform a task
3. Minimum level of skill required to perform a task
4. Minimum enlisted paygrade required to perform a task

1-4. OCCSTDs are phrased in the language of task statements.

1. True
2. False

1-5. Effective communication requires that you have what kind of basic knowledge?

1. Knowledge of your own language
2. Knowledge of a foreign language
3. Knowledge of other ratings
4. Each of the above

---

Learning Objective: Describe the duties and responsibilities of the administrative assistant and the ship's secretary.

---

1-6. Which of the following people would most likely be appointed to the job of administrative assistant?

1. Administrative officer
2. Personnel officer
3. Senior Personnelman
4. Senior Yeoman

1-7. The administrative assistant's basic responsibilities may include which of the following duties?

1. Report on the effectiveness of administrative policies, procedures, and regulations of the command
2. Review all correspondence prepared for the signature of the executive officer
3. Schedule interviews of visitors with the executive officer
4. All of the above

1-8. Concerning duties, responsibilities, and authority of an administrative assistant, which of the following statements is NOT normally correct?

1. Report the effectiveness of administrative regulations of the command to the executive officer
2. Maintain the mast record for the commanding officer's nonjudicial punishments
3. Coordinate the assignments of enlisted personnel
4. Approve administrative equipment requisitions within the budget allowances

1-9. What individual is responsible for the coordination and indoctrination of newly reported personnel?

1. Training officer
2. Administrative assistant
3. Division officer
4. Department head

1-10. What is the title of the individual who controls the administration and accountability of ship's correspondence?

1. Flag secretary
2. Ship's secretary
3. Flag lieutenant
4. Assistant chief of staff for administration

1-11. Your ship's engineer officer originated a report that was sent to the type commander (TYCOM). You receive a letter from the TYCOM requesting further information concerning the report. When should you provide a copy of the report for the respondent?

1. When the reply is routed to the CO for signature
2. When the engineer officer has prepared the reply
3. When the engineer officer asks for it
4. When you route the incoming letter

1-12. The ship's secretary receives a letter addressed to the commanding officer (CO) recognizing some of the CO's personnel for their support. What action(s) should the ship's secretary take?

1. Dictate an answer immediately and mail it
2. Prepare an answer in rough draft
3. Submit the letter to the executive Officer
4. Mail a letter in reply and inform the executive officer

---

Learning Objective: Describe the duties involved in handling correspondence and officer records.

---

1-13. In a broad sense, what does accountability for correspondence mean?

1. Care of all classified matter
2. Maintenance of all correspondence in central files
3. Proper handling of only Confidential and Secret correspondence
4. Physical safeguard of correspondence in all files

1-14. When you take action on original correspondence and wish to retain it, what should you do with the control slip?

1. Attach the control slip to the original correspondence
2. Make a copy of the control slip for the central files
3. Return the control slip to central files with a note that the original is being held
4. Destroy the control slip

1-15. Who makes sure the ship's central files are properly maintained?

1. The executive officer
2. The ship's secretary
3. The captain's Yeoman
4. The file Yeoman

- 1-16. Supervision of the commanding officer's personal correspondence file is a responsibility of what person?
1. Captain's Yeoman
  2. Ship's secretary
  3. File Yeoman
  4. Executive officer
- 1-17. Signatures are required in the service record for which of the following reasons?
1. To ensure entries are made by proper authorities
  2. To ensure the records are maintained properly
  3. Both 1 and 2 above
  4. To ensure the individual maintaining the record is accountable for errors
- 1-18. Which, if any, of the following responsibilities does a ship's secretary have regarding officer records?
1. Maintain custody
  2. Keep up to date
  3. Both 1 and 2 above
  4. Sign where indicated
- 1-19. Signatures in the service record are made in temporary black or blue-black ink.
1. True
  2. False
- 1-20. Why are notices identified by a tab if they are interfile with instructions?
1. To show that the cancellation date of those notices has passed
  2. To facilitate removal of notices from the file on their cancellation date
  3. Because notices are less authoritative than instructions
  4. Because notices are more authoritative than instructions
- 1-21. Who is ultimately responsible for making the Directives Issuance System work on the ship?
1. Ship's secretary
  2. Captain's Yeoman
  3. Executive officer
  4. Administrative assistant
- 1-22. The required publication allowances are listed in which of the following publications and/or microfiche?
1. *Naval Military Personnel Manual*
  2. NAVSUP P2002 (microfiche)
  3. Both 1 and 2 above
  4. Directives Issuance System
- 
- Learning Objective: Identify factors that contribute to high morale and agencies available within the Navy community that promote health and welfare.
- 
- 1-23. Since every petty officer and chief petty officer has a duty to work toward maintaining high morale among their personnel, what practice should each leader or supervisor employ?
1. Avoid counseling about personal matters
  2. Avoid giving guidance in spiritual matters
  3. Provide adequate counseling and guidance, but only in matters pertaining to a member's military duties and obligations
  4. Provide counseling to members who feel a need to discuss with you any problem that hinders the operation of your division
- 1-24. Which of the following is an indication of high morale?
1. Confidence
  2. Loyalty
  3. Cooperation
  4. Each of the above

1-25. Which of the following is an excellent aid to the development of high morale?

1. Recognize accomplishments
2. Record problems
3. Avoid pointing out errors
4. Eliminate criticisms and recommendations on organizational weaknesses

1-26. Under whose authority does the enforcement of private financial obligations fall?

1. Civil authorities
2. Commanding officer
3. Command master chief
4. Disbursing officer

LT Brush was authorized TEMADD orders to the Naval Operational Intelligence Center, Washington, DC, for 5 days. He was authorized \$800 advance pay for the trip. Upon LT Brush's return from his TEMADD assignment, he submitted a travel voucher for the expenses incurred during the TEMADD assignment. The travel voucher showed that the expenses incurred were not equal to or greater than the advance pay LT Brush had received.

1-27. LT Brush's travel voucher indicates that he is indebted to the government. Which of the following instructions pertains to the *Remission of Indebtedness or Waiver of the Government Claim Arising from Members of the Naval Service*?

1. BUPERSINST 1430.16
2. BUPERSINST 1571.16
3. SECNAVINST 1741.4
4. SECNAVINST 7220.38

1-28. Normally, which of the following agencies is NOT considered to be one of the primary agencies that provides supplementary morale service to military personnel and their dependents?

1. Family Service Center
2. Navy Relief Society
3. First National Bank
4. Red Cross

1-29. Which of the following services is/are NOT provided by the Navy Relief Society?

1. Entertainment shows
2. Visiting nurse program
3. Prenatal supplies
4. Financial loans and grants at no interest

1-30. The Navy Wives' Club of America provides college scholarships to children of enlisted personnel of which of the following services?

1. Navy only
2. Marine Corps only
3. Coast Guard only
4. Navy, Marine Corps, and Coast Guard

---

Learning Objective: Identify educational programs available to the service member.

---

1-31. Providing financial aid to personnel who attend educational institutions on a voluntary off-duty basis is the purpose of which of the following programs?

1. Defense Activity for Non-Traditional Educational Support (DANTES)
2. Program for Afloat College Education (PACE)
3. Tuition Assistance (TA)
4. Instruction Service Program

1-32. Commanding officers may use the Instruction Service Program to provide education in which of the following areas?

1. Academic
2. Technical
3. Professional
4. All of the above

1-33. Which of the following goals CANNOT be accomplished through Navy Campus?

1. Associate's degree
2. Carpenter's apprenticeship
3. Bachelor's degree
4. Master's degree

1-34. Participating colleges waive residency requirements and accept up to 75 percent of degree credit received through college-approved nontraditional means in which of the following Navy educational programs?

1. Navy Campus
2. Tuition Assistance
3. PACE
4. Instruction Service Program

1-35. Which of the following educational programs offers on-duty instruction and development in English, reading, and mathematics?

1. DANTES
2. PACE
3. Basic Skills Program
4. TA

1-36. A person wishing to take the scholastic aptitude test (SAT) should apply through which of the following programs?

1. Basic Skills Program
2. DANTES
3. PACE
4. TA

1-37. What educational program provides self-study training packages of instruction in professional naval subjects?

1. Tuition Assistance Program
2. Instructor Service Program
3. Nonresident Training Course (NRTC) Program
4. National Apprenticeship Program

1-38. Most NRTCs are designed to help you study what type of books?

1. Advancement handbooks
2. Training manuals (TRAMANS)
3. Practical advancement requirements
4. Course planning guides

1-39. To make sure you have the latest edition of a TRAMAN, you must compare the manual's NAVEDTRA number to the number listed in the most recent edition of what publication?

1. *Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*
2. *Bibliography for Advancement Study*
3. *List of Training Manuals and Correspondence Courses*
4. *Manual of Advancement*

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Learning Objective: Describe the Navy advancement system.

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1-40. What official publication should you consult for specific information concerning advancement in the Navy?

1. *Navy Enlisted Manpower and personnel Classifications and Occupational Standards*
2. *Bibliography for Advancement Study*
3. *List of Training Manuals and Correspondence Courses*
4. *Manual of Advancement*

1-41. During what month would BUPERS Notice 1418 be published announcing the January E-7 examination?

1. March
2. September
3. November
4. December

1-42. What officer certifies that an individual has met the qualifications and is fully competent to perform at the next higher rate?

1. Commanding officer
2. Executive officer
3. Division officer
4. Administrative officer

1-43. For "early" candidates to be selected over "regular" candidates for advancement, the early candidate will normally have to meet which of the following requirements?

1. Achieve a higher final multiple score than a regular candidate
2. Have more time in type 4 duty than a regular candidate
3. Have a greater amount of time in rate (TIR) than a regular candidate
4. Have more passed, but not advanced (PNA) points than a regular candidate

1-44. Who authorizes the advancement of chief petty officers (CPOs) after they have been selected by the CPO selection board?

1. Secretary of the Navy
2. Chief, Naval Education and Training
3. Chief of Naval Personnel
4. Commanding Officer, Naval Education and Training Program Management Support Activity

1-45. Which of the following petty officers will most likely be advanced?

