



**NONRESIDENT
TRAINING
COURSE**

December 2001



Yeoman Basic

NAVEDTRA 14261A

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.

COURSE OVERVIEW: 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, official publications and directives, correspondence/message system, processing correspondence/messages, correspondence/message files and disposal, directives issuance system, reports and forms management programs, security, legal, awards, officer distribution control report (ODCR), officer service records, travel, leave procedures, pay and allowances, and technical administration.

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. 2153
DSN: 922-1001, Ext. 2153
FAX: (850) 452-1370
(Do not fax answer sheets.)
Address: COMMANDING OFFICER
NETPDTC 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 N331
6490 SAUFLEY FIELD ROAD
PENSACOLA FL 32559-5000

NAVAL RESERVE RETIREMENT CREDIT

If you are a member of the Naval Reserve, you may earn retirement points for successfully completing this course, if authorized 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.)

Student Comments

Course Title: Yeoman Basic

NAVEDTRA: 14261A **Date:** _____

We need some information about you:

Rate/Rank and Name: _____ SSN: _____ Command/Unit _____

Street Address: _____ City: _____ State/FPO: _____ Zip _____

Your comments, suggestions, etc.:

| |
|--|
| <p>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.</p> |
|--|

NETPDTC 1550/41 (Rev 4-00)

CHAPTER 1

THE NAVY YEOMAN

Whether you have made the decision to strike for Yeoman (YN) or want more knowledge to perform your administrative duties better, this nonresident training course (NRTC) is designed to help. Information from people surveyed throughout the Navy is used to set minimum standards of knowledge and skill needed to perform in each rating and paygrade. These are the Navy occupational standards (OCCSTDs). This NRTC is written to provide the knowledge needed to perform as a YN third or second class in a way that will encourage learning and provide a solid base from which you can grow professionally.

Review the OCCSTDs to get an idea of what this NRTC will teach you. Keeping them in mind as the course progresses will help you understand why information is included and where the information will lead you.

The word **Yeoman** has several definitions, but the best for our purposes is “an administrative assistant.” Nearly every office in every command in the Navy will have a YN assigned. Ever since the day it was decided help was needed to keep things in order, YNs have existed. Duties have changed and branched out to other specialties, such as supply and pay, but the YN remains as a key person to organize and maintain communications for the department or division where assigned. The better you do your job, the better the whole organization will run.

To function well as a YN, you must understand how the Navy is organized and how each area functions and interacts with every other area. This goes along with the ability to administer and organize yourself, your job, your office, and, eventually, the administrative functions of an entire command. The knowledge you need to support this ability increases all the time. There are always changes and improvements to keep track of. The better you do that, the more effective you will be.

Your advancement to petty officer depends, in part, on your ability to take on the role of leader as well as to show specific knowledge of your job. You will be responsible to senior personnel for your own actions as well as the actions of those who work for you. The

best way to meet this responsibility is to learn all you can, teach others, and set the example to be followed.

Don't forget, though, that you are a member of the armed forces. We are responsible to a much greater goal—the safety of our country and way of life. As such, we are sometimes called upon to fight for that security. As a YN aboard ship, you will be assigned to a general quarters station that will in some way be connected with maintaining communications during battle—as a phone-talker on the bridge, a messenger for a damage-control party, or maybe a status board writer in the combat information center (CIC). Remember the word **communicate**. Traditionally, and in fact, YNs are considered to be experts in communicating. We “pass the word” and through that act affect every aspect of naval life and operations. It's an important responsibility.

OCCUPATIONAL AREAS

As said before, YNs can be assigned to a large number of different offices. Despite the various areas each office oversees, administrative procedures are fairly constant. With a basic understanding of these procedures, you will fit easily into the routine of any office.

THE CAPTAIN'S OFFICE

Aboard ship one of the most important work areas for the YN is the captain's office. Here, working under the ship's secretary, YNs control incoming and outgoing mail, maintain career-related documents of the ship's officers, perform legal and disciplinary actions, and maintain the ship's master instructions and notices. The size of the ship determines the size and manning of the office. On larger ships, such as aircraft carriers, responsibility is split between other offices employing several YNs. There could be a separate legal/discipline office and possibly a separate office for classified material processing. On smaller vessels, there may be only one or two YNs in one office to do it all. Fortunately, the workload is smaller, even though the tasks are the same.

THE SHIP'S OFFICE

Ships generate a great deal of internal paper work and reports. To deal with this, the executive officer (XO) maintains the ship's office. The XO keeps track of reports, personnel functions, special services, and so on, and filters information to the commanding officer (CO). Generally, Personnelmen (PNs) are assigned to the ship's office, but on larger ships YNs may be assigned to handle the administrative workload.

OTHER OFFICES

Overall, though, central administrative offices are in the minority. Most offices are at the departmental and divisional level, such as the engineering logroom, the weapons office, and the operations office. Here you would be concentrating on correspondence, reports (muster reports, custody reports, and so on), helping with requisitioning, and, of course, maintaining the files and records of the division or department. The thing to keep in mind is, while the area of concern may be specialized, your administrative skills and knowledge will be the same.

OFFICE APPEARANCE AND ARRANGEMENT

The amount of control you will have over the physical conditions in your office will vary with the location and the type of duty to which you are assigned. Aboard ship and ashore, conditions outside your control may determine the kind of office and equipment you will have. Regardless of the conditions, however, you will be expected to take your share of the responsibility for the general appearance and neatness of your office. We will discuss more about the appearance of your office in the next paragraph and in the section pertaining to customer service. We want to point out your responsibilities for your office and how you should perform these duties as a routine part of your job—and not wait to be asked to perform them. Take the initiative yourself and carry out these duties.

NEATNESS AND CLEANLINESS

The general appearance of an office can be greatly affected by a simple practice such as putting things away from day to day. It will be one of your responsibilities to see that articles used during the day are put back where they belong. In securing your ship's admin office for the night, you should properly secure

and stow all gear and supplies to prevent damage to equipment or injuries to personnel from flying objects if your ship should encounter heavy weather. If you are serving ashore, it is no different—you should still put away articles and clean up your work area before you secure for the day.

Whether your office is ashore or afloat, you should go through your correspondence basket daily to see that work does not pile up. When you handle classified documents, be especially careful. After using classified documents, make sure you store them according to the guidelines set forth in the *Department of the Navy Personnel Security Program Regulation*, OPNAVINST 5510.30 series.

Make sure all supplies, such as ink and correction fluid that may stain other materials, are put away properly. Do not leave any equipment on the deck that might be damaged when the office is cleaned. Avoid accumulations of loose papers or other objects that may create a fire hazard. Desks should be dusted frequently. Do not allow dirt to build up until field day.

In putting away things others have been using or in dusting someone else's desk, use care and good judgment so that you do not lose or misplace anything. Do not disturb the arrangements they have made of their papers.

ARRANGING YOUR DESK

Your own desk is one item for which you are always responsible. Arrange it in a manner that is neat and organized. Set the example for those individuals who are less organized than yourself.

The following suggested plan is suitable if you spend most of your time typing letters or other correspondence and forms. Your work may require that you provide space for other types of supplies, but the general principle will still apply.

- Keep pencils, erasers, paper clips, and other small articles in shallow drawers or trays.
- Insert slanted stationery trays in one of the upper drawers. Use a separate tray for each type of stationery or form. Place the most frequently used stationery or forms at the front, with the additional trays similarly containing forms according to frequency of usage.
- Keep carbon paper in its box to keep it from curling or from soiling the stationery.

- If you keep any personal belongings such as clothes in your desk, place them in a drawer away from public view.
- At the end of the day, clear everything possible from the top of your desk. You should straighten any articles that remain on top of your desk and close all drawers. Make sure all classified or sensitive material is properly stored.

OFFICE ARRANGEMENT

If you have an opportunity to arrange the furniture in your office, do some advance thinking and planning before you start moving it. You should place desks so that those who work at them will have enough light without having to face the light. Avoid arranging desks so that anyone's back is to the reception area. Everyone in the office should be in a position to see and assist customers. Also make sure there is enough working space for your office coworkers to move around.

Chairs should be adjusted so that typists' feet rest firmly on the floor and chair seats are at least 12 inches below the base of the typewriters or computer keyboards. Think of the work that has to go on regularly and place equipment where it can be used most conveniently and where work will flow in one direction rather than in a crisscross manner.

You should place tables or counters conveniently for handling supplies or assembling papers. You should place files where they are handy for those who use them.

SKILLS AND KNOWLEDGE

So far we have talked about what a YN is. But what do you need to know? The rest of this NRTC will provide information to teach you what is needed to function as a YN third and second class petty officer.

TYPING

Typing is, of course, an absolutely necessary skill, and it cannot be learned simply by using a book. To qualify for YN3, you must pass a performance test by typing 30 words per minute and for YN2, you must type 40 words per minute. There are specialized typing textbooks available if you need to improve your typing skills. You should look for opportunities to practice in one of your command's offices. By showing a genuine desire to learn, you will get encouragement from the senior YNs in your command.

OFFICE MACHINERY

You will need to know how to operate the laborsaving devices available in offices today. These are typewriters, copying machines, computers, scanners, and communications systems (such as fax machines). All are being influenced by technological improvements, but basic procedures remain very much the same.

FILING

The Navy has a filing system based on standard number codes and standard procedures. The Navy is big, but if you learn the standard filing system, you will be able to function at any duty station anywhere with only a little orientation in local practices.

CORRESPONDENCE

As with filing, the same standardization applies to correspondence. Standard procedures keep information flowing effectively. You will learn the standard letter format, the business letter format, messages, memorandum formats, and variations. You will also learn to identify the proper circumstances for using the different types of correspondence.

LANGUAGE SKILLS

It cannot be repeated too often: YNs are communicators. Your language skills must be sharp. Your verbal and writing skills must be above average. YNs are expected to keep an eye on what they are doing (remember, attention to detail). If you are typing and find a grammar or spelling error or a format problem, you should tactfully point it out to the author and be ready to offer a substitute or correction.

FORMS

As in most large and diverse organizations, the Navy seems to have a form for everything. This is one of the prices of standardization. While there may be a large number of forms, you will find that once you have been introduced to them, how they are identified, and what they accomplish, it is fairly easy to keep them straight in your mind and know when they are needed.

PUBLICATIONS AND DIRECTIVES

There is a "trick to the trade" that all good YNs understand. A great deal of information can be stored

in your memory, but it is impossible to know everything. The trick is to know **where to find** pertinent information. Once you become familiar with the Navy's publications and directives system, you will have all the answers available to you.

LEGAL

While all personnel are made aware of the *Uniform Code of Military Justice* (UCMJ) and legal and disciplinary procedures that affect them, you will get a much more detailed look at the paper work and processing involved in nonjudicial punishment (NJP) and other legal functions. Most commands are not large enough to have Legalmen (LNs) assigned, which puts the responsibility for complete and accurate records on the YNs assigned.

CAREER OPPORTUNITIES

As your career progresses there will be opportunities for specialization or career change. Navy Enlisted Classifications (NECs) and schools will be available to you during your career as a YN.

NAVY ENLISTED CLASSIFICATIONS

The NEC coding system identifies special qualifications based on an individual's education and/or experience. As a YN, you can qualify for one NEC: YN-2514, Flag Officer Writer. The flag officer writer NEC is given after completion of YN "C" school, which trains you to work on flag officers' personal staffs.

LEGALMAN

One career change that may be of interest later on is becoming an LN. Entry into that rating is at the E-4 through E-6 level after successful completion of the Naval Justice School. Conversion may be authorized for E-3s fully eligible for E-4; however, conversion is not effective until after successful completion of the Naval Justice School and an advancement-in-rate examination. LNs are assigned to naval legal service offices, on larger ships, and at most major shore commands.

SCHOOLS

The key to classification is training and schools. Information on qualifications can be found in section II of the *Navy Enlisted Manpower and Personnel*

Classification and Occupational Standards Manual. Information on schools may be found in the *Catalog of Navy Training Courses* (CANTRAC).

PERSONAL QUALITIES

Do you know what is expected of you personally as a YN? You need more than technical knowledge. There are personal qualities with which you must be concerned. In almost any job you are assigned to, you will meet other people, in person or on the phone. Part of your responsibilities will be to provide them with whatever help you can. You may be in a customer-service position as a receptionist for a command with many offices and functions. You will be expected to handle questions or refer them to the proper authority. You will be presenting the first impression of your place of work and influencing other people's attitudes in dealing with your command.

VOICE

The most important personal quality is your voice. Whether in person or on the phone, it is your primary means of communication—and always remember that YNs are communicators. Clear and concise speech habits accomplish more than you sometimes think. Unfortunately, proof of this is found through the use of bad speech habits. More problems are caused by unconcern for how we say things. Have you ever called somewhere and heard, "Goodmorningsirormaam. OpsofficeYNFrostspeaking thisisnotasecureline. CanIhelpyousirormaam?" This is delivered while holding the phone with the shoulder, inserting paper into a typewriter, and listening to the supervisor read the plan of the day. All the necessary information has been given—but no one can understand it. Other problems that make conversations one-sided are volume (mumbling or talking too loud), lack of emphasis (you can use your voice to make a point by stressing important information), or a high-pitched, shrill voice. Also, learn to pronounce your words correctly. Local dialects can be confusing. Listen to others and use a dictionary to make sure you are saying words correctly.

APPEARANCE

Appearance goes hand in hand with your speaking skills. As a point of contact in your office, other people will come to you for information or answers. Your credibility will be greatly strengthened if you look clean-cut and squared away. People will anticipate

competence from you and will be ready to listen to what you have to say.

ATTITUDE AND PERSONALITY

Your attitude toward your work goes far in making you a truly professional YN, and it will have an effect on those with whom you interact. Since attitude is a frame of mind, it shows itself in different ways. Your personality itself will generally determine your overall attitude. By looking forward to working and dealing with other people, you will have that positive attitude others will notice. Likewise, if you are not happy with yourself or your position, you can be sure it shows also. Being a service member, your military bearing and attitude will be used as an indicator of what kind of worker you are.

A large part of military bearing comes from common courtesy in addition to the military courtesies and customs observed by fellow Navy members. Always put yourself in the shoes of the persons you are dealing with. Help them as you would like to be helped and, in turn, they will respond to you positively.

How you perform in the office is another part of how you will be judged. Always think about the job you are doing: Are you doing it right? Can it be done better or more efficiently? Paying attention to details will ensure a job is done right. There are always different circumstances influencing even the most routine task. You should always keep yourself thinking ahead, checking for the right answer to make sure you are right.

One trait that is looked for, required, and even demanded of a YN is honesty. You will be working in offices with sensitive and/or classified material. The officers you work for will put you in positions of trust. The information that you see, hear, or handle **must not be discussed outside the office**. It may be tempting to “show off” a bit to your friends about what you know that they don’t know—but don’t let that happen. Your personal integrity is one of the most important parts of being successful in your career, and it is very much a concern of those you work for. The records you keep affect others’ careers, their lives after the Navy, and become a part of the Navy’s history. You must reject any attempts to falsify or change these records. You may be asked by a friend or offered bribes to do this. The answer is always **no!** No matter how small the act, you will be letting down your shipmates and the Navy and leaving yourself open to legal prosecution.

CUSTOMER SERVICE: THE ART OF DEALING WITH PEOPLE

As a YN, almost everything you do will involve dealing with people. In this section we will tell you about the importance of providing good customer service to all individuals regardless of their status. We will describe what can happen whenever you provide good (or bad) customer service and the effects you will have on the image of your office, your rating, your command, and the Navy as a whole. As a YN, you are one of the most important customer-service representatives in the Navy. We will tell you about some of the ways in which you, the YN, can improve the customer-service environment of your office so that your office can effectively provide the type of customer-service Navy personnel need and deserve. We will talk about your role as a customer service representative and the ways in which your attitude, personal appearance, and pride in your job and yourself play a big part in providing good customer service. We will also tell you about some of the pitfalls you must avoid so you can provide the type of service that your customers need and deserve.

EFFECTS OF FACE-TO-FACE CONTACT

As a customer, have you ever waited in line only to be told when you finally reach the window, “Come back tomorrow. The person who takes care of that is not here today”? Have you ever tried to get a question answered and had the feeling that the person to whom you were talking resented being bothered? Have you ever walked into an office and waited and waited for service? Did you feel as though office personnel who were just standing around were ignoring you? Did you notice that some of them realized that you were standing there waiting for service, but just looked the other way? Most importantly, have **you** ever acted toward a customer in an inappropriate manner, a manner that is not consistent with your professional responsibilities as a YN?

As you think about these questions, are you convinced that there were some good reasons (not excuses) for these situations to happen? The Chief of Naval Operations will not be convinced, and a great many other individuals in the Navy, both juniors and seniors alike, won’t be convinced either.

Only a wishful dreamer would expect all Navy members to be 100 percent dedicated to their work, but only a confirmed pessimist would declare that the Navy is as good as it will ever be. There must be a point

between these two extremes at which the problems and requests of naval personnel, their dependents, and of Navy employees can be and should be handled correctly, promptly, and courteously—a point at which members will be satisfied with the service they receive without reducing the efficiency of those providing the service.

Providing excellent customer service is the responsibility of everyone in the Navy. A few of the Navy's ratings, however, are involved primarily with providing services directly to personnel. These ratings include DK, DT, HM, LI, LN, MS, NC, PC, PN, RP, SH, SK, and YN. Although this chapter is intended for you, the YN, personnel in other ratings who are reading this NRTC can apply the same principles of providing good customer service while performing their jobs.

Think back to some recent contact you have had with one or more of the personnel service ratings. How would you rate the service you received? You are a member of one of these ratings. How do you think your service as a YN would be rated by those you have served?

Now, carry this one more step. What effect did this good or bad service from other people have on you? How would you respond to courteous treatment and efficient action as opposed to a "don't-care" attitude?

YOUR ROLE IN THE ADMIN OFFICE

A customer seeking assistance in the admin office can still be given good service even though it may be impossible for you to provide the desired results. People may ask for things or services to which they are not entitled or which you may not be authorized to approve or grant. In these cases, providing good customer service refers to the quality of service you can provide rather than whether or not you are able to comply with all the person's wishes. When a person seeks assistance in the admin office and you do not provide it or you give the person the "runaround," "fast shuffle," or a "don't-bother-me" response, you are relaying to this person any one of the following impressions about your attitude concerning his or her needs:

"You are not an important individual."

"Your request or problem is not important to me."

"You don't know what you are talking about; I do!"

"I don't care about your problems; I've got problems of my own."

"I have more important things to do."

"I am having a bad day today."

The effect of bad service in an admin office is much more lasting than the momentary anger or disgust felt by the recipient. You can be sure the customer will remember you if you provided him or her with bad service. You can also be sure the customer will tell his or her friends about the bad service you provided. The frustration and resentment bad service can cause will stay with that person in the form of his or her general attitude toward the Navy.

On the other hand, good service contributes to a good attitude in a person. Good service is a qualitative and enviable characteristic that is indicative of a person's human relations capabilities, knowledge, interest, and concern for others. These qualities are especially important for you, the YN. By providing good service you build an excellent rapport between you and the customer. The Navy person who receives good service will remember you as being a professional customer-service representative who is always willing and able to help. You can be sure this person will tell his or her friends about you and recommend you to them whenever they need to come to the admin office.

In your career, the importance of providing excellent service to Navy people cannot be overstated. **Always strive to be professional and provide the best customer service possible to Navy members, regardless of their status.**

Recognizing the Customer's Needs

Everyone in the Navy has needs. People's problems must often be met by someone else. As a YN, you will encounter many individuals who have a variety of needs. You most likely will know the answers to many of the problems or, if not, you will know where to find them. You have the key to the information chest that contains the facts you need to help a person seeking assistance. Recognize that the personal service requirements are not the same for everyone. The senior petty officer will come to you for service, but, because of his or her experience, will not require the same explanations, interpretations, or advice that a younger, less experienced member requires. Since the more experienced members are aware of the services to which they are entitled, they are less likely to accept poor service. Although all members depend on others for service, the young men

and women serving their first enlistment probably feel the greatest need.

Improving Your Contact Skills

To have a skill is the ability to do something well as the result of talent, training, practice, or a combination of these. A multitude of skills comes into play in your day-to-day life—the professional skills of your rating, your military skills, and the skills you use in your off-duty activities.

We are concerned here with yet another type of skill: face-to-face skills. These are skills that enable you to deal effectively with people. Basically, these skills include the ability to listen attentively, effectively use eye contact, and work with and speak to every individual as a **person** and **not** as an object.

The structure of the Navy tends to foster an impersonal attitude in its members. We go where we are sent. We do what we are told. People we never even see make most of the decisions that affect our lives. This type of relationship does not involve face-to-face contact. This is not the relationship that exists aboard ships or at shore stations, however. Here you are in face-to-face contact with the customer; here the relationship becomes personal.

It is because of this personal interaction that you are required to have face-to-face skills if you are to be an effective YN. **Listen** to the customer to understand his or her needs; **speak** to the customer in a way the customer understands; and **respond** to the customer by making every effort to satisfy the customer.

Your effectiveness as the contact point depends on how well you listen, speak, and respond to the customer's needs and how well you acquire and use face-to-face skills.

Examining Your Attitudes

Our attitudes cannot be measured or graded, but the effects or results of our attitudes can be. The effects of our attitudes are apparent in our actions, words, and deeds. You may have said or heard someone else say, "That person has a bad attitude." What does this mean? How was this opinion formed? Was it formed as the result of the way that person has acted toward coworkers or customers, or as a result of not having completed his or her assigned work?

Why are we bothering to talk about attitudes? After all, people are people, and you cannot change

human nature. This is not true! Human nature is constantly changing as attitudes change. How do attitudes change? First, it takes **you** to recognize that a need for change in attitude is desirable. Second, **you** have to do something about it or take appropriate action to make the change. **Only you can do it!** No other person can force you to change. Changing your attitude is just like setting goals for yourself: You must combine vision with action. It is like wanting to do something, determining what needs to be done, and doing it.

ROLE OF THE CUSTOMER

Before we talk about the role of the customer, let's first consider the term **customer**. It is a familiar word, and all of us in the Navy are frequently considered to be customers. We often go to other offices for assistance. As customers, we always expect to be provided the very best possible service. In reality, we do not always receive the kind of service we deserve or expect from those serving behind the counter.

Your role as a customer is to be courteous, tactful, and respectful to the person providing assistance to you. When you make the person assisting you feel important, you are encouraging that person to be more aware of the expected service he or she needs to provide. If you feel that the person is not providing you with the assistance that you seek or expect, it is your responsibility to bring the matter to the attention of a more senior and knowledgeable individual, such as the person's supervisor. **As the customer, you should never leave an office unsatisfied.** You should leave that office feeling that you can always return at any time and be confident that they will provide you with the assistance you need. This is a realistic expectation.

Now, let's change your position from the person seeking assistance to that of the person behind the counter providing assistance. Just imagine how customers feel when they come to your office and they do not receive the help they need or deserve. Remember one thing: **Always put yourself in the customer's shoes.** Think of how you, as a customer, would like to be treated. If you remember this, you will become a more conscientious YN and you will certainly try to provide the very best customer service possible. Take care of those who need help. If you do not have the answers, find out who does, and get the answers.

THE CUSTOMER'S FIRST IMPRESSION

Customers form first impressions about you and your office the very first time they come in for help. Therefore, it is important for you to create a positive, lasting impression. You may handle many customers in the course of a day. Remember that every customer deserves the same courteous treatment. Take care of each customer in a professional manner. The fact that you must handle many customers during the course of a day may affect your mood. If you are in a bad mood, the customer will sense it and feel very uncomfortable around you. Therefore, you should learn to control your moods and your temper.

If you feel that you cannot provide the service a customer needs because you are having a bad day, get someone else who will, and excuse yourself. This is in the best interest of you and the customer. A customer's impression of you will usually extend to the entire office. For example, if a customer has a particularly complicated problem, and you are able to help him or her solve it by looking up the applicable reference, the comment from the customer to shipmates might be, "YN3 John Doe in the admin office is on the ball." It is even more likely that the customer's comment will be, "The admin office is on the ball. They solved my problem because they know what they are doing."

ANALYZING THE CUSTOMER

We have been analyzing your actions as the customer-service representative so that you may see some reasons, within yourself, why you may not be providing as good a service as you are expected to do. To do this, we have assumed that the customer was in a good mood, had trust in your ability, and was willing to accept your solution. This is not always the case.

There are several factors that often stand between you and the customer. They can complicate the customer's problem and your efforts to provide a solution. In the following paragraphs, we will take a look at some of these barriers.

State of Mind

Regardless of the nature or seriousness of the customer's problem, certain negative factors may serve to complicate it. The customer may exhibit the following behaviors:

- Be angry, worried, or frustrated

- Lack confidence in your abilities
- Be unwilling to accept anything less than the desired solution to a problem

However, if you can recognize these factors and make appropriate allowances for them, you may avoid further complicating the customer's problem.

The customer who is emotionally upset (angry, worried, or frustrated) may have difficulty in stating a problem accurately or completely. Significant information may be omitted; opinions may be confused with facts; or there may be a feeling that the information you are requesting is too personal. Usually, it will help if you can first determine the cause and target of the customer's emotional upset. What caused the anger? To whom is it directed? You may be able to sort out this information by asking leading questions.

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 that may cause the customer to become more irritated is not appropriate. **Maintain your self-composure and try to calm the customer down.** If you start shouting back because the customer has upset you, you will not be able to provide the service that the customer needs. If you feel that the customer has crossed the boundaries and is being verbally abusive to you, excuse yourself and bring the problem to the attention of your supervisor. Your supervisor has more experience in dealing with angry or irritated customers and will take whatever action is necessary to resolve the customer's problem.

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.

Complicated Problems

Most of the customers will have rather routine, easily identifiable problems. These problems will not present any great difficulty. However, there are exceptions. To resolve a complicated problem, both the customer and you, the YN, must have a mutual

desire to achieve results and take whatever appropriate action is necessary to solve the problem. The problems you encounter that are beyond your control because of your lack of experience must be brought to the attention of a more knowledgeable individual, such as your supervisor, for appropriate action.

Your Response

Earlier we discussed your attitudes toward customers, but we were thinking about customers in general. It is not difficult to be pleasant when you are dealing with pleasant people. It may become more difficult when the person is unpleasant.

Occasionally, you will have a customer who just seems to rub people the wrong way. No matter how hard you try, you cannot remain pleasant or friendly because of the customer's attitude or manner of speaking. In this situation, it is usually best to keep the contact as impersonal as possible. **Ignore the person's manner and attitude and concentrate on the problem.** It will be difficult, but it can be done.

The customer, your coworkers, and your supervisor will view your performance. If you are to do your best work, as rated by them, you must maintain your self-control. When patience runs out and tempers flare, your ability to think and act properly is greatly reduced. Be a professional customer-service representative and think before you act.

PITFALLS TO AVOID IN CUSTOMER SERVICE

In the previous section we discussed why a good attitude is important to customer satisfaction. We will now talk about some specific mistakes YNs can make in their handling of customer needs. For the most part, these mistakes will tend to result from any attitudes you project toward the customer, the customer's problem, the Navy, your job, or yourself.

JUMPING TO CONCLUSIONS

Jumping to a conclusion means that, in your opinion, you already possess sufficient facts upon which to base your judgment. As a result, you end up ignoring additional information provided by the customer. This tendency is often caused by a lack of concern for the customer and the desire to end the contact as quickly as possible. It may also occur because you normally have a better knowledge of your field than does the customer, and you may assume that

you know the customer's need before it is completely expressed.

If a customer has a vague idea as to the nature of a problem, you should not jump to conclusions. This does not help the customer. You should use tactful, skillful questioning to properly identify what the customer is trying to tell you.

PERSONAL REACTIONS

Occasionally, you may experience an adverse reaction to a customer—to his or her appearance, speech, or attitude. Because of your reaction, you may not be able to provide the quality of service that the customer needs or deserves. Most often, the cause of your adverse reaction will be the customer's attitude. When the customer is overbearing, cynical, or is flippant, it may be difficult for you to maintain a professional manner. Nevertheless, you must remain professional. A customer who has a bad attitude is also an individual who deserves the same courtesy and respect as an individual who is nice and courteous.

You must also be aware of your feelings regarding a previous episode in which you had to deal with a difficult customer. You will remember the customer who gave you a rough time on a previous visit. Do not let this memory affect your response when you are called upon again to serve this customer. Showing your feelings may give you some temporary gratification, but it will not solve your problems with this customer and it **will** have an adverse effect on your performance.

STEREOTYPING

Stereotyping is forming a standardized, oversimplified mental picture of members of a group. Stereotyping involves a fixed or general pattern that is attributed to the members of a particular group—disregarding individual, distinguishing qualities or characteristics. In stereotyping, we form mental pictures of people, things, and events according to the classification or group in which we feel they belong.

Consciously or unconsciously, we may have gone to a lot of effort to build up these stereotypes in our mind to make it easier to classify people. Some of these stereotypes may carry such labels as race, nationality, sex, religion, length of hair, and many others. Stereotyping eliminates the need for us to know the person as an individual. How convenient it is

to have these ready-made niches in which we can place the person and thereby “know all about them.” But what an injustice this is! This implies that the person is no different from anybody else in the same group or category. This in itself is bad enough, but it is even more offensive when that person is placed in a category that we regard as inferior, and we, in turn, reflect this opinion in our attitude toward the customer.

LANGUAGE BARRIERS

There are several types of language barriers that interfere with effective communications. Some are cultural, some are physical, some are habit, and some are just intended to confuse you. The barrier may exist because of the customer, you, or both.

The first two barriers—cultural and physical—are the most difficult for the speaker to overcome. Persons for whom English is a second language often have difficulty with pronunciation, meaning, and sentence structure. English is considered to be one of the most difficult languages to learn (words that sound alike have completely different spellings and meanings, and words with similar spelling are pronounced differently). You cannot change the English language, but there are ways you can help your customer to overcome this barrier. First, you must listen very carefully to what the customer is saying. **The best way to do this is by being honestly concerned.** Next, be absolutely sure you know the nature of the need or problem. Then, carefully phrase your questions so that you use relatively simple words and ask only one thing at a time. By first determining the nature of the problem, you can then gain additional information by asking questions.

The customer who has difficulty speaking English may also have trouble understanding it. When it is apparent that the customer is having difficulty understanding, you should speak more distinctly and, in most cases, more slowly. You can usually tell by the customer’s expression whether or not you are being understood.

Speech impediments, such as stuttering or lisping, can also cause misunderstanding. In cases such as these, your problem will be understanding the speaker’s words rather than the speaker’s choice of words.

We have been speaking of language barriers as though they exist only on the part of the customer. This is not always the case. Language barriers also exist with customer-service representatives. If you have a

language barrier, your first step is to be aware of it. Your next step is to make a conscious effort either to eliminate it or to compensate for it. To compensate for a language problem, try to speak slowly and give the listener time to follow and interpret what you are saying. Be sure to ask questions and encourage your customer to do the same.

Some speech patterns that interfere with understanding are not impediments but just habits. Some of these speech habits are slurred pronunciation, running words together, speaking too fast, an exaggerated drawl or brogue, and profanity. Again, these are not physical impediments or intentional barriers; they are just habits. You should analyze your own speech patterns and determine whether or not you need to improve your manner of speaking. It is possible that you may have one or more of these habits. Normally, we do not listen to our own speech, but you can obtain a reasonably accurate sample of your speaking voice if you record an informal conversation and then listen to it carefully. Speech habits are not too hard to change, but you must first be aware of the habits you need to change.

You, the YN, through the use of slang, technical terms, and acronyms that may confuse the customer, most often set up the final barrier. Although you will routinely use these terms and acronyms among your coworkers, your coworkers are already familiar with this language. You should remember that these words or expressions are not appropriate when your customers may not be familiar with them. If you must use technical terms, you must explain what they are as you refer to them in your conversation. Remember that customers from other ratings are not as well informed about your rating and work as you are. Therefore, you must remember to speak to your customers in terms that they can understand. Periodically ask the customer if he or she understands. If the customer does not understand, ask your customer to tell you what he or she does not understand, and repeat yourself in simpler terms, if appropriate.

AMIABLE RUNAROUND

The emphasis on being friendly to the customer is a means to an end—not an end in itself. You must also provide good customer service. You do not have the choice of providing either the friendly atmosphere or the good service—you must provide both.

When a friendly, helpful atmosphere is encountered at the contact point, the customer is put at

ease and may be able to state the problem more accurately. Then you are expected to take constructive action to help the customer correct his or her problem. But, some customer service representatives think that their job is to keep the customers smiling and get rid of them as soon as possible. True, the customer goes away happy, but the happy attitude will not last. Sooner or later, that customer will have to return because nothing was done about the problem. You can bet this customer will not be in a good frame of mind.

In helping people, you will discover that a considerable amount of time and effort is required to deal with some customers' problems or needs. In such instances, you may decide that it will be easier for you if you convince the customer that no action is really necessary. But this response will have an even worse effect than denying the service to the customer because you are, in fact, denying the reality of the customer's problem. If a customer requests and is entitled to a service, it is your responsibility to provide it. When you can say to a customer, "It's all taken care of," you are promising that person that all necessary actions have been completed. This is a good response if it is the truth. If it is not true, you have done a disservice—not a service—to your customer, your office, your rating, and the Navy. Have you ever said to a customer, "Yes, everything is taken care of" when, in fact, it was not? If so, you should realize that this is a bad way of doing business. Remember, you should be both tactful and truthful when you deal with your customers.

GOING BEYOND YOUR REALM

If you seldom make a mistake, you may find it difficult to understand why other people frequently make more mistakes. Mistakes can result from many different situations. For example, heavy workloads, inexperienced personnel, unfamiliar situations, and carelessness can all contribute to the likelihood of errors. Errors may disappear, but they do not go away. The problem with all errors is that they must be corrected—often at some later date, at a different command, or by someone else. When you have to correct an error that someone else made, you will be tempted to "sound off" about the person who made the mistake. But whether or not you express your feeling, you must spend the same amount of effort to correct the error. It is proper to tell your customer that a mistake was made and explain the conditions—where and when—the error was made. Although you may feel embarrassed to explain to your customer that your office made a mistake, you nevertheless must do this as soon as the problem is identified. Appropriate steps

must be taken to correct the problem immediately. If the problem was made by another office, correct it promptly. In both cases, there is no need to "cry over spilled milk." Just correct the problem.

Another area in which we sometimes overstep our bounds is expressing criticism or disapproval of official Navy policy, command policy, and divisional procedures and instructions. You do not have to agree with all of them. In fact, discussing them among your coworkers can have positive results—a change in procedures, a better flow of information, a better understanding of policy, or the improved ability to help the customer. Expressing your adverse opinion about them to the customer, however, serves no good purpose.

When a customer requests something that must be denied because of current policy or regulations, frustration and resentment are natural reactions. If you express your disapproval or criticism of this policy or regulation, it only serves to increase the feeling of resentment or frustration in the customer. You have not helped. You have just made it harder for the customer to accept the inevitable answer. On the other hand, if you know the policy is a temporary matter, or if you have reason to believe a change may be coming out soon, it is permissible (in fact, it is desirable) for you to explain this so that the customer may renew the request later.

You may have some customers whose problems are only imaginary. They want to complain about their petty officers, duty assignments, working conditions, or life in general. In these situations, you must maintain a very careful balance. You should not refuse to hear them out. There should be a point, however, when you must politely tell them that you wish you could stay there and listen, but that you have some important work to do.

SUMMARY

In this chapter, we have tried to acquaint you with the general requirements of the YN rating. We have mostly described how important it is for you to provide good customer service to all individuals. We stressed that if you have a good attitude and pride in your job and in yourself, these qualities will contribute to your ability to provide good customer service. If you are providing good customer service right now, the Navy appreciates it and thanks you for your efforts. Remember also, that there is always room for improvement. The most important thing you should

get out of this chapter is that you should put yourself in the customer's shoes. Ask yourself, "How do I want to be treated?" In answering this question, you will most likely say, "I always want to be treated with courtesy and respect." You see, that is just how all customers want to be treated—with courtesy and respect. You should always treat customers the way you would want to be treated.

Now you have a broad idea of what a YN is, what a YN does, and what is expected of you. Keep this in mind as you take this course. As in most things, you can be good, mediocre, or bad at what you do, and rewards are given accordingly. A trusted YN who gains and holds the confidence of seniors can be in a position to influence command actions and attitudes much more than other ratings in the same paygrade. **A good YN doing a good job stands out above all others.**

CHAPTER 2

OFFICIAL PUBLICATIONS AND DIRECTIVES

Using publications and directives are part of the daily routine of any Navy office. The efficiency of the office depends on how well this is done. This makes it important for you to recognize various publications, to understand their contents, and how to store and retrieve them as they are needed. As stated before, you can't remember everything; the trick is to know where to find information. In this chapter, we will tell you about the publications you will need to do your job as a YN responsible for managing a great deal of information, and providing it to a great number of people.

GENERAL REGULATORY PUBLICATIONS

The **Constitution** of the United States, the treaties this nation enters into, and laws passed by the Congress comprise the fundamental law governing the Navy. These, however, give only the broad outlines. For express directions setting forth procedures under the law, the Navy has various publications and official directives.

The principal general regulations, directives, orders, and instructions issued for the guidance of persons throughout the Department of the Navy (DON) are found in the following sources.

UNITED STATES NAVY REGULATIONS

Foremost in general importance among official publications is the *United States Navy Regulations* (Navy Regs), 1990. This regulatory document of the DON states policy as to the duties, responsibilities, authorities, distinctions, and relationships of various commands, officials, and individuals. It outlines the organizational structure of the DON and issues the principles and policies by which the Navy is governed. The chapters set forth, among other things, the responsibility, purpose, authority, and relationship of each bureau and office of the Navy Department; headquarters organizations; and the senior executives (military and civilian) of the DON.

The Chief of Naval Operations (CNO) is responsible for making changes to *Navy Regulations*,

and the Secretary of the Navy approves the changes. It is published in loose-leaf form and kept in an adjustable binder so that changes may be inserted as necessary.

STANDARD ORGANIZATION AND REGULATIONS OF THE U.S. NAVY

The *Standard Organization and Regulations of the U.S. Navy* (SORM), is issued as OPNAVINST 3120.32 series by the CNO. This publication issues regulations and guidance governing the conduct of all members of the U.S. Navy. These regulations use two types of print: the material in uppercase is regulatory, and the material printed in plain type is for the guidance of commanders, commanding officers (COs), and officers in charge. These regulations apply to each member of the Navy individually. Violation of any provision of these regulations is punishable under the *Uniform Code of Military Justice* (UCMJ).

As a YN, you should be generally familiar with the entire publication, but you will want to be particularly familiar with chapter 3, "The Unit Organization"; chapter 5, "Regulations"; chapter 6, "Unit Bills"; and chapter 10, "Unit Directives System." You will refer frequently to this publication during the course of everyday activities. This is especially true if you are serving aboard ship.

MANUAL FOR COURTS-MARTIAL

By enactment of the UCMJ, approved 5 May 1950, as amended by the Military Justice Act of 24 October 1968, Congress established a single set of laws for administering justice to all the armed forces. Under the authority of this act, the President issued the *Manual for Courts-Martial* (MCM), *United States, 2000*.

The MCM describes the types of courts-martial established by the UCMJ, defines their jurisdiction, and prescribes their membership and procedures. It also covers such matters as nonjudicial punishment (NJP), review of court-martial proceedings, new trials, and limitations on punishments. The MCM was prepared in the Office of the Secretary of Defense and was approved and signed by the President. It is a

loose-leaf volume issued to the Navy through the Office of the Judge Advocate General.

MANUAL OF THE JUDGE ADVOCATE GENERAL

The *Manual of the Judge Advocate General* (JAGMAN), JAGINST 5800.7 series, prepared by the Navy Judge Advocate General and authorized by the Secretary of the Navy, covers legal and judicial matters that apply only to the naval service. It also includes instructions regarding administrative investigations and examining boards, their composition, authority, and procedures.

The JAGMAN is prepared by the Office of the Judge Advocate General and prepared in a loose-leaf volume for ease in making changes. This publication is discussed further in chapter 9.

NAVAL MILITARY PERSONNEL MANUAL

The *Naval Military Personnel Manual* (MILPERSMAN), NAVPERS 15560, is issued under *Navy Regulations, 1990*. It contains policy, rules, and practices for administration of military personnel within the Navy.

A seven-digit identification number, consisting of the Standard Subject Identification Code (SSIC) and a three-digit extension number (e.g., Article 1070-010), identifies each article. The first four digits identify the SSIC, and the last three digits identify the article placement within the section.

Changes and distribution are authorized and published by the Deputy Chief of Naval Personnel with approval of the Chief of Naval Personnel (CHNAVPERS), published in loose-leaf form for convenience in making changes.

DEPARTMENT OF THE NAVY INFORMATION SECURITY PROGRAM REGULATION AND DEPARTMENT OF THE NAVY PERSONNEL SECURITY PROGRAM REGULATION

The *Department of the Navy (DON) Information Security Program (ISP) Regulation*, SECNAVINST 5510.36 series, and *Department of the Navy (DON) Personnel Security Program (PSP) Regulation*, SECNAVINST 5510.30 series, both approved and issued by Secretary of the Navy, are together commonly referred to as the **Security Manuals**. These manuals are established to ensure that classified

information is protected from unauthorized disclosure. They also ensure that appointment or retention of civilian employees of the DON, acceptance or retention of military personnel in the Navy or Marine Corps, and the granting of access to classified information or assignment to other sensitive duties are clearly consistent with the interests of national security. Each individual, military or civilian, in or employed by the Navy or Marine Corps is responsible individually for compliance with these regulations in all respects.

The ISP regulation contains procedures for classifying, marking, and handling classified information. The PSP regulation contains procedures for authorizing personnel access to classified information. The aspects of these publications that are applicable to you as a YN are discussed further in chapter 8.

MANUAL OF THE MEDICAL DEPARTMENT

The *Manual of the Medical Department* (MANMED), NAVMED P-117, is issued by the Bureau of Medicine and Surgery and contains material on general instructions for medical care of personnel of the Navy and Marine Corps; directions for procurement, storage, issue, and accounting of medical supplies and for training medical and dental personnel; information regarding physical requirements and examinations for personnel of the Navy and Marine Corps; procedures for keeping health records and submitting reports; and special instructions for procedures and reports in cases of death.

The Chief, Bureau of Medicine and Surgery, prepares the MANMED. It is published in loose-leaf form for the convenience of making changes.

NAVY CASUALTY ASSISTANCE CALLS PROGRAM

The *Navy Casualty Assistance Calls Program (CACP) Manual*, BUPERSINST 1770.3 series, is published to assist in the proper discharge of the functions of the program. The CACP provides that a commissioned officer of the Navy on active duty be officially designated a CACP officer (or CACO) to personally contact the primary next of kin of naval personnel, exclusive of Marine Corps personnel, who die on active duty or training duty. The purpose of the program is to assist and advise the next of kin about the rights, benefits, and privileges to which they are

entitled as a result of the death of members of the naval service.

DECEDENT AFFAIRS MANUAL

The Bureau of Medicine and Surgery publishes the *Decedent Affairs Manual*, NAVMEDCOMINST 5360.1 series. The Decedent Affairs Program is defined as the recovery, identification, care, and disposition of remains of deceased persons for whom the DON is responsible. This program is applicable during peacetime, in time of war, and in support of major military operations.

MANUAL OF NAVY OFFICER MANPOWER AND PERSONNEL CLASSIFICATIONS

The *Manual of Navy Officer Manpower and Personnel Classifications* (NOMPC), NAVPERS 15839, is published by the Bureau of Naval Personnel (BUPERS) and is issued in two volumes. Volume I contains the Navy Officer Occupational Classification System (NOOCS) and is used to identify skills, education, training, experience, and capabilities related to both officer personnel and manpower requirements. Volume II contains a description of the Officer Data Card (ODC) and a listing of nonoccupational manpower and personnel codes that provide foreign language, ship and station, service school, education, and other identifiers on the ODC.

BUPERS uses these classifications to identify billet experience and special qualifications of each naval officer. This information is required for personnel administration, including procurement, training, distribution, manpower planning, and career management. NOMPC codes are also used by CNO to identify qualitative officer requirements in manpower authorizations. Changes are issued by CHNAVPERS.

OFFICERS REGISTERS

The *Register of the United States Navy on Active Duty*, NAVPERS 15018; *Register of Commissioned and Warrant Officers of the United States Naval Reserve*, NAVPERS 15009; and *Register of Retired Commissioned and Warrant Officers, Regular and Reserve, of the United States Navy*, NAVPERS 15939, are published by Bureau of Naval personnel on a quarterly basis and issued to all ships and stations via the BUPERS CD-ROM or the BUPERS website. In your capacity as a YN, you will probably only deal routinely with the **Active Duty Register**; however, you should be aware of the existence of all of them.

In addition to an alphabetical list of all officers, the *Active Duty Register* contains a complete lineal list.