1. P02 Pistol who hesitates to make decisions and to seek assignments of increased responsibility
2. P01 Door who does not hesitate to make a decision and to seek assignments of increased responsibility
3. P02 Christmas who never makes a decision without consulting with higher authority and is content with just qualifying for advancement
4. P01 Frost who makes a decision that he is likely to change several times and strictly supervises, requiring his members to do all the work

1-46. Which of the following is NOT a proper study technique?

1. To study only when you have nothing else to do
2. To study often for short periods
3. To summarize what you have read
4. To ask questions of the leading petty officer

1-47. Which of the following publications would have the least value in preparing a YN2 for advancement to YN1?

1. *Naval Military Personnel Manual*
2. *Applicable TRAMANS*
3. *Advancement Handbook for Petty Officers*
4. *Navy Enlisted Manpower and Personnel Classification and Occupational Standards*



- 1-48. Which of the following publications lists the minimum requirements for advancement to YN1?
1. *Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*
  2. *Bibliography for Advancement Study*
  3. *Military Requirements for P01*
  4. *Advancement Manual for Petty Officers*
- 1-49. To reflect changes and developments in the Navy, how is the Navy *Enlisted Manpower and Personnel Classifications and Occupational Standards* manual kept up to date?
1. A new manual is issued each year
  2. Numbered changes to the basic publication are issued
  3. Major revisions of the basic publication are made
  4. BUPERS issues annual directives
- 1-50. Which of the following publications identifies the source material on which you may be tested on a Navywidw advancement examination?
1. *Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*
  2. *Basic Military Requirements*
  3. *Bibliography for Advancement Study*
  4. *Advancement Manual for Petty Officers*
- 1-51. How often is the *Biliography for Advancement Study* revised?
1. Annually
  2. Semiannually
  3. Quarterly
  4. Monthly
- 1-52. An asterisk beside a course listed in the *Bibliography for Advancement Study* indicates what feature about the course?
1. It is optional
  2. It is mandatory
  3. It is helpful
  4. It is research material
- 1-53. When should the Recommendation for Advancement in Rate or Change of Rating (Worksheet), NAVEDTRA 1430/2, be signed?
1. On the day of the examination
  2. Before the day of the examination
  3. Within 3 days after the examination
  4. Any time after the examination
- 
- Learning Objective: Describe advancement programs that do not require participation in the Navywide advancement examination.
- 
- 1-54. In the title, Selective Conversion and Reenlistment (SCORE) Program, what does the word *conversion* mean?
1. Precommissioning crews for new ships
  2. Conversion crews for ships in major overhaul
  3. Both 1 and 2 above
  4. Change of rating
- 1-55. A SCORE applicant cannot have more than how many years' total active military service in order to qualify?
1. 8 years
  2. 10 years
  3. 12 years
  4. 15 years
- 1-56. RESCORE applicants are initially brought back on active duty for what period of enlistment?
1. 6 years
  2. 2 years
  3. 3 years
  4. 4 years

- 1-57. Specific eligibility requirements and application procedures for the SCORE and RESCORE Programs are established in what publication?
1. *Naval Military Personnel Manual*
  2. *Customer Service Manual*
  3. *Career Information Program Management*
  4. *U.S. Navy Regulations, 1990*
- 1-58. The STAR Program is designed to provide reenlistment incentives for what particular group of naval enlisted personnel?
1. First term personnel only
  2. First and second term personnel
  3. All personnel with less than 10 years' active duty
  4. All personnel who desire cross-rate training
- 1-59. Certain career incentives may be guaranteed under the STAR Program. Which of the following incentives would NOT be guaranteed?
1. Assignment to a class C school
  2. Advancement to petty officer second class
  3. Assignment to a class A school
  4. Advancement to petty officer first class
- 1-60. In which of the following publications are the minimum standards of qualification for the STAR Program set forth?
1. *Enlisted Transfer Manual*
  2. *Naval Military Personnel Manual*
  3. *U.S. Navy Regulations, 1990*
  4. *Career Information Program Management*
- 1-61. An applicant for the STAR Program must agree to reenlist or enlist for what period of time?
1. 2 or 4 years
  2. 2 or 6 years
  3. 4 or 5 years
  4. 4 or 6 years
- 1-62. The applicant for the STAR Program must not have a record of conviction by court-martial or nonjudicial punishment for what period preceding the date of application?
1. 12 months
  2. 18 months
  3. 24 months
  4. 36 months
- 
- Learning Objective: Identify career opportunities available to the service member.
- 
- 1-63. Which of the following programs is NOT normally considered to be an enlisted-to-officer program?
1. Naval Academy
  2. Limited Duty Officer
  3. Chief Warrant Officer
  4. Direct procurement
- 1-64. Which of the following enlisted-to-officer programs gives the participant the choice of a commission in the Navy or Marine Corps?
1. BOOST
  2. Naval Academy
  3. Limited Duty Officer
  4. Chief Warrant Officer
- 1-65. What are the two NROTC Scholarship Programs?
1. One-Year and Two-Year
  2. Two-Year and Four-Year
  3. Three-Year and Four-Year
  4. Four-Year and Graduate
- 1-66. Candidates who complete the BOOST Program can expect to qualify for which of the following enlisted-to-officer programs?
1. Naval Academy
  2. Naval Reserve Officer Training Corps
  3. Both 1 and 2 above
  4. Officer Candidate School

- 3-67. To qualify for officer candidate school (OCS), an enlisted person must possess what minimum level of education?
1. Associate
  2. Baccalaureate
  3. Master
  4. Doctorate
- 1-68. Enlisted personnel in paygrade E-4 and below designated as officer candidates are advanced to which, if any, of the following paygrades upon reporting to OCS?
1. E-5
  2. E-6
  3. E-7
  4. None of the above; all enlisted personnel are designated officer candidates in their present paygrade
- 1-69. Which of the following enlisted-to-officer programs offers an enlisted member a full-time opportunity to complete requirements for a baccalaureate degree and to become a commissioned officer?
1. Officer Candidate Preparatory School
  2. Enlisted Commissioning Program
  3. Limited Duty Officer
  4. Chief Warrant Officer
- 1-70. Which of the following programs is/are considered to be the primary enlisted-to-officer program sponsored by the Navy that does not require a college education?
1. Chief Warrant Officer and Limited Duty Officer
  2. OCS
  3. NROTC
  4. BOOST
- 1-71. What is the most junior petty officer paygrade that can qualify for the Chief Warrant Officer Program?
1. E-6
  2. E-7
  3. E-8
  4. E-9
- 1-72. What is the maximum number of years' active duty that an applicant may have served for the Chief Warrant Officer Program?
1. 14 years
  2. 16 years
  3. 20 years
  4. 24 years
- 1-73. The Limited Duty Officer Program requires a college education before commissioning.
1. True
  2. False
- 1-74. What is the lowest petty officer rate that can qualify for the LDO Program?
1. E-4
  2. E-5
  3. E-6
  4. E-7
- 1-75. What is the minimum number of years of active naval service that an LDO Program candidate must have completed?
1. 6 years
  2. 8 years
  3. 10 years
  4. 12 years

## ASSIGNMENT 2

Textbook Assignment: "Assignments and Retention," "Administrative Procedure," and "Forms," chapters 3, 4, and 5, pages 3-1 through 5-7.

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Learning Objective: Describe the assignment system used by the U.S. Navy for enlisted distribution management control and list various types of duty to which a member might be expected to be assigned.

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2-1. Which of the following is one of many elements needed to support a strong Navy?

1. A 40-hour workweek
2. An assignment system
3. An informal climate
4. A homesteading system

2-2. Maintaining control over the Navy's enlisted assignment system is the responsibility of which of the following officials or activities?

1. Fleet commanders in chief
2. Bureau of Naval Personnel
3. Chief of Naval Operations
4. Assistant Secretary of Defense

2-3. Separate functions were established to support enlisted distribution management controls. How many of these functions were established?

1. Five
2. Two
3. Three
4. Four

2-4. Assignment control is the selecting, detailing, and ordering of certain individuals to fill billets. What official or activity is the assignment control for all undesignated SN, FN, and AN personnel?

1. Commanding Officer, Enlisted Personnel Management Center (EPMAC)
2. Naval Reserve Personnel Center (NAVRESPERCEN)
3. BUPERS
4. CNO

2-5. Automated personnel management information systems were developed to support the enlisted distribution management control functions. How many of these systems were developed?

1. Five
2. Two
3. Three
4. Four

2-6. Personnel who are distributed according to their occupational skill and special talent earned in their rating are divided into which of the following communities?