The purpose in assigning an officer a lineal number is to establish his or her seniority with his or her grade and corps. A lineal number consists of a six-digit whole number and a two-digit subnumber. Using subnumbers makes it possible to add or take away names without renumbering the whole list. The system works inversely: the lower the lineal number, the higher the seniority.

THE UNITED STATES NAVY UNIFORM REGULATIONS

The *United States Navy Uniform Regulations* is prepared and distributed by CHNAVPERS. It describes and lists the various uniforms for personnel in all categories, lists the uniforms required, and contains lists of articles worn or used together. It also describes occasions when the various uniforms should be worn; methods of wearing medals, decorations, ribbons, rating badges, and special markings; and gives notes on the care of the uniform.

Changes are issued by the CHNAVPERS as changes in the uniform occur.

OFFICER TRANSFER MANUAL

The *Officer Transfer Manual* (OFFTRANSMAN), NAVPERS 15559, is the official manual for the distribution and assignment of officers in the U.S. Navy. This publication supplements basic regulations and instructions issued by the MILPERSMAN, NAVPERS 15560.

The primary purpose of this manual is to improve awareness of proper officer distribution procedures and to make the assignment process more efficient. This manual is also a quick reference and an easy-to-read compilation of instructions and information pertaining to all areas of officer distribution.

ENLISTED TRANSFER MANUAL

The *Enlisted Transfer Manual* (ENLTRANSMAN), NAVPERS 15909, is the official manual for the distribution and assignment of enlisted personnel of the U.S. Navy. The ENLTRANSMAN supplements basic regulations and instructions issued by the MILPERSMAN. The purpose of the ENLTRANSMAN is to provide a quick reference of instructional and informational material relative to all facets of enlisted distribution. It is primarily intended to reduce the clerical workload and generally to promote administrative efficiency.

JOINT FEDERAL TRAVEL REGULATIONS

The *Joint Federal Travel Regulations (JFTR)*, NAVSO P-6034, is issued in three volumes. Volume 1 is issued by the Per Diem, Travel, and Transportation Allowance Committee, which operates under the cognizance of the Department of Defense (DOD), and deals with travel of members of the uniformed services. Volume 2 is published by General Services Administration and applies to all federal civilian employees. Volume 3 is published by the State Department and applies to all foreign-service personnel.

The JFTR interprets the laws and regulations concerning travel, the manner in which transportation is furnished to personnel, provisions for travel of dependents, transportation of household goods, reimbursement for travel expenses, and similar information. This publication is discussed further in chapter 13.

U.S. NAVY TRAVEL INSTRUCTION

The *U.S. Navy Travel Instruction (NTI)*, NAVSO P-1459, is a joint publication of the CNO and the Comptroller of the Navy that interprets for Navy use the travel regulations issued by the JFTR, volume 1. It sets forth the manner in which transportation is furnished and reimbursement made for travel expenses incurred. In any case where instructions in the NTI and the JFTR conflict, the JFTR takes precedence.

DEPARTMENT OF DEFENSE MILITARY PAY AND ALLOWANCE ENTITLEMENTS MANUAL

The *Department of Defense Military Pay and Allowance Entitlements Manual (DODPM)*, DOD 7000.14-R, is issued by the Comptroller of the Department of Defense in coordination with the Director, Defense Finance and Accounting Service (DFAS). This manual applies to all DOD activities and is issued for the information, guidance, and compliance of all personnel in the administration of military pay.

SOURCE DATA SYSTEMS PROCEDURES MANUAL

The *Source Data Systems Procedures Manual (SDSPROMAN)*, NAVSO P-3069, volumes I and II, is issued jointly by the Comptroller of the Navy and the CHNAVPERs, and contains procedural instructions

for reporting pay and personnel events for Regular and Reserve members of the U.S. Navy. Volume I provides information on the SDS procedures as a whole, and volume II gives details for terminal operation and event reporting.

PASSENGER TRANSPORTATION MANUAL

The *Passenger Transportation Manual (PTM)*, NAVMILPERSCOMINST 4650.2 series, provides a single, comprehensive manual covering all aspects of Navy-sponsored passenger transportation. CNO has designated BUPERS as the manager of the Navy-sponsored passenger transportation. The PTM is designed to ensure that Navy-sponsored passengers who are entitled to, or eligible for, transportation at government expense will travel in the most responsive, efficient, and economical manner. The manual consists of nine chapters. As a YN, you should familiarize yourself with chapter 1, "General Information"; chapter 2, "Procedures for Arranging Passenger Transportation"; and chapter 3, "Passports and Visas."

DEPARTMENT OF THE NAVY SOCIAL USAGE AND PROTOCOL HANDBOOK

The *Department of the Navy Social Usage and Protocol Handbook*, OPNAVINST 1710.7 series, provides current information on formal and informal activities that have a distinctly naval, military, and/or diplomatic setting. The handbook consists of 12 chapters that address official entertainment, invitations, seating arrangements, formal dining, toasting, receptions, cards and calls, dining-ins, ships' ceremonies, change-of-command and retirement ceremonies, arranging visits for dignitaries, and forms of address.

NAVY AND MARINE CORPS AWARDS MANUAL

The *Navy and Marine Corps Awards Manual*, SECNAVINST 1650.1 series, is issued by the Secretary of the Navy for the information and guidance of the Navy and Marine Corps in all matters pertaining to decorations, medals, and awards (with the exception of detailed information on the manner of wearing them, which is contained in *Uniform Regulations*). This publication is discussed further in chapter 10.

MANUAL OF ADVANCEMENT

The *Manual of Advancement*, BUPERSINST 1430.16 series, is published by CHNAVPERS to provide for the administration of the advancement system. It supports and enlarges on the basic policies for advancement as outlined in the MILPERSMAN, and further provides instructions for determining eligibility requirements for advancement; preparation of necessary forms; ordering, custody, and disposition of Navywide examinations; administration of all examinations for advancement; changes in rate or rating; and procedures for effecting advancements.

DEPARTMENT OF THE NAVY STANDARD SUBJECT IDENTIFICATION CODES

CNO is responsible for preparing the *Department of the Navy Standard Subject Identification Codes* (SSIC), SECNAVINST 5210.11 series, and for preparing and providing for changes and presenting them to the Secretary of the Navy for signature. The SSIC is prescribed for use in classifying subjects and identifying correspondence directives, blank forms, and reports (assigning report control symbols); setting up filing and retrieval systems; routing computer messages; and for use with any other documents to which reference is made by subject. This publication is discussed further in chapter 5.

STANDARD NAVY DISTRIBUTION LIST

The *Standard Navy Distribution List* (SNDL), OPNAVNOTE 5400, is published by CNO to provide for the proper addressing and distribution of mail to all activities of the DON, and to provide a central distribution system for directives and correspondence. The SNDL is published as six enclosures:

- Enclosure (1): Forward to the SNDL
- Enclosure (2): Fleet Address Listings
- Enclosure (3): Shore Address Listings
- Enclosure (4): Fleet Chain of Command List
- Enclosure (5): Homeports and Permanent Duty Station List
- Enclosure (6): SNDL Serial Changes for the current month

DEPARTMENT OF THE NAVY CORRESPONDENCE MANUAL

The *Department of the Navy Correspondence Manual*, SECNAVINST 5216.5 series, is prepared in the Office of CNO and approved by the Secretary of the Navy. It contains instructions for preparing letters, endorsements, memorandums, and messages. Instructions cover all parts of correspondence, such as address, subject, references, paragraphing, and signature, together with directions for assembling correspondence for signature and mailing.

Changes to the *Correspondence Manual* are prepared by CNO and signed by the Secretary of the Navy. This publication is discussed further in chapter 3.

NAVAL TELECOMMUNICATIONS PROCEDURES AND USERS MANUAL

The *Naval Telecommunications Procedures and Users Manual*, NTP-3, was developed under the direction of the Commander, Naval Computer and Telecommunications Command, and was designed to explain procedures for the drafting and preparation of naval messages. This publication is further discussed in chapter 3.

NAVY AND MARINE CORPS RECORDS DISPOSITION MANUAL

The *Navy and Marine Corps Records Disposition Manual*, SECNAVINST 5212.5 series, prescribes policy and procedures for the DON relating to records creation, maintenance and disposition. Within the legal framework provided by the Records Disposal Act of 1943, as amended; the Federal Records Act of 1950; and *Navy Regulations*, the DON has four specific goals:

1. **Creation** of records that adequately document the organization, function, policies, procedures, decisions, and essential transactions of the DON.
2. **Preservation** of records having long-term permanent worth because of their continuing administrative, legal, scientific, or historical values.
3. **Destruction** of temporary records as they outlive their usefulness.
4. **Retirement and transfer** of those records no longer required in the conduct of daily business to more economical storage.

This publication is discussed further in chapter 5.

DEPARTMENT OF THE NAVY DIRECTIVES ISSUANCE SYSTEM

The *Department of the Navy Directives Issuance System*, SECNAVINST 5215.1 series, provides a standard method of issuing directives by all activities in the Navy. The system contains two parts and two tables:

Part I - Definitions, Criteria, and Responsibilities

Part II - Preparation and Maintenance of Directives

Table 1 - Preparation of Letter-Type Directives

Table 2 - Preparation of Special-Type Directives

The *Directives Issuance System* contains the standard procedures and formats used to issue policy, procedural, and informational releases in the DON. This publication is discussed further in chapter 6.

DEPARTMENT OF THE NAVY FORMS MANAGEMENT PROGRAM

The *Department of the Navy Forms Management Program*, SECNAVINST 5213.10 series, ensures that forms provide needed information effectively, efficiently, and economically. Information is vital to the success of any organization and provides the basis for management decisions. Specific types of data are needed to meet particular requirements, and forms are a major means for providing a fast and easy method of collecting information. Forms management provides for improvement and control of forms to ensure minimum burden is expended and maximum effectiveness obtained. This publication is discussed further in chapter 7.

DEPARTMENT OF THE NAVY INFORMATION REQUIREMENTS (REPORTS) MANAGEMENT PROGRAM

The *Department of the Navy Information Requirements (Reports) Management Program*, SECNAVINST 5214.2 series, sets forth the policy and responsibilities for the management of information requirements of the DON. Information is vital to the success of any organization and provides the basis for management decisions. Specific types of data are needed to meet particular requirements. Reports management encompasses the development of reports

and reporting systems. This publication is discussed further in chapter 7.

NAVY PERFORMANCE EVALUATION AND COUNSELING SYSTEM

The *Navy Performance Evaluation and Counseling System*, BUPERSINST 1610.10 series, requires that records be maintained on officer and enlisted personnel that reflect their fitness for the service and performance of duties. Evaluations are used in many personnel actions, including advancement in rate, selection for responsible assignments and specialized training, award of the Good Conduct Medal, qualification for retention and reenlistment, and characterization of service upon discharge.

DIARY MESSAGE REPORTING SYSTEM USERS MANUAL

The *Diary Message Reporting System Users Manual* (DMRSMAN), 1080#1 UM-02, is the official manual for submitting officer and enlisted personnel diaries in coded format via naval message. It reduces preparation time and eliminates delays so that we have more accurate personnel management and manpower information.

FORMAT AND PROCEDURES FOR VALIDATING THE OFFICER DISTRIBUTION CONTROL REPORT

The *Format and Procedures for Validating the Officer Distribution Control Report* (ODCR), BUPERSINST 1301.40 series, provides each Navy activity with a routine system for verifying the ODCR. BUPERS prepares the ODCR for each naval activity with officer billets authorized or officers on board in a temporary duty status. Officer billet and assignment information in the ODCR represents the computer data bank input by CNO, BUPERS, DFAS, Enlisted Personnel Management Center (EPMAC), and SDS. This publication is discussed further in chapter 11.

ORDERING FORMS AND PUBLICATIONS

To order new forms or publications (with the exception of those issued through the Directives Issuance System) or to replace those that have become damaged or mutilated, all you need do is notify your supply officer. The method of informing the supply

officer of your needs varies with the activity or size of your ship. The supply officer will let you know how the information is to be given.

The supply department prepares a DOD Single Line Item Requisition System Document, DD Form 1348, and sends it to the supply activity responsible for the supply support of your ship or station.

Many of these forms can be obtained electronically via www.bupers.navy.mil, "Instructions."

FINDING STOCK NUMBERS

The basic directive on how the system works can be found in *Navy Stock List of Forms and Publications*, NAVSUP P-2002. This instruction tells the supply officer where to send the DD Form 1348 and gives the ordering number for the item.

COMMISSIONING ALLOWANCES

To assist new commands, the Navy Supply Depot, Philadelphia, assembles a commissioning allowance of forms and publications for each newly commissioned ship before the commissioning date,

and provides the prospective CO with a commissioning allowance listing. All the items on the listing, including a 90-day supply of forms, are automatically shipped to the prospective CO or the fitting-out officer. This one-time allowance eliminates the need and paper work of ordering each form and publication separately. For further instructions concerning commissioning allowances of publications and directives authorized by BUPERS, you may refer to the MILPERSMAN.

SUMMARY

This chapter has given you information about publications that cross the whole spectrum of naval administration. Try to become familiar with these publications. By knowing and understanding their contents, you can find any procedure and do any job you are given. Other chapters in this manual will teach you how to do some specific jobs and give more detailed information on certain aspects of the YN rating. This one chapter will set you up to perform not only in your present job, but also in jobs throughout your career.

CHAPTER 3

CORRESPONDENCE/MESSAGE SYSTEM

One of your most important tasks as a YN is the preparation of correspondence and messages. You will be expected to produce properly formatted letters with no uncorrected errors quickly and efficiently—and not just letters, either. The term **official correspondence** includes all written material—publications, messages, memorandums, and so on—that are sent to or from the command. This chapter will teach you standard formats, variations to the standard letter, other forms of formal and informal letter correspondence, and message preparation.

CORRESPONDENCE

First, we will describe the different types of Navy correspondence you will prepare: the standard letter, the joint letter, the multiple-address letter, endorsements, memorandums, and business letters.

THE STANDARD LETTER

Instructions for typing standard letters are contained in the *Navy Correspondence Manual*, SECNAVINST 5216.5 series. It is important to follow these instructions exactly. This is the “Navy way” of doing it, and uniformity is essential to an accurate and expeditious information flow. Figure 3-1 illustrates a sample standard letter.

Stationery

The first page of a naval letter contains the letterhead (name and address) of the activity, printed on bond paper. The second and succeeding pages of a letter are typed on plain white bond paper that is the same size and quality as the letterhead paper.

Copies

Copies to each Via addressee and Copy to addressee can be photocopied. In all instances, photocopies may be used as long as copy quality is high and associated costs can be kept down.

General Style

A 1-inch margin is required at the top, bottom, and sides of each page, except for the top of letterhead paper and the bottom of the last page. A larger pica (12-point) type is preferred over elite (10-point) type; script or italic type is used for occasional emphasis, never for a whole document. Indentation of subparagraphs is always four spaces. Ink should be black or blue-black for typing and signature.

Sender’s Symbols

Include the following three sender’s symbols in the upper-right corner blocked one below the other:

- Standard subject identification code (SSIC)
- Originator’s code by itself or in a serial number
- Date

This information goes right under the **In reply refer to** line, if it is printed on your letterhead. If “In reply refer to” is not printed on your letterhead, the information starts on the second line below the letterhead, starting 2 inches from the right edge of the paper.

The SSIC is determined by checking the *Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes*, SECNAVINST 5210.11 series, for the SSIC that most closely represents the subject matter contained in the letter.

The originator’s code is usually the office symbol of the drafter, but it may be the hull number of a ship. All classified material must be serialized, and unclassified material may be serialized if volume or local practice requires it. Starting with the notation **Ser**, followed by a space, your originator’s code is followed by a slash (/). The classification abbreviation, **C**, **S**, or **T**, and the next unused serial number for your current calendar year complete the line. For example:

Ser N13/271

Dates

Letters are dated, either stamped or typed, the same day they are signed. Follow a day-month-year order with no punctuation. The month is abbreviated using the first three letters, capitalizing only the first, and the year is represented by its last two digits (25 Sep 00). In the text of the letter, however, the month and year are not abbreviated or shortened.

Special Postal Service

If special postal service is to be used, the appropriate designation (registered mail or certified mail) is typed in capitals or stamped at the left margin on the second line below the date.

From Block

Every standard letter must have a From block. Give your CO's title, your activity's name, and, for a command based ashore, its geographic location (without the state or ZIP Code). Use the *Standard Navy Distribution List* (SNDL) for the exact wording.

Type the word **From** and a colon at the left margin on the second line below the date. Two spaces follow the colon before the title. If a second line is needed to complete identification, start it directly under the first word after "From:"

To Block

Address correspondence to the CO of an activity as if you are composing a From block. Give the complete mailing address, and include the ZIP Code if you want the address recorded on your file copy.

Type the word **To** and a colon at the left margin on the first line under the From block. Four spaces must follow the colon. Show the office that will act on your letter by including a code or person's title in parentheses right after the activity's name if the information is available. Add the word **Code** before codes that start with numbers. A code that starts with a letter is readily identifiable as a code without the added word.

Via Block

The Via block is used when one or more activities outside your own should see a letter before it reaches the Action addressees. List COs in the Via block the same way you list them in the To block.

Type the word **Via** and a colon at the left margin on the first line below the To block. Three spaces must follow the colon. Continuation lines start under the first word after the heading. Number the addressees (1), (2), (3), and so forth, if you list two or more. A single Via addressee is not numbered. Mail the letter to the Via addressee listed first.

Subject Block

The subject is a sentence fragment that tells readers what the letter is about, usually in 10 words or less.

Type the abbreviation **Subj** and a colon at the left margin on the second line under the last line of the previous block. Two spaces must follow the colon. Normal word order is used and all letters are capitalized. For example:

Subj: REQUEST FOR A REVIEW OF
YEOMAN THIRD AND SECOND
CLASS TRAINING MANUAL

Reference Block

References are other documents to which the reader is directed to assist in dealing with the subject matter of the letter.

Type the abbreviation **Ref** and a colon at the left margin on the second line below the Subject block. A lowercase letter in parentheses (such as (a), (b), (c), and so on) is used to identify each reference, even if only one is listed. Three spaces must follow the colon before the designation, and one space must follow the last parentheses. The following table gives examples of how to construct reference blocks based on the type of reference.

To prevent confusion, avoid the pronoun *your* in the Reference block of a letter that has more than one action addressee. At times, a reference will be given that is not available to all the addressees. In such a case, the abbreviation **NOTAL** (not to all), enclosed in parentheses, is added following the reference.

Enclosure Block

Enclosures to a letter are used to avoid lengthening the letter with too many details or to include nontextual matter such as lists or charts. List enclosures in an Enclosure block by following the order of their appearance in the text.

Table 3-1.—Reference Format Examples

| Type of Reference | Requirements | Examples |
|----------------------------------|---|--|
| Correspondence | <ul style="list-style-type: none"> • SNDL short title of originator • Type of correspondence (ltr or memo) • SSIC • Originator's code by itself or in a serial number as shown in the referenced correspondence • Date | USS DAVID R. RAY (DD 971) ltr 5216 Ser DD 971/437 of 9 Sep 00 OR CNO memo 5216 Ser 09B33/317731 of 11 Sep 00 |
| Messages | <ul style="list-style-type: none"> • Title of originator as shown in From block of message • Date-time-group (DTG) month and year <p>[NOTE: When you reference general messages, include the message title (ALNAV, NAVOP, ALNAVSTA, and so on) and the serial number/year in parentheses.]</p> | USS DAVID R. RAY 091300Z Sep 00 OR CNO Washington DC 111300Z Sep 00 (NAVOP XXX/00) |
| Endorsements | Appropriate emphasis, depending on whether you want to mention them in passing or highlight a particular one | ENS Jack R. Frost, USNR, 111-11-1111/[designator] ltr of 1 Apr 00 w/ends OR COMNAVSURFPAC third end 1070 Ser N1/3124 of 22 Apr 00 OR ENS Jack R. Frost, USNR, 111-11-1111/[designator] ltr of 1 Apr 00 |
| Telephone Conversations | <ul style="list-style-type: none"> • PHONCON • Individuals and their activities • Date | PHONCON OPNAV (OP-09B 15) Mrs. Brush/NAVSUP (Code 01222B) CDR Pistol of 16 Nov 00 |
| Instructions | <ul style="list-style-type: none"> • SNDL short title of issuer • INST • SSIC with consecutive number and a revision letter, if any • Subject (if not clear from the subject or text of your letter) • Chapter or paragraph of a long instruction if only that part applies | SECNAVINST 5216.5, Department of the Navy Correspondence Manual, Ch. 2, Par. 14 |
| Notices | <ul style="list-style-type: none"> • SNDL short title of issuer • NOTE • SSIC • Serial number, if any • Date (because notices lack consecutive numbers) • Subject (if not clear from the subject or text of your letter) • Chapter or paragraph of a long notice if only that part applies | OPNAVNOTE 5216 Ser 9B1/0920 of 20 Apr 00 |
| Reports, Forms, and Publications | <ul style="list-style-type: none"> • Reports must include subjects • Forms and publications may exclude subjects | Reports: Injury Report (NAVJAG 5800-19) Forms: NAVJAG 5800/15 (Rev. 7-81) Publication: NAVPERS 15018 |
| "My" and "Your" optional | To cite an earlier communication between your activity and the action addressee, you may substitute a personal pronoun for the issuing activity | My ltr 5216 Ser G12/4959 of 2 Jun 00 OR Your 221501Z Jul 00 |

Type the abbreviation **Encl** and a colon at the left margin on the second line below the previous block. Use a number in parentheses in front of the description of every enclosure, even a single one. Two spaces must follow the colon, and one space must follow the closing parentheses. For example:

Encl: (1) List of Reserve Officers Selected
for Promotion to Colonel
(2) CMC ltr 5216 Ser MMPR/1451 of
6 Jan 95

Normally, all addressees are sent a copy of all enclosures listed in the basic letter. When sending more than one copy of an enclosure to all addressees, note the number of copies mailed in parentheses. For example:

Encl: (1) OPNAV 5216/10 (100 copies)

When varying the normal distribution of enclosures to Copy to addressees, follow these examples:

- Copy to: (w/o encl)
- Copy to: (w/o encls (2) and (3))
- Copy to: (w/2 copies of encl (1))

When varying the normal distribution of enclosures to Via addressees, show the variation beside the affected Via addressee as follows:

Via: Commander, Naval Surface Force, U.S.
Atlantic Fleet (w/o encl)

Identify an enclosure on the first page only. The marking goes in the lower-right corner. The notation **Encl** plus its number in parentheses is typed, stamped, or written.

The standard letter practice of numbering only the second and later pages is followed. Each enclosure's pages are numbered independently of the other enclosures.

If an enclosure is to be mailed separately from the basic letter, the notation (**sep cover**) is placed after the enclosure's description in the Enclosure block.

Text

The text or main body of the letter begins on the second line below the preceding line of typing on the

first and all succeeding pages. Paragraphing in the text is identified by numbers or letters, as follows:

1. A main paragraph starts flush on the left margin and is identified with a whole number followed by a period.

a. The subdivisions of a paragraph are identified by lowercase alphabetical letters followed by a period. These subdivisions are indented four spaces from the left margin.

b. If you need to use subparagraphs, use at least two of each type of subparagraph.

(1) Therefore, if subparagraphing reaches this level, another paragraph is also required.

(2) The only time you do not need at least two divisions is when there is only one main paragraph in the letter.

(a) This is the limit to subparagraphing. You should never subparagraph past this point. Either reorganize the information to make new major paragraphs, or continue on at this level.

(b) Each level of subparagraphing is indented four spaces more than the previous level.

Finally, start a paragraph near the end of a page only if that page has room for two lines or more. Continue a paragraph on the following page only if two lines or more can be carried over. Signature pages must have at least two lines of text.

Signature Block

The signature is typed or stamped in block style, starting at the center of the page, four lines below the last line of the text. All the names are typed in capitals. The grade of the signer is not included, and the title is included only for a chief of staff, a deputy, an assistant chief, or an official authorized to sign correspondence or another official authorized to sign orders affecting pay and allowances.

Copy To Block

The Copy to block is placed at the left margin on the second line below the Signature block. **Copy to** stands alone with the Copy to addressees listed starting on the first line below. The addressees are listed by abbreviated titles.

Copy to addressees receive the complete letter, unless it is determined they hold certain enclosures

already, or have no need for a specific enclosure. (The notation required in these cases was discussed earlier in this chapter.)

You can review figure 3-1 and see where all the previous information fits together.

Identifying Second and Later Pages

Repeat the subject shown on the first page on the sixth line from the top of the second and all later pages. Text continues on the second line following the subject. Center page numbers 1/2 inch (three lines) from the bottom edge of the paper, starting with number 2. No punctuation accompanies a page number. Figure 3-2 illustrates a continuation page.

Drafter's Identification on File Copies

Figure 3-2 also illustrates how drafter's identification is noted on file copies. Type, stamp, or write the name of the writer, the writer's office code, the date of typing, the writer's phone or room number (or both), and the typist's identification, if desired. The previous information is placed on the last page.

JOINT LETTER

The joint letter shown in figure 3-3 is a variation of the standard letter, where two or more commands wish to issue information that establishes an agreement or discusses a matter of mutual concern. Several changes occur in preparation of such a letter.

The originators of the joint letter will be identified two spaces below the letterhead. The senior originating command's information will appear on the normal line, but will end flush with the right margin. The words **JOINT LETTER** are typed two lines below the date.

Signature blocks are arranged across the page, with the senior official's signature ending flush with the right margin and the most junior official's signature beginning at the left margin. A third cosigner would be centered on the page.

MULTIPLE-ADDRESS LETTER

A multiple-address letter is addressed to two or more activities individually identified in the To block or as a group in the Distribution block. It is typed in the usual manner of a standard letter, with the exception that more than one title is listed in the To block in seniority order. Begin each new title on its own line.

Each addressee must receive a letterhead copy with a signature. It can be an original copy or a

photocopy. If carbon copies are used, make sure letterhead information is typed or stamped on each copy and have each copy signed as an original. See figures 3-4 and 3-5 for examples of multiple-address letters.

ENDORSEMENTS

When a letter comes to your activity because you are a Via addressee, your command must acknowledge its receipt and provide comments to the other addressees. For this purpose an endorsement is prepared rather than another letter. Same-page endorsements (fig. 3-6) are appropriate when comments are brief and few or no record copies are required. A new-page endorsement is necessary if comments are long and multiple record copies are required. A Via addressee may endorse a letter and signify no comment by signing and placing the date opposite the appropriate title in the Via block.

A new-page endorsement shown in figure 3-7 is prepared on letterhead paper, and a typed endorsement is prepared the same way as a standard letter except as indicated.

Copies

In addition to the required file copies, a copy of the endorsement is prepared for each remaining Via addressee and for the originator of the basic letter. When the endorsement is of particular significance, a copy is provided to each prior endorser also.

Format

Each endorsement is numbered in the sequence in which it is added to the basic letter. The number of the endorsement, **FIRST**, **SECOND**, **THIRD**, and so on, followed by the word **ENDORSEMENT** is typed at the left margin on the second line below the date. This is followed by the word **on** and identification of the basic letter. The basic letter is identified in the same way as in a normal Reference block. When the number of the endorsement and the identification of the basic letter exceed one line, the second and succeeding lines begin flush with the word **on**.

Via Block

Only the remaining Via addressees, if any, are listed in the endorsement's Via block. They are left in the same order, although they can be modified, if necessary, and renumbered (1), (2), (3), and so on.

1
2
3
4

***DEPARTMENT OF THE NAVY**
***Name of Activity**
***Address**

1
2

SSIC
Code/**Serial*
*Date

1
2

From: Title of activity head, name of activity, location when needed
To: Title of activity head, name of activity, location when needed (*Code*)
Via: (1) *Title of activity head, name of activity, location when needed*
(not numbered if only one)
(2) *Pattern of (1) repeated for next endorser*

1
2

Subj: NORMAL WORD ORDER, ALL LETTERS CAPITALIZED

1
2

Ref: (a) *Earlier communication that bears directly on subject at hand*

1
2

Encl: (1) *Material enclosed with letter identified in same way as reference, single enclosure numbered*
(2) *Notation added for material sent separately (sep cover)*

1
2

1. This example shows all the elements that might appear on the original of a one-page standard letter.

2. If you omit the date when you type the letter, start the From block on the fourth line below the code/serial to allow for an oversized date stamp.

3. Other examples in this chapter show the spacing to follow for correspondence that variously omits Via, Reference, and Enclosure blocks.

1
2
3
4

*NAME OF SIGNER
*By *direction*

1
2

Copy to:
Short title of information addressee (see SNDL)
Short title of second information addressee

ITALICS: OPTIONAL ITEMS
ASTERISKS: ITEMS YOU MAY STAMP
UNDERLINED NUMBERS: TYPEWRITER LINES

Figure 3-1.—Sample standard letter.

1
2
3
4
5

6

SUBJ: NORMAL WORD ORDER, ALL LETTERS CAPITALIZED

1

2

This sample illustrates a file copy of a standard letter's signature page. A second page should have at least two lines of text.

a. If you use a **Copy to** block, type it on all copies.

b. If you use a **Blind copy to** block, add it to internal copies only.

c. If you identify the writer and typist, do so on the file copy only.

d. A standard letter uses no complimentary close.

1

2

3

4

F. A. BRUSH
By direction

1

2

Copy to:
USS CLARK (FFG 11)
USS HALYBURTON (FFG 40)

1

2

Blind copy to:
387.2
967

Writer: P. T. Boat, 385.6, X74366

Typist: W. T. Door, 14 Oct 00

Figure 3-2.—Sample file copy of continuation page.

1
2
3
4

**DEPARTMENT OF THE NAVY
Naval Sea Systems Command
Naval Supply Systems Command
Washington, DC 20314**

1
2

NAVSUP
5216
Ser 02/318
9 Mar 01

NAVSEA
5216
Ser 07/207
25 Mar 01

1
2
3

JOINT LETTER

1
2

From: Commander, Naval Sea Systems Command
Commander, Naval Supply Systems Command
To: Chief of Naval Operations

1
2

Subj: HOW TO PREPARE A JOINT LETTER

1. Use. A joint letter may be used to establish an agreement between two or more commands or for other matters of mutual concern.

2. Letterhead. On plain bond, list the command titles in the letterhead area so the senior official is at the top. If the activities are in different cities or states, follow each title with its address.

3. Signatures. Arrange Signature blocks so the senior is at the right. Place the Signature block of a third cosigner in the middle of the page.

4. Copies. If your command is the last to sign, send copies of the signed letter to all cosigners.

1
2
3
4

M. L. CHRISTMAS
Acting

W. T. DOOR
Deputy

Figure 3-3.—Sample joint letter.

Reference Block

The references listed in the basic letter and in the previous endorsement are not repeated. If a new reference is introduced in your endorsement, it is lettered in a continuous sequence from the basic letter and/or preceding endorsements.

Enclosure Block

The enclosures listed in the basic letter and previous endorsements are also not repeated. New enclosures added are numbered in sequence from the basic letter and/or preceding endorsements.

**DEPARTMENT OF THE NAVY
COMMANDER IN CHIEF
UNITED STATES PACIFIC FLEET
PEARL HARBOR, HI 96860**

1
2 5216
Ser N43/2735
8 Jul 00

1
2 From: Commander in Chief, U.S. Pacific Fleet
To: Commander, Third Fleet
Commander, Naval Air Force, U.S. Pacific Fleet
Commander, Naval Surface Force, U.S. Pacific Fleet
Commander, Submarine Force, U.S. Pacific Fleet

1
2 Subj: WHEN TO USE THE **TO** BLOCK BY ITSELF

- 1
2 1. If you have four addressees or less, list all of them in a **To** block. If you have more than four addressees, list all of them in a Distribution block.
2. Use only long titles in the **To** block.

1
2
3
4 P. T. BOAT
By direction

1
2 Copy to:
CHNAVMAT (MAT-05)
COMNAVSEASYS COM (SEA-06)

Figure 3-4.—Sample multiple-address letter with to block.

Paging

The page number on an endorsement follows the numbering of the basic letter and preceding endorsements; that is, a two-page endorsement to a three-page basic letter would be numbered **4** and **5**.

MEMORANDUM

A memorandum provides an informal way to correspond within an activity or between several activities. Subordinates may use it to correspond directly with each other on routine business.

**DEPARTMENT OF THE NAVY
COMMANDER NAVAL AIR FORCE
UNITED STATES PACIFIC FLEET
NAVAL AIR STATION, NORTH ISLAND
SAN DIEGO, CALIFORNIA 92123**

1
2 5216
Ser N31/2406
7 Jun 00

1

2

From: Commander, Naval Air Force, U.S. Pacific Fleet

Subj: WHEN TO USE THE DISTRIBUTION BLOCK BY ITSELF

1. Drop the **To** block and add a Distribution block if you have more than four individual action addressees or if you vary the number of copies to any of the addressees. You may list addressees in the **Distribution** block by SNDL short titles or collective titles or both.

2. Like addressees shown in a **To** block, those shown in a Distribution block are action addressees.

3. Arrange distribution and **Copy to** addressees in columns if doing so will keep a letter from going to another page.

1

2

3

4

F. A. BRUSH
By direction

1

2

Distribution:

SNDL

42J2 (COMCARAIRWING PAC) (4 copies)

42K2 (ATKRON PAC)

42L2 (FITRON PAC)

USS ENTERPRISE (CVN 68)

1

2

Copy to:

CINCPACFLT (N35)

COMSEVENTHFLT (N3)

Figure 3-5.—Sample multiple-address letter with Distribution block.

DEPARTMENT OF THE NAVY
NAVAL AIR STATION
PENSACOLA, FL 32508

1
2 5216
Ser 11/352
13 Jun 01

1
2 From: Commanding Officer, Naval Air Station, Pensacola
To: Commander in Chief, U.S. Atlantic Fleet
Via: (1) Commander, Sea Based ASW Wings, Atlantic
(2) Commander, Naval Air Force, U.S. Atlantic Fleet

1
2 Subj: HOW TO PREPARE ENDORSEMENTS

Encl: (1) Orientation Schedule for Newcomers

1. Same-page endorsements may be added to a basic letter, like this one, or to a previous endorsement. This sentence cites enclosure (1).

1
2
3
4 J. T. BOAT

1
2 -----
1
2 Ser 019/98
17 Jun 01

1
2 FIRST ENDORSEMENT

1
2 From: Commander, Sea Based ASW Wings, Atlantic
To: Commander in Chief, U.S. Atlantic Fleet
Via: Commander, Naval Air Force, U.S. Atlantic Fleet

1
2 1. Start an endorsement on the same page as the latest communication if the answer to all three questions is yes:

- a. Is the latest communication less than a page?
- b. Will all of the endorsement fit on that page?
- c. Is the endorsement sure to be signed without revision?

2. A same-page endorsement may omit the SSIC, subject, and basic letter's identification as long as the entire page will be photocopied. These elements also are required on all new-page endorsements, such as the one in figure 3-7.

1
2
3
4 MARY CHRISTMAS

1
2 Copy to:
NAS Pensacola (Code 11)

Figure 3-6.—Sample same-page endorsement.

DEPARTMENT OF THE NAVY
COMMANDER NAVAL AIR FORCE
UNITED STATES ATLANTIC FLEET
NORFOLK, VA 23511

1
2

5216
Ser N72/4201
24 Jun 00

1
2

SECOND ENDORSEMENT on NAS Pensacola ltr 5216 Ser 11/352
of 3 Jun 00

1
2

From: Commander, Naval Air Force, U.S. Atlantic Fleet
To: Commander in Chief, U.S. Atlantic Fleet

1
2

Subj: HOW TO PREPARE ENDORSEMENTS

1
2

Encl: (2) SECNAVINST 5216.5D

1
2

1. Start an endorsement on a new page if the answer to one or more of these questions is no:

- a. Is the latest communication less than a page?
- b. Will all of the endorsements fit on that page?
- c. Is the endorsement sure to be signed without revision?

2. Number every page; continue the sequence of numbers from the previous communication, as explained in enclosure (2).

3. Every new-page endorsement must

- a. Repeat the basic letter's SSIC.
- b. Identify the basic letter in the Endorsement-Number block.
- c. Use the basic letter's subject as its own.

1
2
3
4

V. C. PISTOL
By direction

1
2

Copy to:
NAS Pensacola (Code 11)
*COMSEABASEDASWWINGLANT (Code 019)

***Prior endorser appears because second endorsement is significant.**

Figure 3-7.—Sample new-page endorsement.

The four formats from which you can choose are as follows, starting with the most informal:

1. Printed Memorandum Form (OPNAV 5216/144)
2. Plain-paper memorandum
3. Letterhead memorandum
4. Memorandum For

Use the format that best suits the subject, occasion, and audience.

Printed Memorandum Form

As the most informal, the printed memorandum (fig. 3-8) is used among individuals and offices of the same activity. Information is typed or written beside preprinted entries, and the text is prepared the same way as in a standard letter.

Plain-Paper Memorandum

When the required heading information (more than one addressee or when Via addressees are needed) prevents use of the printed memorandum, the plain-paper memorandum is used (fig. 3-9). It is prepared on plain white bond, placing the date at the right margin, 1 inch from the top of the page. The word **MEMORANDUM** is typed at the left margin on the second line below the date. The From line is typed on the second line below **MEMORANDUM**, and all subsequent lines follow the rules of the standard letter.

Letterhead Memorandum

When a subordinate office is authorized direct liaison outside the command, the letterhead memorandum is used (fig. 3-10). It provides more formality and information to the recipient that is not available in the plain-paper memorandum. Standard letter rules apply, once again adding the word **MEMORANDUM** after the date and before the From block. A sender's Information block is usually used in this case.

Memorandum For

The **memorandum for** is the most formal memorandum (fig. 3-11). It may be used in writing to senior officials who traditionally have used it. Among them are the Secretary of Defense and the Secretary of the Navy. A sender's Information block is used. The From and To blocks, however, are not. The

words **MEMORANDUM FOR THE** followed by the title of the official to receive the memorandum are typed on the second line below the date. If more than one official is to be sent the memorandum, second and subsequent titles are listed directly under the first word after "THE."

Since this format does not have a From block, show the signer's title below the typed name in the Signature block. Use all other rules of the standard letter.

BUSINESS LETTER

The business letter (fig. 3-12) is used to correspond with agencies or individuals outside the Department of the Navy who are unfamiliar with the standard naval letter. It may also be used for correspondence between individuals within the Navy when the occasion calls for a personal approach. The business letter is always prepared on letterhead paper.

Since the business letter has no From block, all copies going outside the command must have the letterhead information stamped or printed on them. The determining factor in setting the margins is the letter's length. A letter less than one page long is centered to give it a well-balanced appearance (fig. 3-13). The text may even be double-spaced to aid in balancing if it runs eight lines or less.

Sender's Information and Markings

The sender's Information block is the same as a standard letter. Special postal service markings are placed on the left margin two lines below the date. Any classification markings are placed on the line below the special postal instruction, if any. All other classification marking requirements are the same as in a standard letter.

Address

The address begins at the left margin and, depending on the length of the letter, should be placed on the second line below the previous block. The exception to this is when the letter is short (fig. 3-13) and the body of the letter must be lowered to balance it on the paper. The address is typed block style, single-spaced, and should be at least three but no more than four lines long.

Salutation

The salutation, followed by a colon, is typed at the left margin on the second line below the address. A list

Memorandum

DATE: 3 Mar 00
FROM: OP-09BR (77256)
TO: OP-09B
SUBJ: PRINTED MEMORANDUM FORM

Ref: (a) SECNAVINST 5216.5D

Encl: (1) Personnel Roster

1. This printed form is the most informal memorandum. Use it among individuals and offices of the same activity.
2. The memorandum comes in three sizes.
 - a. OPNAV 5216/144A (8 1/2 by 11 inches)
 - b. OPNAV 5216/144B (8 1/2 by 5 1/2 inches)
 - c. OPNAV 5216/144C (5 1/2 by 8 1/2 inches)
3. Except for the date, no sender's symbols are necessary.
4. Use names, titles, or codes in the From block and To block.
5. Allow a 1-inch margin.
6. Type reference and enclosure headings under the printed headings. Note the headings for reference (a) and enclosure (1).
7. The writer signs his or her name without an authority line.
8. Very informal memorandums may be penned.
9. No file copy is necessary when the matter is insignificant or shortlived.

Figure 3–8.—Sample printed memorandum form.

of standard salutation formats is contained in the *Navy Correspondence Manual*.

Text

The text begins on the second line after the salutation. It is normally single-spaced within paragraphs; avoid indenting or numbering main paragraphs. Indent the first lines of subparagraphs four

spaces; subparagraphs may be lettered and numbered in standard letter fashion.

Complimentary Close

Use “Sincerely,” for the complimentary close of a business letter. Start typing at the center of the page on the second line below the text.

1
2
3
4
5
6

10 Sep 00

1

2 MEMORANDUM

1

2 From: Head, Organization and Directives Branch (Code 211)

To: Head, Technical Library Branch (Code 111)

Head, Mail and Files Branch (Code 112)

Via: Head, Office Services Division (Code 110)

1

2 Subj: PLAIN-PAPER MEMORANDUM

1. The plain-paper memorandum may be used within your activity.

2. It is no more formal than the memorandum form, but it is more flexible when there are multiple addressees, via addressees, or both.

3. Prepare a plain-paper memorandum on white bond.

1

2

3

4

P. T. BOAT

Figure 3-9.—Sample plain-paper memorandum.

Signature

Start all lines of the Signature block at the center of the page on the fourth line below “Sincerely.” Type or stamp the following information:

- Name of signer in all capital letters
- Military grade (if any) spelled out
- Functional title
- By direction of the (senior official’s title), if appropriate

References and Enclosures

The business letter does not provide for a Reference block. Any references are mentioned in the

text only. Enclosures are both mentioned in the text and then described briefly in an Enclosure block. Type **Encl:** at the left margin on the second line below the Signature block and list the enclosures beneath the heading. The rules for marking special distribution of enclosures are the same as in a standard letter.

Copy to Block

If everyone should know that a particular addressee will receive an information copy, show that addressee in the Copy to block. Use long titles for activities listed in the SNDL. Type the words **Copy to** with a colon at the left margin on the second line below the previous block (Enclosure block, if any, or the

DEPARTMENT OF THE NAVY
NAVAL AIR STATION
PENSACOLA, FL 32508

1
2 5216
Memo 28/95
18 May 00

1
2 MEMORANDUM
1
2 From: Head, Management Services Department
To: Operations Officer, Navy Regional Data Automation
Center, Pensacola

1
2 Subj: LETTERHEAD MEMORANDUM

1. When direct liaison is authorized and the matter is routine, a memorandum (on letterhead paper) may be sent outside your activity.

2. When used within an activity, the letterhead memorandum provides more formality than the printed memorandum form.

1
2
3
4

P. T. BOAT

Figure 3-10.—Sample letterhead memorandum.

Signature block). Addressees are listed beginning on the next line at the left margin.

MESSAGES

This portion of the chapter will introduce you to basic message traffic format (MTF). Although there are many types and modes of communications, the basic naval message must conform to a standard format with few exceptions. As a YN, you need to be familiar with all of them.

COMMON MESSAGE ELEMENTS

Before covering the basic format of military messages, we will first discuss the time system, precedence categories, and speed-of-service objectives used in naval communications.

Time

Time is one of the most important elements in communications. Messages are normally identified

and filed by either a date-time-group (DTG) or a Julian date, depending on the method of transmission.

Date-Time-Group

The DTG is assigned for identification and file purposes only. The DTG consists of six digits. The first two digits represent the date, the second two digits represent the hour, and the third two digits represent the minutes. For example,

221327Z AUG 00

means the 22nd day of August, plus the time in Greenwich Mean Time (GMT). The dates from the first to the ninth of the month are preceded by a zero.

This designation is followed by a zone suffix and the month and year. The month is expressed by its first three letters, and the year by the last two digits of year of origin; for example,

081050Z AUG 00

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
WASHINGTON, DC 20350

IN REPLY REFER TO
5216
Ser 943D/34507
11 Mar 01

1

2

MEMORANDUM FOR THE DEPUTY CHIEF OF NAVAL OPERATIONS

1

2

Subj: THE MEMORANDUM FOR

1. The memorandum for is the most formal memorandum. It may be used in writing to senior officials who traditionally have used it. Among them are the Secretary of Defense and the Secretary of the Navy.

2. Because the memorandum for lacks a From block, show the signer's title below the typed name.

3. Multiple addressees are listed as shown above.

1

2

3

4

W. T. DOOR
Director, Navy Space Systems
Division

Figure 3-11.—Sample memorandum for.

The zone suffix ZULU (Z), for GMT, is used as the universal time for all messages.

Greenwich Mean Time

In naval communications, the DTG is computed from a common worldwide standard. To meet the need for worldwide time standardization, the international GMT system was developed. Greenwich, England, is the location from which all worldwide time is determined. The GMT system uses a 24-hour clock instead of the two 12-hour cycles used in the normal civilian world.

Julian Date

The Julian date consists of three digits. They represent the day of the year. The first day of the calendar year is Julian 001, and each day is numbered consecutively thereafter. For example, in Julian, "032" would be the 32nd day of the calendar year (February 1).

Precedence

The message drafter indicates the desired writer-to-reader delivery time through the assignment of a message precedence. Although the drafter determines the precedence, the releaser should either confirm or change it.

The following paragraphs list the various precedence categories, their indicators, and basic definitions:

ROUTINE (R). Processed within 6 hours. This category is assigned to all types of traffic that justify electrical transmission but which are not of sufficient urgency to require a higher precedence.

PRIORITY (P). Processed within 3 hours. This category is reserved for messages that furnish essential information for the conduct of operations in progress. This is the highest precedence normally authorized for administrative messages.

DEPARTMENT OF THE NAVY

USS CUSHING (DD 985)
FPO AP 96662

1
2 5216
Ser DD 985/28
January 5, 2001

1
2 Coover Precision, Inc.
Attn: J. Doe
6923 W. Hobson Blvd.
New York, NY 11378

1
2 Gentlemen:

1
2 When writing to a company in general but directing your letter to a particular person or office, use an attention line between the company's name and its address. Type *Attn:* and then a name or title.

Make the salutation agree with the first line of the address. If the first line is a company name, the salutation is *Gentlemen* even if the attention line directs the letter to an individual. Note the inside address and salutation in this letter.

1
2 Sincerely,

1
2
3
4 F. A. BRUSH
Commander, U.S. Navy
Executive Officer
By direction of the
Commanding Officer

1
2 Encl:
(1) Correspondence Manual (sep cover)

Figure 3-12.—Sample business letter.

IMMEDIATE (O). Processed within 30 minutes. This category is reserved for messages relating to situations that gravely affect the national forces or populace and that require immediate delivery to addressees.

FLASH (Z). Processed as fast as possible with an objective of less than 10 minutes. This category is reserved for initial enemy contact reports or operational combat messages of extreme urgency; message brevity is mandatory.

Precedence is assigned according to urgency, based solely on writer-to-reader time, not according to

the importance of the subject matter or the text. For example, an unclassified message may be assigned an IMMEDIATE precedence, whereas a Secret message may be assigned a ROUTINE precedence. In this situation, the unclassified message requires fast action or response, whereas the Secret message may not require any action at all.

Address Component

The address component contains the designation of the originating station identified by the originator prosign **FM** (meaning “from”). Prosign **TO** contains

DEPARTMENT OF THE NAVY
NAVAL EDUCATION AND TRAINING
PROFESSIONAL DEVELOPMENT AND TECHNOLOGY CENTER
PENSACOLA, FL 32509

1
2 5216
Code 53
8 Apr 01

1
2
3
4
5
6
7 Ms Mary Christmas
J. M. Corporation
287 Duke Street
Newton, CA 93333

Dear Ms Christmas:

Use any or all of three techniques to balance the appearance of a letter that would run eight lines or less if typed normally. Start the address more than two lines below the date, use side margins as wide as 2 inches, and double-space throughout the text of the letter.

Indent paragraphs of a short business letter if you have two or more.

1
2
1
2
3
4

Sincerely,

FLOSS A. BRUSH
Head, Management Services
By direction of the Commander

Figure 3-13.—Sample short business letter.

the designation(s) of the action addressee(s), if any. Prosign **INFO** contains the designation(s) of the information addressee(s), if any.

Addressee designations in the address component may be call signs, address groups, plain language designators, or a combination of routing indicators and plain language designators.

The separation sign **BT**, meaning “break,” provides a distinct separation between the heading and the text and between the text and the ending.

Text

The text is the part of the message that contains the thought or idea that the drafter desires to communicate.

In drafting the text for transmission, the drafter should strive for brevity through the proper choice of words and good writing technique. However, brevity must never be achieved at the expense of accuracy or clarity. Uncommon phrases and modes of expression can render the meaning of a message ambiguous or obscure.

The text must be worded so that it unmistakably expresses the thoughts to be conveyed. All abbreviations must be limited to those meanings that are self-evident or those that are recognizable by virtue of long-established use. We will now discuss some of the more important requirements concerning the text of a message.

CLASSIFICATION LINE.—The classification line is the first line of the text and immediately follows the BT that separates the heading and text. This line indicates the message classification and, when applicable, special-handling markings, codes, or flag words. This line also provides the SSIC.

For United States use, the three security classification designators are **Confidential**, **Secret**, and **Top Secret**. The acronyms **FOUO** (For Official Use Only) and **EFTO** (Encrypt For Transmission Only) are not classification designators. They are used with the designation UNCLAS in the classification line.

Restricted Data and Formerly Restricted Data are similar except that they are used with classification designators. You can find information concerning the criteria and handling of FOUO and EFTO messages in the *Telecommunications Users Manual*, NTP 3.

SPECIAL-HANDLING MARKINGS.—Certain types of messages require special handling in addition to that provided by the security classification. These special markings are placed in the classification line immediately following the classification. Some of the more common special-handling markings that you will see are the following:

- Special Category (SPECAT)
- Limited Distribution (LIMDIS)
- PERSONAL FOR

SPECAT messages come in two variations. One type includes both the **general SPECAT** and the **SPECAT Single Integrated Operational Plan—Extremely Sensitive Information** (SPECAT SIOP-ESI).

The other type of SPECAT message is **SPECAT EXCLUSIVE FOR (SEF)**. SEF is used only within the naval community for highly sensitive matters, high-level policy, or when politically sensitive information is to be passed **only** to a particular individual. The classification line would then contain the name of that individual. For example, a Secret message destined exclusively for Admiral W. T. Door would read:

SECRET SPECAT EXCLUSIVE FOR
ADM W. T. DOOR //N00000//

SEF messages are reserved for use by flag officers and officers in a command status. These messages are not intended for use in operational matters, and they may not be readdressed or referenced in other narrative messages.

Only those personnel who are authorized to view them, as approved in writing by the CO, handle SPECAT messages.

LIMDIS messages are associated with special projects, cover names, or specific subjects. These messages require limited distribution within the addressed activity to those personnel with a need to know and who are specifically authorized by the command to have access to the information. Only classified messages qualify for the special-handling marking LIMDIS. However, the classification is still assigned according to the subject matter. The classification line of a Secret LIMDIS message would read **SECRET LIMDIS**.

PERSONAL FOR messages may be unclassified or classified and are reserved for flag rank and command status officers. Distribution of these messages is limited to the named recipient (who may direct further distribution). In PERSONAL FOR messages, the classification line always shows the name or title of the intended recipient and may show the name or title of the originator.

PERSONAL FOR messages are used only by and addressed only to Navy commands.

STANDARD SUBJECT IDENTIFICATION CODE.—The SSIC identifies the subject matter of the message. The SSIC is preceded and followed by two slant signs. For example:

UNCLAS E F T O FOUO //N02000//

The SSIC always contains five digits corresponding to the particular subject matter, preceded by the letter N. With few exceptions, an SSIC is required on all naval messages. Those messages without SSICs are normally

returned to the drafter. Many automated systems route message traffic by the SSIC.

SSICs are contained in *Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes*, SECNAVINST 5210.11 series.

PASSING AND DELIVERY INSTRUCTIONS.—

The majority of naval automated message processing systems rely on specific elements at the beginning of the text. These elements may be flag words, code words, subject lines, and outgoing/incoming message references. These elements serve as guides and assist the automated internal routing of messages. Special delivery instructions, such as FOR, FROM, and PASS TO are additional means of indicating that the text of the message is to receive the attention of the indicated individual or office without necessarily limiting the normal distribution.

Special delivery instructions, when used, follow the SSIC. These instructions are used for exceptional cases not covered by use of office codes in the address. Passing instructions must not be separated into an individual paragraph of the text. They should follow the SSIC and can continue on the line immediately following the classification and SSIC.

SUBJECT LINE.—The subject line indicates the basic contents of the message. Internal message routers and Navy automated message processing systems key on the subject to determine internal message distribution. Therefore, messages containing similar information should be assigned a standard subject whenever possible to facilitate message identification and internal distribution.

The subject line of a message begins at the left-hand margin immediately following the classification line with the characters SUBJ.

REFERENCE LINES.—Reference lines are used to avoid repeating lengthy quotations or references within the text of a message. A reference may be any message, document, correspondence, or telephone conversation that is pertinent to the message.

When a reference is referred to in the text, it would be called REF A, REF B, or REF C, as applicable.

INDENTING.—The classification, subject, and reference set lines will always begin at the left-hand margin. Textual material may be indented a maximum of 20 spaces for clarity.

REMARKS.—The RMKS (remarks) set begins the actual text. The message may contain several

subjects or several aspects of one subject. For this reason, textual material is divided into paragraphs and subparagraphs (numbered and lettered consecutively).

CLASSIFICATION AND PARAGRAPH MARKINGS.—When a message is classified, the subject line, all paragraphs, and subparagraphs are marked with the appropriate classification symbol. This eliminates any doubt in the reader's mind as to the classification of a particular paragraph.

PUNCTUATION.—Punctuation is used within the text of a message when essential for clarity.

MINIMIZE CONSIDERED.—During an actual or simulated emergency, it may become necessary to reduce the volume of record and/or voice communications ordinarily transmitted over U.S. military telecommunications circuits. This action, known as MINIMIZE, is designed to clear communications networks of messages that are not considered urgent. Only those messages that affect the accomplishment of a mission or safety of life are considered essential and, therefore, require electronic transmission during MINIMIZE periods.

The releasing officer must review messages that have not been released during MINIMIZE periods. The releasing officer must determine if a message can be sent via another means or if it must be sent electrically via telecommunications circuits. If the releasing officer releases a message for transmission, the words **MINIMIZE CONSIDERED** and **RELEASED BY** must be included.

DOWNGRADING INSTRUCTIONS.—All classified messages must contain a downgrading or declassification instruction with the exception of Restricted Data and Formerly Restricted Data messages.

GENERAL MESSAGES

General messages provide a standard distribution to a large group of addressees and are identified by a repetitive short title (for example, ALNAV, NAVOP, JAFPUB).

All commands to whom general messages are distributed are action addressees. However, each command receiving a general message is responsible for determining what action, if any, it needs to take on the message.

Although general messages have a wide, standardized distribution, all addressees may not need

to take action. However, commands are required to keep a continuous numerical file of all general messages for which they are on the distribution list and that they receive. Consequently, the general message files should contain every general message received during the calendar year, in numerical order. The general message files are separate from all other files and are subdivided according to identifying title or type.

PRO FORMA MESSAGES

Pro forma messages are messages whose subject matter and sequence of textual content are preset and cannot be changed by the originator.

MINIMIZE MESSAGES

Minimize means, "It is now mandatory that normal message and telephone traffic be reduced drastically so that vital messages connected with the situation indicated will not be delayed."

A message ordering MINIMIZE consists of the word **MINIMIZE**, followed by the area affected (scope), reason, and duration of the MINIMIZE condition (when known).

COMMUNICATIONS GUARD SHIFT MESSAGES

Communications guard shift (COMMSHIFT) messages are required when a command shifts its guard from one broadcast or servicing communications center to another. When possible, the shift takes effect at 0001Z of the new radio day. When broadcasts are shifted, an overlap period before and after the effective time is observed to ensure continuity of traffic. Detailed information concerning communications guard shift messages and formats is contained in Naval Telecommunications Publication 4 (NTP-4).

MESSAGE AND ROUTING ADDRESSEES

Messages may be divided into types, according to the way they are addressed, as follows:

SINGLE-ADDRESS. A message that has only one addressee, which may be either for action or information.

MULTIPLE-ADDRESS. A message that has two or more addressees, which may be either action or

information and where each addressee is informed of all other recipients.

BOOK. A message destined for two or more addressees but where the drafter considers it unnecessary that each addressee be informed of other addressees. Book messages are routed according to each addressee's relay station. All unnecessary addressees are deleted from the face of the message before being sent to the addressee(s) served by that particular relay station.

GENERAL MESSAGE. A message that has a wide, predetermined, standard distribution. General messages are normally titled with a sequential number for the current year; for example, ALCOM 28/01, NAVOP 30/01. The title indicates distribution and serves as the address designator.

Address Indicating Groups

The purpose of address indicating groups (AIGs) is to increase the speed-of-traffic handling. They shorten the message address by providing a single address group to represent a large number of addressees. This eliminates individual designators for each address used in the heading.

Message Addresses

Absolute consistency in the format and spelling of a plain language address (PLA) was not critical before the implementation of automated message-processing systems. Because communications personnel processed all messages, deviations in address spelling were tolerated. This is no longer true. Message drafters must now verify the PLA for each addressee in the *Message Address Directory* (MAD) and not rely on memory or copy PLAs from incoming messages.

Message Address Directory

The MAD contains authorized message addresses and is divided into sections: Joint Department of Defense (JDOD PLAD); U.S. Military Communications—Electronics Board Publication (MCEB Pub 6), Army, Air Force, and Navy. The Navy section, "U.S. Navy Plain Language Address Directory (USN PLAD 1)," includes message addresses for Marine Corps and Coast Guard activities. MAD updates are published four times a year to ensure all addresses are current.

Plain Language Addresses

The PLAs listed in USN PLAD 1 are the only designators authorized for use in message addressing to Navy, Marine Corps, and Coast Guard activities. Deviations from USN PLAD 1 in spelling, spacing, or formatting cannot be tolerated because automated message-processing systems are keyed to USN PLAD 1 entries.

Office Codes

Office codes are required for all Navy shore activity PLAs. Office codes follow the PLA and are enclosed in double slants; for example, CNO WASHINGTON DC//094//. There is no limit on the number of office codes that can be used with a PLA. When multiple office codes are used with a PLA, the first code is the action code. A single slant separates multiple codes. For example:

CNO WASHINGTON DC//094/611//

If an office code is not known, the code //JJJ// is used after the PLA. Office codes are not used with AIGs, CADs, or PLAs in pro forma messages. NTP-3 has further information concerning office codes used with PLAs.

MESSAGE USER RESPONSIBILITIES

A message user is any individual authorized to draft, release, and/or process electronically transmitted messages. There are certain responsibilities associated with the origination of a message. These responsibilities are separate and distinct and concern the following parties:

- Originator
- Drafter
- Releaser

Occasionally, the responsibilities may overlap, especially if one person is serving a dual capacity. For example, administrative officers may occasionally draft and release messages, thus making them both drafters and releasers.

Originator

The originator is the authority (command or activity) in whose name the message is sent. The originator is presumed to be the CO of the command or activity. Most often, the originator and the releaser are one and the same. In some cases, the drafter, releaser, and originator are all the same person. For example, if the CO drafts a message for transmission, he or she is

the drafter as well as the releasing authority for the activity in whose name the message is sent.

Drafter

The drafter is the person who actually composes the message. According to NTP-3, the drafter is responsible for the following:

- Addressing and using PLAs correctly
- Ensuring clear, concise composition
- Selecting the precedence
- Ensuring the proper format
- Assigning the proper classification
- Ensuring the application of proper downgrading and declassification instructions to classified messages, except those containing Restricted Data or Formerly Restricted Data

Releaser

The releaser is a properly designated individual authorized to release messages for transmission in the name of the command or activity. The releasing individual makes sure that the drafter has complied with the requirements contained in the NTP-3. In addition to validating the contents of the message, the signature of the releaser affirms compliance with message-drafting instructions. The signature of the releaser authorizes the message for transmission.

MESSAGE FORMAT

General administrative (GENADMIN) is the format used for most narrative messages. The exceptions are those narrative messages for which a publication, instruction, or other directive requires a different format. There are other formats for special-purpose messages. These messages include casualty reports (CASREPs), movement reports (MOVREPs), and Status of Resources and Training System (SORTS). Instructions for preparing these messages are found in appropriate publications.

SUMMARY

This chapter has reviewed the formats used in naval correspondence and messages. Although some of these formats may seem complicated, the more you type them, the easier they will become. Refer to the references listed in this chapter frequently; they will answer any question you may have.

CHAPTER 4

PROCESSING CORRESPONDENCE/MESSAGES

In chapter 3, we described how correspondence and messages are prepared. In this chapter, we will deal with the just-as-important step of making sure the word is passed—the methods of packaging, addressing, and controlling the sending and receiving of correspondence and messages.

OFFICIAL MAIL

Official mail consists of communications, publications, and other material transmitted through the postal system or other official distribution systems that relate exclusively to the business of the Department of the Navy. Official mail, when it is sent through the postal system, is transmitted in an envelope that is either “official mail” metered or bears United States Postal Service (USPS) stamps. If the contents are not exclusively Navy business, you cannot use official mail postage. Do not enclose unofficial material or personal material with official mail.

ENVELOPES

Envelopes are available through the supply system. They will bear in the upper left-hand corner the words **Department of the Navy** above the return address and the printed words **Official Business** below the return address. These endorsements must be printed by a mechanical means. Envelopes come in various sizes. Letter-size that accommodates 8 1/2-inch by 11-inch paper folded in thirds is used unless the document is too bulky. If the document cannot be folded or should not be folded (such as a certificate), then sizes allowing flat mailing are available.

PREPARATION OF ENVELOPES

The *Standard Navy Distribution List* (SNDL) should be used for making sure you are using the proper address. This cannot be overemphasized. If the address is wrong, your correspondence will not be delivered. Increased use of optical character readers by the post office makes it important that envelopes be addressed correctly. When you type envelopes, make sure you single-space. Do not use italic or artistic

fonts. Type the address block style, in all caps, beginning about one-third the length of the envelope from the left side and halfway down from the top. The return address is typed in the space indicated at the upper-left corner.

The city, state, and full nine-digit ZIP Code appear in sequence on the bottom line. Not less than two nor more than six spaces should be left between the last letter of the state and first digit of the ZIP Code. The street address or box number is placed on the line above the city, state, and ZIP Code line. Box numbers and street addresses should never be combined on the same line. An Attention line, if used, should be placed above the street or box number so as not to interfere with optical scanning, which generally begins scanning the bottom line first.

TYPES OF MAIL SERVICE

The postal classification and type of mail service determine the means of transmission, speed of delivery, security, control, and cost of mailing. Postcards and conventional letter-size sealed envelopes automatically receive First-Class service without special markings. Larger unsealed envelopes and parcels containing printed matter must be marked with the special mail service requirement.

FIRST-CLASS MAIL

First-Class Mail is given priority handling over lower classes of mail throughout the postal service. Transportation within the domestic system is by airlift or expedited surface delivery. Official First-Class Mail is normally sent by commercial air transportation from the continental United States to overseas areas of delivery when addressed to an activity with an FPO or APO address.

REGISTERED MAIL

Registered mail receives added protection because of its value and importance. It is the safest means of any mail service since, from the time a piece is mailed, someone is always personally responsible to account for it.

The postal service provides the sender with a receipt and an identification number for each article received. The identification number is also placed on the item at the time of mailing and is used throughout the delivery process. Each person who handles the article maintains a continuous chain of receipts. The person who signed the receipt last is responsible for the item until the person to whom the article is addressed signs a receipt.

The post office that services your command provides an incoming and outgoing registered mail log. If this log is used properly, it will help you to pinpoint the date a specific piece of mail was sent or received. It should include the registered identification number, identification of the subject matter, the addressee, and the signature of the person receiving the material from you. The *Department of the Navy (DON) Information Security Program (ISP) Regulation* (SECNAVINST 5510.36 series) and chapter 8 of this course provide more information on how the registered mail system is used to transmit classified information.

EXPRESS MAIL

Express Mail is the class of mail afforded the highest priority in handling and provides highly reliable service. Use Express Mail only when it is the most cost-effective way to accomplish a mission within time, security, and accountability constraints. Heads of the Department of Defense are authorized to approve the use of Express Mail. Tenant commands must request approval from the host installation to use Express Mail when the host provides the postage and fees for the tenant's mail.

CERTIFIED MAIL

Certified mail is a postal service that provides the sender with a mailing receipt. A record of delivery is kept at the post office. Service is limited to First-Class mailing of material requiring restricted delivery. The sender is given a receipt and a record is made of delivery to the post office. The addressee completes a record of delivery that accompanies the piece of mail that is then returned to you.

CLASSIFIED MAIL

Chapter 8 of this NRTC gives the procedures for processing classified material.

HANDLING INCOMING MAIL

You may be assigned to handle incoming mail in any department or office to which you are attached. In a departmental office aboard a ship, such an assignment may not involve a very large amount of mail. If you are in the captain's office, however, you will be handling all the official mail for the ship. In any case, it is important that you know what happens to incoming mail.

The volume of mail received by naval activities today makes it desirable to eliminate unnecessary operations wherever possible. In doing so, however, it is important to make sure adequate records of all important correspondence are maintained. Experience and judgment are required to determine which mail need not be controlled, which should be controlled, and how the necessary controls can be maintained.

The steps that take place when official mail comes aboard a Navy ship or shore activity are basically the same. They are sorting and opening, routing, and controlling (where required).

Although this process takes place everywhere, differences between conditions aboard ship and those of a shore-based office cause some of the operations to be done differently. We will look at shipboard and shore-based procedures separately.

INCOMING MAIL ABOARD SHIP

Mail delivered to a naval vessel falls into two broad groups: official mail and personal mail for members of the ship's company. Personal mail is, of course, delivered unopened to the individual to whom it is addressed. Official mail addressed to the commanding officer (CO) is taken to the captain's office where the Yeoman (YN) opens it. *Standard Organization and Regulations of the U.S. Navy* (SORM), OPNAVINST 3120.32C, section 620.5, contains detailed guidance for processing incoming and outgoing correspondence.

Classified Mail

Classified mail is logged in separate logs for Confidential and Secret. The mail YN opens the outer envelope, then delivers the inner envelope unopened to the command security manager or clerk, who signs for it in the mail log.

Unclassified Mail

Some ships maintain an unclassified logbook containing similar information found in the classified

material logbooks. Other ships find this too bulky or time-consuming and log only important documents, such as those requiring action. Action correspondence may be also tracked by correspondence control slips. Your supervisor will train you in the specific requirements of your ship.

Route Slips

Route (or control) slips are placed on mail as required by local practice. Figure 4-1 is a sample automated Navy route slip. You will fill in the blocks identifying the material and the route slip number and pass it to the office supervisor. This person indicates on the slip the department heads to whom the correspondence should go for action and those who should see it for information.

Departmental Routing

Large shipboard departments sometimes indicate internal routing to make sure the correspondence reaches all within the department who should see it. The additional routing is also indicated on the control slip. This keeps track of the document to help keep it moving and to make sure it is returned to the captain's office or to the next department without undue delay.

Copies of Incoming Correspondence

Sometimes more copies of a document are needed to ensure proper action is being taken. You may also need to retain a copy at your desk during the time the original is being routed. If you do make a copy for this purpose, you can destroy it when the original is returned and action has been taken.

Attaching Background Material

Before you route correspondence to the person who is to take action, make sure you attach all previous related correspondence and documents such as charts or blueprints. This preparation saves the time of the person who must take action. If the background materials are in the captain's office, they are attached before the letter goes to the department head. If they are retained in the department, the YN assigned there attaches them before delivering the letter to the department head. Don't delay delivery of mail while you conduct a search for these papers, however.

INCOMING MAIL ASHORE

In large headquarters organizations, and in other naval shore activities, there is much less personal mail. However, the official mail load may be quite large and require a large mailroom with several persons opening and sorting.

Incoming mail may be given three sortings, at which every effort should be made to separate out as much as possible for delivery without further processing. Small volume may result in sortings being combined. Mail that passes on to the second and third stage should do so only because it requires the additional processing given at each of these steps. The trick is to release it at the earliest possible sort to avoid unnecessary handling.

Figure 4-2 shows the three sortings and action generated by each, and each is explained more fully in following paragraphs.

Initial Sorting

On receipt, mail is given an initial sorting that separates mail that can be delivered without opening. This is identified by "Attention To" lines in the address, or knowing by experience that letters from certain commands can be forwarded directly to a specific department. The use of a sorting box comes in handy for the initial sort. Letters to be opened go in one place, and the others can be placed directly into a space marked for the receiving department.

Secondary Sorting

After the initial sorting, the mail that was not directly routed is opened. After opening, it is again sorted. At this time, routine mail (mail that presents no special problem) is separated from mail that is nonroutine. The sorter does not read further than necessary to determine if a letter is routine, and when satisfied that no special action is required, the document is forwarded directly to the appropriate department. During secondary sorting, mail is checked for enclosures, but mail should not be delayed awaiting missing enclosures. Indicate on the control slip (if used) that enclosures were not received, or make a notation to that effect on the document itself if it is forwarded directly to a department.

Time-stamping, if required, is done at the secondary sorting. Use it only on congressional mail, claims, or contracts. It is not recommended that all mail be time-stamped. This just adds another event that could delay delivery.

| AUTOMATED NAVY ROUTE SLIP | | | | | | | | | | PRIMARY CONTROLLING OFFICE | | | | | CLASSIFICATION OF ATTACHED MATERIAL | | | | | | | | | | | | | | | | | | | |
|---|------|------------|------|-----------|-------|----------------|--|----|-----|----------------------------|------|-----------------------------|--|------|-------------------------------------|--|-----|--|--|------------------------|--|--|--|--|----------|--|--|--|--|------|--|--|--|--|
| FROM | | | | | | | | | | DATE | | | | | DATE RECEIVED | | | | | DCN | | | | | | | | | | | | | | |
| TO | | | | | | | | | | SERIAL | | | | | FILE NUMBER (SSIC) | | | | | NR. OF COPIES RECEIVED | | | | | REG. NR. | | | | | | | | | |
| SUBJECT/ABSTRACT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CR1 | | | | | | | | | | CR2 | | | | | | | | | | CR3 | | | | | | | | | | CR4 | | | | |
| CR5 | | | | | | | | | | CR6 | | | | | | | | | | REMARKS/DISTRIBUTION | | | | | | | | | | | | | | |
| TC | TYPE | CAT | DG/R | YR | RETEN | ANALYST/ROUTER | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| DOC. DUE TO | | | | | | | | | | DATE | | | | | DUE TO | | | | | DATE | | | | | DUE TO | | | | | DATE | | | | |
| CONTROL CENTER PRIMARY ROUTING | | | | | | | | | | | | SECONDARY ROUTING | | | | | | | | | | | | | | | | | | | | | | |
| TO | PC* | NR. COPIES | | SIGNATURE | | DATE | | TO | PC* | NR. COPIES | | SIGNATURE | | DATE | | | | | | | | | | | | | | | | | | | | |
| | | LTR | ENCL | | | | | | | LTR | ENCL | | | | | | | | | | | | | | | | | | | | | | | |
| COMMENTS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>*PURPOSE CODES</p> <p>A - Prepare reply for signature. B - Necessary action. C - Reply direct. D - Furnish data on which to base a reply. E - Information and retention. F - Lead office for coordination, rewrites. G - In for signature. H - Information and return. I - Comment and recommendation. J - Coordinate with action office. K - Coordinate with lead office. L - Reply to be cleared by this office. S - Reply to be signed by this office.</p> | | | | | | | | | | | | <p>INSTRUCTIONS:</p> | | | | | | | | | | | | | | | | | | | | | | |
| <p>WARNING: DO NOT ENTER CLASSIFIED SUBJECT OR TITLE ON THIS FORM.</p> | | | | | | | | | | | | MICRO FILE NO. | | | | | DCN | | | | | | | | | | | | | | | | | |
| CLASSIFICATION OF ATTACHED MATERIAL | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

OPNAV 5216/175 (MAR 1981)
 FORMERLY NAVSO 5218/16

Figure 4-1.—Automated Navy Route Slip, OPNAV 5216/175.

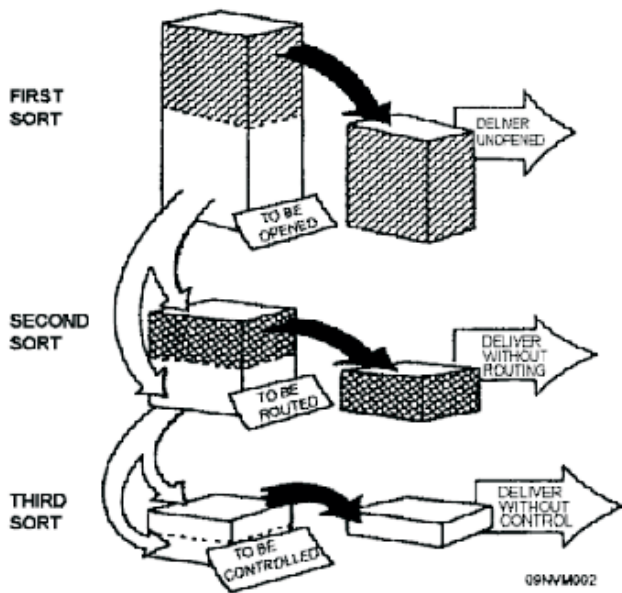


Figure 4-2.—Sorting incoming mail in a Navy mailroom.

| | KEY | INIT |
|---------|-------|------|
| CO | | |
| XO | | |
| NAV | | |
| OPS | | |
| COMM | | |
| WEAP | | |
| 1ST LT | | |
| ENG | | |
| MPA | | |
| DCA | | |
| ERC | | |
| SUP | | |
| MED | | |
| CMAA | | |
| YN | | |
| DATE | | |
| DESTROY | FILE: | |

Figure 4-3.—Stamp for routing routine mail.

Sorting for Control

Mail that remains for the third sorting includes that for which the action person is not readily apparent and mail that requires control. The main purpose of this sorting is to make sure mail requiring control receives it.

Routing

Mail that does not require control is routed without the use of a route slip or mail control form. The office code and file symbol are placed on the letter itself.

When mail is being routed to several offices, a stamp may be used with check boxes for several addressees (fig. 4-3).

PRINCIPLES OF MAIL CONTROL

Mail control is defined in the Navy as any procedure used to make a record of the receipt, location, or dispatch of mail. The definition includes logging or preparing other records to indicate receipt, providing signature for classified and registered mail if required, following up to ensure action, and providing information on location of the item.

The mail control form, already mentioned as a device for routing mail, is a combination of a mail log and a route sheet. It may also serve as a follow-up

record and cross-reference sheet. The routing is marked on the control form. Space is provided for the initials of addressees and for their comments or notes regarding action. The date of the letter and date of its receipt are included. In the cases of mail requiring action by a specific date, a follow-up date is added. Maintaining a tickler system for action correspondence is important. Whenever you use a control form, retain one of the copies so you know when the response is required to leave the command.

HANDLING OUTGOING MAIL

With outgoing mail, as with incoming, the same basic functions are performed afloat and ashore, but exactly how they are performed is governed by the needs of the activity.

Generally, the shipboard procedures are simpler, since a relatively small amount of mail is processed out and most of it is signed by the captain.

Department heads and their assistants frequently draft letters dealing with their departments, although many letters are prepared completely in the captain's office.

REVIEWING OUTGOING MAIL

The person in charge of the captain's office usually is responsible for reviewing all outbound correspondence before it is given to the captain for signature. Sometimes a letter may require review and approval by a number of persons before it is ready for signature. In this case, a routing slip may be used. Generally, persons whose approval is required indicate this approval by initialing the official file copy.

RECORDS OF OUTGOING MAIL

All outgoing mail classified Secret must be registered. Confidential material must be registered if it is to be sent outside the continental United States or to an FPO or APO address; otherwise, it may be sent via First-Class Mail or certified mail. Specific guidelines are contained in the *DON Information Security Program (ISP) Regulation* and chapter 8 of this course.

Once again, local practice may require that a log be maintained for all outgoing correspondence. However, this tends to be time-consuming and bulky. A well-kept file of outgoing correspondence should be sufficient for identification of when and where correspondence was sent.

DISPATCHING

After a letter is signed, it is date-stamped or -typed, serialized (if serial numbers are used), and given a final check for enclosures. The file and information copies are removed and appropriately filed and routed. The letter is now ready to go into its envelope and on its way. When a number of letters are addressed to the same activity, they should be sent in the same envelope.

MESSENGER SERVICE

Since shore activities are generally spread out, correspondence routing is usually handled through a messenger system, usually known as **guard mail** or **yard mail**. A messenger picks it up in the originating office and carries it to the next person listed on the envelope. The post office on base may have the facilities to deliver guard mail. Where different commands are located in the same geographical area, official correspondence can also be sent via this messenger system.

PROCESSING MESSAGE TRAFFIC

Messages are the quickest form of formal written communications in the Navy. Our telecommunications system is designed to get time-sensitive or critical information to addressees rapidly for the effective use of information. Complete procedures for processing naval messages are contained in NTP-3. The information provided in the next few paragraphs will aid in the processing of message traffic.

INCOMING MESSAGE TRAFFIC

With the automation of message traffic (use of computers), incoming message traffic has become quite simple. Messages received by the communications center for delivery to over-the-counter (OTC) command's will be stored on diskettes provided by each command. These diskettes will be placed in the command's message box for pickup. The messages are retrieved from the diskette at the command. The messages can either be run off on hard paper copy, or the diskette be passed from reader to reader. Passing the diskette from reader to reader will reduce the amount of paper accumulated by making hard copy messages and, thus, reduce the cost of message preparation.

OUTGOING MESSAGE TRAFFIC

Diskettes containing outgoing messages must be prepared according to the NTP-3 before delivery to the communications center for transmission. Customers are encouraged to use 3 1/2-inch floppy diskettes. Commands are required to affix a write-protect tab to each diskette and also to scan each one for computer viruses before delivery. Commands are responsible for ensuring all messages are properly formatted and delivered by authorized courier. All previously used diskettes must be cleared and reformatted before being reused for message storage.

SUMMARY

This chapter has given you basics on how to process correspondence and messages. You will become better at this as you gain knowledge and experience. However, it is always wise to refer to the references listed in this chapter. Remember: When in doubt, go to the manuals.

CHAPTER 5

CORRESPONDENCE/MESSAGE FILES AND DISPOSAL

As a Yeoman (YN), you must be able to file correspondence correctly and retrieve it quickly. The amount of time it takes you to locate a certain piece of correspondence will depend on how well you know the Navy filing system.

This chapter introduces you to the Navy way of filing, equipment commonly used by the YN, and various procedures that will help you perform your duties efficiently. The chapter then covers the numerical subject identification coding system. Finally, the records disposal system is discussed.

CENTRALIZED AND DECENTRALIZED FILES

Your command has two options in the manner it keeps incoming and outgoing correspondence readily available: centralized or decentralized files. Centralized filing, where all official copies of outgoing correspondence and the originals of incoming correspondence are maintained in the same office, is used by ships, small shore commands, or commands with a minimal amount of correspondence. A decentralized system, where the originals and official copies are maintained at the departmental level, is appropriate when there is considerable correspondence routed directly to a department or division having responsibility over a specific subject. Larger shore commands, Navy Department offices or bureaus, or activities where offices are widely separated use the decentralized system.

In either system, control and responsibility are assigned to one or two YNs. In a central file, all operations and control are under one person's immediate supervision. In a decentralized system, a supervisor makes sure that uniform filing practices are followed in each file location. Whichever system is used, files should not be duplicated. There should be only **one** official file.

FILE EQUIPMENT

Whether ashore or aboard ship, the equipment you use is standardized. The following paragraphs give you general knowledge of the types of filing equipment used throughout the Navy.

CABINETS

The types and sizes of file cabinets vary to accommodate the size of the material filed. Since materials should be filed without folding, the size of the cabinet is determined by the size of the individual sheets, cards, or other records to be filed.

Four- or five-drawer, steel, letter-size cabinets are the Navy standard for active correspondence and documents. The Navy standard correspondence size is 8 1/2 by 11 inches, and file cabinets available through the supply system are designed to accommodate this size. Specialized file cabinets are available for larger sized documents, such as drawings, charts, or legal-sized documents.

Each file drawer is equipped with an adjustable backstop, called a compressor. By adjusting the position of the compressor, your files are kept in an upright and orderly position when a file drawer is only partially filled.

CARD FILES

In addition to regular filing cabinets, files of appropriate size are used for filing various size cards. The standard sizes used are 3 by 5 inches and 5 by 8 inches. Equipment for filing cards ranges from single desk-top boxes to multidrawer and sectioned floor cabinets.

VISIBLE FILES

Visible files of various sizes and types are common in certain offices. This type of file is arranged so that the data contained can be seen and read with minimum handling. Examples of some of these files are shown in figure 5-1.

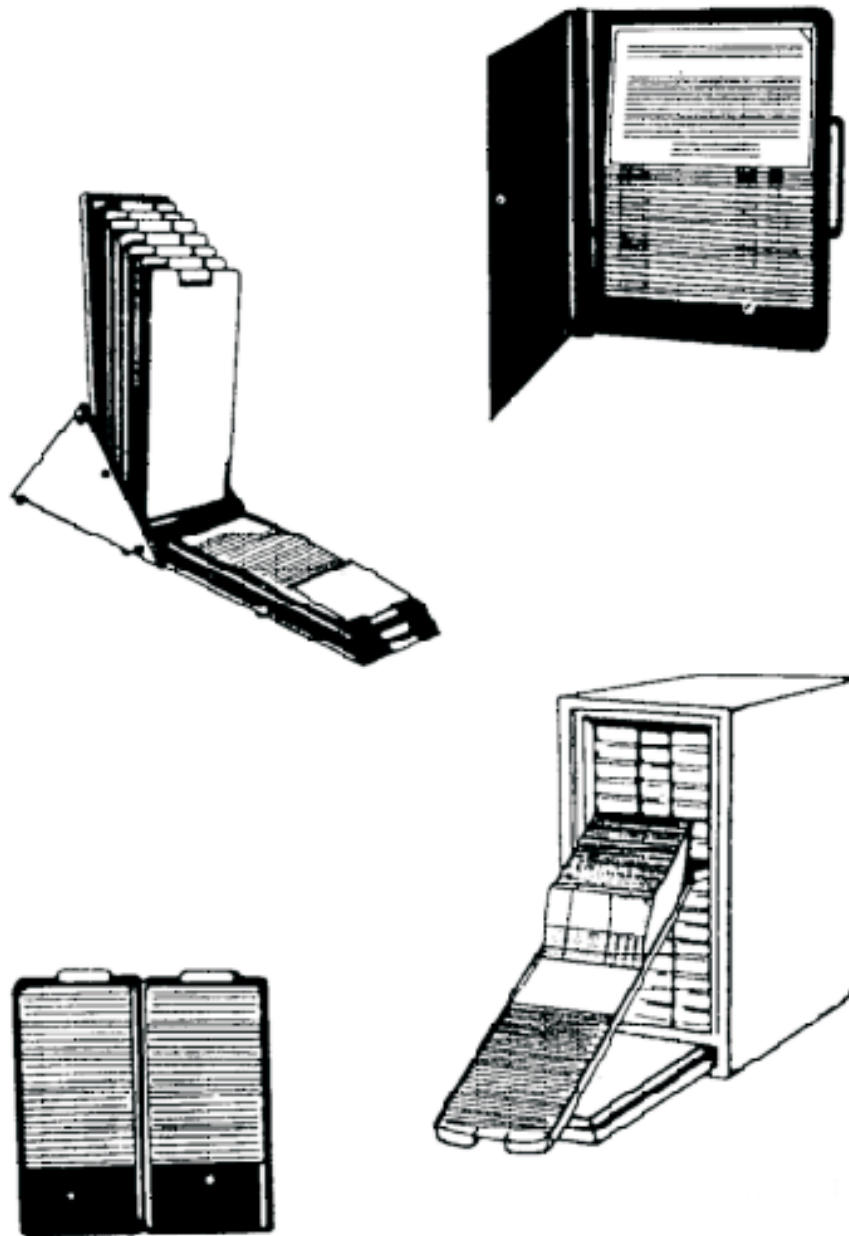


Figure 5-1.—Examples of visible files.

FILE FOLDERS

Standard file folders are used to keep your correspondence orderly. They are available in two sizes: letter, 9 by 11 3/4 inches; and legal, 9 by 14 3/4 inches. Each folder has an area for labeling that extends above any filed material. The area may run the entire length of the folder, known as straight cut, or may be cut in one of three positions; left, center, or right, known as one-third cut. Straight-cut folders are used, generally, when the files are thick enough to make sure the labels of adjacent folders are easily seen. One-third cut folders space the labels across the drawer so that the folder in front of it will not hide a label. Figure 5-2 shows files that are one-third cut tabs.

SECURITY FILES

The *Department of the Navy (DON) Information and Security Program (ISP) Regulation, SECNAVINST 5510.36 series*, defines the security requirements for file cabinets that contain classified material. These requirements will be discussed in chapter 8 of this NRTC.

STANDARD SUBJECT IDENTIFICATION CODES

The *Department of the Navy Standard Subject Identification Codes (SSIC), SECNAVINST 5210.11*

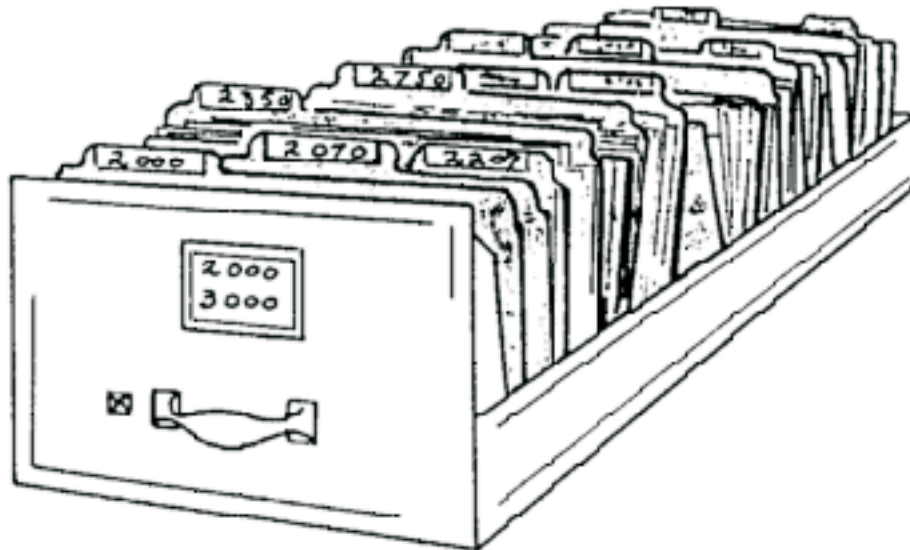


Figure 5-2.—File drawer showing folders and tab positions.

series, contains the numerical codes that provide the basic classification structure for identifying and filing records. These codes cover most subjects found in general correspondence and other files. Since these numbers are used for numbering other naval documents (such as reports, forms, and directives) by subject category, they also provide the basis for a single Navywide subject numbering system.

NUMERICAL SUBJECT GROUPS

There are 14 major numerical subject groups, called series, using groups of thousands. They are as follows:

- 1000 Military Personnel
- 2000 Telecommunications
- 3000 Operations and Readiness
- 4000 Logistics
- 5000 General Administration and Management
- 6000 Medicine and Dentistry
- 7000 Financial Management
- 8000 Ordnance Material
- 9000 Ships Design and Material
- 10000 General Material
- 11000 Facilities and Activities Ashore
- 12000 Civilian Personnel
- 13000 Aeronautical and Astronautical Material
- 16000 Coast Guard Mission

Within the major groups are subdivisions using the second, third, and sometimes fourth digit. For example:

- 5000 General Administration and Management
- 5200 Management Programs and Techniques
- 5210 Office Methods and Paper Work Management
- 5211 Files and Records Systems

or,

- 5300 Manpower/Personnel

or,

- 5400 Organization, Functions, Status, and so on.

ASSIGNING THE RIGHT SSIC

Assigning the right SSIC is the most important filing operation because it determines where the document will be placed in the files. A properly assigned SSIC can be readily identified and found when needed. Read the document carefully, analyze it, and then select the SSIC that most closely matches the subject. Consider the following:

- The most important, definite, or concrete subject mentioned
- The purpose or general significance of the document

- The manner in which similar documents are asked for
- The SSIC under which previous documents of a similar nature are filed

Be specific when you assign the SSIC. Some of the smaller subject groups are not subdivided beyond the first breakdown, while larger groups may be broken down to a second or third level, as in the example.

CROSS-REFERENCING MATERIAL

Most official correspondence, reports, or other material only need to be filed under one SSIC. There are times, however, when more than one code will apply to the contents of the correspondence. In these cases, a system of cross-referencing is desirable to permit you to locate the document quickly. Instances in which the cross-referencing may be needed would include the following:

- When a document has more than one subject
- When the subject may be interpreted more than one way
- When two or more other subject codes are used within the document
- When any enclosures are separated from the basic correspondence

By inserting a cross-reference sheet in each of the files where the document could be kept, you will know by glancing at the entry alongside the filed heading where the original document is located.