1. Sea-submarine
2. Sea-surface/air
3. Opened-loop NEC
4. Closed-loop NEC

- 2-7. Information pertaining to the Navy Manning Plan (NMP) can be found in which of the following publications?
1. *Naval Military Personnel Manual (MILPERSMAN)*
  2. *Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards, volume II*
  3. *Enlisted Transfer Manual (ENLTRANSMAN)*
  4. *U.S. Navy Regulations, 1990*
- 2-8. CNO and manning control authorities have directed that certain activities be given priority manning in the assignment of personnel. Which of the following is a manning priority category?
1. CNO Priority 1
  2. CNO Priority 2
  3. MCA Priority 3
  4. Each of the above
- 2-9. For rotation purposes, a total of how many different types of duty are classified as sea, shore, or neutral duty?
1. Eight
  2. Six
  3. Three
  4. Four
- 2-10. Sea/shore codes (SSCs) are reflected in the Enlisted Distribution Verification Report (EDVR) as the type of duty a member is assigned. For rotation purposes, which of the following SSCs are creditable for sea duty?
1. 2, 3, and 4
  2. 2, 5, and 6
  3. 3, 5, and 6
  4. 3, 5, and 7
- 2-11. For rotation purposes, which of the following SSCs are creditable for shore duty?
1. 1 and 5 only
  2. 1 and 6 only
  3. 5 and 6 only
  4. 1, 5, and 6
- 
- Learning Objective: List the criteria for humanitarian and hardship assignments.
- 
- 2-12. The criteria for determining humanitarian/hardship assignments are contained in which of the following publications?
1. MILPERSMAN
  2. ENLTRANSMAN
  3. *Manual of Judge Advocate General (JAGMAN)*
  4. *U.S. Navy Regulations, 1990*
- 2-13. Which of the following circumstances would normally warrant special consideration for a hardship assignment?
1. A member's fiancée is hospitalized as result of a severe illness
  2. A member has a separation agreement
  3. A member has been awarded physical custody of children and needs time to make living arrangements
  4. All of the above
- 2-14. When emergency leave does not provide sufficient time to ease a hardship, how much time is allotted for temporary duty humanitarian (TD HUMS) assignment?
1. 12 months
  2. 9 months
  3. 6 months
  4. 4 months

- 2-15. When a member is being transferred for TD HUMS, which of the following requirements applies to the issuance of TO HUMS orders?
1. Advance dislocation allowance
  2. Advance per diem
  3. Leave en route
  4. Shipment of household goods
- 2-16. When should a member on TD HUMS be interviewed to determine if the hardship has been resolved before submitting an availability report?
1. 1 month before projected rotation date (PRD)
  2. 2 months before PRD
  3. 3 weeks before PRD
  4. 6 weeks before PRD
- 2-17. Non-U.S. citizens will not be assigned to perform military duty in an overseas area during their first term of enlistment in which of the following areas?
1. Hawaii
  2. Japan
  3. Puerto Rico
  4. Alaska
- 2-18. Overseas tour lengths are established by what department or official?
1. Department of Defense
  2. Commerce Department
  3. Secretary of Defense
  4. Chief of Naval Personnel
- 2-19. Overseas tour lengths are prescribed in which of the following publications?
1. *U.S. Navy Regulations, 1990*
  2. *Standard Organization and Regulations (SORM)*
  3. MILPERSMAN
  4. ENLTRANSMAN
- 2-20. Suitability for overseas assignment is determined by which of the following individuals?
1. The member
  2. The commanding officer of the receiving command
  3. The commanding officer of the transferring command
  4. The PSD holding the member's record
- 
- Learning Objective: Describe the counseling interview system as it applies to the Navy's retention program.
- 
- 2-21. The counseling interview system is composed of how many required interviews?
1. Five
  2. Six
  3. Seven
  4. Eight
- 2-22. Which of the following interviews will be given only once during a member's entire career?
1. Retention programs
  2. 17-year monitor
  3. Both 1 and 2 above
  4. Reporting
- 2-23. The action plan for the required interviews are contained in what publication?
1. *Career Information Program Management*
  2. ENLTRANSMAN
  3. *Retention Team Manual*
  4. MILPERSMAN
- 2-24. What individual is responsible for conducting the group presentation for reporting interviews?
1. Command career counselor
  2. Department career counselor
  3. Division career counselor
  4. Work center career counselor

- 2-25. The one-on-one reporting interview must be held within what maximum number of days after a member reports on board the command?
1. 10 days
  2. 15 days
  3. 30 days
  4. 45 days
- 2-26. The group presentation for the retention interview should be conducted during what time frame?
1. ADSD plus 15 months
  2. ADSD plus 17 months
  3. 10 months before EAOS
  4. 11 months before EAOS
- 2-27. During what required interview are advancement requirements checked and minimum advancement requirements through P02 thoroughly explained?
1. Reporting
  2. Retention
  3. Incentive
  4. 17-year monitor
- 2-28. The group presentation for the incentive interview should be held during what time frame?
1. ADSD plus 18 months
  2. ADSD plus 17 months
  3. 10 months before EAOS or PRD
  4. 11 months before EAOS or PRD
- 2-29. What will be the division career counselor's primary concern(s) when conducting an incentive interview for the member who is approaching PRD and not EAOS?
1. Reviewing and updating enlisted duty preference form
  2. Advance training and submission of a NAVPERS 1306/7 for a school, if desired
  3. Both 1 and 2 above
  4. Making sure minimum advancement requirements are met
- 2-30. The full-scale civilian career opportunities presentation should be given to which of the following members during the incentive interview?
1. A member who has decided not to reenlist
  2. A member who has decided to reenlist
  3. A member who has not made a decision to reenlist or separate
- 2-31. During the 17-year monitor interview, the division career counselor should stress which of the following benefits or programs?
1. The benefits of remaining on active duty past the initial Fleet Reserve eligibility date
  2. Survivor Benefit Plan
  3. Survivor annuities such as SGLI and VGLI
  4. Department of Veterans Affairs benefits
- 2-32. A member should be scheduled for a preretirement group presentation at least how many days before retirement?
1. 180 days
  2. 120 days
  3. 90 days
  4. 45 days
- 2-33. The division/work center career counselor must hold a separation interview at least how many days before actual separation?
1. 90 days
  2. 45 days
  3. 30 days
  4. 15 days
- 2-34. The results of all required interviews should be recorded on which of the following forms?
1. NAVPERS 1326/7
  2. NAVPERS 1306/7
  3. NAVPERS 1210/2
  4. NAVPERS 1160/11

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Learning Objective: List the requirements for drafting and writing messages and the responsibilities of the individuals involved.

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2-35. In addition to outgoing letters, outgoing messages are a vital administrative function.

1. True
2. False

---

IN ANSWERING QUESTIONS 2-36 THROUGH 2-39, SELECT FROM COLUMN B THE RESPONSIBILITY ASSIGNED TO THE INDIVIDUAL IN COLUMN A.

A. INDIVIDUALS    B. RESPONSIBILITIES

2-36. Originator	1. Composes the message
2-37. Drafter	2. Authorized to release the message
2-38. User	3. The authority in whose name a message is sent
2-39. Message releaser	4. Authorized to draft, release, and process the message

---

2-40. Which of the following publications lists the authorized Plain Language Addresses (PLRs) for messages?

1. *Standard Navy Distribution List (SNDL)*
2. *Message Address Directory (MAD)*
3. *Telecommunications Users Manual (NTP)*
4. *Naval Military Personnel Manual (MILPERSMAN)*

2-41. How many types of classified and unclassified narrative messages are there?

1. Five
2. Two
3. Three
4. Four

2-42. What precedence is normally assigned to commercially refiled messages?

1. ROUTINE
2. PRIORITY
3. IMMEDIATE
4. FLASH

2-43. For drafting a message that contains classified information, which of the following instructions prescribes the special instructions and declassification markings?

1. OPNAVINST 1000.16F
2. OPNAVINST 1710.7
3. OPNAVINST 5213.1B
4. OPNAVINST 5510.1H

2-44. Operational messages deal only with perishable information.

1. True
2. False

2-45. What is the highest precedence normally assigned to administrative messages?

1. ROUTINE
2. PRIORITY
3. IMMEDIATE
4. FLASH

2-46. When drafting a message, which of the following rules of naval courtesy should you observe?

1. Juniors ADTAKE seniors
2. Seniors request attention
3. List addresses by highest echelons before lower
4. Both 2 and 3 above

2-47. Which of the following factors must be considered first before you can write a message?

1. The classification
2. The length
3. The purpose
4. The distribution



2-48. When you write a message, you should not use short titles and abbreviations in messages addressed to which of the following individuals?

1. Congress
2. Fleet commanders
3. Chief of Naval Operations
4. Chief of Naval Personnel

2-49. Usually, separate files are maintained for All Navy (ALNAV) and Navy Operations (NAVOPS) messages. Normally, in what sequence are these messages filed?

1. Numerical order by originator
2. Numerical order by calendar
3. Alphabetical order by originator
4. Alphabetical order by subject

---

Learning Objective: Describe the different kinds of awards given to publicly recognize service members.

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2-50. How should you (a) begin and (b) end a letter of appreciation or commendation?

1. (a) By expressing thanks or commending the individual  
(b) by thanking or praising the individual again
2. (a) By expressing thanks or commending the individual  
(b) by stating the individual's leadership potential
3. (a) By summarizing the type of support accomplishment  
(b) by expressing thanks or commending the individual
4. (a) By stating the individual's characteristics  
(b) by expressing thanks or commending the individual

2-51. What is the most important element in writing a personal award recommendation?

1. The member's detachment date
2. The citation
3. The summary of action
4. The number of individuals recommended for the award

2-52. When writing a personal award recommendation, you should avoid what type(s) of approach?

1. Excessive use of superlatives
2. Job description
3. Both 1 and 2 above
4. Specific accomplishments

2-53. Noncombat citations are limited to how many typewritten lines?

1. 10
2. 15
3. 22
4. 30

2-54. What are the parts of a citation?

1. Opening sentence
2. Statement of achievement or service
3. Commendatory remarks
4. All of the above

---

Learning Objective: Identify practices and procedures applicable to the preparation of various types of social correspondence.

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2-55. Unless formal invitations are engraved, they should be written in longhand.