For cross-referencing, use a plain sheet of paper and include the following information:

1. Date of document
2. Index number (SSIC/serial number), if available
3. Addressee
4. Originator
5. Summary of document
6. Cross-file location (SSIC)
7. Initials of person filing/indexing
8. Any applicable remarks

Alternatively, you can sanitize the original correspondence by covering the body of the letter (leaving only the upper portion of the document visible) for copying. The sanitized copy can then be used as the cross-reference sheet. If the cross-referenced

document is supportive of more than one other document, include information (by typing or placing a label directly) on the cross-reference sheet identifying the secondary document and its location. Figure 5-3 shows an example of a document sanitized for cross-referencing.

Include a copy of the cross-reference sheet with the original document to show that the document has been cross-referenced and to what file(s).

OFFICIAL FILING METHODS

Documents are inserted loosely into the file folder in SSIC order. The loose filing saves time and effort when new material is inserted or documents are returned to the file after they have been removed.

Material that cannot be folded to fit neatly into a file folder should be filed separately in a suitably sized container. The location of the removed material must then be noted on the basic document or on a cross-reference sheet maintained in the regular file.

REMOVING FILE MATERIAL

Any material removed from a file must be accounted for, and the identity of the person holding it must be recorded. This comes in very handy when the commanding officer asks for a specific piece of correspondence and wants it **now**.

The Chargeout Record, Optional Form 23, shown in figure 5-4, is available for this purpose. The identification of the material removed, the name and location of the person borrowing it, and the date it is borrowed are entered on the form. The form then replaces the document in the file folder.

You should make periodic checks of the chargeout records you have in your files to make sure no documents have been out for an unreasonable period of time. This check may help avoid loss or misplacement if the borrower should forget to return the document after it is no longer needed.

ESTABLISHMENT OF FILES

Each year, every command closes out the files of the previous year: so a new set should be set up at that time. There is nothing difficult about this task, but some thought should be given to the process.

The importance of having files is already well established. The accuracy of the filing system and the ease in retrieving information are just as important.

DEPARTMENT OF THE NAVY
NAVAL AIR STATION
PENSACOLA, FL 32508

5216
Ser 11/352
3 Jun 00

From: Commanding Officer, Naval Air Station, Pensacola
To: Commander in Chief, U.S. Atlantic Fleet
Via: (1) Commander, Sea Based ASW Wings, Atlantic
(2) Commander, Naval Air Force, U.S. Atlantic Fleet

Subj: HOW TO PREPARE ENDORSEMENTS

Encl: (1) Orientation Schedule for Newcomers

CROSS-REFERENCED DOCUMENT:
SEE 7500
[OR] SEE 7500, Ser 09/004 of 15 May 00*

** If cross-referenced document is supportive of more than one other document, include identifying data of the other documents it references.*

Figure 5-3.—Sanitized cross-referenced document.

The administration of a command is an ongoing process that requires easy access to previous correspondence either received or sent out. Without efficiently managed files, time is lost and the command's overall effectiveness can be affected.

When starting up a new year's files, always take a look at last year's files. Where was the most information contained? Which SSIC files were really bulky, and which contained only a few pieces of paper? Use this review to prepare your new folders. Some SSIC groups could be broken down further to make them quicker to find. Some groups could be combined in the same folder to save space. If you are setting up the files for a brand new command, keep in mind the basic mission of your command. If your command has a basically logistic mission, those subject groups will probably be used the most. Likewise, it could be ordnance-related, operations-related, or personnel-related, so those groups will see more use.

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 denotes the hours, and the third pair the minutes, followed by a capitalized letter that indicates the 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 MAY 01

Separate message files are maintained for incoming and outgoing messages, with the most recent message on top. Separate files are also maintained for general messages such as ALNAV (All Navy) and NAVOPS (Navy Operations). They are normally filed

The term **appropriate for preservation** gives you a good rule of thumb as to whether or not an item needs to be destroyed.

WHAT GOVERNS DISPOSAL

The United States Criminal Code provides penalties for unlawful removal or destruction of federal records. The Records Disposal Act of 1943 established the means to obtain legal authority for destruction of unneeded government records. Authority for general procedures pertaining to disposal of federal government records rests with the National Archives, a part of the General Services Administration.

Specifically pertaining to Navy members is *Navy Regulations*, 1990, Article 1127, which provides that no person without proper authority may withdraw official records or destroy them.

AUTHORITY FOR DISPOSAL

The *Records Disposition Manual* provides the authority for disposal of naval records, including naval correspondence, accumulated by naval activities ashore and afloat.

DISPOSAL RESPONSIBILITY

The individual responsible for custody of official records at your activity has the additional responsibility of making sure that official files are disposed of according to the appropriate disposal standard. Your job is to assist the responsible person in making sure that your records are complete and that the proper standards from the *Records Disposition Manual* are applied.

METHODS OF DISPOSAL

The two official methods of disposal are local **destruction** or **transfer** to the nearest FRC. The types of records transferred to the center are those designated in the *Records Disposition Manual* for which you can find no disposal authority (after they have served the needs of your activity), and any inactive record of any age or type, when it is determined that savings can be realized by the transfer and the records are no longer required for local operating purposes.

Destruction

Most unclassified records are destroyed locally at the end of their retention periods. Classified material must be destroyed by burning or other authorized method. 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 the word content, or a clause is inserted in the contract prohibiting the resale or use of the records or documents.

Transfer

Few records are actually transferred for preservation. Those records that have a retention value are transferred to the nearest FRC. An up-to-date listing of FRCs is contained in the *Records Disposition Manual*.

Appendix C of the *Records Disposition Manual* outlines the procedures for transferring records. A Records Transmittal and Receipt, SF-135, shown in figure 5-5, is used to forward retention material to an FRC. The FRC returns a copy to you acknowledging receipt.

Preservation

Indefinite or permanent retention of official records is known as preservation. This does not include locally retained records, but does include all official records retained at an authorized FRC.

REVIEWING

Using the *Records Disposition Manual* as your guide, you will be able to alert the person having responsibility for the files as to the proper procedure for disposing of them. One way to keep ahead of this process is to have a label placed on the file that lists the date the file was originated, how long you need to retain it locally, and what disposition action is required. This helps to ensure that records are disposed of at the correct time and in the proper manner.

Transfers

Records designated in the disposal instructions for transfer to an FRC should be forwarded as scheduled, or earlier. Records for which you cannot find a disposal authority are transferred when they are of no further value to your activity. A word of caution: Even though

| RECORDS TRANSMITTAL AND RECEIPT | | Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on | | | PAGE 1 | OF | PAGES | | | | |
|--|--|--|-------------------|--|-------------|---|---------------|------------------------------|--------------------------------|----------------------------------|----------------------------------|
| 1. TO <small>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)</small> | | | | 5. FROM <small>(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)</small> | | | | | | | |
| Federal Records Center | | | | | | | | | | | |
| 2. AGENCY TRANSFER AUTHORIZATION | TRANSFERRING AGENCY OFFICIAL <small>(Signature and title)</small> | DATE | | | | | | | | | |
| 3. AGENCY CONTACT | TRANSFERRING AGENCY LIAISON OFFICIAL <small>(Name, office and telephone no.)</small> | | | | | | | | | | |
| 4. RECORDS CENTER RECEIPT | RECORDS RECEIVED BY <small>(Signature and title)</small> | DATE | | | | | | | | | |
| RECORDS DATA | | | | | | | | | | | |
| ACCESSION NUMBER | | VOLUME <small>(cu. ft.)</small> | AGENCY BOX NUMBER | SERIES DESCRIPTION <small>(With inclusive dates of records)</small> | RESTRICTION | DISPOSAL AUTHORITY <small>(Schedule and item number)</small> | DISPOSAL DATE | COMPLETED BY RECORDS CENTER | | | |
| RG <small>(a)</small> | FY <small>(b)</small> | | | | | | | NUMBER <small>(c)</small> | LOCATION <small>(j)</small> | SHELF PLAN <small>(k)</small> | CONT. TYPE <small>(l)</small> |
| | | | | | | | | | | | |

Figure 5-5.—Records Transmittal and Receipt, Standard Form 135.

a disposal date may have passed, do not dispose of material on which action is pending.

Destruction

Federal law makes it mandatory that, except in special cases, records scheduled for destruction must be destroyed. This doesn't mean, however, that each and every item must be disposed of on the precise day authorized for destruction. Individual commands may set up any sort of destruction schedule they wish, such as once every 3 months, semiannually, or annually as convenient. As long as the records do not take up valuable space over long periods of time, they may be destroyed to fit your schedule.

WHERE AND HOW TO SHIP

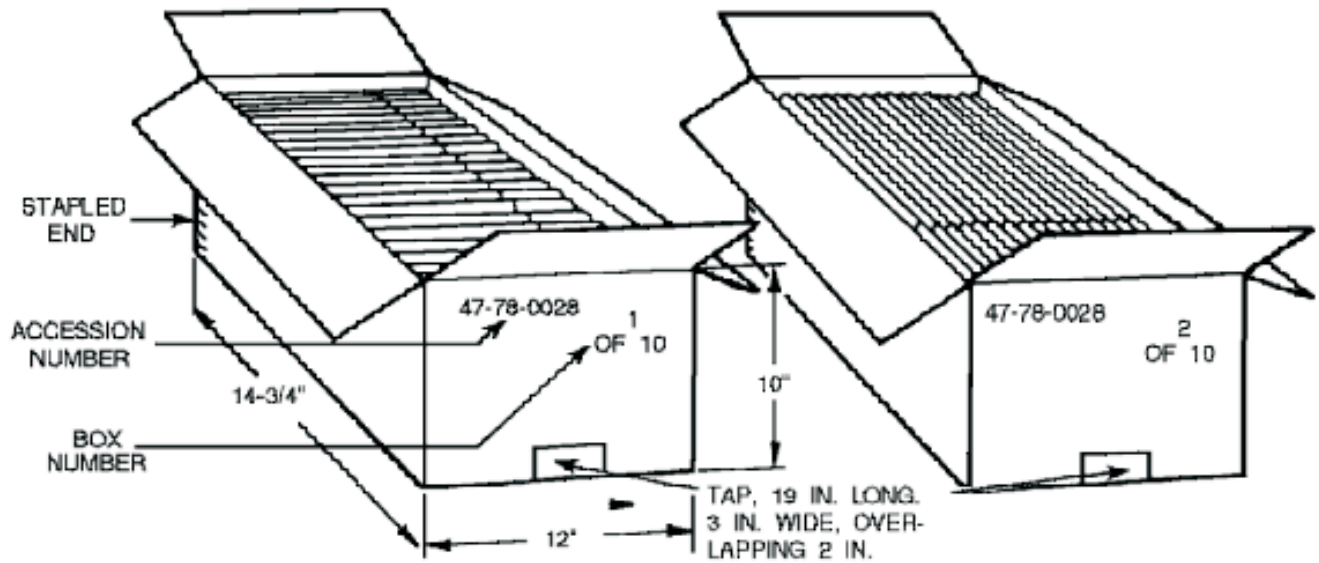
Certain specialized record categories are centralized at certain centers for convenience of administration and reference. Records centralized like this are listed in the *Records Disposition Manual*. Nondesignated records go to the appropriate FRC listed in appendix C of the manual.

Records are packed in their original file arrangement in standard-sized cartons. (See figure 5-6.) Each

carton holds approximately 1 cubic foot of material. Letter-size documents are packed on the 12-inch side of the carton; legal-size documents are packed on the long side. Odd-size items that will not fit in the standard box may be shipped in any appropriately sized container. Shipments of less than 1 cubic foot may be sent in envelopes or small packages. Mark the box or packages according to the guidelines contained in appendix C of the *Records Disposition Manual*.

ACCESS TO FILES TRANSFERRED TO AN FRC

You can request reference service by enclosing a Reference Request—Federal Records Center, Optional Form 11 (fig. 5-7), with a letter or memorandum. Include in the request the name of the naval activity; the name, location, and telephone number of the person for whom the request is being made; a full description of the information or records needed; and the box number, the FRC location number, and the accession number that can be found on the SF-135 returned to you by the FRC.



LETTER-SIZE DOCUMENTATION

LEGAL-SIZE DOCUMENTATION

GENVMD09

Figure 5-6.—Packing records for shipment.

| REFERENCE REQUEST - FEDERAL RECORDS CENTERS | | NOTE: Use a separate form for each request. | |
|---|--|---|---------------------------------|
| SECTION I - TO BE COMPLETED BY REQUESTING AGENCY | | | |
| ACCESSION NO. | AGENCY BOX NUMBER | RECORDS CENTER LOCATION NUMBER | |
| | OF | | |
| DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED | | | |
| <input type="checkbox"/> BOX | | | |
| <input type="checkbox"/> FOLDER (include file number and title) | | | |
| REMARKS | | | |
| | | | |
| NATURE OF SERVICE | | | |
| <input type="checkbox"/> FURNISHED COPY OF RECORD(S) ONLY | <input type="checkbox"/> PERMANENT WITHDRAWAL | <input type="checkbox"/> TEMPORARY LOAN OF RECORD(S) | <input type="checkbox"/> REVIEW |
| | | <input type="checkbox"/> OTHER (Specify) | |
| SECTION II--FOR USE BY RECORDS CENTER | | | |
| <input type="checkbox"/> RECORDS NOT IN CENTER CUSTODY | <input type="checkbox"/> RECORDS DESTROYED | REMARKS | |
| <input type="checkbox"/> WRONG ACCESSION NUMBER - PLEASE RECHECK | <div style="font-size: 2em; opacity: 0.5; text-align: center;">SAMPLE ONLY</div> | | |
| <input type="checkbox"/> WRONG BOX NUMBER - PLEASE RECHECK | | | |
| <input type="checkbox"/> WRONG CENTER LOCATION - PLEASE RECHECK | | | |
| <input type="checkbox"/> ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED | | | |
| <input type="checkbox"/> MISSING (Neither record(s), information nor charge card found in container(s) specified) | | | |
| <input type="checkbox"/> RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date): | | | |
| | DATE | SERVICE | TIME REQUIRED |
| | | | SEARCHER'S INITIALS |
| SECTION III--FOR USE BY RECORDS CENTER | | | |
| NAME OF REQUESTER | TELEPHONE NO. <input type="checkbox"/> FTS | DATE | |
| | | RECEIPT OF RECORDS | |
| NAME AND ADDRESS OF AGENCY <i>(Include street address, building, room no., and ZIP Code)</i> | | Requester please sign, date and return this form, for file item(s) listed above, <i>ONLY</i> if the block to right has been checked by the Records Center. <input type="checkbox"/> | |
| <div style="text-align: right;"> </div> | | SIGNATURE | DATE |
| | | <small>NSN 7540-00-682-6423 PREVIOUS EDITION USABLE OPTIONAL FORM 11 (Rev. 7-87) NATIONAL ARCHIVES AND RECORDS ADMINISTRATION 36 CFR 1228.162</small> | |

Figure 5-7.—Reference Request—Federal Records Center, Optional Form 11.

SUMMARY

Each office you work in will have its own unique aspects. The leadership and management style of your supervisor, the area of responsibility of the department or division, and the type of equipment available will have an

effect on filing. But, throughout the Navy, the basic functions of filing, classifying, coding, and cross-referencing remain constant. **Learn** the SSIC codes and **understand** the Navy filing system. You will then be able to fit into any office and perform effectively as a YN.

CHAPTER 6

DIRECTIVES ISSUANCE SYSTEM

The Department of the Navy Directives Issuance System, SECNAVINST 5215.1 series, provides the method of issuing directives for all activities in the Navy. According to this instruction, a directive prescribes or establishes policy, organization, conduct, methods, or procedures; requires action or sets forth information essential to the effective administration or operation of activities concerned; or contains authority or information that must be issued formally.

This chapter gives you information about the directives issuance system. You will be dealing with the directives issuance system on a daily basis in your work. Become familiar with it; it will pay handsome rewards.

DIRECTIVES ISSUANCE TERMS

The following terms and their definitions will help you understand the material in this chapter.

DIRECTIVE. An instruction, notice, or change transmittal. It prescribes or establishes policy, organization, conduct, methods, or procedures; requires action or sets forth information essential to the effective administration or operation of activities; or contains authority or information that must be passed formally. The types of directives used in the Directives Issuance System are instructions, notices, and change transmittals.

INSTRUCTION. A directive containing authority or information having continuing reference value or requiring continuing action. It remains in effect until superseded or otherwise cancelled by the originator or higher authority.

NOTICE. A directive, effective for one time only or for a brief period, that has the same force and effect as an instruction. Usually, it will remain in effect for less than 6 months, but is not permitted to remain in effect for longer than 1 year. Any requirement for continuing action contained in a notice, such as the submission of a report, use of a form, or following a specified procedure, is considered to be cancelled when the notice is cancelled, unless the requirement is incorporated into another suitable document. A notice has a self-cancelling provision. The cancellation date

is always stated. When the exact length of time a notice is to remain in effect cannot be determined at the time of issuance, the specific date for record purposes is set far enough in the future to allow all necessary use of the notice. Cancellation determinations are indicated at the top-right corner (Canc frp:) or as the last paragraph preceded by the words **Cancellation Contingency**.

CHANGE TRANSMITTAL. The medium used to transmit changes to an instruction or, under extenuating circumstances, a notice. Each transmittal describes the nature of the changes it transmits and gives directions for making them.

CHECKLIST. A numerical list of effective instructions. This list is used to verify the completeness and accuracy of a master set of instructions.

CROSS-REFERENCE SHEET. A sheet distributed with a directive, and filed in the directives binder, to assist users in locating the directive when filed separately.

DISTRIBUTION LIST. A list of action and information addressees of a directive.

ISSUING AUTHORITY. The chief official of an activity, command, or independent component, by whose authority and under whose title a directive is issued.

JOINT DIRECTIVE. A directive issued jointly by one authority in conjunction with one or more other authorities.

LETTER-TYPE DIRECTIVE. An instruction or notice prepared in a format similar to that of a naval letter.

MESSAGE-TYPE DIRECTIVE. A directive transmitted via the Naval Telecommunications System.

PAGE CHANGE. An additional or replacement page for an instruction or notice, transmitted under cover of a change transmittal, for insertion by recipients.

PEN CHANGE. A change, usually short, that is entered in the basic document in handwriting by the

recipient. Directions should state precisely where the change occurs.

PREPARING AUTHORITY. The chief official of a command, activity, or component who has initiated the task of preparing a directive.

PUBLICATION-TYPE DIRECTIVE. An instruction or notice whose content is best suited to a publication format, such as parts, chapters, or sections. It carries the same subject number as the assigned transmittal and does not carry a separate publication number.

REVISION. A reissuance of an existing instruction in completely rewritten form.

SPECIAL DISTRIBUTION LIST. A list of addressees, compiled by an issuing authority to meet his or her special recurring needs, when use of the *Standard Navy Distribution List* (SNDL) would be impractical.

WEEKLY TRANSMITTAL SHEET. The means by which the Navy Publications and Printing Service makes initial distribution of directives addressed to all ships and stations.

ALL SHIPS AND STATIONS. The **To** line of a directive to be included in a special distribution system from specified organizations in the Washington, D.C., area to all or most of the components of the Department of the Navy listed in the SNDL.

ADMINISTRATION AND MAINTENANCE

The Chief of Naval Operations administers the Directives Issuance System and provides for possible improvements and changes to the system.

ISSUING AUTHORITY

The issuing authority (the official by whose authority and under whose title a directive is issued) ensures compliance with the Directives Issuance System. This official also issues internal procedures necessary for administering the system.

An issuing authority ensures that directives are issued to adequately document programs, functions, organizations, policies, and procedures for which he or she is responsible. This official ensures directives conform to Department of the Navy policies and regulations and to statutory and other requirements, without policy or procedural gaps or overlaps.

The issuing authority conducts at least an annual review, to ensure the system's requirements and standards are being met. This official also ensures a review of all effective directives the organization has issued to determine those which need to be cancelled, updated, revised, or consolidated. One method is to review instructions on their respective anniversary dates, thus spreading the workload over the year.

The issuing authority ensures personnel responsible for drafting, producing, reviewing, and maintaining directives receive training as needed.

If practical, when the official name of an activity is changed or when activities are consolidated or split, the issuing authority issues a conversion table showing the old and new identifications of directives. This official also ensures the automatic distribution of applicable directives to a newly established activity or an activity moved from one command chain to another.

DIRECTIVES CONTROL POINT

Each command has a directives control point that continuously analyzes directives, evaluates the system's operations within the individual organization, and makes recommendations for improvements when appropriate. The directives control point is usually the ship's secretary aboard ship and the administrative officer at a shore activity.

Before it is signed, each directive is reviewed for compliance with directives standards, including preparation for proper signature, clearances, format, identification, security requirements, editorial standards, subject numbers, and references. The directives control point ascertains currency, need, completeness, and possible overlap of or conflict with other directives. The control point assigns consecutive numbers to new instructions after signature and ensures dating before issuance.

Another function of the directives control point is to review the proposed distribution of each directive to ensure distribution is selectively appropriate and accurate. This review allows the control point to prevent overdistribution or underdistribution of directives. The control point arranges for reproduction, distribution, and stocking of directives. The directives control point maintains, in standard three-ring or post binders, a master up-to-date set of all incoming and outgoing directives, including a copy of each message directive. For classified directives, the control point maintains locator cross-reference sheets. Publication-type directives are filed elsewhere. The

directives control point also reviews checklists to ensure the currency of directives addressed to the organization. A ship's directives control point obtains a complete set of all applicable directives upon the activation or commissioning of the ship.

The directives control point issues annual numerical checklists, quarterly additions and deletions, and annual alphabetical subject indexes of currently effective instructions the organization has issued. The Document Automation and Production Service (DAPS) provides this service to Washington headquarters organizations, except Headquarters Marine Corps.

OFFICIAL CASE FILES

Each issuing authority maintains official directives case files for directives issued. The files are arranged numerically by the standard subject identification code (SSIC) assigned the directives and filed as a separate series, apart from other files. Each case folder includes the following:

- The official copy of the basic directive containing clearance initials or names and the original or copy containing the actual signature or other authentication.
- The official file copy or signature copy or other designated official copy, of any change, cancellation, cross-reference sheet, or revision of the basic directive.
- Any reproduced (distribution) copy of the basic directive and any change, cancellation, cross-reference sheet, or revision of the basic directive. Ships and small activities may dispense with this requirement, if approved by local authority.
- Supporting and other pertinent documents, including those containing concurrence, nonconcurrence, approval, and significant comment.

FILING DIRECTIVES

Instructions normally are filed according to (1) SSIC, (2) consecutive number, and (3) issuing authority. Checklists of directives issued by Washington headquarters organizations are organized in this manner. If local conditions require, however, directives may be filed primarily by issuing authority or by a combination of SSIC and issuing authority.

Alphabetic prefixes (C and S, indicating security classification) to the subject designation are disregarded in determining the numerical filing sequence.

Because of their brief duration, notices ordinarily need not be filed in the master file. If they need to be interfiled 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.

Cross-reference sheets for instructions permanently or temporarily removed from your office are interfiled with instructions. Locator sheets are inserted in normal sequence, in place of the instructions they reference. A subject cross-reference sheet is placed in front of those instructions that carry the same SSIC. A second copy of the cross-reference sheet should be placed in a suspense file for instructions temporarily loaned out. An instruction should usually be returned within 5 days.

When copies of directives are needed to complete a record or to support or further document a specific action, they may be filed in the activity's general subject files, pertinent case files (such as contract case files), or other appropriate correspondence files.

ENTERING CHANGES

Proper notations, such as "Ch-1" for change 1, are entered in the upper-right margin of the first page of each directive changed. For publication-type instructions, notations are entered on the record-of-changes sheet to indicate changes received and incorporated.

REQUISITIONING DIRECTIVES

Required additional or replacement copies of directives, excluding notices, are requisitioned from the stocking point shown on each directive. More recently, commands have been able to requisition directives via electronic means.

DISPOSITION OF DIRECTIVES

Each activity maintains the directives it receives only during the period of their effectiveness. Cancelled directives, regardless of classification, are destroyed by recipients without notification to the originating office.

An activity maintains its official directives case files for the same period it maintains its official correspondence files. It disposes of them in the same manner.

PREPARATION OF DIRECTIVES

The *Directives Issuance System Manual*, SECNAVINST 5215.1 series, contains complete directions for the preparation of instructions and notices. Figures 6-1 through 6-6 present the standard format for directives and cross-reference sheets.

SUMMARY

This chapter has given you information that covers the whole spectrum of the Directives Issuance System. By knowing and understanding the contents of this chapter, you can find any procedure and do any job you are given. Other chapters in this manual will teach you how to do other specific jobs and give more detailed information on certain aspects of the YN rating. This chapter will prepare you to perform well in your present job as well as in other jobs throughout your career.

| | |
|---|--|
| DEPARTMENT OF THE NAVY Chief of Naval Education and Training 250 Dallas Street Pensacola, Florida 32508-5220 | |
| | CNETINST 1500.1B N162 10 Jun 01 |
| <u>CNET INSTRUCTION 1500.1B</u> | |
| Subj: | GENERAL MILITARY TRAINING |
| Ref: | (a) OPNAVINST 1500.22C (b) CNETINST 1540.36 (c) CNETINST 1540.8C |
| Encl: | (1) Military Training Topics List |
| 1. | <u>Purpose</u> . To provide a military training program in accordance with references (a) through (c) for all personnel attending preparatory schools. |
| 2. | <u>Cancellation</u> . CNETINST 1500.15A. |
| 3. | <u>Background</u> . Navy enlisted personnel receive initial military training and indoctrination during recruit training. It is necessary . . . |
| 4. | <u>Action</u> . |
| | a. Commanding officers will conduct a program of military training in compliance with this instruction . . . |
| | b. Enclosure (1) provides a list of GMT topics considered appropriate for inclusion in an A or C School . . . |

Figure 6-1.—Sample instruction.

CNETINST 1500.15B

10 Jun 01

c. Commanding officers may include, as required, additional topics from reference (a), or other topics . . .

d. A desirable level of GMT instruction is an average of 4 hours per week for students attending courses.

e. Activities are authorized to include GMT in the course master schedules, not to exceed the limits established . . .

P. T. BOAT

Distribution:

CNETINST 5216.2V

List I, Case 2 (less A, E, FF, and GG)

List V

Copy to:

FT1

Stocked:

Supply Department

Naval Air Station, Pensacola

123 Front Street

Pensacola, FL 32508-0000

Figure 6-2.—Sample continuation page of an instruction.

**DEPARTMENT OF THE NAVY
Naval Education and Training
Professional Development and Technology Center
6490 Saufley Field Road
Pensacola, Florida 32509-5237**

Canc frp: JUN01

NETPDTCNOTE 5000
Code 10
10 Jun 01

NETPDTC NOTICE 5000

From: Commanding Officer

Subj: TYPING OF NAVAL NOTICE

Ref: (a) SECNAVINST 5215.1C

Encl: (1) Example of a typed naval notice

1. Purpose. This paragraph will state the reason for issuing the notice. In this case, the purpose will be to acquaint you with the correct format for typing a naval notice.
2. Background. This paragraph will provide you with helpful information so that you may better understand the notice. In this instance, you are to use reference (a) for further information about proper format when typing a naval notice.
3. Action. This paragraph normally states what action the addressee must take. For this example no action is required.
4. Cancellation Contingency. This paragraph will tell you what will cause the cancellation of the notice. Usually, completion of actions assigned is in previous paragraphs.

P. T. BOAT

Figure 6-3.—Sample notice.

**DEPARTMENT OF THE NAVY
Office of the Secretary
Washington, DC 20350-1000**

SECNAVINST 5216.5C CH-2
PERS-09B
10 Jun 01

SECNAV INSTRUCTION 5216.5C CHANGE TRANSMITTAL 2

From: Secretary of the Navy
To: All Ships and Stations

Subj: DEPARTMENT OF THE NAVY CORRESPONDENCE MANUAL

Encl: (1) List of Effective Pages for SECNAVINST 5216.5C
(2) Revised Page 2-2

1. Purpose. To promulgate Change 2 to subject manual.

2. Action.

a. Make the following pen change to subject manual:

Page 1-3, top of the page, delete entire line reading "Note: See paragraphs 7, 8, and 9. . . sender's symbols."

b. Insert Enclosures (1) and (2) in place of existing pages.

P. T. BOAT
By direction

Figure 6-4.—Sample change transmittal.

LOCATOR CROSS-REFERENCE SHEET

OPNAVINST 5510-1H
10 JUN 01

Subj: DEPARTMENT OF THE NAVY INFORMATION AND PERSONNEL SECURITY
PROGRAM REGULATION

This directive is not filed in these directive binders, but may be found at the following location(s):

Figure 6-5.—Sample locator cross-reference sheet.

SUBJECT CROSS-REFERENCE SHEET

BUPERS 1001

See: BUPERSINST 1750.10A OF 7 JUL 99, IDENTIFICATION CARDS FOR MEMBERS OF
THE UNIFORMED SERVICES, THEIR FAMILY MEMBERS, AND OTHER ELIGIBLE
PERSONNEL

*(Include a brief summary of content of the directive here if the subject is not sufficiently
descriptive.)*

Figure 6-6.—Sample subject cross-reference sheet.

CHAPTER 7

REPORTS AND FORMS MANAGEMENT PROGRAMS

Reports control is a management tool designed to ensure 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*, SECNAVINST 5214.2 series. This instruction gives direction for an effective reports management program.

REPORTS MANAGEMENT PROGRAM

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 YN as reports control point supervisor. As a YN2, you may be that senior YN. A reports manager is responsible for the following tasks:

- Reviewing reports for conformance with reporting standards
- Approving reports by assigning report control symbols (RCSs) or citing exemption authority
- Conducting periodic reviews of individual reports
- Maintaining management data on reports required and prepared by the organization

FOLLOW-UP PROCEDURES

Reports should be reviewed before their expiration to determine if they continue to meet requirements efficiently. The report originator performs this review 60 days before the third anniversary of the issuance date. The report must include complete justification

of the requirement. Reports not approved for extension are **automatically cancelled** on the third anniversary date and should be omitted from any subsequent effective reports listing.

REPORTS CANCELLATION/ REVALIDATION PROCEDURES

If an information requirement is to be cancelled, a change transmittal to the existing directive canceling the requirement should be prepared. If the information requirement remains valid, a revised directive or change transmittal should be submitted within 60 days of the expiration date. The revised directive or change transmittal should explain the revalidation and extend the approval period for a maximum of an additional 3 years.

REPORTS ANALYSIS

The construction of report items should obtain all information needed. Each item must satisfy a current need or known future requirement. The collection of information to meet some possible future need is not justified. The recipient of the report must use each reported item of information. Negative reports should be required only when they serve an established objective.

Arrangement of Report Items

Report data items should be arranged in a logical format that allows the preparing organization to complete the report easily.

Source of Information for Report Items

Information for report items should be obtained from the organization that can furnish precise, usable information in the easiest way.

Controlling Copy Distribution

Distribution of completed reports is based on a "need-to-act" or "need-to-know" basis. Distribution of courtesy copies is prohibited.

Timing Submissions

The submission of reports is based on the following timing and frequency requirements:

MINIMUM FREQUENCY. The maximum time possible between submissions.

AS-REQUIRED REPORTS. Information available and furnished on request.

SITUATION REPORTS. Information required on the occurrence of an event or situation or a change in condition.

REALISTIC DUE DATES. Sufficient time allowed for adequate compilation between the end of the period covered and the due date.

DEFINITIONS

Various reports are required to provide information about distribution, training, promotion planning, statistical purposes, and so forth. The following are definitions of the various reports used to provide such information:

REPORT. A collection of data or information used to determine policy; to plan, control, and evaluate operations and performance; to make administrative determinations; or to prepare other reports. The data or information may be prepared or transmitted by any method; for example, it may be a narrative, statistical, or graphic report prepared on magnetic tape or any other media.

AS-REQUIRED REPORT. Information collected, stored, retrieved, and submitted when requested.

STATUS REPORT. An interim report explaining the amount of work completed or to be completed on an established report.

SURVEY or PERSONNEL SURVEY. 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.

ONE-TIME REPORT. A report prepared only once. One-time reports should be assigned a report control symbol according to the standard subject identification code (SSIC) using the letters **OT** as the suffix.

RECURRING REPORT. A report that conveys essentially the same type of information at prescribed intervals.

SITUATION REPORT. Reports prepared upon occurrence of a specified event.

INFORMATION REQUIREMENT. The expression of need for data or information to carry out specified and authorized functions. These functions require the establishment or maintenance of forms, formats, or reporting or record keeping systems, whether manual or automated.

REPORT CONTROL SYMBOL. An organization abbreviation combined with an SSIC and a numeric suffix that signifies a report has been approved.

REVISED REPORT. An established report that changes in any way. Revised reports have to be cleared by the reports control manager.

COMPUTER-GENERATED REPORTS. Reports generated by processing data residing in a computerized database.

EXEMPT REPORTS. Reports that are not subject to reports documentation and symbolization procedures.

INTERNAL REPORT. A report that remains within one organization for its own use.

LICENSED REPORT. A report that has been justified by the originator, reviewed and approved by the reports control manager, and assigned a report control symbol or an exemption.

UNLICENSED REPORT. A report that has NOT been justified and NOT assigned a report control symbol.

REPORT CONTROL SYMBOLS

A report control symbol (RCS) is assigned by the reports control manager. It indicates that the report has been reviewed and approved as a valid requirement and that the respondents have the responsibility of providing the requested information.

The RCS of the highest authority responsible for the submission of the report should 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, and the associated report title. Reports control managers may not substitute their own symbol for the RCS on a report

from higher authority. Commands are not required to respond to unlicensed or expired reports.

It is important to note that, although similar in nature, RCs and forms identification codes are separate entities. Even though the originator and SSIC of both may be 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 the effective operation of an activity. The reports control manager maintains this inventory. A case folder must be maintained on all reports for which an activity is responsible.

The reports control manager should maintain a close working relationship with points of contact within the command who may be aware of new or revised reports requirements. Points of contact may include the directives control point, forms manager, mail room, or publications review office.

ESTABLISHMENT AND MAINTENANCE OF RECORDS

After all recurring reports have been inventoried and classified by an RCS, one folder for each report should be filed in a report case file. Every folder should contain the following documents:

- A completed copy of the Reports Analysis Data, OPNAV Form 5214/10
- 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 a follow-up review to determine whether they continue to be needed. If they are needed, then the review must determine whether they continue to meet all the requirements in the most effective manner. Elements used to make this determination will include 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. The report originator conducts this review 60 days before the third anniversary of its administrative issuance, and the report must include complete rejustification of the requirement.

One effective way of providing an annual review of every report required by a command is to combine the review with the annual review of command directives. Each required report has a command directive as its basis. Therefore, a complete review of that directive 3 months before the anniversary month of its issuance date would provide the opportunity for an in-depth look at any report listed in the directive. (This is also an excellent time to accomplish a review of the local forms used for these reports.)

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

During the origination or revision of directives, the reports control point supervisor should verify the approval of any report required by the directive. The reports control manager and the forms manager should approve any required report while the rough directive is still in the review process. This is also the time for the reports control point supervisor to verify that the RCS and report title are specifically included in the directive.

When a directive is to be cancelled, 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. Cancelled reports must be routed through the forms manager so that obsolete report forms can be removed from case files.

PUBLISHING LISTS OF REPORTS

The reports control office should publish and distribute a list of current and cancelled 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:

- RCS
- Title of the report
- Form number or format
- Frequency of submission
- 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 Cancelled Reports

A list of all reports cancelled during the period covered by the issuance should be appended to each revised list of current reports and quarterly supplements. The document that originally required the cancelled report should also be listed.

An inventory of the reports (and forms) case file should always be made, no matter how efficiently the master list and case file were kept current. This inventory should be made before a new effective list of current and cancelled reports is issued.

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 and received on time. The timeliness of reports can be achieved through the use of a tickler system.

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 separators or tabs marked as follows:

DAILY

WEEKLY (January through December)

MONTHLY

QUARTERLY

SEMIANNUALLY (1 through 31 for use with current month)

ANNUALLY

WHEN OCCURRING (Situational)

The tabs or separators may be used as needed to tailor the file to the activity. The separators are generally placed in a 5-inch by 8-inch box (called the **tickler box**). The report tickler file requires daily attention if it is to be an effective aid.

In addition to being used as a reminder of report dates, the tickler file may be used as a reminder of action required for **incoming mail** (such as a reply that may be required on an incoming letter) or **nonreceipt of a reply** to an outgoing letter from your command.

An easier and more economical reminder of action required on incoming mail is to attach the third copy of the routing slip to the mail. In the case of outgoing mail, filing a copy of the correspondence itself in the appropriate place in the tickler box serves 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:

- Adding a list of all the reports due the following week to the command's weekly list of overdue reports/correspondence. This is a recommended practice for improving timeliness in reports submissions.
- Providing a reports tickler card to offices preparing reports. This can stimulate good two-way communication between the departments concerned and the reports control office.

FORMS

As a YN3 or YN2, 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.

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.

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 form of the higher echelon.

RESPONSIBILITIES FOR ADMINISTRATION OF FORMS MANAGEMENT

The *Department of the Navy Forms Management Program*, SECNAVINST 5213.10 series, 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 personnel in forms management. It is considered to be the primary guide for forms design

standards and criteria for the Department of the Navy (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 standards of design and analysis of forms and related procedures

Under the CNO, the Chief of Naval Material, and the Commander, Naval Supply Systems Command, the Document Automation and Production Service (DAPS) has 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 distributing or requiring forms. In addition, design assistance and 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 CO issues a directive that states the objectives of the function. The CO assigns responsibility to one organizational unit for its administration.

Locating 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 for the following reasons:

- The establishment of this office 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 ensure 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, SECNAVINST 5210.11 series, 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.

FORMS MANAGEMENT RECORDS

Analyzing forms and their related procedures requires the use of an accurate and workable record of forms in the activity. This record is not the complete solution to effective forms management operation, but rather a tool with which information can be obtained and systematic analyses can begin.

Collecting Samples of Forms

As discussed earlier, copies of all forms used in the activity need to be 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 they use, 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. They should also 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 SSICs

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 SSICs, 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.

Activities will gain maximum benefits from the file by assigning one person the job of keeping the file up to date. That person can then add new or revised forms and weed out obsolete ones.

ARRANGEMENT AND CONTENTS

Local forms should be arranged and filed in numerical order by SSICs. Nonlocal forms are filed in folders labeled with their basic SSIC; that is, all nonlocal forms in the 4700 subject group are filed together in one folder. The folder is then placed in numerical order in the file drawer.

A separate folder is prepared for each local form. It is labeled with the originator's authorized

abbreviation, the SSIC, the consecutive number, and 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
- Related papers, analyses, surveys, or memoranda pertaining to the form or related procedures; information on contemplated revisions; or other data

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. A cross-reference to such related forms filed in their respective folders will prove extremely helpful.

DISCONTINUED FORMS

When a form becomes obsolete or is replaced 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 by the *Navy and Marine Corps Records Disposition Manual*, SECNAVINST 5212.5 series.

SUMMARY

Personnel in organizational units with whom you have contact concerning reports control and forms

management should be aware of your desire to assist them as well as your need for their input and cooperation in carrying out your functions. Reports and forms management cannot be accomplished by one person; it requires the active involvement of everyone from the CO down to be effective.

CHAPTER 8

SECURITY

A security clearance is a determination, made from all available information, that an individual is eligible for access to classified information to a specified level or, in some cases, is eligible for assignment to other positions of trust. The clearance tells you someone is eligible for access; it does not give that person access authorization. It is important to separate these two processes: granting clearance and granting access. An individual may remain **eligible** for access even though the person's present position does not require access to classified information.

No person will be given access to classified information unless a favorable determination has been made of the person's loyalty, reliability, and trustworthiness. The initial determination is based on a personnel security investigation (PSI). Only commanders, commanding officers (COs), chiefs of recruiting stations, and the Director of Central Adjudication Facility are authorized to request PSIs on personnel under their jurisdiction.

The Defense Security Service (DSS) or, where specified, the Office of Personnel Management (OPM) conducts or controls all PSIs for the Department of the Navy. Requests for PSIs must be kept to the absolute minimum. They will not be submitted on any civilian or military personnel who will retire, resign, or separate with less than 9 months of service remaining.

TYPES OF PERSONNEL SECURITY INVESTIGATIONS

A PSI is an inquiry into an individual's activities; it is used for the specific purpose of making a personnel security determination. Investigations such as those conducted for current criminal activity, espionage, compromise, or subversion have an impact on employment, clearance, or assignment, but are not classified as PSIs.

There are a total of eight PSI categories listed in the *Department of the Navy (DON) Personnel Security Program (PSP) Regulation*, SECNAVINST 5510.30 series. As a YN, you will probably only work three of these: the National Agency Check

(NAC), Single-Scope Background Investigation (SSBI), and Periodic Reinvestigation (PR).

NATIONAL AGENCY CHECK

An NAC is a search of the files of federal agencies for information about the person being investigated. The DSS conducts the check. An NAC includes, as a minimum, a check of the Defense Clearance and Investigations Index (DCII) and the FBI files. If either of those checks reveals information that warrants further study, the DSS checks the files of other agencies.

A person who wishes to enter military service undergoes an entrance NAC (ENTNAC). The ENTNAC determines the suitability of an individual for entry into the service.

The PSI request package for an NAC will be submitted to DSS using the SF 85P, Questionnaire for Public Trust Positions, and an FD 258, Applicant Fingerprint Card.

SINGLE-SCOPE BACKGROUND INVESTIGATION

The SSBI, conducted by the DSS, provides a greater depth of knowledge than an NAC. Elements covered in an SSBI include the subject's education, neighbors, foreign travel, foreign connections, and organizational affiliations. DSS does not conduct a subject interview as part of an SSBI, except to resolve unfavorable or questionable information. An SSBI also includes an NAC of the subject's spouse or cohabitant and any other members of the subject's immediate family 18 years of age or older who are U.S. citizens other than by birth or who are not U.S. citizens. The scope of an SSBI is 10 years before the investigation or from the 18th birthday to the time of the investigation, whichever is the shorter period; however, at least the last 2 years must be covered. No investigation may extend further back than the subject's 16th birthday. SSBI's are conducted only when specifically required by CNO or higher authority.

The SSBI request will be submitted to DSS using a DD1879, DoD Request for Personnel Security Investigation (original and two copies); SF 86, Questionnaire for National Security Positions (original and four copies); and FD 258, Applicant Fingerprint Card (original and one copy).

PERIODIC REINVESTIGATION

A PR determines a subject's continued eligibility for access to classified information by reevaluating a previous valid investigation of the person. PRs are conducted every 5 years and should be initiated 4 years 6 months from the completion date of the last investigation. PR elements include an NAC; a subject interview; credit, employment, and local agency checks; interviews of employers; and character references, to include former spouses.

INVESTIGATIVE REQUIREMENTS FOR A PERSONNEL SECURITY CLEARANCE

The investigative requirements for a personnel security clearance apply to positions involved with access to classified information. The requirements are based on the PSI prescribed for the specific classification level—Top Secret, Secret, or Confidential—to be accessed in one's everyday duties.

TOP SECRET

The investigative basis for a Top Secret clearance is the completion of a favorable SSBI or PR. For those who have continuous assignment or access to Top Secret, critical sensitive positions, sensitive compartmented information (SCI), Nuclear Weapon Personnel Reliability Program (PRP) positions, and other such programs (as outlined in chapter 6 of the *PSP*), the SSBI must be updated every 5 years by a PR. This PR must be submitted within 30 days following granting of the clearance.

SECRET/CONFIDENTIAL

The investigative basis for a Secret or Confidential clearance is a favorable ENTNAC for first-term military enlistees. The ENTNAC remains valid throughout the person's enlistment, provided no break in service greater than 12 months occurs. Secret and Confidential clearances must be updated every 10 and 15 years, respectively. Members assigned to PRP and some other sensitive programs must have their clearances updated every 5 years by a PR.

NOTE: The *Nuclear Weapon Personnel Reliability Program (PRP)*, SECNAVINST 5510.35 series, a program that you, as a YN, may frequently encounter, provides the standards of individual reliability required for personnel performing duties involving nuclear weapons and components. PRP requires commands to screen personnel before transferring them to training leading to PRP assignment. The investigative requirements for PRP assignment are based on the position designation. PRP positions are designated as either **critical** or **controlled**.

Critical: The minimum investigative requirement for initial assignment is a valid SSBI completed within the past 5 years. This requirement may be satisfied by a valid favorable PR. If there is no investigation to satisfy the requirement for initial assignment, the command must request an SSBI. A PR is required every 5 years.

Controlled: The minimum investigative requirement for initial assignment is a valid favorable SSBI completed within the past 5 years. This requirement may be satisfied by a valid favorable ENTNAC, NAC, SSBI, or PR completed within the past 5 years. When no investigation has been conducted to satisfy the requirements for initial assignment, the command must request a new NAC.

When an individual is transferred from one PRP assignment to another, the record of prior investigation will be accepted in rescreening the individual at the new assignment.

DEPARTMENT OF THE NAVY CENTRAL ADJUDICATION FACILITY

The Department of the Navy Central Adjudication Facility (DON CAF) was established to provide central evaluation of individuals receiving security clearances. This facility is the sole authority to grant, deny, or revoke security clearances for all Department of the Navy (DON) personnel. The DSS and the Office of Personnel Management (OPM) forward all completed PSIs to DON CAF. The facility then determines eligibility for security clearances or assignment to sensitive duties. Upon making a favorable security clearance/eligibility determination, DON CAF will notify the command by message, letter,

or Manpower Management System (MMS), as appropriate.

REQUESTS FOR DON MILITARY PERSONNEL

All requests for extensions of interim clearances, security clearance revalidations, notification of administrative downgrading or withdrawal of clearances, and reports of derogatory information are submitted to DON CAF via the Personnel Security Action Request.

REVALIDATION UPON TRANSFER/ ACCESS TO SPECIAL ACCESS PROGRAMS

When an individual who has a security clearance transfers to a new command into a duty assignment requiring access to special access program information, the gaining command revalidates the security clearance and submits a Personnel Security Action Request for clearance at the level needed by the person to perform those duties.

INTERIM CLEARANCES

Interim clearances may be granted temporarily (for 180 days), pending completion of full investigative requirements or revalidation of security clearances from DON CAF. An extension may be granted beyond the 180 days provided the agency notifies DON CAF 30 days before the expiration of an interim clearance. COs should send DON CAF a tracer action using the Personnel Security Action Request. A copy of these documents must be maintained in the individual's service record or security file until the investigation and final clearance determination are completed.

PERSONNEL SECURITY ACTION REQUEST

The Personnel Security Action Request, as stated previously, is used to request security determinations from DON CAF. Complete instructions for completing this request are on the back of the form. When the command receives the answer from DON CAF, it is attached to the member's Record of Investigation, Clearance, and Access, OPNAV 5520/20, and retained in the member's service record. Copies of all correspondence relating to clearances may be obtained for command security files.

CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT, SF312

The primary purpose of the Classified Information Nondisclosure Agreement, SF312, is to inform individuals of the trust placed in them by their authorized access to classified information. The agreement also informs them of their responsibilities to protect that information from unauthorized disclosure and of the consequences that may result from their failure to meet those responsibilities.

All persons with authorized access to classified information are required to sign this form. The most opportune time for a person to sign this form is during preparation of the paperwork requesting clearance authorization from DON CAF. Although the information contained in this form is quite lengthy, the individual should read the form in its entirety before signing it.

The execution of the form must be personally witnessed by the individual's CO, executive officer, security manager, or supervisor. The witnessing official must sign and date the agreement at the time it is executed. An OPNAV 5520/20 entry will be made to indicate that the individual has executed an SF312. Should the individual lose access to classified information for any reason, the form will also be used for security debriefing.

INFORMATION SECURITY

For the protection of the interests of the United States, certain information is unavailable to other countries. This information is given a classification that determines how much protection it needs. The level of classification is based on how much damage would be caused if other countries could obtain it. This section provides you with the categories of classification, the rules regarding the safeguarding of each level, and your responsibilities in handling classified material.

CLASSIFIED MATERIAL

As discussed in chapter 2, the *Department of the Navy (DON) Information Security Program (ISP) Regulation*, SECNAVINST 5510.36 series, provides the basis of the Navy's program for safeguarding classified information. It was written based on requirements made at the national level and provides the procedures and requirements we use on a daily basis. From the Secretary of the Navy, to the Chief of

Naval Operations, to your CO, to your command security manager, to you, this instruction lays down specific responsibilities and procedures to protect classified information. Every individual who acquires access to classified material is responsible for protecting it. As a YN, you will be directly involved in this process and must be aware of the regulations given in this element of the security manuals.

The purpose of the security program is to ensure that official information is protected to the level and for the period of time necessary. Essential policies and procedures have been established to monitor the Navy's security program. The effectiveness of this monitoring is ensured through the process of identifying the information to be protected, defining a progressive system for classification, downgrading the level of classification, and, finally, declassifying the information when appropriate.

The security of the United States, in general, and of naval operations, in particular, depends upon the success of the security program. Don't let information fall into the wrong hands through careless talk or improper handling and safeguarding of written information.

CATEGORIES OF CLASSIFIED INFORMATION

Information is classified into three categories, each category requiring its own level of protection: Top Secret, Secret, and Confidential.

Top Secret

Top Secret is the designation applied only to information or material the unauthorized disclosure of which could reasonably be expected to cause **exceptionally grave damage** to the national security. Examples of exceptionally grave damage include armed hostilities against the United States or its allies; disruption of foreign relations vitally affecting the national security; the compromise of vital national defense plans or complex cryptologic and communication intelligence systems; the revelation of sensitive intelligence operations; and the disclosure of scientific or technological developments vital to national security.

Secret

Secret is the designation applied only to information or material the unauthorized disclosure of

which could reasonably be expected to cause **serious damage** to the national security. Examples of serious damage include disruption of foreign relations significantly affecting the national security; significant impairment of a program or policy directly related to the national security; revelation of significant military plans or intelligence operations; compromise of significant military plans or intelligence operations; and compromise of significant scientific or technological developments relating to national security.

Confidential

Confidential is the designation applied to information or material the unauthorized disclosure of which could reasonably be expected to cause **identifiable damage** to the national security. Examples of identifiable damage include the compromise of information that indicates strength of ground, air, and naval forces in the United States and overseas areas; disclosure of technical information used for training, maintenance, and inspection of classified munitions of war; and revelation of performance characteristics, test data, design, and production data on munitions of war.

NOTE: You will come across information marked **For Official Use Only**. This is not a category of classification under the information security program.

You should refer to the *PSP* for the requirements of each type of investigation and the level of clearance authorized by each.

CONTROL OF DISSEMINATION

The CO is responsible for controlling the dissemination of classified material within the command. The command security manager is delegated the responsibility to ensure information is issued and personnel are instructed on prevention of unauthorized disclosure of classified information. Steps must be taken to ensure that the existence, contents, and whereabouts of classified information are divulged only to those who are authorized access and whose official duties require that knowledge.

Responsibility for determining who sees classified information rests upon each individual who has possession or knowledge of the information, not the person who seeks the information. You must be totally satisfied that you are providing information to a properly authorized person.

ACCOUNTABILITY AND CONTROL

Regulations do not guarantee protection—enforcing them does. The following procedures are required by the security regulations, and one of your responsibilities is to know and enforce these accountability and control procedures. Remember, the security program is a means, not an end.

Top Secret Accountability

Each copy of a Top Secret document is numbered at origination with the copy number and total number of copies created. For example:

Copy number 2 of 10 copies

Each copy of the document will include a list of effective pages with a record for page checks. Further, each page of Top Secret letters or messages is numbered as shown below.

Page 1 of 15 pages

Top Secret documents cannot be reproduced without permission of the issuing or higher authority. When permission is granted, any copies made must also be numbered. Always use the number of the original the copies are made from as a part of the numbering sequence. For example:

Copy 14/1 of 2 copies

The 14 indicates the fourteenth copy of the original.

Top Secret material is always transported hand to hand and receipted for at each exchange.

The security manager or the Top Secret control officer makes inventory for all Top Secret material at least annually and at each change of command.

Top Secret Control

A Disclosure Record, OPNAV Form 5511/13, identifying the document and all personnel who have had access to the document, is maintained for each individual document. The record of disclosure is maintained for 2 years after the document is transferred, downgraded to a lower classification, or destroyed.

Secret Accountability

A command must establish administrative procedures to record Secret material originated or held by the command. The record can be in the form of a log, a route slip file (Correspondence/Material Control Form 5216/10), a serial file, or some other administrative record.

Secret Control

The control procedures for Secret material must balance security and operating efficiency. The normal procedure is hand-to-hand transfer between individuals, but receipt at each transfer within a command is not required.

Confidential Accountability and Control

Procedures for protecting Confidential material are less stringent than those for Secret material. There is no requirement to maintain records of receipts, distribution, or disposition of Confidential material. Measures are required, however, to protect it from unauthorized disclosure by controlling access and ensuring proper marking, storage, transmission, and destruction.

Serial Numbers

The *Department of the Navy Correspondence Manual*, SECNAVINST 5216.5 series, prescribes that classified correspondence be serially numbered by the originator for each calendar year. A serial number is one of a consecutive group of Arabic numerals assigned to a specific piece of correspondence for identification purposes. A separate consecutive group of numbers is used for each security classification, and this group of numbers is totally separate and distinct from the unclassified correspondence serial file numbers. Serial numbers of Confidential letters are preceded by the letter **C**; those for Secret, by **S**; and for Top Secret, by **TS**.

CUSTODIAL PRECAUTIONS

Classified material is not removed from the physical confines of a command without the knowledge and approval of the CO or an authorized representative. When classified material is removed, a complete list is prepared, signed by the individual removing the material, and appropriately filed until the material is returned.

Care During Working Hours

Each person in the Navy must take every precaution to prevent deliberate or casual access to classified information by unauthorized persons. The following are precautions that must be followed:

- When classified documents are removed from stowage for working purposes, the documents are to be kept under constant surveillance or face down or covered when not in use. At no time will classified material be left unattended.
- Any items used to prepare classified material must be destroyed or safeguarded according to the classification of the material they are used to produce. These items include drafts, carbon sheets, carbon paper, correctable film typewriter ribbons, fabric typewriter ribbons only used once, plates, stencils, stenographic notes, worksheets, and similar items. After the upper and lower sections of a fabric typewriter ribbon have been cycled through the typewriter at least five times, the ribbon may be treated as unclassified.
- Classified material, upon receipt, is opened by the addressee or by persons specifically authorized by the addressee in writing to open material of the grade or classification involved.
- If, for any reason, a room must be vacated during working hours, any classified material therein must be stowed according to stowage instructions for the classification involved.

Care After Working Hours

A system of security checks at the close of each working day must be instituted to make sure that classified material held by a command is properly protected. Custodians of classified material must make an inspection to ensure the following requirements have been met:

- Burn bags are properly stowed or destroyed.
- The contents of wastebaskets that contain classified material are properly stowed or destroyed.
- Classified shorthand notes, carbon paper, typewriter ribbons, rough drafts, and similar papers are properly stowed or destroyed. As a matter of routine during the day, such items must

be placed in burn bags as soon as they have served their purpose.

Identification of the individual responsible for the contents of each container of classified material must be readily available. The individual so identified is contacted in the event a container of classified material is found open and unattended.

Care of Working Spaces

The necessary safeguards must be afforded to buildings and areas in which classified information is kept. Precautions must also be taken to minimize any danger or inadvertent disclosure of classified material in conversations. You must not discuss classified information in public places.

Care During Emergencies

Commands are responsible for establishing detailed procedures and responsibilities for the protection of classified material in the case of natural disasters, civil disturbances, or enemy action. Your command's emergency bill should provide for guarding, removing, or destroying classified material on a priority basis.

TRANSMISSION OF CLASSIFIED MATERIAL

The term **transmission** refers to any movement of classified material from one place to another. The basic rule is that the material must be in the custody of an appropriately cleared individual or in an approved carrier system.

Transmission requirements are basic in nature. Refer to the *ISP* for complete details.

Top Secret

Top Secret material cannot be mailed. It must be hand-carried by the Armed Forces Courier System (ARFCOS), the Department of State Courier System, specifically cleared and designated personnel, or transmitted by way of a fully protected cryptographic system.

Secret

Secret material may be transmitted in the same manner as Top Secret or mailed in the U.S. Postal Service registered mail system.

Confidential

Confidential material may be transmitted by any means suitable for Secret material. First-Class Mail service may be used between DoD activities in the United States or its territories. Material going to overseas APO or FPO addresses is sent by registered mail.

RECEIPT SYSTEM

Top Secret material is covered by a continuous chain of receipts. Secret material, at a minimum, is covered by a receipt between commands and other authorized addressees. Receipts for Confidential material are not required. The receipt form is attached to or enclosed in the inner cover.

Postcard receipt forms are unclassified and are used whenever practical. The form contains only such information as is necessary to identify the material being transmitted. Receipts are retained for a minimum of 2 years.

When a flyleaf (page check) form is used with classified publications, the postcard receipt is not required.

The Record of Receipt, OPNAV Form 5511/10, should be used in receipting for classified material.

PREPARATION FOR TRANSMISSION AND SHIPMENT

Whenever classified material is transmitted, it should be enclosed in two opaque, sealed envelopes or similar wrappings, where size permits, except as follows:

- Classified written material should be folded or packed so that the text will not be in direct contact with the inner envelope or container.
- The inner envelope or container shows the address of the receiving activity; the highest classification of the material enclosed including, where appropriate, the Restricted Data marking; and any special instructions. It should be carefully sealed to minimize the possibility of access without leaving evidence of tampering. Attach the receipt form (if required).
- The outer cover should not bear a classification marking, a listing of the contents divulging classified information, or any other unusual data or marks that might invite special attention to the fact that the contents are classified. The outer

cover of Confidential material being transmitted by United States Postal Service First-Class Mail should be marked **FIRST CLASS** and be endorsed **POSTMASTER: DO NOT FORWARD, RETURN TO SENDER.**

Whenever the classified material being transmitted is too large to prepare as described above, it should be enclosed in two opaque, sealed containers, such as boxes or heavy wrappings, or prepared as follows:

- If the classified material is an internal component of a packageable item of equipment, the outside shell or body may be considered as the inner enclosure.
- If the classified material is an inaccessible internal component of a bulky item of equipment that is not reasonably packageable (such as a missile), the outside or body of the item may be considered as the outer enclosure, provided the shell or body is not classified.
- If the classified material is an item of equipment that is not reasonably packageable and the shell or body is classified, it should be draped with an opaque covering that will conceal all classified features. The coverings must be capable of being secured so as to prevent inadvertent exposure of the item.
- Specialized shipping containers, including closed cargo transporters, may be used instead of the above packaging requirements. In such cases, the container may be considered to be the outer wrapping or cover.
- Material used for packaging should be of such strength and durability as to provide security protection while in transit, to prevent items from breaking out of the container, and to help detect any tampering with the container.

The wrappings should conceal all classified characteristics. Activities will provide for the stocking of several sizes of cardboard containers and corrugated paper. Packages must be sealed with tape that will retain the impression of any postal stamp, preferably brown paper tape. Bulky packages must be inspected to determine whether the material is suitable for mailing or whether you should transmit it by other approved means.

Closed and locked compartments, vehicles, or cars should be used for shipments of classified material except when another method is authorized by the

consignor. In any event, individual packages weighing less than 200 pounds gross should be shipped in a closed vehicle.

ADDRESSEES

Classified material is normally addressed to a recognized activity and not to an individual. Office code numbers; office or division titles, such as Training Division; or similar aids in expediting internal routing may be used in addition to the organization address.

For correct mailing addresses, consult the current issue of the *Standard Navy Distribution List*, which contains the official list of fleet and mobile units, their administrative addresses, and the official list of shore activities with complete administrative addresses.

The inner envelope or container must show the address of the receiving activity.

An outer envelope or container must show the complete and correct address and the return address of the sender. However, the address may be omitted from the outer enclosure for shipment in full truckload or carload lots.

Care must be taken to make sure that classified material intended only for the United States elements of international staffs or other organizations is addressed specifically to those elements.

STOWAGE

Classified material is stowed only at locations where suitable facilities are available. The *ISP* details the requirements for storing material at each level of classification.

Do not store valuables such as money, jewelry, or precious metals in the same containers as classified material. They increase the risk of a container being illegally opened or stolen.

For emergency purposes, the identity of persons having access to the container and a symbol indicating the relative priority of destruction are posted on the container. In no case, however, should the level of classified material inside the container be shown.

DESTRUCTION OF CLASSIFIED MATERIAL

Classified material must be destroyed by burning, melting, shredding, or other forms of mutilation that prevent reconstruction of the material.

RECORDS OF DESTRUCTION

Top Secret and Secret material destruction must be recorded. Use Classified Material Destruction, OPNAV Form 5511/12, or any other type of record, as long as it includes space for complete identification of the material, number of copies destroyed, and date of destruction.

Both Top Secret and Secret material require two officials to witness the destruction and sign the destruction report. Officials responsible for destruction must have a clearance equal to or greater than the material being destroyed. The record of destruction is kept on file for 2 years.

When either Top Secret or Secret material is placed in a burn bag for central destruction, the witnessing official(s) should sign the destruction record at the time the material is actually placed in the bag. Burn bags are afforded the same protection as the highest level of material they contain and must be handled by appropriately cleared personnel.

SECURITY VIOLATIONS

Whether intentional or not, and whether material is compromised or not, the fact that a procedure was not followed or was incorrectly performed and could have caused damage places the person responsible for the compromise in line for disciplinary action. Safeguarding classified material is a daily priority.

If a container is found open or unlocked, report it immediately to someone in authority. A check must be made as soon as possible to see if compromise was possible.

If you receive classified material that was transmitted incorrectly, notify the CO of the sending unit with a Security Discrepancy Notice, OPNAV Form 5511/24.

Finally, bring an improperly marked classified document to the attention of the originator, also with the Security Discrepancy Notice, OPNAV Form 5511/24.

SUMMARY

This chapter has introduced you to the basic methods used to process personnel security clearances and to classified material control. This area is of extreme importance to the safeguarding of classified material and, consequently, to the safety of your unit

and to the country. The best means of protecting our country's interests is to ensure only qualified personnel are given access through a valid investigative process.

This chapter provides basic information only. The *Department of the Navy (DON) Information Security Program (ISP) Regulation*, SECNAVINST 5510.36

series, and *Department of the Navy (DON) Personnel Security Program (PSP) Regulation*, SECNAVINST 5510.30 series, provide detailed information, such as specific preparation requirements for reports and visit requests. YNs, no matter what their rank, should become proficient with the contents and use of these two extremely important instructions.

CHAPTER 9

LEGAL

As a Yeoman (YN) you will become extensively involved with all aspects of nonjudicial punishment, commonly called either NJP or mast. In this chapter we discuss duties and procedures required before, during, and after NJP proceedings.

NONJUDICIAL PUNISHMENT

Although both commanding officers (COs) and officers in charge (OICs) can conduct mast, we will use only the abbreviation CO in this chapter. For a discussion on the differences between masts held by COs and OICs, see Article 15, *Uniform Code of Military Justice* (UCMJ), and part V of the *Manual for Courts-Martial* (MCM), 2000.

The term **nonjudicial punishment** and the abbreviation NJP are used interchangeably. They refer to certain limited punishments that can be awarded for minor disciplinary offenses by a CO to members of his or her command. NJP proceedings are called “captain’s mast” or simply “mast.”

Article 15 of the UCMJ, part V of the MCM, 2000, and part B of chapter 1 of the *Manual of the Judge Advocate General* (JAGMAN) contain the basic laws about NJP procedures. The legal protection afforded an individual subject to NJP proceedings is more complete than is the case for nonpunitive measures, but, by design, is less extensive than for courts-martial. NJP is administrative and is nonadversarial in nature. When punishment is imposed, it is not considered a conviction, and when a case is dismissed, it is not considered an acquittal.

The word **mast** also is used to describe three different types of proceedings: request mast, meritorious mast, and disciplinary mast. **Request mast** is a hearing before the CO, at the request of service personnel, for making requests, reports, statements, and for airing grievances. **Meritorious mast** is for the purpose of publicly and officially commending a member of the command for noteworthy performance of duty. This chapter discusses **disciplinary mast**. When we use the term “mast,” that is what is meant.

Mast is a procedure used by the CO to inquire into the facts surrounding minor offenses allegedly committed by a member of his or her command; to afford the accused a hearing as to the offense(s); and to dispose of such charges by dismissing the charges, imposing punishment, or referring the case to a court-martial.

NATURE AND REQUISITE OF NONJUDICIAL PUNISHMENT

NJP is a disciplinary measure more serious than administrative corrective measures, but less serious than trial by court-martial. NJP provides commanders with an essential and prompt means of maintaining good order and discipline, and also promotes positive behavior changes in service members without the stigma of a court-martial conviction.

AUTHORITY TO IMPOSE

Authority to impose NJP under Article 15, UCMJ, may be exercised by a CO, an OIC, or by certain officers to whom the power has been delegated by the Secretary of the Navy (SECNAV).

In the Navy and Marine Corps, billet designations by the Chief of Naval Personnel and Headquarters Marine Corps identify those persons who are COs. So the term “commanding officer” has a precise meaning and is not used arbitrarily.

The power to impose NJP is inherent in the office and not in the individual. Thus, the power may be exercised by a person acting as CO, such as when the CO is on leave and the executive officer (XO) succeeds to command.

OICs exist in the naval service. An OIC is a commissioned officer appointed as an OIC of a unit by departmental orders, tables of organization, manpower authorizations, orders of a flag or general officer in command, or orders of the senior officer present.

Ordinarily, the power to impose NJP cannot be delegated. One exception is that a flag or general officer in command may delegate all or a portion of his or her Article 15 powers to a **principal assistant**. A principal assistant is a senior officer on a flag or

general officer's staff who is eligible to succeed to command. This delegation must be made with the express approval of the Chief of Naval Personnel or the Commandant of the Marine Corps.

Additionally, where members of the naval service are assigned to a multiservice command, the commander of such multiservice command may appoint one or more naval units and, for each unit, designate a commissioned officer of the naval service as CO for NJP purposes over that unit. A copy of such designation must be furnished to the Commander, Navy Personnel Command, or the Commandant of the Marine Corps, as appropriate, and to the Judge Advocate General (JAG).

No officer may limit or withhold the exercise of any disciplinary authority under Article 15 by subordinate commanders without the specific authorization of SECNAV.

If a CO determines that his or her authority under Article 15 is not enough to make a proper disposition of the case, he or she may refer the case to a superior commander for appropriate disposition. This situation could arise either when the CO's NJP powers are less extensive than those of his or her superior, or when the status of higher authority would add force to the punishment, as in the case of a letter of reprimand or admonition.

PERSONS ON WHOM NJP MAY BE IMPOSED

A CO may impose NJP on all military personnel of his or her command. An OIC may impose NJP only on enlisted members assigned to the unit that he or she is in charge of.

At the time punishment is imposed, the accused must be a member of the command of the CO (or of the unit of the OIC) who imposes the NJP. A person is of the command or unit if he or she is assigned or attached to it. This includes temporary additional duty (TEMADD) personnel. TEMADD personnel may be punished either by the CO of the unit that they are TEMADD to or by the CO of the duty station that they are permanently attached to. Note, however, that both COs cannot punish an individual under Article 15 for the same offense. In addition, a party to an **administrative investigation** remains a member of the command or unit that he or she was attached to at the time of his or her designation as a party for the sole purpose of imposing a letter of admonition or reprimand as NJP.

Personnel of Another Armed Force

Under present agreements between the armed forces, a Navy CO should not exercise NJP jurisdiction on Army or Air Force personnel assigned or attached to a naval command. As a matter of policy, return these personnel to their parent-service unit for discipline. If this is impractical and the need to discipline is urgent, NJP may be imposed, but a report to the Department of the Army or Department of the Air Force is required. See the *Naval Military Personnel Manual* (MILPERSMAN), Article 1300-070, for the procedures to follow.

Express agreements do not extend to Coast Guard personnel serving with a naval command, but other policy statements say that the naval command should not try to exercise NJP over such personnel assigned to its unit. Because the Marine Corps is part of the Department of the Navy, no general restriction extends to the exercise of NJP by Navy commanders over Marine Corps personnel or by Marine Corps commanders over Navy personnel.

Imposition of NJP on Embarked Personnel

The CO or OIC of a unit attached to a ship for duty should, as a matter of policy, refrain from exercising his or her power to impose NJP and refer all such matters to the CO of the ship for disposition. This policy does not apply to Military Sealift Command (MSC) vessels operating under masters or to organized units embarked on a Navy ship for transportation only. Nevertheless, the CO of a ship may permit a CO or an OIC of a unit attached to that ship to exercise NJP authority.

Imposition of NJP on Reservists

Reservists on active duty for training or, under some circumstances, inactive duty for training, are subject to the UCMJ and, therefore, subject to the imposition of NJP.

The offense(s) that the CO or OIC seeks to punish at NJP must have occurred while the member was on active duty or inactive duty training. However, it is not necessary that NJP occur (or the offense even be discovered) before the end of the active duty or inactive duty training period during which the alleged

misconduct occurred. In that regard, the officer seeking to impose NJP has the following options:

- He or she may impose NJP during the active duty or inactive duty training when the misconduct occurred.
- He or she may impose NJP at a later period of active duty or inactive duty training (so long as this is within 2 years of the date of the offense).
- He or she may request from the regular component officer exercising general court-martial jurisdiction (OEGCMJ) over the accused an involuntary recall of the accused to active duty or inactive duty training to impose NJP.
- If the accused waives his or her right to be present at the NJP hearing, the CO or OIC may impose NJP after the period of active duty or inactive duty training of the accused has ended.

Punishment imposed upon persons who were involuntarily recalled for imposition of NJP may not include restraint unless SECNAV approves the recall.

Right of an Accused to Demand Trial by Court-Martial

Article 15a, UCMJ, and part V, para. 3, MCM, 2000, provide another limitation on the exercise of NJP. Except for a person attached to or embarked in a vessel, an accused may demand trial by court-martial in lieu of NJP.

This right to refuse NJP exists up until the time of imposition of NJP (that is, up until the CO announces the punishment). This right is not waived by the accused having previously signed a report chit showing that he or she would accept NJP.

The category of persons who may **not** refuse NJP includes those persons assigned or attached to a vessel who are on board for passage, or assigned or attached to an embarked staff, unit, detachment, squadron, team, air group, or other regularly organized body.

The key time factor in determining whether or not a person has the right to demand trial by court-martial is the time of the imposition of the NJP and not the time of the commission of the offense.

There is no power for a CO or an OIC to impose NJP on a civilian.

OFFENSES PUNISHABLE UNDER ARTICLE 15, UCMJ

Article 15 gives a CO power to punish individuals for **minor offenses**. The term “minor offense” has been the cause of some concern in the administration of NJP.

Article 15, UCMJ, and part V, para. 1e, MCM, say that a minor offense is misconduct normally not more serious than that usually handled at an summary court-martial (SCM) (where the maximum punishment is 30 days’ confinement). These sources also say that the nature of the offense and the circumstances surrounding its commission are also factors that should be considered in determining whether an offense is minor in nature.

The term “minor offense” ordinarily does not include misconduct that, if tried by a general court-martial (GCM), could be punished by a dishonorable discharge (DD) or confinement for more than 1 year. The Navy and Marine Corps, however, have taken the position that the final determination of whether an offense is minor is within the sound discretion of the CO.

Cases Previously Tried in Civil Court

Sections 0108b and 0124c(2) of the JAGMAN permit the use of NJP to punish the accused for an offense for which he or she has been

- tried (whether acquitted or convicted) by a domestic or foreign civilian court,
- diverted out of the regular criminal process for a probationary period, or
- adjudicated by juvenile court authorities.

These sections are only applicable, however, if authority has been obtained from the OEGCMJ (usually the general or flag officer in command over the command desiring to impose NJP).

NJP may not be imposed for an act tried by a court that derives its authority from the United States, such as a federal district court.

Cases in which a finding of guilt or innocence has been reached in a trial by court-martial cannot be taken to NJP.

Off-Base Offenses

COs and OICs may dispose of minor disciplinary infractions that occur on base or off base at NJP. Unless the off-base offense is a traffic offense or one previously adjudicated by civilian authorities, there is no limit on the authority of military commanders to resolve such offenses at NJP.

In areas not under military control, the responsibility for maintaining law and order rests with civil authority. The enforcement of traffic laws falls within the purview of this principle. Off-duty, off-installation driving offenses, however, show inability and lack of safety consciousness. Such driving performance does not prevent the use of nonpunitive measures that could include denial of on-installation driving privileges.

THE NJP PACKAGE

The NJP package, as we will refer to it, includes numerous documents and forms, along with any evidence on the case. As we will discuss, strict compliance with filling out the forms is essential to a proper NJP proceeding.

REPORT AND DISPOSITION OF OFFENSE(S)

Your office may receive notification in a variety of ways that an offense has been committed. These ways can include a shore patrol report, a verbal complaint by a victim, or a local report chit. Except when serious crimes are involved, charges are reduced to writing on the Report and Disposition of Offense(s), NAVPERS 1626/7, and processed in the manner prescribed by the form itself.

The NAVPERS 1626/7 is a one-sheet (back-and-front) form. It is **not** a substitute for a charge sheet, and it is **not** a substitute for the pretrial investigation required by Article 32, UCMJ. However, so long as the offense(s) remains in the group of cases to be handled by the CO at mast, this one form satisfies most paper work requirements of a mast proceeding. Among the functions the NAVPERS 1626/7 serves are the following:

- It reports the offense(s).
- It records that the accused has been advised of his or her rights under Article 31, UCMJ.
- It serves as a preliminary inquiry report.

- It records the action of the XO at screening mast.
- It records that the accused has been advised of the right to refuse NJP (if that right exists under the circumstances of the case).
- It shows the action of the CO at mast.
- It records that appeal rights have been explained to the accused.
- It becomes a permanent record of the case in the Unit Punishment Book (UPB). No additional record (such as 3 x 5 cards or a mast logbook) is needed.

Remember, however, that the NAVPERS 1626/7 does not include all the required premast advice that must be given to the accused according to the JAGMAN, section 0109.

PREPARATION INSTRUCTIONS

Regardless of how the commission of a minor offense is brought to your attention, you will probably need to prepare the smooth NAVPERS 1626/7, an example of which is found at figure 9-1. Let's look at the information that you will place on this form.

There are four distinct sections to the front of NAVPERS 1626/7:

1. **Report of offense:** In this section, start with addressing the report to the OIC or CO of the accused. Fill in the date of the report. Type the name of the accused in last name, first name, middle initial order. Verify the social security number from the accused's service record and type it in. Type in the present rate of the accused and the branch and class of service. Designate the department or division that the accused is attached to. Fill in the place of the offense. If there is more than one place, list all applicable places of the offense(s). Show the date of the commission of the offense. If there is more than one date, show all dates.

In the area entitled Details of the Offense, it is not mandatory that you type the offenses in the manner that you would on a charge sheet. However, this is good practice. If you always prepare a specification in full detail, you will not have to change it in the event the charges are referred to a court-martial.

List military witnesses to the offense in order of seniority, followed by civilian witnesses, if any. If a witness is attached to the same command as the

REPORT AND DISPOSITION OF OFFENSE(S)
NAVPERS 1626/7

To: Commanding Officer, Naval Justice School, Newport, Rhode Island Date of Report: 1 June 20CY

I hereby report the following named person for the offense(s) noted:

| | | | | | |
|--------------------------------------|------------|---------------------|--------------------|-------------|----------|
| NAME OF ACCUSED | SERIAL NO. | SOCIAL SECURITY NO. | RATE/GRADE | BR. & CLASS | DIV/DEPT |
| SEAMAN, Able B. | | 111-11-1111 | YN3 | USN | ADMIN |
| PLACE OF OFFENSE(S) | | | DATE OF OFFENSE(S) | | |
| Naval Station, Newport, Rhode Island | | | 25 May 20CY | | |

DETAILS OF OFFENSE(S) (Refer by Article of UCMJ, if known. If unauthorized absence, give following info: time and date of commencement, whether over leave or liberty, time and date of apprehension or surrender and arrival on board, loss of ID card and/or liberty card, etc.):

Viol. UCMJ, Art. 121: Larceny of \$50.00, the property of YN2 John A. Doe, USN, on 25 May 20CY.

| NAME OF WITNESS | RATE/GRADE | DIV/DEPT | NAME OF WITNESS | RATE/GRADE | DIV/DEPT |
|-----------------|------------|-----------|-----------------|------------|----------|
| Paul T. Boat | MACM | MAA | | | |
| Very C. Pistol | MS2 | Billeting | | | |
| Floss A. Brush | YN2 | Paralegal | | | |

MACM/MAA

Paul T. Boat

(Rate/Grade/Title of person submitting report)

(Signature of Accuser)

I have been informed of the nature of the accusation(s) against me. I understand I do not have to answer any questions or make any statement regarding the offense(s) of which I am accused or suspected. However, I understand any statement made or questions answered by me may be used as evidence against me in event of trial by court-martial (Article 31, UCMJ).

Witness: Water J. Door, LTJ, USN Acknowledged: Able B. Seaman, YN3, USN

| | | |
|--------------------|--|---|
| PRE-MAST RESTRAINT | <input type="checkbox"/> PRE-TRIAL CONFINEMENT | <input type="checkbox"/> RESTRICTED: You are restricted to the limits of _____ in lieu of arrest by _____ order of the CO. Until your status as a restricted person is terminated by the CO, you may not leave the restricted limits except with the express permission of the CO or XO. You have been informed of the times and places which you are required to muster. |
| | <input checked="" type="checkbox"/> NO RESTRICTION | |

 (Signature and title of person imposing restraint) (Signature of Accused)

| INFORMATION CONCERNING ACCUSED | | | | | | |
|--------------------------------|------------------------------|--|------------------------|---|----------|-----|
| CURRENT ENL. DATE | EXPIRATION CURRENT ENL. DATE | TOTAL ACTIVE NAVAL SERVICE | TOTAL SERVICE ON BOARD | EDUCATION | CAF AFQT | AGE |
| 6 Jun CY ⁽⁻²⁾ | 5 Jun CY ⁽⁺²⁾ | 2yrs 2 mos | 10 mos | 12 | 50 | 22 |
| MARITAL STATUS | NO. DEPENDENTS | CONTRIBUTION TO FAMILY OR QTRS. ALLOWANCE (Amount required by law) | | PAY PER MONTH (Including sea or foreign duty pay, if any) | | |
| Single | None | Not Applicable or (N/A) | | \$995.10 | | |

RECORD OF PREVIOUS OFFENSE(S) (Date, type, action taken, etc. Nonjudicial punishment incidents are to be included.)
 CY⁽⁻¹⁾JUN04: CO's NJP for Viol. UCMJ, Art. 86, UA from 0800-2100, CY⁽⁻¹⁾MAY28. Awarded: 10 days restriction and forfeiture of \$100.00 pay per month for 2 months.
 CY⁽⁻¹⁾JUN23: CO's NJP for Viol. UCMJ, Art. 121, larceny of \$100.00 on CY⁽⁻¹⁾JUN17. Awarded: 10 days correctional custody.
 CY⁽⁻¹⁾JUL15: CO's NJP for Viol. UCMJ, Art. 91, disrespect to a petty officer on CY⁽⁻¹⁾JUN03. Awarded: Reduction in rate to E3 (suspended for 6 months).

If no record of previous offense(s) use: "No prior NJPs or previous courts-martial."

Figure 9-1.—Example of completed NAVPERS 1626/7 (front).

accused, it is only necessary to give the witness' division or department. If the witness is attached to another command, identify that command completely. If a witness is a civilian, give the complete address, business and home, if available. Finally, be sure to get the signature of the person placing the accused on report.

2. **Acknowledgment of rights:** This section shows the acknowledgment of the accused having been informed of the nature of the accusation(s) against him or her and his or her right not to answer any questions relating to the offense. After the accused is formally informed of the accusations against him or her, this section should be signed by the accused and the person informing the accused of his or her rights. If the accused refuses to sign this section, that fact must be witnessed by the person informing the accused of the accusations, who will sign attesting to that fact.

3. **Premast restraint:** While this section is titled "premast restraint," the only authorized forms of restraint are **pretrial restraint** and **pretrial confinement**. You may order an individual into pretrial restraint only if you are contemplating drafting charges for a court-martial. No form of restraint is authorized for charges that are intended for NJP.

4. **Information concerning accused:** This section shows information about the accused. Get the accused's service record before filling out this section to verify all the information. In the section Record of Previous Offense(s), list all NJPs and courts-martial during the accused's current enlistment.

PREMAST SCREENING

After you complete the front of the NAVPERS 1626/7, the reverse side of the form must also be completed. The sections, as shown in figure 9-2 (i.e., Preliminary Inquiry Report, Action of Executive Officer, Right to Demand Trial by Court-Martial, Action of Commanding Officer, and Final Administrative Action), are, by and large, self-explanatory. The information required in each section is detailed in the following paragraphs.

PRELIMINARY INQUIRY

The first step is to refer the report chit to an officer or a senior enlisted person for a preliminary inquiry that will later be screened by the XO.

At small commands, refer the cases to division officers for the preliminary inquiry. At large

commands, the discipline officer or the legal officer is delegated the authority to appoint the preliminary inquiry officer (PIO). You need to fill in the name of the PIO at the top of the "Preliminary Inquiry Report" section before referring it to the PIO for action.

It is not the job of the PIO to develop a case against the accused. Rather, the PIO is to collect all available facts about the offense itself and about the background of the accused. You should have a standard form that the PIO prepares for submission to the CO.

The suspect's rights acknowledgement/statement contains a suggested format that may be used by investigative personnel in cases in which criminal suspects desire to waive their rights on self-incrimination and to make statements. This format is designed as a guide, and its use is not mandatory. However, you should provide the PIO with this form in case the accused desires to make a statement.

In addition to filling out a PIO's report, the PIO completes this section by doing the following:

- Inserting a short résumé of the division officer's opinion of the accused
- Listing the names of the witnesses whose presence at mast is necessary to dispose of the case
- Recommending disposition of the case
- Summarizing the evidence that supports the recommendation

The recommendation of the PIO is not binding on the CO.

After the PIO has completed his or her inquiry report, all statements are sent to the CO for a determination of whether disposition by NJP is appropriate.

PREHEARING ADVICE

If, after the preliminary inquiry, the CO determines that disposition by NJP is appropriate, the CO must make sure the accused is given the advice outlined in part V, para. 4, MCM, 2000. The CO need not give the advice personally but may assign this responsibility to the legal officer, discipline officer, or other appropriate person. The advice that must be given includes the following:

CONTEMPLATED ACTION. This informs the accused that the CO is contemplating the imposition of NJP for the offense(s).

PRELIMINARY INQUIRY REPORT

From: Commanding Officer

Date: 2 June 20CY

To: LT Water T. Door, USN

1. Transmitted herewith for preliminary inquiry and report by you, including, if appropriate in the interest of justice and discipline, the preferring of such charges as appeal to you to be sustained by expected evidence.

REMARKS OF DIVISION OFFICER (Performance of duty, etc.)

See attached statement.

| NAME OF WITNESS | RATE/GRADE | DIV/DEPT | NAME OF WITNESS | RATE/GRADE | DIV/DEPT |
|-----------------|------------|-----------|-----------------|------------|-----------|
| Paul T. Boate | MACM | MAA | Floss A. Brush | YN2 | Paralegal |
| Very C. Pistol | MS2 | Billeting | | | |

RECOMMENDATION AS TO DISPOSITION

REFER TO COURT-MARTIAL FOR TRIAL OF ATTACHED CHARGES
(Complete Charge Sheet (DD-Form 458) through Page 2)

DISPOSE OF CASE AT MAST

NO PUNITIVE ACTION NECESSARY OR DESIRABLE

OTHER

COMMENT (Include data regarding availability of witnesses, summary of expected evidence, conflicts in evidence, if expected. Attach statements of witnesses, documentary evidence such as service record entries in UA cases, items of real evidence, etc.)

See attached investigator's report.

Water T. Door, LT, USN

(Signature of Investigating Officer)

ACTION OF EXECUTIVE OFFICER

DISMISSED

REFER TO CAPTAIN'S MAST

SIGNATURE OF EXECUTIVE OFFICER

John R. Doe, CDR, JAGC, USN

RIGHT TO DEMAND TRIAL BY COURT-MARTIAL

(Not applicable to persons attached to or embarked in a vessel)

I understand that nonjudicial punishment may not be imposed on me if, before the imposition of such punishment, I demand in lieu thereof trial by court-martial. I therefore ~~do~~ (do not) demand trial by court-martial.

WITNESS

Jack R. Frost, YN1, USN

SIGNATURE OF ACCUSED

Able B. Seaman, YN3, USN

ACTION OF COMMANDING OFFICER

DISMISSED

DISMISSED WITH WARNING (Not considered NJP)

ADMONITION: ORAL/IN WRITING

REPRIMAND: ORAL/IN WRITING

REST. TO _____ FOR _____ DAYS

REST. TO _____ FOR _____ DAYS WITH SUSP. FROM DUTY

FORFEITURE: TO FORFEIT \$ _____ PAY PER MO. FOR _____ MO(S)

CONF. ON _____, 1, 2, OR 3 DAYS

CORRECTIONAL CUSTODY FOR _____ DAYS

REDUCTION TO NEXT INFERIOR PAY GRADE

REDUCTION TO PAY GRADE OF _____

EXTRA DUTIES FOR _____ DAYS

PUNISHMENT SUSPENDED FOR _____

REFER TO ART. 32 INVESTIGATION

RECOMMENDED FOR TRIAL BY GCM

DETENTION: TO HAVE \$ _____ PAY PER MO. FOR (1, 2, 3) MO(S) DETAINED FOR _____ MO(S)

AWARDED SPCM

AWARDED SCM

DATE OF MAST

DATE ACCUSED INFORMED OF ABOVE ACTION

SIGNATURE OF COMMANDING OFFICER

It has been explained to me and I understand that if I feel this imposition of nonjudicial punishment to be unjust or disproportionate to the offenses charged against me, I have the right to immediately appeal my conviction to the next higher authority within 5 days.

SIGNATURE OF ACCUSED

DATE

I have explained the above rights of appeal to the accused.

SIGNATURE OF WITNESS

DATE:

FINAL ADMINISTRATIVE ACTION

APPEAL SUBMITTED BY ACCUSED

DATED:

FORWARDED FOR DECISION ON:

FINAL RESULT OF APPEAL:

APPROPRIATE ENTRIES MADE IN SERVICE RECORD AND PAY ACCOUNT ADJUSTED WERE REQUIRED

DATE:

(Initials)

FILED IN UNIT PUNISHMENT BOOK:

DATE:

(Initials)

NAVPERS 1626/7 (Rev. 12-88) (BACK)

Figure 9-2.—Example of completed NAVPERS 1626/7 (back).

SUSPECTED OFFENSE(S). This describes the suspected offense(s) to the accused. The description should include the specific article(s) of the UCMJ that the accused is alleged to have violated.

GOVERNMENT EVIDENCE. This advises the accused of the information that the allegations are based on. It also informs the accused that, upon request, he or she is allowed to examine all available statements and evidence.

RIGHT TO REFUSE NJP. Unless the accused is attached to or embarked in a vessel (in which case he or she has no right to refuse NJP), this informs the accused of his or her right to demand trial by court-martial in lieu of NJP. The accused must also be informed

- of the maximum punishment imposable at NJP;
- that if he or she demands trial by court-martial, referral of the charges to trial by an SCM, an SPCM, or a GCM is possible;
- that he or she cannot be tried by a special court-martial (SPCM) over his or her objection; and
- that at an SPCM or a GCM he or she has the right to representation by counsel.

RIGHT TO CONFER WITH INDEPENDENT COUNSEL. Because an accused who is not attached to or embarked in a vessel has the right to refuse NJP, this informs the accused of his or her right to confer with independent counsel about his or her decision to accept or refuse the NJP. This advice must be given to make sure the record of that NJP is admissible in evidence against the accused should he or she ever be tried by court-martial. A failure to advise an accused properly of his or her right to confer with counsel, or a failure to provide counsel, will not, however, render the imposition of NJP invalid or make a ground for appeal. Therefore, if the command imposing the NJP desires that the record of the NJP be admissible for court-martial purposes, you must prepare the record of the NJP according to applicable service regulations and show that the accused

- was advised of his or her right to confer with counsel;
- either exercised his or her right to confer with counsel or made a knowing, intelligent, and voluntary waiver of this right; and

- knowingly, intelligently, and voluntarily waived his or her right to refuse NJP. All such waivers must be in writing.

HEARING RIGHTS. The accused is entitled to appear personally before the CO for the NJP hearing if he or she did not demand trial by court-martial, or if the right to demand trial by court-martial is not applicable. At such a hearing the accused is entitled to

- be informed of his or her rights under Article 31, UCMJ;
- be accompanied by a spokesperson provided by, or arranged for, the member (the proceedings should not be unduly delayed to permit the presence of the spokesperson, nor is the spokesperson entitled to travel or similar expenses);
- be informed of the evidence against him or her relating to the offense;
- be allowed to examine all evidence that the CO will rely on in deciding whether and how much NJP to impose;
- present matters in defense, extenuation, and mitigation, orally, in writing, or both;
- have witnesses present. These witnesses may include those adverse to the accused, upon request, if (a) their statements will be relevant, (b) they are reasonably available, (c) the cost of their appearance will not require reimbursement by the government, (d) their appearance will not unduly delay the proceedings, or (e) in the case of a military witness, will not necessitate their being excused from other important duties; and
- have the proceedings open to the public unless the CO determines that the proceedings should be closed.