1. True
2. False

- 2-56. Invitations for some frequently recurring social functions may be partially engraved. Space is left in such invitations for longhand insertion of which of the following information?
1. The guest's name
  2. The type of function
  3. The date and time of the affair
  4. All of the above
- 2-57. A formal invitation is normally worded in the second person, present tense.
1. True
  2. False
- 2-58. After you have written the full name and title of the host on a formal invitation, what do you place on the next line?
1. The invitation
  2. The time
  3. The date
  4. The type of function
- 2-59. If an invitation to a formal shipboard function contains both R.S.V.P. and a boat schedule, the boat schedule should appear in the lower right corner.
1. True
  2. False
- 2-60. Most formal invitations should be answered even though a reply is not requested. An exception to this rule would be an invitation to which of the following occasions?
1. Home wedding
  2. Formal reception ashore
  3. Formal reception aboard a large vessel
  4. Church wedding
- 2-61. When an invitation is accepted, what does the receiver always include in his or her reply to make sure there is no misunderstanding?
1. Type of function
  2. Letters R.S.V.P.
  3. Time, date, and place of the event
  4. Host's name
- 2-62. An invitation from which of the following individuals has the highest precedence?
1. Secretary of Defense
  2. Secretary of the Navy
  3. Chief of Naval Operations
  4. President of the United States
- 
- Learning Objective: Identify practices involved in preparing for and participating in ceremonies.
- 
- 2-63. Generally, the first ship commissioning ceremony is the responsibility of what official?
1. The builder
  2. Chief of Naval Operations
  3. Area commander
  4. Prospective commanding officer
- 2-64. As a general rule, invitations are not issued for a ship decommissioning ceremony.
1. True
  2. False
- 2-65. The phrase equivalents in change of command orders are translated into proper terminology for use at the change of command. What portion of the orders is read at the change of command ceremony?
1. Information pertaining to detachment only
  2. Information pertaining to reporting only
  3. Information pertaining to detachment and reporting only
  4. Information pertaining to detachment, reporting, and authorized accounting data

- 2-66. When a member is transferred to another activity for further transfer to the Fleet Reserve, which of the following activities or individuals is responsible for the preseparation ceremony?
1. The detaching permanent duty station
  2. The receiving permanent duty station
  3. Bureau of Naval Personnel
  4. Chief of Naval Reserve Center
- 
- Learning Objective: Identify practices and procedures used in administering the forms management program.
- 
- 2-67. Forms are designed to be used for which of the following reasons?
1. To provide information for formulating policy
  2. To assist in controlling and improving operations
  3. To guide the movement of materials
  4. All of the above
- 2-68. The responsibilities for administration of forms management within the Navy is coordinated by what official?
1. Secretary of the Navy
  2. Chief of Naval Operations
  3. Secretary of Defense
  4. Chief, Bureau of Naval Personnel
- 2-69. Who is responsible for the results of forms management within an activity?
1. Commanding officer
  2. Forms management officer
  3. Senior Yeoman
  4. Administrative officer
- 2-70. What should be the first step taken in the operation of a forms management office?
1. Cancel all local forms in use
  2. Design new forms
  3. Collect copies of all forms used in the activity
  4. Review forms for duplication
- 2-71. An effective forms management plan should contain a provision for the continuing review of forms and related procedures. At what interval should this review occur?
1. Monthly
  2. Quarterly
  3. Semiannually
  4. Annually
- 2-72. When the forms control file is established, what information should be written on the copies of the forms that have been collected?
1. Name of the person who designed the form
  2. Name of the office using the form
  3. How often the form is used
  4. How many copies are prepared
- 2-73. In the Standard Subject Identification Code (SSIC) file, what information should be included on the label of the local form folder?
1. Consecutive number
  2. Title of form
  3. Originator's authorized abbreviation
  4. All of the above
- 2-74. When a form becomes obsolete or is replaced, what should be the disposition of the form?
1. Destroy it because it has served its purpose
  2. File it in a separate file with a note stating the reason it was discontinued
  3. File it in the folder with the form that replaced it
  4. Leave it in the SSIC file

2-75. Which, if any, of the following statements would NOT be considered a benefit from forms management?

1. Greater efficiency in organization
2. Greater economy in man-hours
3. Replacement of higher echelons forms with local forms
4. Improved records

### ASSIGNMENT 3

Textbook Assignment: "Reports Control and Records Disposal," "Personnel Support," and "Manpower," chapters 6, 7, and 8, pages 6-1 through 8-7.

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Learning Objective: Explain the procedures used to develop a reports control system.

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IN ANSWERING QUESTIONS 3-4 THROUGH 3-7, SELECT FROM COLUMN B THE TERM THAT BEST FITS THE DESCRIPTION IN COLUMN A.

	<u>A. DESCRIPTIONS</u>	<u>B. TERMS</u>
3-1. The responsibility for reports control management afloat belongs to what individual?  1. Administrative officer 2. Ship's secretary 3. Captain's office supervisor 4. Executive officer	3-4. A report that conveys essentially the same type of information at various intervals	1. As-required report  2. Reports analysis
3-2. The responsibilities of the reports control point include which of the following tasks?  1. Assigning identification symbols to reports 2. Approving proposed new reports or revisions to reports 3. Performing follow-up reviews of individual reports on a scheduled basis 4. All of the above	3-5. A report that a particular office or organization requests from another office or organization	3. Recurring report  4. Information requirement report
3-3. Reports that are prepared and required upon each occurrence, recurrence, or nonoccurrence of an event of certain prescribed characteristics are known as what type of reports?  1. Information 2. Situation 3. Periodic 4. Occurrence	3-6. A report from which an office or organization draws part or all of the data required for another report  3-7. A report that a particular office or organization provides for making or assisting in analysis studies	
	3-8. A plan and/or report form used by a government agency for the collection of information from the general public would be classified as what type of report?  1. Situation 2. Information 3. Analysis 4. Public	

- 3-9. A third requirement from the Chief of Naval Operations for a Navy report concerning intelligence collection would bear which of the following report control symbols?
1. OPNAV 3820-111
  2. OPNAV 3820-third
  3. OPNAV 3820-(3)
  4. OPNAV 3820-3
- 3-10. In the report case file, what information should be included in each report folder?
1. A copy of the report form
  2. A copy of the document requiring the report
  3. Related papers, such as source analyses, surveys and memos, pertaining to the report
  4. All of the above
- 3-11. The published list of recurring reports should include which of the following information?
1. Reference to the directive or document requiring the report
  2. Number of copies of each report to be prepared
  3. Details concerning preparation of the report
  4. Man-hours required to complete each report
- 3-12. One copy of the list of recurring reports should be maintained as a master by which of the following individuals?
1. Administrative officer
  2. Executive officer
  3. Petty officer assigned to monitor reports submissions
  4. Reports control manager
- 3-13. The list of canceled reports should be distributed in which of the following ways?
1. Distributed to appropriate offices
  2. Appended to each revised list of effective reports or quarterly supplements
  3. Published in the plan of the day
  4. Distributed on a weekly basis
- 3-14. To make sure all reports are submitted on schedule, which of the following actions should be included in the reports control procedure?
1. Provide a reports tickler card to offices preparing reports
  2. Add a list of all reports that will come due the following week to the command's weekly list of overdue reports/correspondence
  3. Both 1 and 2 above
  4. Put a notice in the plan of the day
- 
- Learning Objective: Indicate practices and procedures applicable to records disposal.
- 
- 3-15. What instruction contains retention standards for official U.S. Navy records?
1. SECDEFINST 5211.10C
  2. SECNAVINST 5212.5C
  3. BUPERSINST 5212.6C
  4. OPNAVINST 5215.5C
- 3-16. Your commanding officer wishes to recommend a change to the retention standards for official Navy records. To what individual should the recommendation be addressed?
1. Director, National Archives
  2. Director of the federal records center serving your activity
  3. Secretary of the Navy
  4. Chief of Naval Operations

- 3-17. Within a command, responsibility for the coordination of records disposal efforts normally is assigned to which of the following individuals?
1. A legal officer
  2. The communications officer
  3. A record disposal team
  4. An officer as a collateral duty
- 3-18. What method is used to dispose of records?
1. Destruction
  2. Donation
  3. Transfer
  4. Each of the above
- 3-19. For which of the following reasons would a commanding officer of an activity located outside the continental United States notify COMNAVDAC that Navy records were destroyed?
1. The space that the records occupied was needed for more important military purposes
  2. Hostile action was imminent and the records were destroyed as an emergency measure
  3. Both 1 and 2 above
  4. The records were obsolete
- 3-20. When at sea, by which of the following methods should you dispose of unclassified records?
1. Shredding and dumping overboard
  2. Dumping overboard intact
  3. Burning
  4. All of the above
- 3-21. Which of the following forms is/are used as a transmittal document for records shipped to a federal records center?
1. Standard Form 135
  2. NAVEXOS Form 4065
  3. Both 1 and 2, depending on document classification
  4. DD Form 155
- 3-22. What is meant by terminating files?
1. Removing obsolete materials from files and destroying the material
  2. Removing seldom used materials from existing files and destroying the materials
  3. Closing a file, removing the folder from the active file drawer, and starting a new folder with the same designation
  4. Subdividing an old file into specific subjects and setting up a new file system
- 3-23. All records must be disposed of on the day authorized for destruction.
1. True
  2. False
- 3-24. Which of the following statements is correct regarding shipments of records?
1. Shipment of less than 1 cubic foot may be sent in envelopes
  2. Shipments of less than 1 cubic foot should not be forwarded
  3. Legal-size documents are packed facing the left side of the standard carton
  4. Records are grouped chronologically by date originated
- 3-25. Who may authorize naval commands to obtain information from records that have been transferred to federal records centers?
1. The record group manager
  2. The appropriate area commander
  3. The commanding officer of the transferring activity
  4. The type commander for the transferring activity

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Learning Objective: Explain procedures used to establish and monitor customer service.

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- 3-26. The service you provide affects only the people you serve.
1. True
  2. False
- 3-27. Attitude can be described as the tendency to move away from or toward a situation.
1. True
  2. False
- 3-28. Which of the following statements about attitudes is correct?
1. Attitudes can be measured but not graded
  2. The effect of our attitudes can be measured but not graded
  3. The results of our attitudes can be measured or graded
  4. Each of the above
- 3-29. When you encounter an unpleasant customer, which of the following reactions is the best approach?
1. Tell the customer to come back after he or she has calmed down
  2. Treat the customer in a calm and confident manner
  3. Repay the customer's rudeness with rudeness
  4. Take the customer aside and try to calm him or her
- 3-30. For a person to do the best job, he or she must have pride in which of the following aspects?
1. Self
  2. Ability
  3. Job
  4. All of the above
- 3-31. If a member performs only when told to do so, he or she is reflecting a lack of which of the following traits?
1. Intelligence
  2. Skill
  3. Pride
  4. Cooperation
- 3-32. Common courtesy is the voluntary expression of respect for another's rights or feelings.
1. True
  2. False
- 3-33. When you respond to a customer's needs, an element of cooperation is required on your part as the contact point representative.
1. True
  2. False
- 3-34. Monitoring is necessary in a customer service office to establish which of the following objectives?
1. Effectiveness
  2. Uniformity
  3. Both 1 and 2 above
  4. Cleanliness
- 3-35. As a supervisor, you should refrain from which of the following actions?
1. Delegating responsibility for specific duties as soon as personnel demonstrate their ability to handle them
  2. Delegating responsibility for specific duties as soon as duties are assigned to personnel
  3. Interfering with your personnel when they are attempting to tackle a problem
  4. Being tactful in handling situations where advice is needed



3-36. As the senior Yeoman in a customer service office, you must monitor personnel in which of the following areas?