FORMS

The form that you must use to record that the accused was informed of his or her prehearing rights will depend upon the status of the accused.

The accused's notification and election of rights as illustrated in appendixes A-1-b, A-1-c, and A-1-d of the JAGMAN, comply with the previous requirements of prehearing advice to the accused.

Use appendix A-1-b when the accused is attached to or embarked in a vessel.

Use appendix A-1-c when an accused is not attached to or embarked in a vessel and the command does not afford the accused the right to consult with a lawyer to assist the accused in deciding whether to accept or reject NJP. In this case the record of NJP will not be admissible for any purpose at any later court-martial.

Use appendix A-1-d when an accused is not attached to or embarked in a vessel and the command affords the accused the right to consult with a lawyer before deciding whether to accept or reject NJP.

The use and retention of the proper form is essential. Whatever form you use, attach it to the NAVPERS 1626/7 and retain it in the command's Unit Punishment Book (UPB).

In the event punishment is imposed at captain's mast and appendix A-1-d is used, or the accused is represented by a lawyer at the hearing, you will need to document the *Booker* rights advice on a page 13 of the member's service record book. This is necessary because appendix A-1-d stays in the command's UPB. If the member transfers out of the area and is later charged with offenses that are referred to a court-martial, the trial counsel (TC) can prove *Booker* rights advice was given with the page 13. As an example, the page 13 should state the following:

(Grade and name of accused) signed JAG Manual, appendix A-1-d, before his or her captain's mast which was held on *(date of captain's mast)*. The accused [talked to a lawyer before deciding whether to demand trial by court-martial in lieu of captain's mast] [gave up his or her right to talk to a lawyer before deciding whether to demand trial by court-martial in lieu of captain's mast]. The accused was advised that acceptance of NJP does not preclude further administrative action. In completing the remainder of the form, the accused did not demand trial by court-martial in lieu of captain's mast.

If the accused is represented by a military or civilian lawyer as a personal representative at his or her captain's mast, the following example should be made on a page 13:

(Grade and name of accused) received punishment at captain's mast on *(date)*. The accused was represented by a lawyer.

If the member refuses to sign the forms, simply record that you advised the member of his or her rights

but he or she declined to sign the forms. Note that the member must demand trial by court-martial and, if he or she fails to make such a demand, the command may proceed with NJP. Once all prehearing advice is given, the accused is ready for the XO's screening.

EXECUTIVE OFFICER'S SCREENING

The XO may screen a case by holding an informal hearing or may merely review the record of the accused and the report chit. If the XO has been given the power by the CO, he or she may dismiss the case, but may **never** impose punishment.

At the XO's screening mast, the accused is advised again of the right to refuse NJP and demand a trial by court-martial. At this point, the "Right to Demand Trial by Court-Martial" section of NAVPERS 1626/7 can be signed by the accused if it was not signed before. Be sure to get the witness' signature in this section also.

Remember that Article 15, UCMJ, does not give the right to refuse NJP to persons attached to vessels. Also remember that an accused not attached to or embarked in a vessel may elect at any time before imposition of NJP to refuse it and demand a court-martial. It is, then, possible for an accused to elect not to demand trial by court-martial at the XO's screening but later at captain's mast demand it, provided it is before any punishment is imposed.

Once the XO has conducted an inquiry, he or she has the option of referring the case to mast or dismissing it. The XO fills in the "Action of Executive Officer" section, noting the action he or she has taken. If the case is referred to the CO for mast, a formal hearing is set up.

THE HEARING PROCEDURE

Captain's mast is held at the time and place decided on by the CO. The XO, legal officer, or discipline officer normally assists the CO. Additionally, a master-at-arms will be present to keep order and call the accused to mast. Your function will be to have the service record of the accused and other associated documents available for the CO.

While local practices will come into play as far as setting up the mast and the formalities required, appendix A-1-e of the JAGMAN is the official guide for the NJP proceedings.

HEARING REQUIREMENTS

Except as noted in the following paragraph, NJP cases must be handled at a hearing whereby the

accused is allowed to exercise the foregoing rights. In addition, there are other technical requirements about the hearing and the exercise of the accused's rights.

Personal Appearance Waived

Part V, para. 4c(2), MCM, 2000, provides that if the accused waives his or her right to appear personally before the CO, he or she may submit written matters for consideration by the CO before the imposition of NJP. If the accused makes this election, inform the accused of his or her right to remain silent and that any matters submitted may be used against him or her at a trial by court-martial.

Notwithstanding the accused's expressed desire to waive his or her right to appear personally at the NJP hearing, he or she may be ordered to attend the hearing if the officer imposing NJP desires his or her presence. If the accused waives his or her personal appearance and NJP is imposed, the CO must make sure the accused is informed of the punishment as soon as possible.

Hearing Officer

Normally, the officer who actually holds the NJP hearing is the CO of the accused. COs and OICs are allowed to delegate their authority to hold the hearing to another officer under extraordinary circumstances. These circumstances must be unusual and significant rather than matters of convenience to the commander. This delegation of authority should be in writing and the reasons for it detailed. This delegation, however, does not include the authority to impose punishment. At such a hearing, the officer delegated to hold the hearing will receive all evidence, prepare a summarized record of matters considered, and send the record to the officer having NJP authority.

Personal Representative

The burden of getting a representative is on the accused. As a practical matter, the accused is free to choose anyone he or she wants—lawyer or a nonlawyer, an officer or an enlisted person. This freedom of the accused to choose a representative does not compel the command to provide lawyer counsel. Current regulations do not create a right to lawyer counsel at NJP, whereas such a right does exist at court-martial.

Representation by any lawyer who is willing and able to appear at the hearing is available to the accused. While a lawyer's workload may prevent the lawyer from appearing, a blanket rule that no lawyers will be

available to appear at Article 15 hearings would appear to contravene the spirit—if not the letter—of the law. It is, likewise, doubtful that a lawyer can lawfully be ordered to represent the accused. It is fair to say that the accused can have anyone who is able and willing to appear on his or her behalf without cost to the government. While a command does not have to provide a personal representative, it should help the accused get the representative he or she wants. In this connection, if the accused desires a personal representative, he or she should be allowed a reasonable time to get someone. Good judgment should be observed here, for such a period should be neither too short nor too long.

Witnesses

When the hearing involves controverted questions of fact about the alleged offenses, witnesses should be available to testify if they are present on the same ship or base or are otherwise available at no expense to the government. Thus, in a larceny case, if the accused denies that he or she took the money, the witnesses who can testify that the accused did take the money should be called to testify in person if they are available at no cost to the government. It should be noted, however, that no authority exists to subpoena civilian witnesses for an NJP proceeding.

Public Hearing

The accused is entitled to have the hearing open to the public unless the CO determines that the proceeding should be closed for good cause. The CO is not required to make any special arrangements to facilitate public access to the proceedings.

Publication of NJP Results

Authority to publish the results of NJP is granted by the JAGMAN, section 0115. You may publish the name, rate, offense(s), and disposition of the offender in the plan of the day (POD). Publish the results not later than 1 month after the imposition of NJP. If the NJP is appealed, publish the results not later than 1 month after the date the appeal is denied. If the POD is distributed to military personnel only, you may include all the details stated previously. If the POD is distributed to other than military personnel, NJP results may be published without the name of the accused.

POSSIBLE ACTIONS BY THE CO AT MAST

Any action taken by the CO at mast must be noted in the "Action of the Commanding Officer" section of

the reverse side of NAVPERS 1626/7. Possible actions include the following:

Dismissal With or Without Warning. This action is taken if the CO is not convinced by the evidence that the accused is guilty of an offense or decides that no punishment is appropriate in light of the accused's record and other circumstances. Dismissal, whether with or without a warning, is not considered NJP, nor is it considered an acquittal.

Referral to an SCM, SPCM, or a Pretrial Investigation under Article 32, UCMJ. The CO may, at his or her sole discretion, refer the charge(s) to an SCM, an SPCM or an Article 32 investigation. This will, of course, depend upon the severity of the charges.

Postponement of action. The CO may postpone any action on the NJP pending further investigation or for other good cause, such as a pending trial by civil authorities for the same offense.

Imposition of NJP. The CO may impose NJP and award any of the authorized punishments outlined in part V, para. 5, MCM, 2000.

AUTHORIZED PUNISHMENTS

If convinced by the evidence that the accused is guilty of the offense(s) and he or she deems punishment is appropriate, the CO has wide latitude to impose punishment. There are, however, limitations that are placed on the CO based upon his or her rank and the status of the accused.

LIMITATIONS

The maximum imposable punishment in any Article 15, UCMJ, case is limited by several factors that include the following:

The grade of the imposing officer: COs in grades O-4 to O-6 have greater punishment powers than officers in grades O-1 to O-3 (flag officers, general officers, and OEGCMJs have greater punishment authority than COs in grades O-4 to O-6).

The status of the imposing officer: Regardless of the rank of an OIC, his or her punishment power is limited to that of a CO in grades O-1 to O-3 (the punishment powers of a CO are commensurate with his or her permanent grade).

The status of the accused: Punishment authority is also limited by the status of the accused (Is the accused an officer or an enlisted person attached to or embarked in a vessel?).

Maximum punishment limitations apply to each NJP action and not to each offense. Note that there is a policy that all known offenses that the accused is suspected of should ordinarily be considered at a single Article 15 hearing.

MAXIMUM LIMITS—SPECIFIC

There are specific maximum limits on punishment that may be imposed on an individual. The accused's status as an officer, a warrant officer, or an enlisted person will determine on the type of punishment that may be imposed. Also, the rank of the official imposing the punishment is a limiting factor on the amount and type of punishment that may be awarded. Table 9-1 outlines the limits of authorized NJP punishments.

NATURE OF THE PUNISHMENT

There are eight specific types of punishment that may, under proper circumstances, be imposed as NJP. They are

- admonition and reprimand,
- arrest in quarters,
- restriction,
- forfeiture,
- extra duty,
- reduction in grade,
- correctional custody, and
- confinement on bread and water or diminished rations.

Remember, there are limitations that are based upon the CO's rank and the status of the offender.

Admonition and Reprimand

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. When imposed as NJP, the admonition or reprimand is considered to be punitive, unlike the nonpunitive admonition and reprimand. Punitive censure for officers must be in writing, although it may be either oral or written for enlisted personnel. Procedures for issuing punitive letters are detailed in the JAGMAN, section 0114. A sample punitive letter of reprimand is shown in the JAGMAN, appendix A-1-g.

Table 9-1. Maximum Punishments

| Imposed upon: | By: | Punishment authorized: |
|--|---|--|
| <p>Commissioned officers and warrant officers</p> | <p>OEGCMJ, an officer of general or flag rank in command, or designated principal assistant</p> | Punitive admonition or reprimand. |
| | | Arrest in quarters for not more than 30 consecutive days. |
| | | Restriction to specified limits, with or without suspension from duty, for not more than 60 consecutive days. |
| | | Forfeiture of not more than 1/2 of 1 month's pay per month for 2 months. |
| | <p>Any CO</p> | Admonition or reprimand. |
| | | Restriction to specified limits, with or without suspension from duty, for more than 30 consecutive days. |
| | <p>OIC</p> | <p><i>OICs do not have authority to impose NJP upon officers.</i></p> |
| <p>Enlisted personnel</p> | <p>COs of the grade of lieutenant commander (O-4) or above, or a principal assistant</p> | Admonition or reprimand. |
| | | Confinement on bread and water or diminished rations for not more than 3 consecutive days. (E-3 or below only, attached to or embarked on a vessel.) |
| | | Correctional custody for not more than 30 consecutive days. (E-3 or below only.) |
| | | Forfeiture of not more than 1/2 of 1 month's pay per month for 2 months. |
| | | Reduction of one paygrade (E-6 and below). <i>Reduction not imposable on Navy E-7 or above or Marine Corps E-6 or above.</i> |
| | | Extra duties for not more than 45 consecutive days. |
| | | Restriction to specified limits for not more than 60 consecutive days. |
| | <p>COs of the grade of lieutenant (O3) or below, or any commissioned OIC</p> | Admonition or reprimand. |
| | | Confinement on bread and water or diminished rations for not more than 3 consecutive days. (E-3 or below only, attached to or embarked on a vessel.) |
| | | Correctional custody for not more than 7 consecutive days. (E-3 or below only.) |
| | | Forfeiture of not more than 7 days' pay. |
| | | Reduction to the next inferior paygrade, if the grade from which demoted is within the promotion authority of the officer imposing the reduction. <i>Reduction not imposable on Navy E-7 or above or Marine Corps E-6 or above.</i> |
| | | Extra duties for not more than 14 consecutive days. |
| | | Restriction for not more than 14 consecutive days. |

Arrest in Quarters

This punishment is impossible only on officers. It is a moral restraint, as opposed to a physical restraint. It is similar to restriction, but has much narrower limits. The limits of arrest are set by the officer imposing the punishment and may extend beyond quarters. The term **quarters** includes military and private residences. The officer may be required to perform his or her regular duties as long as they do not involve the exercise of authority over subordinates.

Restriction

Restriction is the least severe form of deprivation of liberty. Restriction involves moral rather than physical restraint. The severity of this type of restraint depends on its duration and the geographical limits specified when the punishment is imposed. A person undergoing restriction may be required to report to a designated place at specified times, if reasonably necessary to make sure the punishment is being properly executed.

Restriction ashore means that an accused will be restricted to the limits of the command except, of course, at larger shore stations where the use of recreational facilities might be further restricted. Restriction and arrest in quarters are normally imposed by a written order detailing the limits thereof and usually requires the accused to log in at certain specified times during the restraint. Article 1103 of *U.S. Navy Regulations, 1990*, provides that an officer placed in the status of arrest or restriction will not be confined to his or her room unless the safety or the discipline of the ship requires such action.

Forfeiture

Forfeiture means a permanent loss of entitlement to the pay forfeited. A forfeiture applies to basic pay and to sea or foreign duty pay, but not to incentive pay or allowances for subsistence or quarters. The amount of forfeiture of pay is expressed in whole dollar amounts, not in fractions, and shows the number of months affected. An example of a properly stated forfeiture is to forfeit \$50 pay per month for 2 months.

If the punishment includes both reduction, whether or not suspended, and forfeiture of pay, the forfeiture must be based on the grade the accused is reduced to. Forfeitures are effective on the date imposed, unless suspended or deferred. Where a previous forfeiture is being executed, that forfeiture

will be completed before any newly imposed forfeiture will be executed.

Extra Duty

Extra duties involve the performance of duties in addition to those normally assigned to the person undergoing the punishment. Various types of duties may be assigned, including fatigue duties. The MCM prohibits extra duties that are a known safety or health hazard, those that are cruel and unusual, or those that are not sanctioned by the customs of the service involved.

When extra duties are imposed upon a petty officer or noncommissioned officer, the duties cannot be demeaning to his or her rank or position. The immediate CO of the accused normally designates the amount and character of extra duty. Such duties normally should not extend beyond 2 hours per day. Guard duty may not be assigned as extra duty. Extra duty is not performed on the individual's Sabbath, although that day will count as if such duty was performed.

Reduction in Grade

Reduction in paygrade is limited to one grade only for members in paygrades E-1 through E-6. E-7 through E-9 personnel cannot be reduced in grade at NJP. The grade from which reduced must be within the promotional authority of the CO imposing the reduction. See also the NAVMILPERSMAN, Article 1450-010, for additional information on reduction.

Correctional Custody

Correctional custody is a form of physical restraint of a person during either duty or nonduty hours, or both, and may include hard labor, extra duties, or fatigue duties. Awardees may perform military duty but not watches and cannot bear arms or exercise authority over subordinates. Specific regulations for administering correctional custody can be found in *Instructions for Administering Correctional Custody*, OPNAVINST 1640.7 series.

Time spent in correctional custody is not lost time. Correctional custody may not be imposed on paygrades E-4 and above. To assist commanders in imposing correctional custody, correctional custody units (CCUs) have been established at major shore installations. The local operating procedures for the

nearest CCU should be checked before correctional custody is imposed.

Confinement on Bread and Water or Diminished Rations

These punishments can only be awarded to E-3s and below if they are attached to or embarked in a vessel. These punishments involve physical confinement and are equivalent to solitary confinement because contact is allowed only with authorized personnel.

A medical officer must first certify in writing that the accused will suffer no serious injury and that the place of confinement will not harm the accused. **Diminished rations** is a restricted diet of 2,100 calories per day, and instructions for its use are detailed in SECNAVINST 1640.9 series.

APPEAL FROM NJP

A member who is awarded NJP and who believes the punishment unjust or disproportionate to the offense has the right to appeal the award to higher authority.

PROCEDURE

If punishment is imposed at NJP, the CO is required to make sure the accused is fully advised of his or her right to appeal. Refer to part V, para. 4c(4)(B)(iii), MCM, 2000, and the JAGMAN, section 0110e. An accused's acknowledgement of appeal rights should be signed by the accused and witnessed to prove that the accused was informed of his or her appeal rights. File this along with all the other papers in the accused's case file in the UPB.

A person punished under Article 15 may appeal the imposition of such punishment through proper channels to the appropriate appeal authority. If, however, the offender is transferred to a new command before filing his or her appeal, the immediate CO of the offender at the time the appeal is filed should send the appeal directly to the officer who imposed the punishment.

When the officer who imposed the punishment is in the Navy chain of command, the appeal will normally be sent to the area coordinator authorized to convene general courts-martial. A GCM authority superior to the officer imposing punishment may, however, set up an alternate route for appeals.

When the area coordinator is not superior in rank or command to the officer imposing punishment, or when the area coordinator is the officer imposing punishment, the appeal will be sent to the GCM authority next superior in the chain of command to the officer who imposed the punishment. An immediate or delegated area coordinator who has authority to convene GCMs may take action instead of an area coordinator if he or she is superior in rank or command to the officer who imposed the punishment.

For mobile units, the area coordinator with GCM authority is the area coordinator most accessible to the unit at the time of sending the appeal.

When the officer who imposed the punishment is in the chain of command of the Commandant of the Marine Corps, the appeal will be made to the officer next superior in the chain of command to the officer who imposed the punishment.

When the officer who imposed the punishment has been designated a CO for naval personnel of a multiservice command, the appeal will be made according to the JAGMAN.

A flag or general officer in command may, with the express prior approval of the Chief of Naval Personnel or the Commandant of the Marine Corps, delegate authority to act on appeals to a principal assistant. An officer who has delegated his or her NJP power to a principal assistant may not act on an appeal from punishment imposed by that assistant.

TIME

Appeals must be submitted in writing within 5 days of the imposition of NJP, or the right to appeal is waived in the absence of good cause shown. The appeal period runs from the date the accused is informed of his or her appeal rights. Normally, this is the day NJP is imposed. If an appeal is submitted more than 5 days after the imposition of NJP (less any mailing delays), the officer acting on the appeal determines whether good cause was shown for the delay in the appeal.

If it appears to the accused that good cause may exist that would make it impossible or extremely difficult to prepare and submit the appeal within the 5-day period, the accused should immediately advise the officer who imposed the punishment of the problems and request an extension of time. The officer imposing NJP determines whether good cause was

shown and advises the accused whether an extension of time is permitted.

UNIT PUNISHMENT BOOK

The UPB contains a record of all NJP hearings conducted by a command—not just those in which punishment was awarded—and is required by the MILPERSMAN. The form that is used to record NJP hearings is the NAVPERS 1626/7. When all actions have been completed on a particular NJP hearing, the space provided in the “Final Administrative Action” portion of the NAVPERS 1626/7 that indicates when the case record is filed in the UPB should be filled out. Although there is no requirement to do so, it is good administrative practice to attach all relevant documents on that particular case to the NAVPERS 1626/7.

There are no specific instructions as to the manner in which these cases should be filed in the UPB; however, the suggested procedure is to file cases in alphabetical order, chronological order by date, or a combination of both.

LOG ENTRIES

The *Standard Organization and Regulations of the U.S. Navy* (SORM), OPNAVINST 3120.32 series, prescribes the log entry for mast results afloat. Such an entry should be substantially in the format for the POD entry, and you should provide this information to the officer of the deck (OOD) for inclusion in the deck log. Although there is no Navywide requirement for logbooks ashore, you will find that logs are kept ashore pursuant to local instructions. Unless these local instructions require a different format, you should provide information about the mast results to the OOD in the same format that is used afloat.

SUMMARY

NJP is the lowest form of discipline available to COs to aid them in maintaining good order and discipline within the Navy. It is important for you, as a YN, to keep abreast of all requirements and procedures associated with the proper administration of NJP, not only because of its effect upon individuals, but also its effect upon the Navy.

ADMINISTRATIVE INVESTIGATIONS

Almost every YN will have contact with an administrative investigation, previously referred to as a JAGMAN investigation. The regulations that govern these investigations are contained in the *Manual of the Judge Advocate General* (JAGMAN) and JAGINST 5830.1 series.

The primary purpose of an administrative investigation is to provide the convening authority (CA) and reviewing authorities with adequate information upon which to base decisions. An administrative investigation searches out, develops, assembles, analyzes, and records all available information about the matter under investigation. As the name indicates, these investigations are purely administrative in nature and not judicial, although they can become the basis for judicial proceedings. The investigation is advisory in nature only; the opinions are not final determinations or legal judgments, nor are the recommendations made by the investigating officer (IO) binding upon the convening or reviewing authorities.

The type of investigation to be convened is determined by the purpose(s) of the inquiry, the seriousness of the issues involved, the time allotted for completion of the investigation, and the nature and extent of the powers required to conduct a thorough investigation. This section will concentrate on the most common administrative investigations, the command investigation and the litigation-report investigation. Courts of inquiry and boards of inquiry will also be discussed. Keep in mind, however, that many of the basic rules and principles discussed in this section also apply to other types of investigations. As is the case with any investigation, the primary function of an investigation is to gather information. Command investigations and litigation-report investigations do not have the power to designate parties and, therefore, do **not** have the collateral function of providing a hearing to a party.

TYPES OF INVESTIGATIONS

There are three types of administrative investigations: **command investigations**, **litigation-report investigations**, and **courts and boards of inquiry**. The importance of an administrative investigation cannot be stressed enough. It is not only an efficient management tool, but it can also be used in a wide variety of situations, ranging from proper disposition of claims to the timely

and accurate reply to public inquiry. Various directives establish requirements for conducting inquiries into specific situations. The *JAG Manual*, however, is the most inclusive. Some incidents involve conducting an inquiry for several different purposes that can be handled by one investigation; others may not. The CA must be careful to determine why an investigation is being conducted and what type of investigation will satisfy legal requirements.

An officer in command is responsible for initiating investigations of incidents occurring within his or her command or involving his or her personnel. If an officer in command feels that investigation of an incident by the command is impractical, another command can be requested to conduct the investigation.

If an incident requiring the convening of an investigation occurs at a place geographically distant from the command or the command deploys before an investigation can be completed, another command can be requested to conduct the investigation. This request should be made to the area coordinator in whose geographical area of responsibility the incident occurred.

A single investigation should be conducted into an incident involving more than one command. The investigation should be convened by the officer in command of any of the activities involved. If difficulties arise concerning who should convene the investigation, the common superior of all commands involved will determine who will convene it. If the conduct or performance of one of the officers in command may be subject to inquiry (as in the case of a collision between ships), the common superior of all the officers involved will convene the investigation.

Command Investigations

A command investigation is the most common of the administrative investigations and is used primarily for incidents that are of command interest only. For example, a command investigation would be used for the following:

- Property losses other than damage to or destruction of government quarters
- Death by apparent suicide of a military member at a location under military control
- Aircraft incidents, groundings, floodings, fires, and collisions not determined to be a major incident

Litigation-Report Investigations

When an incident or event is likely to result in claims or civil litigation against or for the Department of the Navy, the primary purpose of the resulting investigation is to prepare to defend the legal interest of the United States. A command that has an incident that may fit into this category should consult with a judge advocate at the earliest possible time to determine if this type of investigation is warranted. Incidents of this nature must be conducted under the direction and supervision of a judge advocate and protected from disclosure to anyone who does not have a need to know. Information obtained under these circumstances is known as **attorney work product** and is not considered discoverable evidence. If the investigation is not accomplished under JAG supervision and properly protected, all materials gathered during the investigation become evidence that is available to anyone filing suit against the government.

A litigation-report investigation is unlike a command investigation in that it must be conducted under the supervision and direction of a judge advocate and must be forwarded to the Judge Advocate General. It is similar to a command investigation, however, in that it may not investigate a major incident, designate parties, or involve a hearing.

Courts and Boards of Inquiry

Procedures for courts and boards of inquiry may be found in JAGINST 5830.1 series. These investigations use a hearing and are only appropriate when investigating a major incident. A major incident is defined as an incident that results in multiple deaths, substantial property loss, substantial harm to the environment, or a significant departure from the expected level of professionalism, leadership, or judgment.

Courts and boards of inquiry are conducted by hearing, may designate parties, and may subpoena witnesses. A court of inquiry consists of at least three commissioned officers, and a board of inquiry is made up of at least one commissioned officer. Courts of inquiry that have granted the parties those rights required under Article 31, UCMJ, may be further used as an Article 32 investigation if charges before a general court-martial are contemplated.

THE INVESTIGATORY BODY

Most command or litigation report investigations will be conducted by a commissioned officer, but a warrant officer, senior enlisted person, or civilian employee may also be used when the convening authority considers it appropriate. Investigating Officers (IOs) must be those individuals who are best qualified for the duty by reason of age, education, training, experience, length of service, and temperament. Unless impractical, the IO should be senior to any person whose conduct or performance of duty will be subject to inquiry. An expert may participate as IO or for the limited purpose of using his or her special experience. The report should make clear any participation by an expert. Counsel is not appointed for command investigation; however, litigation reports are conducted under the direct supervision and direction of a judge advocate.

Courts of inquiry consist of at least three commissioned officers and have appointed legal counsel for the court. A court reporter will be assigned, as all testimony must be recorded verbatim and under oath. Boards of inquiry consist of one or more commissioned officers and may have appointed legal counsel for the court.

APPOINTING ORDER

Any officer in command may order a command or litigation report investigation. For purposes of the JAGMAN, an officer in command means an officer authorized to convene any type of court-martial or authorized to impose disciplinary punishment under Article 15, *Uniform Code of Military Justice* (UCMJ). This also includes officers in charge (OICs). Courts and boards of inquiry must be convened by the general court-martial convening authority or an individual designated by the Secretary of the Navy.

Form of Appointing Order

An appointing order must be in official letter form, addressed to the IO of the one-officer investigation. When circumstances warrant, an investigation may be convened by an oral or message order. The IO must include the signed, written confirmation of oral or message orders in the investigative report.

Purpose of Appointing Order

The appointing order serves several purposes. It recites the specific purpose(s) of the investigation,

gives explicit instructions as to the scope of the inquiry, and directs the IO to the required witness warnings.

These instructions help the IO accomplish all the objects of the investigation, not just the CA's immediate objectives. For example, in the case of a vehicle accident involving a member of the naval service, the following aspects, among others, may be addressed:

- the CA who orders the investigation may be concerned whether local procedures regarding the use of government vehicles should be changed and whether disciplinary action may be warranted;
- the JAG may be concerned with a line-of-duty/misconduct determination; and
- the cognizant naval legal service office (NLSO) claims officer will be concerned with potential claims for or against the government.

Investigative Aspects

All administrative investigations are required to make findings of fact. In the typical investigation, the appointing order directs the IO to conduct a thorough investigation into all the circumstances connected with the subject incident and to report findings of facts, opinions, and recommendations concerning the following:

- The resulting damage
- The injuries to members of the naval service and their line of duty and misconduct status
- The circumstances attending the death of members of the naval service
- The responsibility for the incident under investigation, including any recommended administrative or disciplinary action
- Claims for and against the government
- Any other specific investigative requirements that are relevant, such as those contained in the JAGMAN

During the course of the investigation, on advice of the investigative body or on his or her own initiative, the CA may broaden or narrow the scope of the inquiry by issuing supplemental directions amending the appointing order.

Unless specifically directed by the appointing order, opinions or recommendations are not made. The

CA may require recommendations in general or in limited subject areas.

The appointing order may direct that testimony or statements of some or all witnesses be taken under oath and may direct that testimony of some or all witnesses be recorded verbatim. When an administrative investigation takes testimony or statements of witnesses under oath, it should use the oaths prescribed in JAGMAN 0212b.

Privacy Act Concerns

The Privacy Act requires that a Privacy Act statement be given to anyone who is requested to supply personal information in the course of an administrative investigation when that information will be included in a system of records. Note that witnesses will rarely provide personal information that will be retrievable by a witness' name or other personal identifier. Since such retrievability is the cornerstone of the definition of system of records, in most cases the Privacy Act will not require warning anyone, unless the investigation may eventually be filed under that individual's name.

Social security numbers should not be included in administrative investigation reports unless they are necessary to precisely identify the individuals involved, such as in death or serious injury cases. If a service member or civilian employee is asked to voluntarily provide their social security number for the investigation, a Privacy Act statement **must** be provided. If the number is obtained from other sources, the individual does not need to be provided with a Privacy Act statement. The fact that social security numbers were obtained from other sources should be noted in the preliminary statement of the investigation.

Warnings

If prosecution for a suspected offense under the UCMJ appears likely, the witness suspected of the offense should be warned under Article 31(b), UCMJ, and JAGMAN 0170. Appendix A-1-m of the JAGMAN shows the proper form to be used. The IO should collect all relevant information from all sources other than from those persons suspected of offenses, misconduct, or improper performance of duty before interviewing the suspect.

A member of the armed forces, before being asked to provide any statement relating to the origin,

incurrence, or aggravation of any disease or injury suffered, should be advised of the statutory right not to make such a statement. Appendix A-2-f of the JAGMAN contains a proper warning format and without this warning the statements are invalid.

Time Limits

The appointing order directs completion of the IO's report within 30 days of the date of the appointing order. JAGMAN 0202c established the following time limits for processing administrative investigations:

- The CA prescribes the time limit the fact-finding body has to submit its investigation. This period should not normally exceed 30 days from the date of the appointing order; however, this period may be extended for good cause. Always include requests and authorizations for extension as enclosures to the investigation.
- The CA and any subsequent reviewer each have 30 days (20 days in death cases) to review the investigation. Reasons for exceeding these time limits must be documented by the responsible endorser, and deviations must be requested and approved in advance by the immediate senior in command who will next review the investigation.

INVESTIGATIONS REQUIRED BY OTHER REGULATIONS

If an investigation is required under the JAGMAN, it must be conducted in addition to any other investigation required by other regulations. Situations in which two investigations may be required are listed in JAGMAN Article 0208a.

An administrative investigation is not required if there is no reason for the investigation other than possible disciplinary action. To avoid interference, an administrative investigation should not normally proceed at the same time as a law-enforcement type of investigation by the Federal Bureau of Investigations (FBI), NCIS, or local civilian law-enforcement units.

If an investigation is required for other than disciplinary action, the IO should communicate with the law-enforcement personnel, explaining the need for the administrative investigation, and request that the police investigators keep him or her informed of what information is obtained.

Other types of investigations that have additional instructions and guidance include the following:

- Safety investigations (OPNAVINST 5100.14 series)
- Aircraft accident reports and aircraft mishap investigations (OPNAVINST 3750.6 series)
- Accidental injury to personnel (OPNAVINST 5100.12 series)
- Admiralty (JAGINST 5880.1 series)
- Felonies involving both naval and civilian personnel (SECNAVINST 5820.1 series)
- Crimes involving exclusive NCIS jurisdiction (SECNAVINST 5520.3 series and OPNAVINST 5450.97 series)
- Security violations (OPNAVINST 5510.1 series)
- Stolen government property (SECNAVINST 5500.4 series)
- Claims for or against the government (JAGINST 5830.1 series)
- Postal violations (OPNAVINST 5112.6 series)

INVESTIGATIVE REPORT

The investigative report, submitted in letter form, consists of the following items:

- A preliminary statement
- Findings of fact
- Opinions
- Recommendations (will only be included if directed by the CA in the Appointing Order)
- Enclosures

Preliminary Statement

The purpose of the preliminary statement is to inform the convening and reviewing authorities that all reasonably available evidence was collected and that the directives of the CA have been met. The preliminary statement should refer to the appointing order and set forth the following information:

- The nature of the investigation
- Any limited participation by a member and/or the name of any individual who assisted and the

name and organization of any judge advocate general who assisted

- Any difficulties encountered in the investigation and the reasons for any delay
- If the evidence in the enclosures is in any way contradictory, a factual determination in the findings-of-fact section along with an explanation of the basis for that determination (this explanation should be reserved for material facts)
- Any failure to advise individuals of their rights
- The fact that all social security numbers were obtained from official sources
- An attorney work product statement when a claim, or litigation by or against the United States, is reasonably possible
- Any other information necessary for a complete understanding of the case

Do not include a synopsis of facts, recommendations, or opinions in the preliminary statement. These should appear in the pertinent sections of the investigative report. It is not necessary for the IO to provide an outline of the method used to obtain the evidence contained in the report. A preliminary statement does not eliminate the necessity for making findings of fact. Even though the subject line and preliminary statement may talk about the death of a person in a car accident, findings of fact must describe the car, time, place of accident, identity of person, and other relevant information.

Findings of Fact

Findings of fact must be as specific as possible as to times, places, persons, and events. Each fact comprises a separate finding. Each fact must be supported by testimony of a witness, statement of the IO, documentary evidence, or real evidence attached to the investigative report as an enclosure. Also, each enclosure on which the fact is based must be referenced. For example, the IO may not state, "The car ran over Seaman Doe's foot," without a supporting enclosure. He or she may, however, have Doe execute a statement such as, "The car ran over my foot." Include this statement as an enclosure and, in the findings of fact, state, "The car ran over Seaman Doe's foot," referencing enclosure (X). When read together, the findings of fact should tell the whole story of the incident without requiring reference back to the enclosures.

Opinions

Opinions are reasonable evaluations, inferences, or conclusions based on the facts. Each opinion must reference the findings of fact supporting it. In certain types of investigations, the CA will require the IO to make observations and provide opinions.

Recommendations

Recommendations are proposals derived from the opinions expressed, made when directed by the CA, and may be specific or general in nature. If corrective action is recommended, the recommendation should be as specific as possible.

Enclosures

The first enclosure to the investigative report is either the signed written appointing order and any modifications, or the signed written confirmation of an oral or message appointing order. Include any requests for extensions of time as enclosures, in addition to letters granting or denying such requests.

JAGMAN 0229a requires the IO to properly identify all persons involved in the incident under investigation with complete name, grade or title, service or occupation, and station or residence. The list of enclosures is a suggested place for ensuring compliance with that section.

Enclosures are listed in the order referenced in the investigative report. Separately number and completely identify each enclosure. Make each statement, affidavit, transcript of testimony, photograph, map, chart, document, or other exhibit a separate enclosure. If the IO's personal observations provide the basis for any finding of fact, a signed memorandum detailing those observations should be attached as an enclosure. Enclose a Privacy Act statement for each party or witness from whom personal information was obtained as an attachment to the individual's statement. The signature of the IO on the investigative report serves to authenticate all the enclosures.

Classification of Report

Because of the wide circulation of administrative investigative reports, classified information should be

omitted unless inclusion is essential. When included, however, the investigative report is assigned the classification of the highest subject matter contained in it. Encrypted versions of messages are not included or attached to investigative reports where the content or substance of such message is divulged. To assist in the processing of requests for release of investigations and to simplify handling and storage, declassify enclosures whenever possible. If the information in question cannot be declassified but contributes nothing to the report, consider removing the enclosure from the investigation with notification in the forwarding endorsement.

ACTION BY THE CONVENING AND REVIEWING AUTHORITIES

The IO submits the administrative investigative report to the CA, who reviews it and transmits it by endorsement to the appropriate superior officer. The endorsement will accomplish one of the following actions:

- Return the report for further inquiry or corrective action noting any incomplete, ambiguous, or erroneous action of the IO
- Forward the record, setting forth appropriate comments, recording approval or disapproval, in whole or in part, of the proceedings, findings, opinions, and recommendations

In line-of-duty/misconduct investigations, the CA is required to specifically approve or disapprove the line-of-duty/misconduct opinion.

SUMMARY

Your knowledge of the proper procedures involved with the conduct and preparation of the various types of administrative investigations is an important aspect of your duties as a YN. Additional information concerning these investigations can be found in chapter II of the *Manual of the Judge Advocate General* and JAGINST 5890.1 series. Whenever you are involved with working on an administrative investigation, you should take the time to review the applicable sections of the JAGMAN and JAGINST 5890.1 series to make sure all procedures and any special requirements are followed.

CHAPTER 10

AWARDS

Awards are important symbols of recognition and a means of publicly recognizing extraordinary, exceptionally meritorious, or conspicuously outstanding acts of heroism and other acts of service that are above and beyond that normally expected.

In this chapter we discuss how award recommendations are prepared using the information contained in the *Navy and Marine Corps Awards Manual*, SECNAVINST 1650.1 series.

POLICY CONSIDERATIONS

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.

Awards recognizing specific acts should be given as soon as possible after the act occurred. Recognition of sustained superior performance should normally be given at the termination of the period during which that person demonstrated that performance, such as at the end of the person's assigned tour of duty. A routine end-of-tour award **IS NOT** a part of the awards system.

ELIGIBLE PERSONNEL

Personnel eligible to receive awards include personnel in the naval service, the U.S. Marine Corps, reserve components, and the U.S. Coast Guard (when the Coast Guard or units thereof operate under the control of the Navy). Also eligible are U.S. Naval Academy midshipman and Naval Reserve Officer Training Corps (NROTC) midshipmen when serving on active duty.

Anyone who meets the eligibility criteria for an award may be recommended for it by any commissioned officer senior to the individual being recommended.

AUTHORITY TO APPROVE THE NAVY AND MARINE CORPS ACHIEVEMENT MEDAL

Per NAVADMIN 265/00, delegation of authority to approve the Navy and Marine Corps Achievement

Medal was granted by CNO to the commanding officer level. This authority extends to both the end-of-tour and special-achievement (NAMs), and there are no limitations to the number of awards issued by the awarding authority. This authority extends to all personnel permanently assigned to the command. It does not, however, extend to other service personnel. It also does not extend to foreign service personnel (SECNAV retains this authority).

RECOMMENDATION FOR AWARDS

As previously stated, a recommendation for an award may be submitted by any commissioned officer, senior to the individual being recommended, having knowledge of any act, achievement, or service which may warrant the award. A recommendation originated by other than the commanding officer of the individual concerned must be forwarded to the commanding officer for endorsement.

TIMELINESS

An award recommendation must be submitted as soon as possible following the act, achievement, or service upon which it is based if the awards system is to be successful.

Submit a recommendation for meritorious service when an individual's detachment is anticipated. When a reporting senior is being detached and feels that the service of a subordinate merits recognition, the Personal Award Recommendation Form, OPNAV 1650/3, should be completed for the observed period. It should be retained within the command, pending detachment of the individual. If at the time the current reporting senior feels the latter portion of the individual's tour merits recognition, the recommendation should be combined with the earlier one; if not, the recommendation of the predecessor should be forwarded for consideration on its own merits by the awarding authority empowered to approve the award.

An award for meritorious service terminating with retirement or separation should be processed so that the presentation may be made at the individual's current duty station.

PREPARATION

Prepare recommendations for personal awards on OPNAV Form 1650/3. Instructions for the preparation of the awards form can be found in chapter 2 of the *Awards Manual*. When additional space is required, add sheets of standard size paper. Use a separate form for each award being recommended.

SUMMARY OF ACTION

Since each award recommendation is evaluated on the merits of the justification, this part of the recommendation is required in all cases. Avoid generalities and excessive use of superlatives. Present an objective summary giving specific examples of the performance and manner of accomplishing it, together with the results and benefits derived.

NOTE: Some commands do **not** require summaries of action for NAMs. Local directives will govern in these cases.

CITATION

A proposed citation, which is a condensed version of the summary of action, must accompany the recommendation. Although a citation is laudatory and formal, it must be factual and contain no classified information. Non-combat citations are limited to 22 typewritten lines.

NOTE: Navy Commendation Medal and Navy and Marine Corps Achievement Medal citations are printed on special citation paper. The citations are limited in length to 7½ lines.

Opening Sentence

The citation begins with a standard phrase describing the degree of meritorious, professional, or heroic service as specified in the *Awards Manual* 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.

Statement of Heroic/Meritorious Achievement or Service

The second part of the citation identifies the recipient by name, describes specific duty assignments, 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 recommended. If duty was performed in combat, the citation should so state.

Commendatory Remarks

The third part of the citation states that the outstanding attributes, mentioned or implied, "reflected great credit upon him/herself and were in keeping with the highest traditions of the United States Naval Service."

SUBMISSION OF RECOMMENDATIONS

Two months should be allowed for the administrative processing of award recommendations. Allow 90 days if the award is submitted through a lengthy chain of command or during the summer months (late May through August).

Classified recommendations may be submitted; however, the highest classification which may be handled is SECRET. If information classified higher than SECRET is essential, submit it separately.

Recommendations may be sent by message or fax only in the most unusual circumstances, such as when the importance of a timely presentation justifies special handling.

Address recommendations directly to the awarding authority having jurisdiction over the individual at the time of the act or service. A list of awarding authorities is provided in the *Awards Manual*.

Awarding authorities may take one of the following actions:

- Approve the award
- Approve a lower award
- Disapprove the award
- Approve a higher award, if empowered to do so, or recommend a higher award to the appropriate authority
- Return the award for further clarification or justification

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 they are tailored to the recipient and cannot be reused. These letters are normally given at the command level, but can be issued by the next higher echelon in the command's chain of command.

In an LOA, begin by expressing thanks to the individual. In an LOC, begin by commending the individual for his or her support or accomplishments. Next, in both types of letters, 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 meaning.

SUMMARY

This chapter has dealt with the most common awards issued to personnel. The *Awards Manual* lists all other awards that may be issued, and detailed processing procedures. You will become very familiar with this manual as you gain experience. Remember: When in doubt, go to the manual.

CHAPTER 11

OFFICER DISTRIBUTION CONTROL REPORT (ODCR)

The *Format and Procedures for Validating the Officer Distribution Control Report (ODCR)*, BUPERSINST 1301.40 series, is provided to assist administrative officers in determining proper action to take regarding personnel accounting events that occur in the normal course of business at naval activities. As you take on more responsibilities as a YN, you will be required to work with ODCRs. You may be asked to verify the ODCR, type ODCR letter correction requests, type or prepare diary message reporting system entries, or forward copies of the ODCR to customer commands.

PREPARATION OF ODCR

COMNAVPERSCOM prepares an ODCR for each naval activity with officer billets authorized and officers on board in a temporary duty status. Officer billet and assignment information in the ODCR represents the computer data bank input by the Chief of Naval Operations (CNO); COMNAVPERSCOM; Enlisted Personnel Management Center (EPMAC); Manpower, Personnel and Training Information System (MAPTIS); Source Data System (SDS); and various other sources.

COMNAVPERSCOM prepares the ODCR monthly as a statement of account for Navy activities with a routine system for verifying information contained in the MAPTIS officer personnel data bank. The information is used to determine and evaluate officer personnel requirements.

VALIDITY OF THE ODCR

The validity of ODCR information depends upon the timely submission of accurate data to COMNAVPERSCOM through the Diary Message Reporting System (DMRS), SDS, and other pertinent reporting systems. Each activity should review its ODCR thoroughly when it is received, and correct all discrepancies found.

The ODCR reflects four specific types of information: **activity**, **administrative**, **personnel**, and

fitness report. Two copies of the ODCR are distributed to activities monthly. COMNAVPERSCOM distributes microfiche copies of appropriate ODCRs to the unit level via the type commanders.

DISTRIBUTION TO COMMANDS

When a Pay/Personnel Administrative Support System (PASS) Detachment supports an activity, the verification procedures described in this chapter are the responsibility of the PASS Detachment. However, it is still the responsibility of the unit commanding officer (CO) to ensure that information on the ODCR is correct. The supporting PASS Detachment will provide a copy of the ODCR to the command. The CO is responsible for validating the ODCR upon receipt, and the senior YN is normally tasked to do so on behalf of the commanding officer. If the data concerning an officer are incorrect on the ODCR, the officer's individual record at COMNAVPERSCOM is also incorrect.

VERIFICATION OF THE ODCR

Verify billet data and every item of officer data to ensure that they are complete and current. Note discrepancies and correct them following instructions contained in *Format and Procedures for Validating the Officer Distribution Control Report (ODCR)*, BUPERSINST 1301.40, enclosure (2). Error codes will be printed on the ODCR as an aid in spotting incorrect information. They do not cover all possible errors on the ODCR. For SDS and DMRS transactions, pay close attention to the ODCR date. Transactions applied after that date will be on the next ODCR.

For those activities supported by SDS, corrective actions using DMRS and ODCR submission have been replaced with the event entry capability. SDS is an automated, closed-loop reporting system. Feedback automatically updates the SDS mini-master record to reflect headquarters processing. Because those data are transmitted electronically, information contained in the ODCR (table 11-1) will reflect changes faster.

Table 11-1.—Data Elements Contained in the ODCR

| DATA ELEMENT | INFORMATION REQUIRED |
|--|--|
| Activity Name | The long activity title (26 positions maximum, including spaces). |
| Activity Code | A 10-digit identification code assigned by BUPERS. |
| Manpower Requirements Plan (MARP) | The OPNAV four-digit code by which Navy activities are classified functionally. |
| Activity Sponsor | The Resource Sponsor controlling billets authorized and organization manning for the activity. |
| Transaction Number and Date | The current revision to the Activity Manpower Document (AMD), used to record authorized billets on the ODCR. |
| Date of Report | A six-digit (YYMMDD) date representing the last day of the month for which the ODCR has been prepared. |
| Run Date | A six-digit (YYMMDD) date representing the day the ODCR was created. |
| Page | Sequential page number of the ODCR. |
| Desk Code | A four-position alphanumeric code indicating the BUPERS organizational unit responsible for the activity concerned. |
| Activity Mission Code (AMC) | A two-position alphanumeric functional activity grouping code assigned and used by PERS-4 for distribution purposes. |
| Unit Identification Code (UIC) | A five-digit code assigned the activity by the Comptroller of the Navy. |
| Action Officer Desk Code (AODC) | A two-position alphanumeric code identifying the action officer responsible for data written for the activity, in the Qualitative Master Data sets. |
| Billet Sequence Code (BSC) | A five-digit code assigned to each activity billet. |
| Billet Title | A description of the officer's primary duties. If two or more officers are filling the same billet, BSC and title will only be above the first officer's data line. If the officer has been gained to a billet not authorized by the AMD, billet title will read, "THIS BSC IS INVALID." |
| Billet Phase Indicator (BP) | If an asterisk is printed, it indicates that the officer's orders were written using the activity's new—but not yet effective—10-digit code. |
| Augment Indicator (AUG) | A one-position alphabetic code indicating the type of authorized billet: R = Reimbursable B = Base billets |
| Billet Designator (BILLET DESIG) | A four-digit designator code of the authorized billet. |
| Billet Grade (BILL GR) | A one-position alphabetic code indicating the grade authorized for each billet. |
| Primary Navy Officer Billet Classification (NOBC) | A four-digit code that identifies the occupational classification assigned to the billet. The assigned NOBC is a general statement of the duties to be performed. |

Table 11-1.—Data Elements Contained in the ODCR—Continued

| DATA ELEMENT | INFORMATION REQUIRED |
|--|--|
| Billet Subspecialty | A subspecialty code assigned to an officer, identifying advanced education, functional training, and significant experience in various fields and disciplines. |
| Functional Area Code (FAC) | An alphanumeric code used to identify a billet requiring special consideration in personnel assignment. |
| Current Allowance (CURR ALLOW) | Indicates current authorization, in three-digits, for the billet. |
| M+1 | Indicates the manpower requirements 1 month after mobilization. |
| Last FITREP Received | <p>Shows the most recently received and accepted Regular or Concurrent/Regular O-6-and-below Fitness Report. Reports may be from present or previous duty station. The data consists of three elements:</p> <p>From date: A four-digit (YYMM) fitness report date from block 14 of the FITREP</p> <p>Type of Report: A two-position code indicating type of report</p> <p>RG = Regular Report. X in block 17 of FITREP RF = Concurrent/Regular Report. Xs in blocks 17 and 18 of FITREP</p> <p>To date: A four-digit (YYMM) date from block 15 of the FITREP</p> |
| UIC Transfer (UIC TRF) | Indicates to the UIC that an officer is being transferred from or assigned to, if under orders. |
| Activity Where Assigned | An item consisting of a maximum of 13 spaces that may be used to display data concerning the status of the officer involved. |
| Security Code | Contains member's security clearance eligibility, member's current security clearance authority, and date member's investigation was completed (YYMM). |
| Officer Subspecialty (SUBSPECIALTY) 1 | A five-digit primary subspecialty code assigned to an officer, identifying advanced education, functional training, and significant experience in various fields and disciplines. |
| Aviation Commission Date and Submarine Service Control Date (ACD/SSCD) | <p>ACD = A six-digit date (YYMMDD) that identifies a constructive date to indicate total commissioned service, active or reserve, for all aviation commissioned officers.</p> <p>SSCD = A six-digit date (YYMMDD) that represents the last time the submarine service indicator was changed.</p> |
| Aviation Status Indicator and Submarine Status Indicator (ASI/SSI) | <p>ASI = A one-position alphabetic code that shows the current status of an Aviation Officer's Career Incentive Pay (ACIP) entitlement status.</p> <p>SSI = A one-position alphabetic code that indicates certain categories of entitlement to Submarine Duty Incentive Pay.</p> |
| Aviation Service Entry Date and Submarine Service Entry Date (ASED/SSSED) | <p>ASED = The six-digit date (YYMMDD) that an aviation officer first reported to an activity having aircraft in which basic flight training was received.</p> <p>SSSED = The six-digit date (YYMMDD) that a submarine officer graduates from sub school.</p> |

Table 11-1.—Data Elements Contained in the ODCR—Continued

| DATA ELEMENT | INFORMATION REQUIRED |
|---|--|
| Order Status (ORD) | A one-position alphabetic code representing present order status. |
| Officer's Name | The officer's name will not exceed 21 characters, including spaces. It will consist of all of the last name and as much of the rest of the name as possible. |
| Officer Sea Air Mariner (OSAM) | OSAM will be indicated by an asterisk (*) following the officer's name. |
| Social Security Number | A nine-position code, that is a unique identification of the member and his or her social security account. |
| Exceptional Family Member | A one-position code identifying the category assigned to each enrolling service member. Detailers use this information when negotiating future assignments. THERE ARE NO OTHER CAREER IMPACTS. |
| Primary Aeronautical Designator (PAD) | A one-position code used internally in BUPERS to classify officer personnel in the Navy aeronautical organization. |
| Sex | A one-position alphabetic code. M = Male F = Female |
| Designator (DESIG) | A four-digit code used to group billets and officers by categories for personnel accounting and administrative purposes, and to identify the status of officers. |
| Grade on Board (GR on BD) | A one-position alphabetic grade code of officer on board. |
| Date of Rank | A four-digit (YYMM) date of incumbent's present grade. |
| Estimated Loss Code/Date | The estimated date (YYMM) that the officer will be a loss to active naval officer strength. A one-letter loss code indicating reason for the loss precedes the date. Not all officers will have an estimated loss code and date. |
| Date Assigned Billet | A four-digit (YYMM) date assigned to the officer's current primary billet. |
| Estimated Date of Detachment (EST DATE DETACH) | A four-digit (YYMM) date representing the estimated date of detachment for an officer who has written orders. |
| Date Reported or Estimated Date of Arrival (EDA) | A six-digit (YYMMDD) date for an officer who has reported on board. The EDA will be shown as four digits (YYMM) for an officer who has not yet reported. |
| Projected Rotation Date (PROJ ROT DATE) | A four-digit (YYMM) date that is a planned rotation date used only as a planning aid, and subject to change by BUPERS. |
| Accounting Category Code (ACC) | A three-digit code indicating the accounting category in which officers are carried in active-duty accounts. |
| Duty Status Effective Date (DSED) | A four-digit date (YYMM) that reflects the most recent change to a member's onboard duty status, as indicated in the ACC entry. |
| Family Co-Location Identifier | A one-position alphabetic code may appear immediately after the DSED to broadly identify family members of an active duty sponsor. |

Table 11-1.—Data Elements Contained in the ODCR—Continued

| DATA ELEMENT | INFORMATION REQUIRED |
|---|---|
| Number of Dependents Residing in Sponsor's Household | A one-position code that identifies the total number of authorized family members residing at the same current duty station and local address as the active duty sponsor. |
| Date Dependent(s) Arrived at Overseas Station (DATE DOS) | A four-digit (YYMM) date indicating the date the officer's dependent(s) arrived at the overseas station. |
| Dependent(s) on Station Overseas (DOS) | A one-digit code that identifies the number of authorized (command-sponsored) dependents living on station or nonrotating ship homeported overseas. |
| Primary and Secondary Dependency Code (DEP) | A two-position code to identify the type and number of dependents. The first position identifies primary dependents (spouse and children) or marital status. The second position identifies the secondary dependents (dependent parent). A blank in either position indicates no qualified dependents in that category. |
| Aviation Billet Indication (ABI) | A one-position code that indicates an officer's current operational flying status, if applicable. |
| Months of Operational Flying (MOF) | The total number of months of operational flying that qualifies the officer for the 12- and 18-year gates. |
| Security Date (SEC DATE) | The type of security clearance performed on member, and the date on which the member's current security clearance was granted (YYMM). |
| Officer Subspecialty (SUBSPECIALTY) 2 | A five-digit secondary subspecialty code assigned to an officer identifying advanced education, functional training, and significant experience in various fields and disciplines, if applicable. |
| Nuclear Commission Date (NCD) | A six-position date (YYMMDD) equal to the first day a member served on active duty as a commissioned officer. |
| Nuclear Status Indicator (NSI) | A one-position alphabetic code that indicates the officer's entitlement to Nuclear Officer Incentive Pay (NOIP). |
| Nuclear Service Control Date (NSCD) | A six-digit date (YYMMDD) that gives the effective date associated with the NSI. |

DATA ELEMENTS CONTAINED IN THE ODCR

Data elements are listed in the order they appear on the ODCR, reading from left to right starting with “Activity Name” in the upper-left corner of the heading, and ending with “NSCD” in the lower-right corner of the heading. Use table 11-1 for guidance in completing the data elements of the ODCR.

ODCR MAINTENANCE

Keep the ODCR current by posting changes as they occur. That is a valuable asset to personnel management and will reduce the time required for the monthly verification.

Make pen changes to the ODCR for each item pertaining to an individual that is changed. Line through obsolete data and write the new data in the same column. In the right margin of the report, write the date the correction was made. Upon receipt of the new ODCR, transcribe pen changes from the old report that have not yet been applied to the new ODCR.

SUMMARY

The ODCR is a very important document that aids in the detailing of officer personnel. The accuracy of this document is vital to this purpose. It could be one of the most important documents you ever deal with. Don’t guess! If you have a question, ask your supervisor.

CHAPTER 12

OFFICER SERVICE RECORDS

In this chapter we discuss officer service records. Both local documents and the service record maintained by Commander, Naval Personnel Command (COMNAVPERSCOM) are covered. As a Yeoman, no matter where you are assigned, there is a good possibility that you will be required to work with officer-related documents.

CREATION, MAINTENANCE, AND USE OF OFFICER SERVICE RECORDS

Per NAVADMIN 229/00, the Officer Service Record will no longer be maintained for officers on full-time active duty. The permanent record is maintained at COMNAVPERSCOM in microfiche format.

NAVADMIN 229/00 did not eliminate requirements to prepare and forward documents that were previously filed in the Officer Field Service Record (OSFR), but it did redefine the distribution requirements for those documents. Local Personnel Offices/PSDs will maintain the following forms and ensure compliance with Privacy Act guidelines contained in SECNAVINST 5211.5 series:

- NAVPERS 1070/602, Dependency Application/Record of Emergency Data.
- DD93, Record of Emergency Data.
- SGLV-8286, Servicemembers' Group Life Insurance Election and Certificate.
- SGLV-8285, Request for Insurance, if applicable. (Mail originals to NAVPERSCOM (PERS-313C1).)

OFFICER PERMANENT PERSONNEL RECORD

The permanent officer record is maintained in the Commander, Naval Personnel Command (COMNAVPERSCOM) in Electronic Military Personnel Records System (EMPRS). Documents that reflect an officer's character, professional qualifications, fitness for service, performance of duties, entitlements, and that affect or influence a

member's career and benefits will be filed therein, per BUPERSINST 1070.27 series.

Documents filed in the officer permanent personnel record are placed in 1 of 18 categories based on the type of information in the document. Each category is assigned a unique field code to allow grouping of or control access to documents by type. When printed to microfiche, documents are printed on one of six microfiche. The following outlines categories of documents filed on each microfiche:

- Fiche No. 1
 01. Not used
 02. Latest photograph
 03. Fitness reports and attachments
 04. Medals, awards, and citations
- Fiche No. 2
 05. Educational data
 06. Qualifications data
 07. Appointments, promotions
 08. Reserve status
 09. Service determination, separation, retirement, casualty, death
 10. Miscellaneous professional history data
- Fiche No. 3
 11. Security investigations, clearances, personal history statement
 12. Record of emergency data
 13. Record changes
 14. Personal background data
 15. Miscellaneous personal data
- Fiche No. 4
 16. Orders
- Fiche No. 5
 17. Privileged information, adverse material, family advocacy program, medical boards, physical evaluation boards, prisoner of war (POW) data, etc.
- Fiche No. 6
 18. Enlisted record for officer with prior enlisted service.

Access to the record of an officer is normally limited to the officer concerned, an agent or a representative of the officer specifically authorized in writing, COMNAVPERSCOM, personnel who are required to review military service records in the performance of their official duties, boards convened by the Department of the Navy, courts-martial, and as directed by a court order signed by a judge.

Any information that is rightfully placed in the official record of an officer may not be removed except by special authorization of SECNAV. Once submitted to COMNAVPERSCOM, an official document becomes the property of the Navy Department and is not subject to change. A document may be amended or supplemented by correspondence forwarded via official channels. In such cases, the forwarding correspondence must be made a part of the document being amended or supplemented.

STANDARD FILING SEQUENCE

When documents are submitted or received on behalf of an officer, they are filed in the service record on the side and in the sequence indicated in table 12-1. Not all of the documents listed apply to all officers. Normally, only the current copy of each document is filed. In the table, a “T” identifies documents to be removed from the field service record and returned to the officer upon permanent change of station transfer.

SUMMARY

The information in this chapter was intended to provide you with an overview of the officer service record. Although it has covered the most important and most frequently occurring documents, there are other documents you may encounter. For additional information beyond the scope of this chapter, refer to the MILPERSMAN 1070-040.

Table 12–1.—Standard Filing Sequence

| LEFT SIDE <i>File in sequence, with the item designated "a" on top.</i> | RIGHT SIDE <i>File in sequence, with the item designated "a" on top.</i> |
|--|--|
| a. NAVPERS 5510/1, Record Identifier for Personnel Reliability Program | a. NAVPERS 1070/613, Administrative Remarks |
| b. OPNAV 5211/9, Record of Disclosure, Privacy Act of 1974 | b. NAVPERS 1070/605, History of Assignments |
| c. NAVPERS 5510/3, Personnel Reliability Program Screening and Evaluation Record | c. NAVPERS 1301/51, Officer Data Card |
| d. OPNAV 5520/20, Certificate of Personnel Security Investigation, Clearance and Access | d. NAVPERS 1070/125, Limited Duty/Warrant Officer History Card |
| e. (T) Official correspondence from current command (e.g., Letters of Appreciation and Commendation, temporary designation letters) | e. NAVRES 1301/4, Officer Qualification Questionnaire |
| f. Current PCD orders and all endorsements | f. NAVPERS 1210/5, Officer Qualifications Questionnaire |
| g. NAVRES 1321/1, Officer Application/ Orders for Inactive Duty Training, or | g. NAVCOMPT 3072, Dependency Station Action |
| h. NAVRES 1321/2, Inactive Duty Training Orders: Termination/Cancellation Modification | h. SGLV-8286, Servicemen's Group Life Insurance Election and Certificate |
| i. (T) Certificates from Navy schools, training, and correspondence courses | i. DD 1172, Application for Uniformed Services Identification Card/DEERS Enrollment (<i>current copy only</i>) |
| j. Personal and Unit Award Citations | j. NAVPERS 1070/602, Dependency Application/Record of Emergency Data |
| k. Letters of permanent warfare designation, significant qualifications, special duty assignments, and incentive pay | k. NAVPERS 1070/10, Officer Photograph Submission Sheet |
| l. OPNAV 5350/1, Drug and Alcohol Abuse Statement of Understanding | l. DD 214, Certificate of Release or Discharge from Active Duty (<i>ALL</i>) |
| m. DD 2366, Montgomery GI Bill (MGIB) Act of 1984 | m. NAVPERS 1200/1, Ready Reserve Transfer Request/Service Agreement |
| n. OPNAV 1780/1, Statement of Understanding—Selected Reserve Educational Assistance Program | n. NAVPERS 1421/7, Delivery of Temporary/ Permanent Appointment (<i>present grade</i>) |
| o. DD 2384, Selected Reserve Educational Assistance Program (GI Bill) Notice of Basic Eligibility | o. NAVPERS 1000/22, Acceptance and Oath of Office (<i>ALL</i>) |
| p. SF 85P, Questionnaire for Public Trust Positions | p. NAVCRUIT 1000/20, Officer Appointment, Acceptance and Oath of Office (<i>ALL</i>) |
| q. SF 86, Questionnaire for National Security Positions | q. NAVPERS 1070/74, Officer's Report of Home of Record and Place from Which Ordered on a Tour of Active Duty |
| r. DD 398-2, Personnel Security Questionnaire (National Agency Checklist), or | |
| s. DD 1879, Request for Personnel Security Investigation (PSI) (<i>if PSI pending</i>) | |
| t. DD 398, Personnel Security Questionnaire (BI/SBI) | |
| u. NAVPERS 1070/877, Statement of Service | |
| v. NRPC 1820/6, Notification of Eligibility for Retired Pay at Age 60 | |
| w. NAVCRUIT Forms, Officer Program Statement/ Service Agreement | |
| x. DD 1934, Geneva Conventions Identification Card for Medical and Religious Personnel who Serve in or Accompany the Armed Forces (<i>may be placed in envelope and stapled to inside, left cover</i>) | |

CHAPTER 13

TRAVEL, LEAVE PROCEDURES, AND PAY AND ALLOWANCES

Travel, leave, and pay are subjects very close to the heart of every Sailor and crucially important to the management of day-to-day business in the U.S. Navy. Records attendant to these areas of Navy life **must** be perfectly executed. It is the YN's responsibility to see that this happens. In virtually every job to which you may be assigned, you will be required to type, verify, complete, forward, and perform various other actions with regard to forms and reports in these areas. This chapter gives you a basic coverage of travel, leave, and pay. If you pay special attention to the topics covered and refer to the publications mentioned as resources, the information will serve you well throughout your career.

TRAVEL

Temporary additional duty (TEMADD) is the term used when an individual travels to a command or geographical area that is not the individual's permanent duty station. Travel may be for training, attending seminars, performing duties essential to the mission of the permanent duty station, sports competitions, and many other purposes. This section covers general procedures used for completing and processing TEMADD orders.

TEMADD Travel Orders, NAVPERS Form 1320/16, must be prepared for the individual on TEMADD to be reimbursed for personal expenses, travel arrangements and payments, and so that proper authority is aware of the individual's status.

TEMADD TRAVEL ORDER FORM

The parent command of the individual prepares the NAVPERS 1320/16 before the performance of travel. A block-by-block description follows in table 13-1.

NO-COST TEMADD ORDERS

There are times when an individual will be authorized to travel to a TEMADD station for the individual's own convenience and at the individual's own expense. The orders are prepared the same way, with the exception of blocks 2, 4, 17, 18, and 19. Enter

N/A in these blocks for no-cost TEMADD orders. Block 21 must contain a statement to the individual that restates the fact that no claim may be made for funds. Local directives will provide you with the exact wording required by your TEMADD fund controller.

PROCESSING COMPLETED TEMADD ORDERS

When the individual completes the TEMADD assignment, the orders must be liquidated in order to reimburse the individual for authorized expenses incurred or to determine if the individual owes the government money; that is, if expenses incurred are not equal to or greater than advances paid to the individual. The Travel Voucher or Subvoucher, DD Form 1351-2, is used for this purpose. The individual is primarily responsible for completing this form, but may need your assistance.

Most of the entries on the form are self-explanatory. However, some explanation for item 1 under the Mode of Travel and Reason for Stop columns is needed.

The entries for these blocks are found in block 25a on the reverse side of DD Form 1351-2. For brevity's sake, the types of travel and reasons for stopping are given in two letter codes. For travel, first you determine the means of travel used, and enter the letter code in blocks numbered 1 through 4, then the mode of travel, and enter the appropriate letter code in blocks 5 through 10. Likewise, the reason for stop codes is found in block 25b.

By looking at the unshaded and shaded areas, you can see that each mode of travel entry is adjacent to a departure (DEP) line entry, and each reason for stop entry is adjacent to an arrival (ARR) entry. Indicate in the appropriate blocks on the left side of block 1 the dates and times the individual departed and arrived at each stop during the TEMADD assignment. The center of the block indicates the command and geographical location of the TEMADD stops. The means of travel and the reason for stop codes are entered in the appropriate unshaded column.

Table 13-1.—TEMADD Travel Order Form Entries

| BLOCK NAME | INFORMATION REQUIRED | | | | | | | | | | | | |
|--|--|----------|--|---|-----------------------|----------|---|---------|-------------------------------------|----------|---------------------------------|------------|---|
| 1. From | Insert the complete name and address of the activity issuing TEMADD orders. | | | | | | | | | | | | |
| 2. Standard Document No. | <p>A 15-position alphanumeric number constructed as follows:</p> <table border="1" data-bbox="545 359 683 653"> <thead> <tr> <th data-bbox="545 359 683 390">POSITION</th> <th data-bbox="683 359 1383 390"></th> </tr> </thead> <tbody> <tr> <td data-bbox="545 390 683 422">1</td> <td data-bbox="683 390 1383 422">N (<i>for Navy</i>)</td> </tr> <tr> <td data-bbox="545 422 683 453">2 thru 6</td> <td data-bbox="683 422 1383 453">The UIC of the command originating the orders</td> </tr> <tr> <td data-bbox="545 453 683 485">7 and 8</td> <td data-bbox="683 453 1383 485">Last two numbers of the fiscal year</td> </tr> <tr> <td data-bbox="545 485 683 516">9 and 10</td> <td data-bbox="683 485 1383 516">TO (<i>for travel orders</i>)</td> </tr> <tr> <td data-bbox="545 516 683 653">11 thru 15</td> <td data-bbox="683 516 1383 653">The alphanumeric (<i>excluding the letters I and O</i>) serial number, using the TANGO number found in block 4.</td> </tr> </tbody> </table> <p style="text-align: center;">e.g., N3250696TO00001</p> | POSITION | | 1 | N (<i>for Navy</i>) | 2 thru 6 | The UIC of the command originating the orders | 7 and 8 | Last two numbers of the fiscal year | 9 and 10 | TO (<i>for travel orders</i>) | 11 thru 15 | The alphanumeric (<i>excluding the letters I and O</i>) serial number, using the TANGO number found in block 4. |
| POSITION | | | | | | | | | | | | | |
| 1 | N (<i>for Navy</i>) | | | | | | | | | | | | |
| 2 thru 6 | The UIC of the command originating the orders | | | | | | | | | | | | |
| 7 and 8 | Last two numbers of the fiscal year | | | | | | | | | | | | |
| 9 and 10 | TO (<i>for travel orders</i>) | | | | | | | | | | | | |
| 11 thru 15 | The alphanumeric (<i>excluding the letters I and O</i>) serial number, using the TANGO number found in block 4. | | | | | | | | | | | | |
| 3. To | Enter traveler's rank/grade, name and address (<i>normally duty station</i>). Some activities also require the phrase "and no others" on the line immediately following the name, preventing the addition of unauthorized personnel on the orders. | | | | | | | | | | | | |
| 4. TANGO No. | The number that is used to identify the order when the standard document number is not applicable. Only one TANGO number is assigned to each travel order. The last three are assigned sequentially throughout the fiscal year, beginning with "001." Do not duplicate the number during the fiscal year. Check with your supervisor or local TEMADD order directives to find out where you obtain TANGO numbers. | | | | | | | | | | | | |
| 5. SSN/Designator | Enter the person's SSN and designator. | | | | | | | | | | | | |
| 6. Date | Enter the date the orders are prepared. | | | | | | | | | | | | |
| 7. Ref | Enter any references that direct the travel of the individual or are pertinent to the purpose of the TEMADD. | | | | | | | | | | | | |
| 8. Individual Or Group Travel | Enter an "X" if the member is traveling individually, or as part of a group. | | | | | | | | | | | | |
| 9. Proceed On Or About | Enter the anticipated date on which the individual is required to commence travel. This block is to be used only for directive-type orders. | | | | | | | | | | | | |
| 10. Authorized Proceed On Or About | Used when authorization-type orders are issued. In no case will the date for commencement of travel be shown in both blocks 9 and 10 of the same order. | | | | | | | | | | | | |
| 11. Approximate Number Of Days | Indicate the number of days it is anticipated the member will be away from the duty station. | | | | | | | | | | | | |
| 12. Estimated Date Of Return | Enter the date the individual is expected to complete the TEMADD assignment and return to the permanent duty station. | | | | | | | | | | | | |
| 13. Itinerary | Enter the commands and geographical locations where the member is to report during the course of the TEMADD assignment, beginning with the permanent duty station. List the TEMADD station(s) in the order they will be visited, if there is more than one; end with the phrase "and return." | | | | | | | | | | | | |
| 14. TEMADD, TEMADDCON, TEMADDINS | Enter an "X" to indicate the type of TEMADD to which the individual is assigned. | | | | | | | | | | | | |
| 15. Reason For Travel | A brief, plain language description of the basic reason for the TEMADD, such as the name of a seminar being attended, an operational exercise, and so forth. | | | | | | | | | | | | |
| 16. Authorized To Visit Such Additional Places As May Be Necessary | This block should be used when the itinerary shown in block 13 is not firm and it is anticipated that the traveler may have to visit other activities in the same geographical areas listed in block 13. The use of this block should be avoided whenever possible. | | | | | | | | | | | | |

Table 13-1.—TEMADD Travel Order Form Entries Continued

| BLOCK NAME | INFORMATION REQUIRED | | | | | | | | | | | | |
|---|---|----------|--|---|--------------|----------|------------------|---|---|-----------|-------------------------------|-----------|----|
| 17. Fiscal Data Accounting Classification | The complete Accounting Classification Code, consisting of nine coding elements and the standard document number and its constructions can be found in the <i>Officer Transfer Manual</i> , NAVPERS 15559A, chapter 2. | | | | | | | | | | | | |
| 18. Estimated Cost | Enter the estimated costs of transportation, per diem, miscellaneous expenses, and the grand total in this block. The source of these estimates varies depending on local practice. Most personnel support detachments (PSDs) have a travel section that can arrange and provide transportation costs for getting the member to the TEMADD duty station(s). If the individual is to travel via a private vehicle, enter the total mileage allowance here. Per diem rates are found in the Joint Federal Travel Regulations (JFTR). Miscellaneous expenses cover such things as rental automobiles, taxi fares, training fees, and so forth. | | | | | | | | | | | | |
| 19. Customer Identification Code | <p>This is also a 15-character alphanumeric number. The positions are as follows:</p> <table border="1" data-bbox="548 688 683 947"> <thead> <tr> <th data-bbox="548 688 683 722">POSITION</th> <th data-bbox="683 688 1378 722"></th> </tr> </thead> <tbody> <tr> <td data-bbox="548 722 683 756">1</td> <td data-bbox="683 722 1378 756">3 (for Navy)</td> </tr> <tr> <td data-bbox="548 756 683 789">2 thru 7</td> <td data-bbox="683 756 1378 789">The TANGO number</td> </tr> <tr> <td data-bbox="548 789 683 823">8</td> <td data-bbox="683 789 1378 823">N</td> </tr> <tr> <td data-bbox="548 823 683 856">9 thru 13</td> <td data-bbox="683 823 1378 856">The UIC of the parent command</td> </tr> <tr> <td data-bbox="548 856 683 947">14 and 15</td> <td data-bbox="683 856 1378 947">7A</td> </tr> </tbody> </table> <p style="text-align: right; margin-right: 100px;"><i>e.g.</i>, 3800001N325067A</p> | POSITION | | 1 | 3 (for Navy) | 2 thru 7 | The TANGO number | 8 | N | 9 thru 13 | The UIC of the parent command | 14 and 15 | 7A |
| POSITION | | | | | | | | | | | | | |
| 1 | 3 (for Navy) | | | | | | | | | | | | |
| 2 thru 7 | The TANGO number | | | | | | | | | | | | |
| 8 | N | | | | | | | | | | | | |
| 9 thru 13 | The UIC of the parent command | | | | | | | | | | | | |
| 14 and 15 | 7A | | | | | | | | | | | | |
| 20. Item | Listing a pertinent item number from the reverse side of the NAVPERS 1320/16 brings the individual's attention to any requirements or restrictions connected with the TEMADD assignment. Listing the item number here in block 20 is a time-saving device since most of the items are general in nature and pertain to the majority of TEMADD assignments. | | | | | | | | | | | | |
| 21. Additional Comments And Instructions | Use this area to list requirements and restrictions that are not contained in the item numbers used in block 20. This area can also cover rental automobile authorization, mode of travel, and use of government quarters. Once again, check with the directives of the local TEMADD fund manager to obtain any standard phrases that may be required in this block. | | | | | | | | | | | | |
| 22. Security Clearance | Complete this block if the individual's TEMADD duties will require access to classified material. | | | | | | | | | | | | |
| 23. Authenticating Signature | The commanding officer can delegate this responsibility within the command. Check with your supervisor or command directives for the proper official to enter in this block. | | | | | | | | | | | | |
| 24. Transportation Request/NIAC Transportation Authorization Furnished | The office issuing any transportation tickets or authorizations for payment will enter the appropriate identifying numbers and itinerary in this block. | | | | | | | | | | | | |
| 25. Copy To | List official titles of the commands that have a need for copies of the TEMADD orders. | | | | | | | | | | | | |

The requirements for the number of copies to be prepared and the distribution of the copies are subject to local practice. The personnel support detachment (PSD) servicing your command will have specific directives for you to use in liquidating TEMADD orders.

LEAVE

Leave authorizes an individual to be absent from the place of duty. All members earn 30 days leave per year, and they are officially encouraged to use the entire 30 days. All personnel must be provided the opportunity to take leave annually, with the opportunity for at least one period of about 14 consecutive days.

ENTITLEMENTS

Leave is earned at the rate of 2.5 days per month for all personnel on active duty in the Navy, except for the following periods:

- Active duty of less than 30 consecutive days
- Active duty for training, with pay, of less than 30 consecutive days
- Lost time
- Excess leave or other periods in a nonpay status

The individual's monthly **Leave and Earnings Statement** (LES) and the commanding officer's leave listing received from the Defense Finance Accounting Service-Cleveland Center (DFAS-CL) are used to determine how many days of leave personnel have accrued. Both of these documents give a total balance of accrued leave as of the end of the statement's reporting period and how many days have been used during the current fiscal year. Since these reports are forwarded monthly, you need to add only the number of days earned in the current month to the total number of days reported on the statement to determine the up-to-date leave balance.

TRAVEL TERMS

There are a number of terms related to leave with which you should become familiar.

EARNED LEAVE. Leave accrued to a member as of any given date. You can have a negative number of days' leave accrued (called "in the hole"). A negative amount of leave must not exceed the amount of leave

that would normally be earned during the remaining period of obligated service. (See Excess Leave.)

ADVANCE LEAVE. Leave granted to a member before a member earns it. This gives the result of a negative leave balance. Advance leave should not be granted unless the member has sufficient service obligation to earn it back.

ANNUAL LEAVE. Leave granted within a command's normal leave program; also called ordinary leave.

CONVALESCENT LEAVE. A period of authorized absence granted to members who are under medical care. Such leave is part of the treatment prescribed and is **NOT** charged to the member's leave entitlement.

EMERGENCY LEAVE. Leave granted for a personal or family emergency that requires the member's presence. This is the only instance where granting leave that would become excess leave would be considered.

EXCESS LEAVE. Leave granted in excess of earned leave and advance leave during which the individual is not entitled to pay and allowances. Generally, a minus leave balance at the time of release from active duty, discharge, desertion, or death is considered excess leave. Normally, a member is required to pay the government back when an excess leave balance exists at separation.

LEAVE AUTHORIZATION

The Leave Request/Authorization, NAVCOMPT Form 3065, is used to request, authorize, and report leave that is not included with orders. Sections 1 and 3 through 22 of the NAVCOMPT Form 3065 are completed by the individual requesting the leave.

MILPERSMAN Article 1050-090 provides the guidelines concerning granting of leave and determining if a day is counted as leave against the member's account. The member cannot commence leave before the end of the member's working hours on a day of duty or that day will count as a leave day. If the member has no regular duties on that day, such as a weekend day, the leave can commence at any hour and the day will not be counted as a day of leave. The day of return from leave is counted as a day of leave, except when such return is made at or before the commencement of the member's normal working hours.

LEAVE PROCEDURES

MILPERSMAN Article 1050-100 gives detailed procedures to be followed when personnel request, depart on, and return from leave. Instructions for the assignment of the leave control number in Block 2 of the NAVCOMPT Form 3065, distribution of the copies of the NAVCOMPT Form 3065, and leave tickler procedures are also given.

PAY AND ALLOWANCES

Pay is broken down into three types: **basic**, **special**, and **incentive**. You should learn these three types of pay and, in general, the requirements for entitlement. The actual amount of pay may change from year to year, depending on Congressional budgetary actions. Current amounts are given in changes to the listed manuals. Another main source of information for current pay rates is your local disbursing office. It is in your best interest that you maintain a good working relationship with the personnel serving in the disbursing office.

BASIC PAY

Basic pay is a monthly salary earned by all personnel on active duty, based on the paygrade and the number of years of service. Service counted for basic pay purposes consists of active and inactive service for certain military organizations. Medical and Dental Corps officers receive credit for their training as civilians. The *Department of Defense Financial Management Regulation* (DODFMR), DOD 7000.14-R, part one, chapter 1, lists the creditable service used for computing basic pay.

SPECIAL PAYS

Entitlement to special pays is linked to the member's status, professional qualifications, or duty assignment. Special pays are broken down in part one of the DODFMR.

INCENTIVE PAYS

Many members may also be entitled to incentive pay. Incentive pay is also referred to as **hazardous duty pay** since this type of pay is given to members whose duty subjects them to abnormal hazards. Incentive pays are contained in part two of the DODFMR.

ALLOWANCES

An allowance is an amount of money paid to a member to provide for facilities, services, or goods, such as food (subsistence) or government quarters, when they are not provided by the Navy, or to offset some additional living expenses created by a service-related duty requirement. The following allowances are found in part three of the DODFMR:

- Basic Allowance for Subsistence (BAS)
- Basic Allowance for Housing (with or without dependents) (BAH)
- Family Separation Housing (FSH)
- Clothing Monetary Allowances—Enlisted Member
- Officers' Uniform and Equipment Allowance
- Personal Money Allowance

Eligibility for allowances is not quite as evident from the title as most pays are. BAH entitlement can be earned by claiming a variety of different types of dependents or, for a single member, where he or she is stationed. There are two levels of FSH payments, depending on the circumstances of the separation. Check these out carefully in the DODFMR so you are aware of all the combinations that can create an entitlement.

MISCELLANEOUS PAYMENTS

Part four of the DODFMR gives the various reasons where a member may receive one of the above pay or allowances outside of normal payment procedures. A member may receive a pay before earning it (such as advance basic pay in connection with a permanent change of station) or be given an allowance ahead of actual entitlement (such as advance BAS given before a member goes on leave). A member may be mentally incompetent or physically unavailable (missing, MIA, or POW), but entitlement continues and dependents still need to be provided for. Chapters 1 through 3 of part four of the DODFMR provide this information.

Members separating from the service may be entitled to certain other payments. Chapter 4 of part four of the DODFMR also provides information on pay given for leave not used before separation, severance pay, money due to a member if a contract agreement with the Navy was canceled, and other instances.

TRAVEL ALLOWANCES

The pays and allowances given above are derived from the DODFMR and are usually paid on a regular basis to a member or are based on a regularly received pay or allowance. When a member and/or dependents are required to travel or move, on either a temporary or permanent basis, and have been issued orders placing them in a travel status, there exists another set of allowances that are paid to offset expenses created by the move.

The expenses incurred as a result of temporary or permanent travel or moves are divided into the following categories:

- **Transportation costs** can be offset in three ways: by a flat mileage allowance, by transportation furnished by the government in a government vehicle, or by a Transportation Request that can be used to purchase tickets for travel on commercial carriers (airlines, railroads). The mileage allowance is payable to both the member and dependents, with the rate per mile based on the status of the individual. An official table of distances is used to determine the number of miles between the different duty stations.

- **Lodging and food allowances** are reimbursed to the member for this expense as a combination of BAS

and per diem. Per diem is a daily rate that varies widely with geographical location. Payment of per diem is also affected by the availability and use of government quarters and messing facilities. The amount payable as dislocation allowance (DLA) is equal to 2½ months of the entitled member's basic allowance for housing. Some overseas stations where temporary family lodging costs are high will have a temporary lodging allowance that takes the family's expenses into account during the course of a permanent change of station move.

- **Miscellaneous cost** is the catchall for expenses not covered by any of the above listed allowances. One example would be taxi fare from an airport to a hotel when the member is on a temporary additional duty trip.

SUMMARY

This chapter briefly discussed travel, leave procedures, and pay and allowances. As a YN, in the customer service area, you will be asked questions about these topics. Since these topics ultimately affect a person's pay, be careful of your response. If you aren't sure of your answer, or can't find it in writing, talk to your supervisor.

CHAPTER 14

TECHNICAL ADMINISTRATION

As a Yeoman, you will be asked to prepare many different types of correspondence and documents. These are in addition to the ones that have previously been discussed in foregoing chapters. This chapter covers those assignments that are governed by local policy and may be different from those that you are familiar with and have performed at past duty stations. Most of these assignments will be handed to you in a “rough” (hand-written, double-spaced from a typewriter or computer printout) form. Most of the time, your supervisor will make a copy of the document, make changes to it, and ask you to prepare the rough into a smooth copy. The following are examples of some of the kinds of documents you will be asked to prepare.

- School quota requests
- Manpower authorization change requests
- Officer social roster
- Designation letters
- Recall bills
- Muster reports
- Command telephone directories
- Command history
- Inspection results
- Command SORM
- Speeches
- Liberty passes
- Plan of the day/week
- Welcome aboard letters
- Frocking letters
- Responses to letters of indebtedness
- Statement of service
- Casualty documents

These are just some of the documents you may be asked to prepare. Most of them are governed by local policy; that is, they are prepared according to the wishes of the local commanding officer or other

official. Keep in mind, though, that you will more times than not have a ready reference or example of the document right in your office. If you can't find an example to follow, and one isn't given to you, ask your supervisor for assistance. Make it your business to become familiar with local policy governing these documents so you are prepared whenever you are asked to perform a task.

OFFICER/CHIEF PETTY OFFICER FITNESS REPORTS

The *Navy Performance Evaluation and Counseling System*, BUPERSINST 1610.10 series, is the only authority used to prepare officer fitness reports (FITREPs) and should be consulted in every phase of preparation.

Navy Regulations require that records be maintained on officers and chief petty officers “which reflect their fitness for the service and performance of duties.” FITREPs form a primary basis for selecting officers for advanced training, specialization or subspecialization, duty assignment, promotion, and command.

FITREPs are subject to the Privacy Act of 1974. Report drafters and reporting seniors may maintain notes and records of performance for their personal use as memory aids, provided these materials are safeguarded to prevent unauthorized disclosure, are not circulated to anyone else, and are used openly while counseling the officer. Reporting seniors should retain copies of FITREPs for at least 5 years. If requested, additional copies of FITREPs may be provided to the officer reported on but may not be given or shown to any other unauthorized person. Commands should maintain logs of FITREPs submitted and periods covered but may not, under any circumstances, retain copies, preparation notes, worksheets, or any other documents relating to FITREPs in command files.

You will be required to type forms in conjunction with FITREPs. **The requirements for confidentiality are very strict.** You must become acquainted with the regulations regarding FITREPs and conform with

them very carefully. You will be given drafts to type and they must be done very accurately. It will pay off for you to learn how to do FITREPs neatly and with no errors.

ENLISTED EVALUATIONS

The *Navy Performance Evaluation and Counseling System*, BUPERSINST 1610.10 series, is the only authority used in the preparation of enlisted evaluations (EVALs) and should be consulted in every phase of preparation.

Navy Regulations require that records be maintained on enlisted persons “which reflect their fitness for the service and performance of duties.” Enlisted performance EVALs are used in many personnel actions, including advancement in rate, selection for responsible assignments and specialized training, award of the Good Conduct Medal, qualification for retention and reenlistment, and characterization of service upon discharge.

EVALs must cover, day for day, all periods of enlisted service on active duty or in drilling Reserve programs, except during initial entry training.

As with officer FITREPs, EVALs are very important documents in a military person’s career.

You must handle them with utmost caution and confidentiality.

MAINTENANCE OF OFFICE EQUIPMENT

You are required to be able to operate a typewriter/computer and office duplicating machines. You should know how to give proper routine care to any machine you operate and should make that care a habit. You should acquaint yourself with the instruction manuals that came with your equipment. Other kinds of maintenance may be dictated by local policy. Consult with your supervisor and those individuals in your office who are responsible for equipment maintenance for assistance.

SUMMARY

As stated previously in this chapter, you will be asked to perform various tasks of a routine nature. Keep in mind as you travel from one command to the next, that all commands, although similar in nature, will have their own differences. The one thing that has been stressed in this NRTC is, if you don’t know, ASK. You are not expected to know everything; no one does.

APPENDIX I

GLOSSARY

- ABBREVIATION**—A shortened form of a written word or phrase used in place of the whole.
- 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.
- ALLOWANCE**—Monetary entitlement paid to a member to provide for facilities, services, or goods.
- BAH**—Basic allowance for housing.
- BAS**—Basic allowance for subsistence.
- BUMED**—Bureau of Naval Medicine
- BUPERS**—Bureau of Naval Personnel.
- CA**—Convening authority, used in naval justice matters.
- CACO**—Casualty Assistance Calls Officer.
- CACP**—Casualty Assistance Calls Program.
- CENTRALIZED FILES**—A filing system wherein the official files of a command are maintained in one centralized location.
- CHNAVPERS**—Chief of Naval Personnel.
- CLASSIFIED MATERIAL**—Any matter, document, product, or substance on or in which classified information is recorded or embodied.
- CLASSIFYING**—As used in correspondence filing, the process of determining the correct subject group codes under which correspondence should be filed.
- CLEARANCE**—As used in relation to classified information, an administrative determination by competent authority that an individual is eligible for access to classified information of a specific classification category.
- CODING**—As used in correspondence filing, the process of writing the file number or codes on the papers to be filed.
- CONFIDENTIAL**—The security classification category used to identify material the unauthorized disclosure of which could reasonably be expected to cause damage to the national security.
- DECENTRALIZED FILES**—A filing system wherein the official files of a command are maintained in the department having primary responsibility for the subject matter of the files.
- DIRECTIVE**—An instruction, notice, or change transmittal.
- DOD**—Department of Defense.
- DON CAF**—Department of the Navy Central Adjudicating Facility.
- DODFMR**—Department of Defense Military Pay and Allowance Entitlements Manual.
- DON**—Department of the Navy.
- DON ISP**—Department of the Navy Information Security Program.
- DON PSP**—Department of the Navy Personnel Security Program.
- DSS**—Defense Security Service.
- DTG**—Date-time group.
- ENLTRANSMAN**—Enlisted Transfer Manual.
- EPMAC**—Enlisted Personnel Management Center.
- EVAL**—Enlisted performance evaluation report.
- FITREP**—Officer fitness report.
- FOUO**—For Official Use Only.
- FSH**—Family separation housing.
- GCM**—General court-martial, used in naval justice matters.
- JAGMAN**—Manual of the Judge Advocate General.
- JFTR**—Joint Federal Travel Regulations.

JULIAN DATE—The consecutive day of the calendar year.

LES—Leave and earnings statement.

MANMED—Manual of the Medical Department.

MAPTIS—Manpower, Personnel, and Training Information System.

MCM—Manual for Courts-Martial, United States.

MILPERSMAN—Naval Military Personnel Manual.

NAC—National agency check.

NAVCOMPT—Navy Comptroller.

NAVMEDCOM—Naval Medical Command.

NEC—Navy Enlisted Classification Code.

NJP—Nonjudicial punishment.

NTI—Navy Travel Instructions.

ODCR—Officer Distribution Control Report.

OFFTRANSMAN—Officer Transfer Manual.

PASS—Pay/Personnel Administrative Support System.

PAY—Monetary entitlement based on professional services performed by a member.

PER DIEM—The allowance authorized to cover the cost of quarters, subsistence, and other necessary incidental expenses related to travel.

PR—Periodic reinvestigation.

PRP—Personnel Reliability Program.

PSD—Personnel Support Detachment.

PSI—Personnel security investigation.

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.

SCM—Summary court-martial, used in naval justice matters.

SDSPROMAN—Source Data System Procedures Manual.