1. Inspections
2. Practices
3. Skills
4. Both 2 and 3 above

3-37. When an officer reports on board, which of the following steps must be completed as soon as possible to make sure the officer's financial matters are taken care of promptly?

1. Have the officer sign a page 13 and submit the proper copies to the disbursing officer
2. Make sure the Detaching and Reporting Endorsement to Orders contains an authenticating officer's signature and submit the proper copies to the disbursing officer
3. Have a verifying official initial the Detaching and Reporting Endorsement to Orders and provide the necessary copies to the disbursing officer
4. Make sure the officer reporting signs the Detaching and Reporting Endorsement to Orders and submit the necessary copies to the disbursing officer

3-38. Which of the following methods should NOT be used to speed up service and reduce the time that customers have to wait?

1. Have customers make appointments
2. Have customers fill out purpose of visit chits
3. Limit the amount of service
4. Establish special counter hours

3-39. Which of the following methods should be used to make sure others are able to locate items in a private retain filing system?

1. Attach a note to forms that are being held for future action
2. Make notes in a tickler file
3. Make notes on a calendar as a reminder when certain types of actions should be taken
4. All of the above

3-40. When screening documents for pay, allowances, and bonuses, to which of the following publications should you refer in order to determine entitlement?

1. DODPM and SDSPROMAN
2. JFTR and NTIS
3. Both 1 and 2 above
4. SDSPROMAN and MILPERSMAN

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Learning Objective: Identify procedures used to issue, verify, and inventory Armed Forces Identification Cards.

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IN ANSWERING QUESTIONS 3-41 THROUGH 3-44, SELECT FROM COLUMN B THE ARMED FORCES IDENTIFICATION CARD THAT IS PRINTED IN THE COLOR OF SECURITY-TYPE INK LISTED IN COLUMN A.

	<u>A. COLORS</u>	<u>B. ID CARDS</u>
3-41.	Green	1. DD 2N (RES)
3-42.	Red	2. DD 1173
3-43.	Blue	3. DD 2N (ACT)
3-44.	Black	4. DD 2 (RET)

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3-45. Which of the following activities is NOT an authorized issuing activity for ID cards?

1. Personnel Support Activity Detachment, Corry Station
2. USS America
3. USS New Jersey
4. VT-10

- 3-46. ID cards are not issued to dependents without what type of verification?
1. Legal documentation establishing relationship to the military sponsor
  2. Defense Enrollment Eligibility Report System
  3. Either 1 or 2 above, as determined by the issuer
  4. Letter of endorsement from the military sponsor's commanding officer
- 3-47. According to the cross-servicing agreement, a U.S. Air Force ID card issuing activity may verify the DD 1172 of eligible individuals for issuance of an ID card with the exception of which of the following individuals?
1. Unremarried former spouses
  2. Eligible dependents of active duty personnel
  3. Both 1 and 2 above
  4. Widows of active duty personnel
- 3-48. All ID cards must be controlled. Which of the following procedures is incorrect?
1. Maintain a record of all ID cards issued to all activities
  2. Store all ID cards in a desk drawer with a written access log
  3. Ship all ID cards by registered mail
  4. Record and account for the issuance and receipt of all ID cards by serial number
- 3-49. Which of the following individuals is responsible for confirming the command's authorization to issue ID cards?
1. Commanding officer
  2. Supply officer
  3. Administrative officer
  4. Security manager
- 3-50. Which of the following officials is responsible for maintaining records and accountability of ID cards requisitioned by ICI card issuing activities?
1. Chief of Naval Personnel
  2. Commander, Naval Data Automation Center
  3. Commander, Naval Supply Systems Command
  4. Commander, Naval Security Group
- 3-51. How long are requisitions and shipping documents pertaining to ID cards maintained?
1. 5 years
  2. 2 years
  3. 3 years
  4. 4 years
- 3-52. ID cards may be photocopied to facilitate which of the following administrative requirements?
1. Admission to medical facilities
  2. Check cashing
  3. Administration of military-related benefits to eligible beneficiaries
  4. All of the above
- 3-53. When an active duty member does not surrender his or her ID card to proper military authority, an entry must be made on what page in the member's service record?
1. Page 2
  2. Page 7
  3. Page 9
  4. Page 13
- 3-54. For what maximum period of time is a new ID card issued to members that are being separated?
1. 30 days
  2. 60 days
  3. 90 days
  4. 180 days

3-55. Which of the following publications provides detailed information for the proper completion and submission of an application package for an officer program?

1. *Naval Military Personnel Manual*
2. *Navy Officer Recruiting Manual*
3. *Officer Transfer Manual*
4. *Navy Retention Team Manual*

3-56. When an applicant for an officer program indicates disenrollment from an officer-type training program, a NAVCRUIT 1110/98 should be initiated.

1. True
2. False

3-57. What is the objective of the interview for officer programs or training?

1. To provide the applicant an opportunity to answer questions and to determine if the applicant possesses the personal characteristics desired in a naval officer
2. To inform the applicant of the details of the program and training
3. To provide an opportunity for the interviewer to make judgments about the applicant based upon the applicant's answers to questions
4. Each of the above

3-58. Written interview results should be recorded on the interviewer's appraisal sheet during the interview.

1. True
2. False

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Learning Objective: Describe the development and implementation of the manpower planning system.

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3-59. Which of the following officials or authorities is responsible for promulgating guidelines as to the number and type of personnel assigned to each activity?

1. Secretary of the Navy
2. Chief of Naval Operations
3. Bureau of Naval Personnel
4. Under Secretary of the Defense (Manpower)

3-60. The Navy Manpower Data accounting System (NMDAS) is the source for activity information, manpower authorizations, personnel authorizations, billet authorizations, and requirements. These authorizations and requirements are recorded in how many major subsystems?

1. Five
2. Two
3. Three
4. Four

3-61. Manpower requirements in NMDAS files are based upon which of the following documents?

1. Preliminary Shore Manpower Documents (PSHMDs)
2. Preliminary Ship Manpower Documents (PSMDs)
3. Sea Operational Detachment (SEAOPDET)
4. All of the above

- 3-62. The term *manpower authorization* is used in which of the following ways?
1. To specify categories of personnel used to perform functions or missions
  2. To describe a specific military position and means by which it is resourced
  3. To function as a generic term in place of precise statements about authorizations
  4. All of the above
- 3-63. Which of the following best describes the Navy Manpower Mobilization System (NMMOS)?
1. A process that identifies the wartime manpower requirements for a shore/support activity
  2. A process that identifies a specific military manpower space
  3. A system that delineates Naval Reserve billets for active duty for training personnel
  4. A system that identifies individuals required in a military capacity to accomplish the mission
- 3-64. When may a manpower mobilization requirement be designated Selected Reserve?
1. When the position is military essential
  2. When manpower is required within M+10 days
  3. When premobilization training is required
  4. All of the above
- 3-65. The manpower claimants have the responsibility for overall management of assigned manpower resources. After submitting a change request to the manpower claimant, to what individual does the manpower claimant forward the request?
1. Chief of Naval Personnel
  2. Chief of Naval Operations
  3. Area commander
  4. Commander in chief
- 3-66. Individual commanding officers have the responsibility of periodically reviewing and evaluating the command's manpower needs. When change requests to the Manpower Authorizations are submitted, which of the following actions should be taken?
1. Make sure change requests are submitted sufficiently in advance of requested effective date
  2. Make sure each requested action is complete and accurate
  3. Make sure complete justification is provided for each request for revision
  4. All of the above
- 3-67. Advisors are assigned to assist CNO and BUPERS with regard to officer manpower and personnel officer designator. Who may be an advisor for officers?
1. A Deputy Chief of Naval Operations
  2. The head of a major staff office
  3. Both 1 and 2 above
  4. Anyone in the administrative chain of command above a commanding officer
- 3-68. With regard to enlisted manpower and personnel, enlisted rating advisors are designated to assist CNO and BUPERS. Who may be an enlisted rating advisor?
1. A Deputy Chief of Naval Operations
  2. The head of a major staff office
  3. Both 1 and 2 above
  4. Anyone in the administrative chain of command above a commanding officer

- 3-69. Which of the following publications lists the assigned officer designator advisors and subspecialty sponsors and consultants?
1. *Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*, volumes I and II
  2. *Officer Transfer Manual*
  3. *Manual of Navy Officer Manpower and Personnel Classifications*, volumes I and II
  4. *Manual of Navy Total Force Manpower Policies and Procedures*
- 3-70. Which of the following publications contains the block descriptions for the OPNAV Form 1000/2?
1. *Manual of Navy Enlisted Manpower and Personnel Classification and Occupational Standards*, volumes I and II
  2. *Officer Transfer Manual*
  3. *Manual of Navy Officer Manpower and Personnel Classification*, volumes I and II
  4. *Manual of Navy Total Force Manpower Policies and Procedures*
- 3-71. The billet requirements within each Navy activity should be revised annually. If during this review it is determined that a change is required, which of the following actions should be taken?
1. Submit a short format change request
  2. Submit a Manpower Authorization Change Request, OPNAV Form 1000/4A
  3. Prepare an official letter request
  4. Submit a message to CNO requesting the change
- 3-72. Compensation should normally be required when submitting changes to the Manpower Authorization for which of the following actions?
1. Increase in the number of billets
  2. Increase in the billet paygrade
  3. Billet designator or rating change
  4. All of the above
- 3-73. Which of the following NECs has been authorized for use in identifying billets requiring women petty officers?
1. EW-9999
  2. FE-9999
  3. PO-9999
  4. WP-9999
- 3-74. If you are preparing a manpower change request, when should you show all activity billets on the OPNAV Form 1000/4A?
1. Any time the short format change is not used
  2. Any time changes constitute a complete manpower reorganization
  3. Any time billet changes affect at least two departments
  4. All of the above
- 3-75. When should the Manpower Change Summary Sheet, OPNAV Form 1000/2, be used as the summary of changes?
1. If 10 or more billets are involved
  2. If only 8 billets are involved
  3. If only 5 billets are involved
  4. The Manpower Change Summary Sheet is always used

## ASSIGNMENT 4

Textbook Assignment: "Travel," "Security," and "Legal," chapters 9, 10, and 11, pages 9-1 through 11-10.

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Learning Objective: Explain the regulations governing official travel and transportation at government expense.

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4-1. Which of the following publications contain(s) regulations pertaining to travel status and travel orders?

1. *Joint Federal Travel Regulations* (JFTR), volume I
2. *U.S. Navy Instructions* (NTIs)
3. Both 1 and 2 above
4. *Naval Military Personnel Manual* (MILPERSMAN)

4-2. YN3 Pistol is ordered to a 5-day school in security procedures and will return to his parent command. What form of orders will YN3 Pistol be issued?

1. TAD
2. TDY
3. PCS
4. Group travel

4-3. Mileage allowance in lieu of transportation (MALT) covers cost of transportation expenses only of members performing travel at personal expense under PCS or TAD orders.

1. True
2. False

4-4. Which of the following allowances covers the cost of lodging, subsistence, and other incidental expenses related to travel?

1. MALT
2. Per diem
3. Mileage
4. Personal allowance

4-5. When the member travels by privately owned conveyance (POC) and pays the operating expenses of the POC because transportation requests are not available at the time and place required, the member may receive which of the following types of reimbursements?

1. MALT only
2. MALT plus per diem
3. Actual cost only
4. Actual cost based on mode of transportation authorized and used, plus per diem

4-6. Under the lodging-plus method of reimbursement involving orders, receipts are required to support entitlement to the per diem allowance portion.

1. True
2. False

4-7. If a lodging receipt shows a charge for double occupancy and the other person sharing the room is a member or government employee on official travel, the traveler is allowed what portion of the double occupancy charge?

1. One-fourth
2. One-third
3. One-half
4. Three-quarters

- 4-8. In what way, if any, does reimbursement for MI&E differ from lodging expenses?
1. MI&E is payable to members without itemization of expenses and without receipts
  2. MI&E is not payable to members when government facilities are available
  3. MI&E is payable to members when government facilities are available only
  4. None
- 4-9. Which of the following officials determines if government messing is essential to training and readiness?
1. Chief of Naval Personnel
  2. Chief of Naval Operations
  3. Secretary of the Navy
  4. Commanding officer
- 4-10. Per diem is not payable in which of the following situations?
1. For any day that is classified as leave or proceed time
  2. For any period an enlisted member is undergoing processing or indoctrination where both government mess and quarters are available before reporting to the permanent duty station (PDS)
  3. For travel or temporary duty performed within the limits of PDS other than as authorized for the arrival at, departure from, and return to the PDS
  4. All of the above
- 4-11. The computation of constructive travel is based solely on the carrier's required check-in time at the terminal.
1. True
  2. False
- 4-12. The MI&E rate is prorated on a quarter-day basis. On the day of departure when the member's travel status begins in the second quarter, what percentage of MI&E rate is allowed?
1. 100%
  2. 75%
  3. 50%
  4. 25%
- 4-13. On the day of return when the member's travel status ends in the second quarter, what percentage of MI&E rate is allowed?
1. 100%
  2. 75%
  3. 50%
  4. 25%
- 4-14. When constructive travel is computed, per diem is based on the location of the member at what hour?
1. 0900
  2. 1600
  3. 1900
  4. 2400
- In answering questions 4-15 through 4-17, refer to the information given below. GSE2 Brush received TAD orders to Fleet Training Group, Norfolk, VA, via POC. GSE2 Brush departed at 0730 on 9 July and reported to his TAD station at 1200 on the same day. Lodging and government mess were available at the TAD station. The cost for government quarters is \$6. Per diem is \$26 and the current rate for mileage is \$0.25 per mile. GSE2 Brush departed the TAD station on 15 July at 1600 and returned to his PDS at 2030 the same day.
- 4-15. What is the per diem allowance for GSE2 Brush on 9 July?
1. \$26.00
  2. \$19.50
  3. \$19.00
  4. \$16.50

- 4-16. Since government mess is available, what amount, if any, will be deducted from the MI&E on 10 July?
1. \$2.25
  2. \$6.75
  3. \$11.25
  4. Nothing will be deducted; GSE2 Brush must still pay for meals in government mess
- 4-17. Upon return to his PDS, to what total amount will GSE2 Brush be entitled for reimbursement?
1. \$236
  2. \$281
  3. \$291
  4. \$296
- 4-18. Which of the following offices is/are designated by BUPERS as a Navy Transportation Office (NAVPTO)?
1. Navy Comptroller (NAVCOMPT)
  2. Personnel support activity detachments (PERSUPPDETs)
  3. Scheduled airlines transportation offices (SATOs)
  4. Both 2 and 3 above
- 
- Learning Objective: Identify the policies and procedures that govern passenger transportation.
- 
- 4-19. Which of the following offices are responsible for providing passenger transportation services for official travel?
1. NAVPTOs
  2. PERSUPPDETs only
  3. SATOs and NAVCOMPT
  4. SATOs and PERSUPPDETs
- 4-20. Passenger reservation requests (PRRs) for international or overseas passenger transportation are submitted to which of the following offices?
1. NAVPTOs
  2. PCPs
  3. Both 1 and 2 above
  4. SATOs
- 4-21. Which of the following offices are authorized to arrange international and transoceanic travel when it originates outside of CONUS?
1. NAVPTOs when there are no PCPs in the geographic region
  2. PCPs
  3. SATOs
  4. Both 2 and 3 above
- 4-22. Which of the following passenger reservation procedures should be followed when requesting passenger transportation?
1. Make arrangements for international or transoceanic travel through the supporting PERSUPPDET when travel originates from a shore station
  2. Submit passenger reservation requests to the area commander supporting the home port when travel originates from a ship
  3. Submit PRRs to the type commander with regional responsibilities when travel originates from a ship that is deployed away from the home port
  4. All of the above
- 4-23. A list of NAVPTOs is contained in which of the following publications?
1. *Naval Military Personnel Manual*
  2. *Joint Federal Travel Regulations*
  3. *Issuance of the Navy Passenger Transportation Manual*
  4. *Naval Travel Instructions*



IN ANSWERING QUESTIONS 4-24 THROUGH 4-27, SELECT FROM COLUMN B THE TRAVEL CODE USED ON PRRS THAT MATCHES THE DESCRIPTION IN COLUMN A.

	<u>A. DESCRIPTIONS</u>	<u>B. CODES</u>
4-24.	Authorized or directed air travel of military officer personnel in PCS status, accompanied by dependents	1. PT 2. OA 3. EA 4. PU
4-25.	Authorized or directed air travel of military enlisted personnel in PCS status, accompanied by dependents	
4-26.	Authorized or directed air travel of military personnel in PCS status, not accompanied by dependents	
4-27.	Authorized or directed air travel of military personnel in TAD status	

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Learning Objective: Explain how to complete PCS Travel, NAVPERS 7041/1.

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- 4-28. The PCS Travel, NAVPERS 7041/1, is used for which of the following reasons?
1. It is the primary source of statistical information regarding transfers
  2. It is an essential tool used in the fiscal management of the Permanent Change of Station Program
  3. It is used for effective and efficient budgeting of PCS funds
  4. All of the above

- 4-29. A NAVPERS 7041/1 must be submitted each time a member is involved in a PCS transfer.
1. True
  2. False

- 4-30. When should the NAVPERS 7041/1 be completed?
1. During the member's check-out process from the detaching permanent duty station
  2. During the member's check-in process at the receiving permanent duty station
  3. While the member is in a leave status en route to the next permanent duty station
  4. Within 30 days of receipt of PCS orders

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IN ANSWERING QUESTIONS 4-31 THROUGH 4-34, SELECT FROM COLUMN B THE PART OF NAVPERS 7041/1 THAT LISTS THE INFORMATION IN COLUMN A.

	<u>A. INFORMATION</u>	<u>B. PARTS</u>
4-31.	Household goods	1. I
4-32.	Dependents	2. II
4-33.	Itinerary	3. III
4-34.	Vehicles	4. IV

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Learning Objective: Identify the basic principles of the Navy security program and types of security briefings and debriefings.

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4-35. Who at an activity must be knowledgeable about the security orientation, education, and training program?

1. All officers above the grade of LCDR only
2. All officers in the grades of ENS through LT only
3. All CPOs only
4. All officers, enlisted personnel, and civilians who have access to classified material

4-36. Which of the following is one of the purposes of the security orientation, education, and training program?

1. To familiarize personnel regarding mobilization requirements
2. To familiarize personnel having access to classified material with the proper security procedures
3. To educate personnel about the role of seapower in national security
4. To familiarize personnel with new defense weapons and systems

4-37. Who at an activity has the responsibility for educating personnel on procedures for safeguarding classified material?

1. Commanding officer
2. Training officer
3. Educational services officer
4. Custodian of registered publications

4-38. YNC Pistol supervises three YNs in the captain's office. Who must make sure these YNs are trained in their duties to safeguard the officer's classified material?

1. Training officer
2. Ship's secretary
3. YNC Pistol
4. Educational services officer

4-39. What is the primary objective that should be impressed on your personnel regarding effective security?

1. Security is a collateral duty
2. Security is not something separate and apart from other duties
3. Access to classified information is not permitted to personnel who have an interest in promoting national security
4. Unnecessary reproduction of classified material must be prevented

4-40. What type of security briefing should be conducted during the training of personnel who enter the Navy or Marine Corps?

1. Indoctrination
2. Orientation
3. On-the-job training
4. Special briefing

4-41. How often should personnel having access to classified information receive a refresher briefing?

1. Monthly
2. Quarterly
3. Semiannually
4. Annually

4-42. How often must personnel who have access to material classified Secret or above be given a counterespionage briefing?

1. Once a year
2. Once every 2 years
3. Once every 3 years
4. Once every 5 years

- 4-43. Counterespionage briefings are conducted by which of the following individuals?
1. Security manager
  2. Commanding officer
  3. Naval Investigative Service agent
  4. Defense Investigative Service agent
- 4-44. Who assures that you undergo a defensive foreign travel briefing?
1. Educational services officer
  2. Security manager
  3. Administrative officer
  4. Commanding officer
- 4-45. Who determines if your dependents should receive a defensive foreign travel briefing?
1. Commanding officer
  2. Administrative officer
  3. Security officer
  4. Educational services officer
- 4-46. Under what circumstances must a commanding officer make sure a security debriefing is conducted for a member?
1. If the member is separated from active duty
  2. If the member no longer requires access to classified material
  3. If the member inadvertently gains substantive access to information that he or she is not eligible to receive
  4. All of the above
- 4-47. When a security debriefing has been conducted for a member, what disposition is made of the original of the Security Termination Statement, OPNAV Form 5511/14?
1. Filed in the individual's service record
  2. Filed in the classified material records file
  3. Forwarded to Director, Naval Investigative Service
  4. Forwarded to the Bureau of Naval Personnel
- 4-48. When the security clearance of a marine has been revoked for cause, what disposition is made of the original security termination statement?
1. Filed in the individual's service record
  2. Filed in the command's files for 2 years
  3. Forwarded to the Commandant of the Marine Corps
  4. Forwarded to Director, Naval Investigative Service
- 4-49. What disposition is made of the security termination statement when the statement is executed at the conclusion of a limited access authorization?
1. Filed in the individual's service record
  2. Filed in the command's files for 2 years
  3. Forwarded to the Bureau of Naval Personnel
  4. Forwarded to Director, Naval Investigative Service
- 4-50. A security termination statement is not executed when a member is being transferred from one command to another.
1. True
  2. False

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Learning Objective: Describe the practices and procedures applicable to administrative investigations or fact-finding bodies.

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- 4-51. An officer in command is responsible for initiating investigations of incidents involving his or her personnel. Which of the following individuals or commands is/are responsible for conducting an investigation for a member who is injured during a PCS transfer?
1. The detaching command
  2. The reporting command
  3. Both 1 and 2 above
  4. The area commander
- 4-52. What are the primary functions of an administrative fact-finding body?
1. Investigating the facts of an alleged offense and recommending appropriate disciplinary action
  2. Searching out, developing, assembling, analyzing, and recording all available information about the matter under investigation
  3. Interrogating witnesses and determining if an offense has been committed
  4. Investigating the facts of an incident and determining if a trial is warranted
- 4-53. The time period for an administrative fact-finding body to submit its investigation should not normally exceed how many days?
1. 15 days
  2. 20 days
  3. 30 days
  4. 45 days
- 4-54. How many kinds of administrative fact-finding bodies are there?
1. Five
  2. Two
  3. Three
  4. Four
- 4-55. At least how many officers must be appointed to a court of inquiry?
1. Five
  2. Two
  3. Three
  4. Four
- 4-56. Before an officer may convene a fact-finding body required to conduct a hearing, the officer must have what authority?
1. To convene a general or summary court-martial
  2. To convene a special or summary court-martial
  3. To convene a general or special court-martial
  4. To impose nonjudicial punishment
- 4-57. A fact-finding body required to conduct a hearing consists of what minimum number of officers?
1. One
  2. Two
  3. Three
  4. Four
- 4-58. Who may authorize a person to be designated as a party to an investigation?
1. The convening authority
  2. The fact-finding body
  3. Both 1 and 2 above
  4. The commanding officer

- 4-59. A fact-finding body not required to conduct a hearing may collect evidence in which of the following ways?
1. Personal interviews only
  2. Correspondence only
  3. Personal interviews and telephone inquiries only
  4. Personal interviews, correspondence, and telephone inquiries
- 4-60. SK2 Doe has been accused of larceny. Before security personnel interrogate or request a statement from SK2 Doe, they must comply with which of the following articles?
1. Article 15
  2. Article 31
  3. Article 86
  4. Article 92
- 4-61. When a suspect desires to waive his or her rights regarding self-incrimination, which of the following forms may be used by investigative personnel?
1. NAVJAG 5810/10
  2. NAVJAG 5800/7
  3. NAVJAG 5710/10
  4. NAVJAG 5700/7
- 4-62. Which of the following administrative fact-finding bodies submits its report in letter form?
1. Court of inquiry
  2. Administrative fact-finding body required to conduct a hearing
  3. Administrative fact-finding body not required to conduct a hearing
  4. All of the above
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- Learning Objective: Explain the regulations applicable to reports of offense.
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- 4-63. An immediate commander should refer to which of the following Rules for Courts-Martial (R.C.M.) regarding the initial disposition of a report of offense?
1. R.C.M. 306
  2. R.C.M. 601
  3. R.C.M. 701
  4. R.C.M. 1103
- 4-64. Within the limits of a commander's authority, which of the following actions may he or she take to initially dispose of a charge?
1. Administrative action
  2. Nonjudicial punishment
  3. Disposition of charges according to R.C.M. 401
  4. All of the above
- 4-65. Which of the following individuals may prefer charges?
1. CAPT Doe
  2. LCOR Brush
  3. YN1 Pistol
  4. All of the above
- 4-66. The Charge Sheet, ID Form 458, consists of how many sections?
1. Five
  2. Two
  3. Three
  4. Four
- 4-67. How should (a) charges and (b) specifications be numbered?
1. (a) Roman numerals  
(b) Roman numerals
  2. (a) Arabic numerals  
(b) Arabic numerals
  3. (a) Roman numerals  
(b) Arabic numerals
  4. (a) Arabic numerals  
(b) Roman numerals

- 4-68. What facts should be included in the specifications on a charge sheet?
1. The accused's rate, name, branch of service, social security number (SSN), and statement of facts only
  2. The accused's rate, name, branch of service, SSN, unit, time of offense, and statement of facts only
  3. The accused's rate, name, branch of service, unit, time of offense, place of offense, and statement of facts only
  4. The accused's rate, name, branch of service, SSN, unit, time of offense, place of offense, and statement of facts
- 4-69. In the preferral section of the charge sheet, who usually signs the charges as accuser?
1. The officer who conducted the preliminary investigation
  2. The person who originally placed the accused on report
  3. The first officer to become aware that an offense has been committed
  4. The president of the appointed general court-martial board
- 4-70. What action should be taken by an officer exercising summary court-martial jurisdiction upon receipt of sworn charges?
1. Forward the charges to his or her superior
  2. Enter the hour and date of receipt on the charge sheet
  3. Proceed with the trial
  4. Return the charges to the convening authority after reviewing them
- 4-71. Which of the following individuals endorses the referral, service of charges section on a charge sheet?
1. The president
  2. The convening authority
  3. The accused
  4. The military judge
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- Learning Objective: Describe the principles involved in censure as it applies to a statement of adverse opinion or criticism of an individual's conduct or performance.
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- 4-72. What two forms of censure express adverse reflection upon or criticisms of a person's conduct?
1. Reflection and criticism
  2. Admonition and reprimand
  3. Reflection and reprimand
  4. Criticism and censure
- 4-73. A nonpunitive letter is issued for what reason?
1. To remedy a noted deficiency in conduct or performance of duty
  2. As a form of nonjudicial punishment
  3. As a result of a sentence by court-martial
  4. To request a change in behavior
- 4-74. Other than secretarial letters of censure, a nonpunitive letter may be appended to which, if any, of the following documents?
1. Fitness reports
  2. Enclosures to investigations
  3. Departmental records of the recipient
  4. None of the above
- 4-75. In what form should punitive letters for nonjudicial punishment be issued to (a) officers and (b) enlisted personnel?
1. (a) In writing only  
(b) in writing only
  2. (a) In writing or orally  
(b) in writing or orally
  3. (a) In writing only  
(b) in writing or orally
  4. (a) In writing or orally  
(b) in writing only

## ASSIGNMENT 5

Textbook Assignment: "Legal," chapter 11, pages 11-10 through 11-22, and "Separations," chapter 12, pages 12-1 through 12-14.

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Learning Objective: Explain rules and regulations governing misconduct and line of duty.

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- 5-1. Which of the following cases of injury resulting in loss of time require an investigative report by a fact-finding body?
1. Cases of injury resulting in loss of time from duty for less than 24 hours
  2. Cases of injury resulting in loss of time for more than 24 hours, but not likely to result in permanent disability
  3. Cases of injury that may result in permanent disability
  4. All of the above
- 5-2. Under which of the following circumstances would a case of injury require an investigative report by a fact-finding body?
1. When there is any question of the mental responsibility or mental capacity of the injured party
  2. The injury resulted in death
  3. The injury resulted from enemy action under circumstances suggesting misconduct of the member or not in line of duty
  4. All of the above
- 5-3. To be determined wrongful conduct, what characteristic must the action have?
1. It must be intentionally incurred or result from gross negligence
  2. It must have been unforeseeable as the result of the act
  3. It must have been the indirect result of the act
  4. It must have been unavoidable
- 5-4. Misconduct can never be in line of duty.
1. True
  2. False
- Learning Objective: Identify procedures applicable to unauthorized absence and desertion.
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- 5-5. Under which of the following circumstances will an absentee be declared a deserter?
1. The facts indicate the member may have committed the offense of desertion as defined in the UCMJ
  2. The member has been absent without authority for 30 consecutive days
  3. The member is absent without authority and remains in any foreign country and requests asylum
  4. All of the above
- 5-6. When a member is absent from an assigned duty station, which of the following actions is completed immediately?
1. Inquiring of local hospitals
  2. Questioning cohorts about possible whereabouts
  3. Inquiring of local law enforcement agencies
  4. Each of the above
- 5-7. What document should be completed in the case of unauthorized absences of more than 24 hours?
1. Deserter/Absentee Wanted by the Armed Forces, DD Form 553
  2. Punitive letter of reprimand
  3. Nonpunitive letter of reprimand
  4. Record of Unauthorized Absence, NAVPERS 1070/606

5-8. What page of the enlisted service record should contain all the information in the Declaration of Desertion message?

1. NAVPERS 1070/613
2. NAVPERS 1070/610
3. NAVPERS 1070/605
4. NAVPERS 1070/602

5-9. A member was on unauthorized absence for more than 24 hours. The command must prepare what form within 5 working days?

1. NAVPERS 1070/613
2. NAVPERS 1070/606
3. DD Form 553
4. DD Form 458

5-10. What official authorizes a discharging activity to declare a deserter discharged *in absentia*?

1. CHNAVPERS
2. CNO
3. President
4. Congressman

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Learning Objective: Determine policies and procedures applicable to powers of attorney, indebtedness, and congressional correspondence.

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5-11. What are the categories of powers of attorney?

1. Limited power for certain named transactions
2. General power of attorney
3. Both 1 and 2 above
4. Particular power of attorney

5-12. Upon what individual(s) does the responsibility for an indebtedness rest?

1. Creditor only
2. Debtor only
3. Creditor and debtor
4. Debtor's CO

5-13. Debt collectors must comply with which of the following regulations concerning indebtedness?

1. Standards of Fairness
2. Fair Debt Collection Practices Act
3. *Manual of the Judge Advocate General*
4. *Manual for Courts-Martial, United States, 1984*

5-14. What is the limit of information that can be furnished to creditors requesting information concerning the personal rating of a member of the naval service?

1. Verification that the member is in the naval service
2. The member's duty station address
3. The member's basic pay
4. All of the above

5-15. A final or interim reply should be sent within how many workdays from the time a congressional inquiry reaches the action officer's desk?

1. 5 days
2. 6 days
3. 3 days
4. 4 days

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Learning Objective: Describe policies governing officer separations.

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5-16. Which of the following officials establishes criteria for separations?

1. CNO
2. SECNAV
3. SECDEF
4. President

5-17. Officers may be terminated by which of the following means?

1. Acceptance of resignation
2. Dismissal
3. Dropping from rolls
4. All of the above



- 5-18. What publication specifies the format of an unqualified resignation?
1. PAYPERSMAN
  2. MILPERSMAN
  3. OFFPERSMAN
  4. JAGMAN
- 5-19. Early separation is not authorized for which of the following reasons?
1. Attendance at night school
  2. Part-time school
  3. Courses that prepare one for a hobby
  4. All of the above
- 5-20. An officer or enlisted member of the Regular Navy has a vested right to retire voluntarily upon completion of at least how many years of active duty?
1. 20 years
  2. 25 years
  3. 28 years
  4. 30 years
- 5-21. Officers separated for cause are either physically or mentally incapable of performing their duties properly through no fault of their own.
1. True
  2. False
- 5-22. What official may determine whether an officer will be processed for dropping from the rolls, revocation of commission, termination of appointment, or such separation from the naval service as may be appropriate?
1. The officer's CO
  2. CNO
  3. CHNAVPERS
  4. SECNAV
- 5-23. In what instruction is contained detailed information and guidance for processing officers for separation because of conditions that render the continuation of officers in their present status undesirable?
1. SECNAVINST 1460.1A
  2. SECNAVINST 1920.6A
  3. SECNAVINST 2344.6E
  4. SECNAVINST 4290.1H
- 5-24. Which of the following officials, acting for the President, may dismiss an officer without court-martial in time of war?
1. CNO
  2. SECDEF
  3. SECNAV
  4. CHNAVPERS
- 5-25. What is the statutory retired age for permanently commissioned Regular officers in the grade of ensign and above?
1. 60 years of age
  2. 62 years of age
  3. 65 years of age
  4. 70 years of age
- 5-26. What publication contains conditions that must be met for placement on the temporary disability retired list (TDRL)?
1. *Disability Evaluation Manual*
  2. *Naval Military Personnel Manual*
  3. *Judge Advocate General Manual*
  4. *Navy Regulations, 1990*
- 5-27. What is the name of the pending list of all members who have been found unfit to perform the duties of their office, grade, rank, or rating?
1. Interim disability retirement list
  2. Temporary disability retired list
  3. Alternate disability retired list
  4. Separation interim retirement list

5-28. Separation orders for officers are issued by what official?

1. CHNAVPERS only
2. SECNAV only
3. CHNAVPERS or SECNAV
4. CNO

5-29. Officers who have been totally separated from the naval service are entitled to which of the following types of discharge certificates?

1. Honorable
2. General
3. Discharge Under Conditions Other Than Honorable
4. All of the above

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Learning Objective: Explain the rules and regulations governing enlisted separations.

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5-30. For which of the following reasons does the Navy provide for the orderly and expeditious separation of naval personnel?

1. To make sure the Navy is served by individuals capable of meeting required standards of duty, performance, and discipline
2. To maintain standards of performance and conduct through appropriate separation
3. To achieve authorized force levels and grade distributions
4. All of the above

5-31. The criteria and format for a request for hardship discharge are contained in what publication?

1. MILPERSMAN
2. OFFPERSMAN
3. ENLTRANSMAN
4. JAGMAN

5-32. A member not physically qualified by reason of physical disability means that a member is unable to perform the duties of his or her rate in such a manner as to reasonably fulfill the purpose of the member's employment on active duty.

1. True
2. False

5-33. All Fleet Reserve transfers are effective on what day of the month?

1. First
2. Thirtieth
3. Thirty-first
4. Last

5-34. Under which of the following circumstances may an effective date of transfer to the Fleet Reserve be held in abeyance?

1. Member is awaiting an administrative discharge
2. Member is in a disciplinary status
3. Both 1 and 2 above
4. Member is attending school

5-35. A fleet reservist is required to fulfill which of the following requirements?

1. Be physically examined at least once every 4 years
2. Be ready for active service in time of war or national emergency
3. Promptly answer all correspondence
4. All of the above

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Learning Objective: Identify policies and procedures applicable to administrative separation (discharge).

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5-36. When a member is processed for administrative separation, which of the following procedural requirements must be followed?

1. Notice only
2. Counsel only
3. Response only
4. Notice, counsel, and response

5-37. An administrative separation board consists of at least how many commissioned, warrant, or noncommissioned officers?

1. One commissioned, warrant, or noncommissioned officer
2. Two commissioned, warrant, or noncommissioned officers
3. Three commissioned, warrant, or noncommissioned officers
4. Four commissioned, warrant, or noncommissioned officers

5-38. The convening authority appoints which of the following individuals to an administrative separation board?

1. Members of the board
2. A nonvoting recorder
3. A nonvoting legal advisor
4. All of the above

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Learning Objective: Describe benefits available to the service member.

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5-39. What individual is responsible for making sure service members are aware of benefits provided for them and their families?

1. The member's CO
2. The member's XO
3. The member's career counselor
4. The member's immediate supervisor

5-40. What is the maximum amount of coverage of the Servicemen's Group Life Insurance?

1. \$25,000
2. \$50,000
3. \$75,000
4. \$100,000

5-41. The Veterans' Group Life Insurance (VGLI) is a 5-year, nonrenewable term coverage that has no cash, loan, paid-up, or extended values.

1. True
2. False

5-42. To obtain VGLI coverage, fill out DVA Form 29-8714 and send (a) what number of months' premium within (b) what minimum period of time?

1. (a) First month's premium  
(b) 120 days
2. (a) 2 months' premium  
(b) 60 days
3. (a) 3 months' premium  
(b) 30 days
4. (a) 4 months' premium  
(b) 120 days

5-43. A member who is found by the Administrator of Veterans Affairs to be suffering from a disability or disabilities may apply for insurance within what minimum period of time from the date that such disability was determined by the Department of Veterans Affairs (DVA)?

1. 6 months
2. 9 months
3. 12 months
4. 24 months

5-44. Totally disabled personnel may apply for any of the NSLI plans except for which of the following plans?

1. Extended
2. Endowment
3. Nonextended
4. Paid-up

- 5-45. What is the name of the DVA booklet IS-1?
1. *A Summary of Department of Veterans Affairs Benefits*
  2. *Navy Guide for Retired Personnel and Their Families*
  3. *Federal Benefits for Veterans and Dependents*
  4. *Veterans Life Insurance Benefits*
- 5-46. What agency or official determines retirees' eligibility for specific benefits?
1. DVA
  2. SECNAV
  3. Chief of Naval Operations
  4. Navy Department
- 5-47. What document contains a listing of the DVA regional offices and centers throughout the United States?
1. *Federal Benefits for Veterans and Dependents*
  2. *A Summary of Department of Veterans Affairs Benefits*
  3. *Veterans Life Insurance Benefits*
  4. *Navy Wide for Retired Personnel and Their Families*
- 5-48. On or after 1 January 1957, all members of the Armed Services of the United States performing active duty or active duty for training, including midshipmen at the Naval Academy and NROTC midshipmen come under the contributory coverage provisions of the Social Security System.
1. True
  2. False
- 5-49. What individual has the responsibility to adequately inform members of their rights and benefits under the Social Security Act?
1. CNO
  2. SECNAV
  3. Member's CO
  4. Member's career counselor
- 5-50. Individuals applying for admission to the Naval Home should be ambulatory and capable of caring for their personal needs and of cleaning their room.
1. True
  2. False