SECRET—The security classification category used to identify material the unauthorized disclosure of which could reasonably be expected to cause serious damage to the national security.

SNDL—Standard Navy Distribution List.

SORM—Standard Organization and Regulations of the U.S. Navy.

SPCM—Special court-martial, used in naval justice matters.

SSBI—Single-Scope Background Investigation.

TEMADD—Temporary additional duty.

TICKLER—System used to remind report preparer when recurring reports are due.

TOP SECRET—The security classification category used to identify material the unauthorized disclosure of which could reasonably be expected to cause exceptionally grave damage to the national security.

UCMJ—Uniform Code of Military Justice.

UPB—Unit Punishment Book.

ZIP CODE—Zone improvement plan; a five- or nine-digit number that identifies each postal delivery area in the United States.

APPENDIX II

REFERENCES USED TO DEVELOP THE TRAMAN

NOTE: Although the following references were current when this NRTC was published, their continued currency cannot be assured. Therefore, you need to be sure that you are studying the latest revision.

Chapter 1

Navy Customer Service Manual, NAVEDTRA 14056, Naval Education and Training Command, Pensacola, FL, 1993.

Navy Enlisted Manpower and Personnel Classifications and Occupational Standards, NAVPERS 18068F, Commander, Naval Personnel Command, Washington, DC, 2001.

Chapter 2

Decedent Affairs Manual, NAVMEDCOMINST 5360.1, Chief Bureau of Medicine and Surgery, Washington, DC, 1987.

Department of Defense Military Pay and Allowances Entitlements Manual (DODFMR), DODFMR 7000.14R, Comptroller of the Department of Defense, Washington, DC, 1996.

Department of the Navy Correspondence Manual, SECNAVINST 5216.5D, Secretary of the Navy, Washington, DC, 1996.

Department of the Navy Directives Issuance System, SECNAVINST 5215.1C, Secretary of the Navy, Washington, DC, 1970.

Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes (SSIC), SECNAVINST 5210.11D, Secretary of the Navy, 1987.

Department of the Navy Forms Management Program, SECNAVINST 5213.10D, Secretary of the Navy, Washington, DC, 1992.

Department of the Navy Information Requirements (Reports) Management Program, SECNAVINST 5214.2B, Secretary of the Navy, Washington, DC, 1988.

Department of the Navy (DON) Information Security Program (ISP) Regulation, SECNAVINST 5510.36, Secretary of the Navy, Washington, DC, 1999.

Department of the Navy (DON) Personnel Security Program (PSP) Regulation, SECNAVINST 5510.30A, Secretary of the Navy, Washington, DC, 1999.

Department of the Navy Social Usage and Protocol Handbook, OPNAVINST 1710.7, Chief of Naval Operations, Washington, DC, 1979.

Diary Message Reporting System Users Manual (DMSRMAN), 1080#1 UM-02, Enlisted Personnel Management Center, New Orleans, LA, 1996

Enlisted Transfer Manual (TRANSMAN), NAVPERS 15909G, Navy Personnel Command, Millington, TN, 1998.

Format and Procedures for Validating the Officer Distribution Control Report (ODCR), BUPERSINST 1301.40, Bureau of Naval Personnel, Washington, DC, 1995.

Joint Federal Travel Regulations (JFTR), NAVSO P-6034, Per Diem Travel, and Transportation Allowance Committee, Department of Defense, Washington, DC, 1995.

Manual for Courts-Martial (MCM), United States, 2000.

Manual of Advancement, BUPERSINST 1430.16D, Chief of Naval Personnel, Washington, DC, 1991.

Manual of Navy Officer Manpower and Personnel Classifications, Volumes I and II, NAVPERS 15839I, Commander, Naval Personnel Command, Washington, DC, 2001.

Manual of the Judge Advocate General (JAGMAN), JAGINST 5800.7C, Judge Advocate General, Alexandria, VA, 1990.

Manual of the Medical Department (MANMED), NAVMED P-117, Chief, Bureau of Medicine and Surgery, Washington, DC, 1996.

Naval Military Personnel Manual (MILPERSMAN), NAVPERS 15560C, Commander, Naval Personnel Command, Millington, TN, 2001.

Naval Telecommunications Procedures and Users Manual (NTP-3J), Naval Computer and Telecommunications Command, Washington, DC, 1997.

Navy and Marine Corps Awards Manual, SECNAVINST 1650.1F, Office of the Secretary, Washington, DC, 1991.

Navy and Marine Corps Records Disposition Manual, SECNAVINST 5212.5D, Secretary of the Navy, Washington, DC, 1998.

Navy Casualty Assistance Calls Program (CACP) Manual, BUPERSINST 1770.3, Chief of Naval Personnel, Washington, DC, 1995.

Navy Performance Evaluation and Counseling System, BUPERSINST 1610.10, Bureau of Naval Personnel, Washington, DC, 1995.

Navy Stock List of Forms and Publications, NAVSUP P-2002, Naval Aviation Support Office, Philadelphia, PA, Quarterly.

Officer Transfer Manual, NAVPERS 15559B, Commander, Naval Personnel Command, Millington, TN, 1998.

Register of Commissioned and Warrant Officers of the United States Naval Reserve NAVPERS 15009, Bureau of Naval Personnel, Millington, TN. (Available on BUPERS CD-ROM or from BUPERS website only.)

Register of Retired Commissioned and Warrant Officers, Regular and Reserve, of the United States Navy, NAVPERS 15939, Bureau of Naval Personnel, Millington, TN. (Available on BUPERS CD-ROM or from BUPERS website only.)

Temporary Additional Duty (TEMADD) Travel Management Control, BUPERSINST 4650.19, Chief of Naval Personnel, Washington, DC, 1995.

United States Navy Regulations, 1990, Secretary of the Navy, Washington, DC, 1990.

United States Navy Uniform Regulations, NAVPERS 15665I, Commander, Naval Personnel Command, Millington, TN, 2001.

U.S. Navy Travel Instructions (NTI), NAVSO P-1459, Office of the Comptroller, Washington, DC, 1992.

Chapter 3

Department of the Navy Correspondence Manual, SECNAVINST 5216.5D, Secretary of the Navy, Washington, DC, 1996.

Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes (SSIC), SECNAVINST 5210.11D, Secretary of the Navy, Washington, DC, 1987.

Standard Naval Distribution List (SNDL), OPNAVNOTE 5400, Chief of Naval Operations, Washington, DC, 2001.

Chapter 4

Department of the Navy Correspondence Manual, SECNAVINST 5216.5C, Secretary of the Navy, Washington, DC, 1983.

Navy Official Mail Management Instructions, OPNAVINST 5218.7B, Chief of Naval Operations, Washington, DC, 1998.

Navy Telecommunications Procedures and Users Manual (NTP-3J), Naval Computer and Telecommunications Command, Washington, DC, 1997.

Standard Naval Distribution List (SNDL), OPNAVNOTE 5400, Chief of Naval Operations, Washington, DC, 2001.

Standard Organization and Regulations of the U.S. Navy (SORM), OPNAVINST 3120.32C, Chief of Naval Operations, Washington, DC, 1994.

Chapter 5

Department of the Navy Correspondence Manual, SECNAVINST 5216.5C, Secretary of the Navy, Washington, DC, 1983.

Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes (SSIC), SECNAVINST 5210.11D, Secretary of the Navy, Washington, DC, 1987.

Naval Telecommunications Procedures and Users Manual (NTP-3J), Naval Computer and Telecommunications Command, Washington, DC, 1997.

Navy and Marine Corps Records Disposition Manual, SECNAVINST 5212.5D, Secretary of the Navy, Washington, DC, 1998.

Standard Organization and Regulations of the U.S. Navy (SORM), OPNAVINST 3120.32C, Chief of Naval Operations, Washington, DC, 1994.

Chapter 6

Department of the Navy, Directives Issuance System, SECNAVINST 5215.1C, Secretary of the Navy, Washington, DC, 1970.

Standard Naval Distribution List (SNDL), OPNAVNOTE 5400, Chief of Naval Operations, Washington, DC, 2001.

Chapter 7

Department of the Navy Information Requirements (Reports) Management Program, SECNAVINST 5214.2B, Secretary of the Navy, Washington, DC, 1988.

Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes (SSIC), SECNAVINST 5210.11D, Secretary of the Navy, Washington, DC, 1987.

Department of the Navy Forms Management Program, SECNAVINST 5213.10D, Secretary of the Navy, Washington, DC, 1992.

Navy and Marine Corps Records Disposition Manual, SECNAVINST 5212.5D, Secretary of the Navy, Washington, DC, 1998.

Chapter 8

Department of the Navy (DON) Information Security Program (ISP) Regulation, SECNAVINST 5510.36, Secretary of the Navy, Washington, DC, 1999.

Department of the Navy (DON) Personnel Security Program (PSP) Regulation, SECNAVINST 5510.30A, Secretary of the Navy, Washington, DC, 1999 .

Standard Naval Distribution List (SNDL), OPNAVNOTE 5400, Chief of Naval Operations, Washington, DC, 2001.

Chapter 9

Legalman, NAVEDTRA 14135, Naval Education and Training Command, Pensacola, FL, 1994.

Manual for Courts-Martial (MCM), United States, 2000.

Manual of the Judge Advocate General (JAGMAN), JAGINST 5800.7C, Judge Advocate General, Alexandria, VA, 1990.

Naval Military Personnel Manual (MILPERSMAN), NAVPERS 15560C, Commander, Naval Personnel Command, Millington, TN, 2001.

Standard Organization and Regulations of the U.S. Navy (SORM), OPNAVINST 3120.32C, Chief of Naval Operations, Washington, DC, 1994.

United States Navy Regulations, Secretary of the Navy, Washington, DC, 1990.

Chapter 10

Navy and Marine Corps Awards Manual, SECNAVINST 1650.1F, Secretary of the Navy, Washington, DC, 1991.

Chapter 11

Format and Procedures for Validating the Officer Distribution Control Report (ODCR), BUPERSINST1301.40, Chief of Naval Personnel, Washington, DC, 1995.

Chapter 12

Naval Military Personnel Manual (MILPERSMAN), NAVPERS 15560C, Commander, Naval Personnel Command, Millington, TN, 2001.

Chapter 13

Department of Defense Military Pay and Allowances Entitlements Manual (DODFMR), DODFMR 7000.14R, Comptroller of the Department of Defense, Washington, DC, 1996.

Naval Military Personnel Manual (MILPERSMAN), NAVPERS 15560C, Commander, Naval Personnel Command, Millington, TN, 2001.

Officer Transfer Manual, NAVPERS 15559B, Navy Personnel Command, Millington, TN, 1998.

Chapter 14

Navy Performance Evaluation and Counseling System, BUPERSINST 1610.10, Chief of Naval Personnel, Washington, DC, 1995.

United States Navy Regulations, Secretary of the Navy, Washington, DC, 1990.

Assignment Questions

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," chapter 1, pages 1-1 through 1-12; and "Official Publications and Directives," chapter 2, pages 2-1 through 2-7.

- 1-1. Which of the following statements best defines the Navy's occupational standards (OCCSTDs)?
1. Minimum standards of knowledge only
 2. Minimum standards of knowledge and skill
 3. Maximum standards of knowledge only
 4. Maximum standards of knowledge and skill
- 1-2. Which of the following terms best describes the word Yeoman?
1. A secretary
 2. An administrator
 3. An administrative assistant
 4. A receptionist
- 1-3. During general quarters, which of the following duties might a Yeoman perform?
1. Messenger
 2. Phone talker
 3. Status board writer
 4. Each of the above
- 1-4. Aboard ship, what office is responsible for maintaining the ship's master instructions?
1. Captain's office
 2. Ship's office
 3. Operations office
 4. Weapons office
- 1-5. Who maintains the ship's office?
1. Administrative officer
 2. Supply officer
 3. Executive officer
 4. Operations officer
- 1-6. The general appearance of an office can be greatly affected by which of the following actions?
1. Working one job at a time
 2. Sweeping the floor
 3. Putting things away
 4. Emptying the trash
- 1-7. Of the following ways to arrange desks in an office, which one is NOT the proper way?
1. Everyone has enough light
 2. Everyone is in a position to assist customers
 3. Some individuals have their backs to the reception area
 4. There is enough space to move around
- 1-8. To qualify for YN3, you must pass a performance test by typing a minimum of how many words per minute?
1. 25
 2. 30
 3. 35
 4. 40

- 1-9. To qualify for YN2, you must pass a performance test by typing a minimum of how many words per minute?
1. 25
 2. 30
 3. 35
 4. 40
- 1-10. As a yeoman, for which NEC can you qualify?
1. YN-2514
 2. YN-2513
 3. YN-2512
 4. YN-2511
- 1-11. Of the following paygrades, which one is NOT authorized entry into the Legalman rate?
1. E-2
 2. E-3
 3. E-4
 4. E-5
- 1-12. Information on Navy schools may be obtained from which of the following publications?
1. MILPERSMAN
 2. CANTRAC
 3. Advancement Manual
 4. ENLTRANSMAN
- 1-13. What is a Yeoman's most important quality?
1. Voice
 2. Appearance
 3. Attitude
 4. Personality
- 1-14. Taking pride in your appearance and acting militarily correct will improve working relationships.
1. True
 2. False
- 1-15. What is the one trait looked for, required, and even demanded of a Yeoman?
1. Assertiveness
 2. Honesty
 3. Aggressiveness
 4. Intelligence
- 1-16. Of the following ratings, which one is NOT responsible for providing direct service to personnel?
1. HM
 2. BM
 3. YN
 4. PN
- 1-17. The structure of the Navy tends to foster which of the following attitudes in its members?
1. Personal
 2. Impersonal
 3. Positive
 4. Negative
- 1-18. People are people, and you can't change human nature.
1. True
 2. False

- 1-19. If you feel you cannot assist an irate customer, what should you do?
1. Ask the customer to leave until you can assist them
 2. Ask the customer to have a seat in the back of the office until he/she calms down
 3. Bring the problem to the attention of your supervisor
 4. Yell back at the customer to show him/her how it feels
- 1-20. You must serve a customer who is emotionally upset. In these circumstances, what is the best approach to take?
1. Detached and stern
 2. Calm and confident
 3. Enthusiastic and easygoing
 4. Composed and skeptical
- 1-21. You should react to an unpleasant customer in which of the following ways?
1. Keep the contact as impersonal as possible
 2. Concentrate on the problem
 3. Ignore the person's manner and attitude
 4. Each of the above
- 1-22. When you jump to a conclusion, you are actually making a decision based on which of the following factors?
1. Apathy
 2. Rudeness
 3. Misunderstanding
 4. Incomplete information
- 1-23. When a contact point representative reacts adversely to a customer, the representative is most often reacting to which of the following characteristics of the customer?
1. Speech
 2. Attitude
 3. Gestures
 4. Appearance
- 1-24. The assumption that an individual possesses certain characteristics because of ethnic origin defines what term?
1. Jumping to conclusions
 2. Stereotyping
 3. Prejudice
 4. Racism
- 1-25. Which of the following characteristics interferes with effective communication?
1. Cultural differences
 2. Physical problems
 3. Speech habits
 4. Each of the above
- 1-26. When a customer is having difficulty understanding, which of the following speech habits should increase understanding?
1. Speaking very quickly
 2. Speaking more distinctly
 3. Speaking in an exaggerated accent
 4. Speaking in the customer's dialect
- 1-27. When a customer requests something that must be denied, your agreement with a customer on current Navy policy could increase which of the following customer reactions?
1. Anger
 2. Irritation
 3. Loss of respect
 4. Resentment or frustration
- 1-28. The duties, responsibilities, authority, distinctions, and relationships of various commands, officials, and individuals are outlined in which of the following publications?
1. Standard Organization and Regulations of the U.S. Navy
 2. Naval Military Personnel Manual
 3. Manual of the Judge Advocate General
 4. United States Navy Regulations

- 1-29. Who is responsible for making changes to U.S. Navy Regulations?
1. Secretary of Defense
 2. Secretary of the Navy
 3. Chief of Naval Operations
 4. Chairman, Joint Chiefs of Staff
- 1-30. What publication issues regulations and guidance governing the conduct of all U.S. Navy members?
1. Manual of the Judge Advocate General
 2. Manual for Courts-Martial
 3. Standard Organization and Regulations of the U.S. Navy
 4. U.S. Navy Regulations
- 1-31. Under the authority of the Military Justice Act, who issued the Manual for Courts-Martial?
1. Secretary of Defense
 2. Secretary of the Navy
 3. Chief of Naval Operations
 4. President of the United States
- 1-32. Information concerning limitation on punishments imposed at NJP is contained in which of the following publications?
1. Corrections Manual
 2. U.S. Navy Regulations
 3. Manual for Courts-Martial
 4. Naval Military Personnel Manual
- 1-33. Instructions regarding the procedures to follow in conducting administrative investigations are contained in which of the following publications?
1. Manual for Courts-Martial
 2. Manual of the Judge Advocate General
 3. U.S. Navy Regulations
 4. Naval Military Personnel Manual
- 1-34. The Navy Military Personnel Manual (MILPERSMAN) is issued under what authority?
1. Manual of the Judge Advocate General
 2. Manual for Courts-Martial
 3. Standard Organization and Regulations of the U.S. Navy
 4. U.S. Navy Regulations
- 1-35. Changes and distribution of the Military Personnel Manual are approved by whom?
1. Secretary of the Navy
 2. Chief of Naval Personnel
 3. Deputy Chief of Naval Personnel
 4. Secretary of Defense
- 1-36. Which of the following authorities covers the protection of classified information in the U.S. Navy?
1. U.S. Navy Regulations
 2. Navy Correspondence Manual
 3. Naval Military Personnel Manual
 4. DON Information Security Program
- 1-37. The DON Information Security Program Regulation is issued by whom?
1. Chief of Naval Operations
 2. Director, Naval Intelligence
 3. Director, Naval Criminal Investigative Service
 4. Secretary of the Navy
- 1-38. The DON ISP contains procedures for classifying, marking, and handling of classified information.
1. True
 2. False

- 1-39. The Manual for the Navy Casualty Assistance Calls Program (CACP) is also known as what instruction?
1. JAGINST 1770.1
 2. BUPERSINST 1770.3
 3. NAVMEDCOMINST 1770.1
 4. CACPINST 1770.1
- 1-40. What authority publishes the Decedent Affairs Manual?
1. Naval Personnel Command
 2. Secretary of the Navy
 3. Bureau of Medicine and Surgery
 4. Chief of Naval Personnel
- 1-41. The Manual of Navy Officer Manpower and Personnel Classifications is issued in how many volumes?
1. One
 2. Two
 3. Three
 4. Four
- 1-42. Which publication contains a lineal list of officer personnel?
1. Navy Register
 2. Officer Transfer Manual
 3. Officer Distribution Control Report
 4. Manual of the Navy Officer Manpower and Personnel Classifications
- 1-43. The U.S. Navy Uniform Regulations is prepared and distributed by whom?
1. Secretary of Defense
 2. Secretary of the Navy
 3. Chief of Naval Personnel
 4. Chief of Naval Operations
- 1-44. The purpose of the Officer Transfer Manual is to improve awareness of distribution procedures and to make the assignment process more efficient.
1. True
 2. False
- 1-45. The Joint Federal Travel Regulations (JFTR) is issued in a total of how many volumes?
1. One
 2. Two
 3. Three
 4. Four
- 1-46. What volume of the JFTR applies to all federal civilian employees?
1. One
 2. Two
 3. Three
 4. Four
- 1-47. The U.S. Navy Travel Instruction (NTI) is issued jointly by which of the following agencies?
1. CNO and Comptroller of the Navy
 2. CNO and COMNAVPERSCOM
 3. SECNAV and SECDEF
 4. CNO and SECNAV
- 1-48. What manual is issued for the information, guidance, and compliance of all personnel in the administration of military pay?
1. DODPM
 2. SDSPROMAN
 3. MILPERSMAN
 4. ENLTRANSMAN

- 1-49. What volume of the SDSPROMAN provides details for terminal operation and event reporting?
1. I
 2. II
 3. III
 4. IV
- 1-50. The Passenger Transportation Manual consists of nine chapters. As a YN, you should familiarize yourself with which of the following chapters?
1. Chapters 1, 2, and 3
 2. Chapters 2, 4, and 5
 3. Chapters 3, 4, and 5
 4. Chapters 4, 5, and 6
- 1-51. Of the following manuals, which one provides information on retirement ceremonies?
1. Naval Military Personnel Manual
 2. Enlisted Transfer Manual
 3. Social Usage and Protocol Handbook
 4. Navy and Marine Corps Awards Manual
- 1-52. What authority covers matters pertaining to decorations and medals?
1. Navy and Marine Corps Awards Manual
 2. Navy Social Usage and Protocol Handbook
 3. Naval Military Personnel Manual
 4. U.S. Navy Regulations
- 1-53. What instruction covers the ordering, custody, and disposition of Navywide examinations?
1. BUPERSINST 1430.16
 2. SECNAVINST 5210.11
 3. OPNAVINST 3120.32
 4. OPNAVINST 5510.1
- 1-54. The Navy Standard Subject Identification Codes (SSIC) are used for which of the following purposes?
1. Classifying subjects
 2. Identifying directives
 3. Setting up filing systems
 4. Each of the above
- 1-55. To which of the following publications should you refer to find the proper addressing of mail to an activity of the Department of the Navy?
1. SSIC
 2. SNDL
 3. NAVSO
 4. DODPM
- 1-56. Of the following results, which is/are the goals of the Records Disposal Act?
1. Preservation of records
 2. Destruction of temporary records
 3. Retirement and transfer of records
 4. All of the above
- 1-57. To what part or table of SECNAVINST 5215.1 should you refer for information on preparation and maintenance of directives?
1. Part I
 2. Part II
 3. Table 1
 4. Table 2
- 1-58. Which of the following instructions ensures that Navy forms provide needed information effectively, efficiently, and economically?
1. SECNAVINST 5121.5
 2. SECNAVINST 5213.10
 3. SECNAVINST 5214.2
 4. SECNAVINST 5215.1

1-59. Which of the following instructions sets forth the policy and responsibilities for the management of information requirements of the Department of the Navy?

1. SECNAVINST 5212.5
2. SECNAVINST 5213.10
3. SECNAVINST 5214.2
4. SECNAVINST 5215.1

1-60. When new forms and publications are needed, the supply department prepares a DOD Single Line Item Requisition System Document, DD Form 1348.

1. True
2. False

ASSIGNMENT 2

Textbook Assignment: "Correspondence/Message System," chapter 3, pages 3-1 through 3-23; "Processing Correspondence Messages," chapter 4, pages 4-1 through 4-6; and "Correspondence/Message Files and Disposal," chapter 5, pages 5-1 through 5-10.

- 2-1. How many types of naval correspondence are there?
1. Five
 2. Six
 3. Three
 4. Four
- 2-2. Copies to each "Via" addressee and "Copy to" addressee can be prepared as an original document to keep cost down on paper supplies.
1. True
 2. False
- 2-3. Except for the top of letterhead paper and the bottom of the last page, what size margin is required at the top, bottom, and sides of a naval letter?
1. 1 inch
 2. $\frac{1}{2}$ inch
 3. $\frac{3}{4}$ inch
 4. $1\frac{1}{2}$ inch
- 2-4. You are preparing a standard Navy letter and "In reply refer to" is not printed on the letterhead. In what position should the sender's symbols start?
1. First line below letterhead, 1 inch from the right edge
 2. First line below letterhead, $\frac{1}{2}$ inch from the right edge
 3. Second line below letterhead, 2 inches from the right edge
 4. Second line below letterhead, $2\frac{1}{2}$ inches from the right edge
- 2-5. In which of the following circumstances is it mandatory that a naval letter be serialized?
1. When the letter is addressed outside the command
 2. When the letter is addressed inside the command
 3. When the letter contains adverse material
 4. When the letter contains classified material
- 2-6. On what day should a standard naval letter be dated?
1. Day the letter is prepared in the rough
 2. Day the letter is prepared in the smooth
 3. Day the letter is submitted for signature
 4. Day the letter is signed
- 2-7. In what position on a standard letter should a special postal service designation be typed or stamped?
1. Right margin on the first line below the date
 2. Right margin on the second line below the date
 3. Left margin on the first line below the date
 4. Left margin on the second line below the date

- 2-8. If a standard letter has two "Via" addressees, which of the following number or letter sequences is correct?
1. (a) (b)
 2. (1) (2)
 3. a. b.
 4. 1. 2.
- 2-9. Usually, the subject line of a letter is about how many words?
1. 10 words or less
 2. 10 words or more
 3. 15 words or less
 4. 15 words or more
- 2-10. Of the following letter configurations, which one is the correct way to identify a reference in the reference line of a standard letter?
1. (A)
 2. (a)
 3. A
 4. a
- 2-11. When an enclosure to a letter is being sent under separate cover, how should it be identified in the enclosure line of the letter?
1. SC
 2. S.C.
 3. (SC)
 4. (sep cover)
- 2-12. The signature page of a letter must contain at least how many lines of text?
1. One
 2. Two
 3. Three
 4. Four
- 2-13. What is the proper placement of the signature information on a standard naval letter?
1. At the center of the page, two lines below the last line of text
 2. At the center of the page, four lines below the last line of text
 3. Ending flush with the right margin, two lines below the last line of text
 4. Ending flush with the left margin, four lines below the last line of text
- 2-14. The page number of a standard letter should be centered at the top of the page $\frac{1}{2}$ inch from the top edge.
1. True
 2. False
- 2-15. What type of stationery is used for the first page of a joint letter?
1. Letterhead of the senior originating command
 2. Plain bond
 3. Letterhead of the activity having the greatest interest in the subject
 4. White manifold
- 2-16. Where are the words JOINT LETTER typed?
1. One line above the SSIC information, left margin
 2. One line above the SSIC information, centered
 3. One line below the date
 4. Two lines below the date

- 2-17. When a multiple-address letter is mailed, photocopies of the letterhead copy with signature are authorized.
1. True
 2. False
- 2-18. Same-page endorsements are appropriate in which of the following conditions?
1. A minimum of three lines of endorsement text must appear on the signature page of the basic letter
 2. The basic correspondence and the endorsement must bear the same security classification
 3. The endorsement comments are brief and few or no record copies are required
 4. The originator has requested a reply within 3 working days
- 2-19. What type of paper should be used for a new-page endorsement?
1. Letterhead
 2. Plain bond
 3. White tissue
 4. Yellow tissue
- 2-20. A third "Via" addressee's endorsement should be identified in which of the following ways?
1. ENDORSEMENT THREE
 2. THIRD ENDORSEMENT
 3. ENDORSEMENT (3)
 4. ENDORSEMENT (C)
- 2-21. The basic letter contains three references. You are preparing a first endorsement that contains a reference not mentioned in the basic letter. How should you identify the new reference?
1. (a)
 2. (d)
 3. (1)
 4. (4)
- 2-22. There are four different formats used for memorandums.
1. True
 2. False
- 2-23. Of the following types of memoranda, which one is the most formal?
1. Printed memorandum form
 2. Plain-paper memorandum
 3. Letterhead memorandum
 4. Memorandum for
- 2-24. On a business letter, the address should always be placed on the second line below the date.
1. True
 2. False
- 2-25. In a business letter, which of the following complimentary closings should be used?
1. Sincerely
 2. Yours truly
 3. Truly yours
 4. Sincerely yours
- 2-26. The signature block on a business letter should start how many lines below the complimentary close?
1. Five
 2. Six
 3. Three
 4. Four
- 2-27. In a naval message, which of the following examples is the correct format for a date-time group?
1. 01FEB28 1030Z
 2. 28FEB01 1030Z
 3. 281030Z FEB 01
 4. 1030Z 28FEB01

- 2-28. A ROUTINE naval message should be processed within a maximum of how many hours?
1. 5
 2. 6
 3. 3
 4. 4
- 2-29. A PRIORITY message should be processed within a maximum of how many hours?
1. 5
 2. 6
 3. 3
 4. 4
- 2-30. An IMMEDIATE message should be processed within a maximum of how many minutes?
1. 10
 2. 20
 3. 30
 4. 40
- 2-31. A FLASH message is processed as fast as possible with an objective of less than how many minutes?
1. 10
 2. 15
 3. 20
 4. 25
- 2-32. Of the following special-handling markings, which one is NOT commonly found on a naval message?
1. SPECAT
 2. LIMDIS
 3. PASS To
 4. PERSONAL FOR
- 2-33. Special delivery instructions should follow which of the following elements of a naval message?
1. TO
 2. FROM
 3. SUBJ
 4. SSIC
- 2-34. For clarity, textual material in a message may be indented a maximum of how many spaces?
1. 10
 2. 15
 3. 20
 4. 25
- 2-35. The authorized message addresses of the various components of the Department of Defense are located in (a) what publication and (b) are updated how many times a year?
1. (a) SNDL, encl (1)
(b) once
 2. (a) SNDL, encl (2)
(b) twice
 3. (a) MAD
(b) three times
 4. (a) MAD
(b) four times
- 2-36. Who is presumed to be the originator of a naval message?
1. Commanding officer
 2. Administrative officer
 3. Executive officer
 4. Public affairs officer
- 2-37. Of the following individuals, which one actually composes the naval message?
1. Signer
 2. Drafter
 3. Releaser
 4. Originator

- 2-38. When a naval message is prepared, what individual makes sure the drafter has met the requirements of NTP-3?
1. Signer
 2. Drafter
 3. Releaser
 4. Originator
- 2-39. Official mail, when sent through the postal system, is transmitted in an envelope that is metered or bears USPS stamps.
1. True
 2. False
- 2-40. When you type the address on envelopes, you should always make sure you double-space.
1. True
 2. False
- 2-41. Where should the address be positioned on an envelope?
1. Centered up and down, 2 inches from the left edge
 2. Centered up and down, 2 inches from the right edge
 3. One-third the length of the envelope from the left side, and halfway down from the top
 4. One-third the length of the envelope from the right side, and halfway down from the top
- 2-42. When you type an address on an envelope, what is the maximum number of spaces you may leave between the last letter of the state and the first digit of the ZIP Code?
1. Seven
 2. Six
 3. Five
 4. Four
- 2-43. To have a continuous chain of receipts for a letter you are mailing, what class/type of mail service should you use?
1. First class
 2. Registered
 3. Certified
 4. Express
- 2-44. If you are assigned to the Captain's office, you will be handling all the official mail for the ship.
1. True
 2. False
- 2-45. As mail Yeoman, you open an envelope addressed to your ship. Inside you find an inner envelope marked SECRET. What should you do with the inner envelope?
1. Open it and log it in the classified mail log
 2. Deliver it unopened to the executive officer
 3. Deliver it unopened to the security manager
 4. Deliver it unopened to the commanding officer
- 2-46. Action correspondence may be tracked by correspondence control slips.
1. True
 2. False
- 2-47. After the required blocks on a correspondence control slip are filled in you should then pass it to whom?
1. Mail Yeoman
 2. Office supervisor
 3. Executive officer
 4. Postal clerk

- 2-48. What is the purpose of the second sorting of incoming official mail?
1. To separate congressional mail from priority mail
 2. To separate routine mail from nonroutine mail
 3. To determine who is receiving official mail
 4. To facilitate logging of all incoming mail
- 2-49. A mail control form may be used for which of the following additional purposes?
1. As a mail log
 2. As a follow-up record
 3. As a cross-reference sheet
 4. Each of the above
- 2-50. When a number of letters are addressed to the same activity, they should be sent in the same envelope.
1. True
 2. False
- 2-51. What is the quickest form of formal written communications in the Navy?
1. E-mail
 2. Message
 3. Memorandum
 4. Naval letter
- 2-52. In regard to centralized and decentralized files, you would most likely keep what type (a) on a destroyer and (b) at a large shore command?
1. (a) Centralized
(b) decentralized
 2. (a) Decentralized
(b) centralized
 3. (a) Centralized
(b) centralized
 4. (a) Decentralized
(b) decentralized
- 2-53. Control and responsibility for filing systems are assigned to one or two YNs.
1. True
 2. False
- 2-54. In decentralized filing systems, should uniform filing practices be followed? If so, who is responsible?
1. Yes; the office supervisor
 2. Yes; the YN who opens the mail
 3. Yes; the division leading chief
 4. No
- 2-55. Of the following size documents, which one does NOT require a specialized file cabinet?
1. 8½ x 11
 2. 10½ x 13
 3. 11 x 14
 4. 12 x 14
- 2-56. Standard file folders are available in a total of how many sizes?
1. One
 2. Two
 3. Three
 4. Four
- 2-57. Of the following types of folders, which one spaces the labels across the drawer so that a label will not be hidden by the folder in front of it?
1. One cut
 2. Straight cut
 3. One-third cut
 4. Two-thirds cut

- 2-58. A Navy letter carries a subject identification number of 8510. What is the major subject group of this letter?
1. Logistics
 2. General material
 3. Ordnance material
 4. Operations and readiness
- 2-59. Of the following subject identification codes, which one pertains to civilian personnel?
1. 5000
 2. 8000
 3. 10000
 4. 12000
- 2-60. A document should be cross-referenced under which of the following circumstances?
1. When it contains more than one subject
 2. When two or more subject codes are used within the document
 3. When enclosures are separated from the basic correspondence
 4. Each of the above
- 2-61. If a document is to be removed from a file, it must be accounted for, and the identity of the person holding it must be recorded.
1. True
 2. False
- 2-62. On a chargeout record, you should show which of the following information?
1. Identification of the material removed
 2. Name and location of the person borrowing the material
 3. Date that the material was removed
 4. All of the above
- 2-63. When files are not efficiently managed, it can result in lost time and reduced effectiveness.
1. True
 2. False
- 2-64. Messages are filed in which of the following ways?
1. By SSIC
 2. By subject
 3. By originator
 4. Numerically in DTG order
- 2-65. Messages are usually destroyed how many days after the release date?
1. 30
 2. 45
 3. 60
 4. 90
- 2-66. Because of their importance, what authority governs the disposition of your files?
1. Congress
 2. Secretary of Defense
 3. Secretary of the Navy
 4. Chief of Naval Operations
- 2-67. Instructions that schedule the destruction of Navy records are issued by whom?
1. Secretary of Defense
 2. Secretary of the Navy
 3. Chief of Naval Operations
 4. Commander, Naval Personnel Command
- 2-68. What term identifies all written material, documents, publications, charts, and messages addressed to or sent from a command?
1. Official record
 2. Official journal
 3. Official register
 4. Official correspondence

2-69. What authority governs the general procedures pertaining to disposal of federal government records?

1. Congress
2. National Archives
3. Secretary of the Navy
4. General Services Administration

2-70. What article of Navy Regulations prohibits withdrawal or destruction of official records without proper authority?

1. 1126
2. 1127
3. 1128
4. 1129

2-71. While at sea, unclassified and classified records should be destroyed by burning.

1. True
2. False

2-72. What form is used to forward retention material to a federal records center?

1. Chargeout record
2. Transmittal sheet
3. Cross-reference sheet
4. Records transmittal and receipt

ASSIGNMENT 3

Textbook Assignment: "Directives Issuance System," chapter 6, pages 6-1 through 6-8; "Reports and Forms Management Programs," chapter 7, pages 7-1 through 7-8.

- 3-1. What instruction covers the Navy's Directives Issuance System?
1. SECNAVINST 5213.1
 2. SECNAVINST 5214.1
 3. SECNAVINST 5215.1
 4. SECNAVINST 5216.1
- 3-2. An instruction, notice, or change transmittal is best described by which of the following terms?
1. Order
 2. Directive
 3. Formal letter
 4. Formal memorandum
- 3-3. Information that is essential to the effective administration or operation of activities can best be described by which of the following terms?
1. Notice
 2. Directive
 3. Instruction
 4. Change transmittal
- 3-4. An instruction remains in effect until superseded or otherwise cancelled by whom?
1. The drafter
 2. The originator
 3. The directives control point
 4. The directives control officer
- 3-5. Usually, a notice will remain in effect for how long?
1. Less than 3 months, but not longer than 6 months
 2. Less than 6 months, but not longer than 12 months
 3. Less than 9 months, but not longer than 18 months
 4. Less than 12 months, but not longer than 18 months
- 3-6. On a notice, cancellation determinations are indicated at the top right corner in which of the following ways?
1. Canc:
 2. Canc FRP:
 3. Canc frp:
 4. CANC FRP:
- 3-7. A change transmittal describes the nature of the changes and gives directions for making them.
1. True
 2. False
- 3-8. Which of the following means should be used to verify the completeness and accuracy of a master set of instructions?
1. Checklist
 2. Distribution list
 3. Cross-reference sheet
 4. Weekly transmittal sheet

- 3-9. A directive issued by one authority in conjunction with one or more other authorities is known by which of the following terms?
1. Multiple addressee directive
 2. Message-type directive
 3. Letter-type directive
 4. Joint directive
- 3-10. A page change to an instruction or notice is issued by which of the following means?
1. Revision
 2. Change transmittal
 3. Weekly transmittal sheet
 4. Special distribution list
- 3-11. What authority makes the initial distribution of directives to all ships and stations?
1. Secretary of the Navy
 2. Chief of Naval Operations
 3. Navy Publications and Printing Service
 4. Naval Personnel Command
- 3-12. What authority administers the Directives Issuance System?
1. Secretary of the Navy
 2. Chief of Naval Operations
 3. Bureau of Naval Personnel
 4. Naval Personnel Command
- 3-13. The official by whose authority and under whose title a directive is issued is known as the
1. drafter
 2. issuing authority
 3. commanding officer
 4. directives control officer
- 3-14. How often should an issuing authority conduct a review of organizational directives?
1. Monthly
 2. Quarterly
 3. Semiannually
 4. Annually
- 3-15. Which of the following is a function of a command directives control point?
1. Analyze directives
 2. Evaluate the system's operations
 3. Make recommendations or improvements
 4. Each of the above
- 3-16. Aboard ship, who is usually the directives control point?
1. Executive officer
 2. Personnel officer
 3. Administrative officer
 4. Ship's secretary
- 3-17. At a shore activity, who is usually the directives control point?
1. Commanding officer
 2. Executive officer
 3. Administrative officer
 4. Administrative supervisor
- 3-18. For classified directives, the control point maintains locator cross-reference sheets.
1. True
 2. False
- 3-19. Official case files are filed in which of the following ways?
1. By date
 2. By SSIC
 3. By subject
 4. By originator code

- 3-20. Of the following items, which one is NOT placed in the official case folder for a directive?
1. Signature copy
 2. Double-spaced rough
 3. Cross-reference sheet
 4. Revision of the basic instruction
- 3-21. Instructions received by your command should be filed in what order?
1. Issuing authority, consecutive number, and SSIC
 2. Consecutive number, SSIC, and issuing authority
 3. SSIC, issuing authority, and consecutive number
 4. SSIC, consecutive number, and issuing authority
- 3-22. An instruction that has been temporarily loaned out should usually be returned within how many days?
1. 5
 2. 7
 3. 3
 4. 10
- 3-23. Of the following notations, which one should be used to enter a change on the first page of a directive?
1. Change 1
 2. Ch: One
 3. CH: 1
 4. Ch-1
- 3-24. Which of the following instructions gives direction for an effective reports management program?
1. SECNAVINST 5213.2
 2. SECNAVINST 5214.2
 3. SECNAVINST 5215.2
 4. SECNAVINST 5216.2
- 3-25. A single office with each Navy command should be designated as the reports control point.
1. True
 2. False
- 3-26. At a shore command, who is normally the reports control manager?
1. Administrative officer
 2. Executive assistant
 3. Executive officer
 4. Senior Yeoman
- 3-27. A report should be reviewed by the report originator 30 days before the fourth anniversary of the issuance date of the report.
1. True
 2. False
- 3-28. Reports not approved for extension are automatically cancelled on the third anniversary date.
1. True
 2. False
- 3-29. If an information requirement should be cancelled, what method is used to cancel the requirement?
1. Notice transmittal
 2. Change transmittal
 3. Instruction format
 4. Standard letter format

- 3-30. If an information requirement remains valid, a change transmittal (a) should be submitted within how many days before the expiration date and (b) should extend the approved period for a maximum of how many years?
1. (a) 30 (b) 3
 2. (a) 30 (b) 5
 3. (a) 60 (b) 3
 4. (a) 60 (b) 5
- 3-31. Which of the following timing and frequency requirements for reports should be used when an event occurs or a condition changes?
1. As-required report
 2. Situation report
 3. Recurring report
 4. One-time report
- 3-32. Information that is collected, stored, retrieved, and submitted when requested defines what type of report?
1. As-required report
 2. Status report
 3. One-time report
 4. Recurring report
- 3-33. A report that conveys essentially the same type of information at prescribed intervals is known as what type of report?
1. Status report
 2. Revised report
 3. Recurring report
 4. As-required report
- 3-34. A report that is not subject to documentation and symbolization procedures is known as what type of report?
1. Exempt report
 2. Internal report
 3. Licensed report
 4. Computer-generated report
- 3-35. Who maintains the inventory of recurring reports at an activity?
1. Forms manager
 2. Reports control manager
 3. Administrative assistant
 4. Directives control officer
- 3-36. An annual review of a report may be combined with the annual review of the command directive used as the basis for the report.
1. True
 2. False
- 3-37. To ensure obsolete files are removed from case files, reports should be routed through whom?
1. Forms manager
 2. Security manager
 3. Ship's secretary
 4. Senior Yeoman
- 3-38. How often should the reports control officer publish and distribute a revised list of current and cancelled reports?
1. Monthly
 2. Quarterly
 3. Semiannually
 4. Annually
- 3-39. To be an effective aid, how often should a report tickler file be checked?
1. Daily
 2. Weekly
 3. Monthly
 4. Quarterly

- 3-40. Forms are vital to the effective management of your command because they provide information for which of the following purposes?
1. Formulating policy
 2. Controlling operations
 3. Movement of materials
 4. Each of the above
- 3-41. Who develops and coordinates the overall forms management program within the Navy?
1. Secretary of the Navy
 2. Chief of Naval Operations
 3. Secretary of Defense
 4. Chief of Naval Personnel
- 3-42. Each command is responsible for establishing and maintaining a forms-management program.
1. True
 2. False
- 3-43. What is the first step in establishing a forms-management system within an activity?
1. Design new forms
 2. Cancel all forms in use
 3. Review forms for duplication
 4. Issue a directive that states the objective of the forms management function
- 3-44. The number and complexity of the forms and procedures in an activity should have no bearing on the number of personnel assigned to the forms management function.
1. True
 2. False
- 3-45. A forms management office should take which of the following actions as a first step in the operation of a forms management office?
1. Design new forms
 2. Collect copies of all forms
 3. Review forms for duplication
 4. Cancel all local forms in use
- 3-46. Which of the following steps apply to the continuing effort to keep forms and procedures up-to-date?
1. Obtain and analyze the facts
 2. Evaluate and develop solutions
 3. Install solutions and follow up
 4. All of the above
- 3-47. 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 and the estimated annual usage
 3. How often the form is used
 4. How many copies are prepared
- 3-48. Which of the following items should be included on the label of a local form folder?
1. Title of form
 2. Consecutive number
 3. Originator's abbreviation
 4. All of the above
- 3-49. Your efforts to consolidate related information should always result in the use of one single form to serve a variety of purposes or functions.
1. True
 2. False

- 3-50. When a form becomes obsolete or is replaced, what should be the disposition of the form folder?
1. Destroy it because it has served its purpose
 2. Transfer it to a separate file, with the reason for discontinuation noted
 3. File it in the folder with the form that replaced it
 4. Leave it in the SSIC file

ASSIGNMENT 4

Textbook Assignment: "Security," chapter 8, pages 8-1 through 8-9; "Legal," chapter 9, pages 9-1 through 9-14.

- 4-1. The initial determination of a person's loyalty, reliability, and trustworthiness is based on what investigation or check?
1. SSBI
 2. NAC
 3. SBI
 4. PSI
- 4-2. In the DON Personnel Security Program, there is/are a total of what number of personnel security investigation categories?
1. 1
 2. 2
 3. 6
 4. 8
- 4-3. Which of the following agencies conducts the NAC?
1. OPNAV
 2. DSS
 3. DCII
 4. FBI
- 4-4. A person who enters military service undergoes which of the following agency checks?
1. SSBI
 2. PR
 3. NAC
 4. ENTNAC
- 4-5. Which of the following documents is/are required to process an NAC?
1. Questionnaire for Public Trust Positions (SF 85P) only
 2. Applicant Fingerprint Card (FD 258) only
 3. Both 1 and 2 above
 4. Request for Personnel Security Investigation (DD 1879)
- 4-6. Which of the following checks is NOT made during a standard SSBI?
1. NAC of subject's spouse
 2. Subject interview
 3. Inquiries of local agencies
 4. Employment and credit history
- 4-7. With reference to an SSBI, no investigation should extend further back than the subject's 18th birthday.
1. True
 2. False
- 4-8. A single-scope background investigation (SSBI) is conducted only when specifically required by whom?
1. COMNAVPERSCOM
 2. CHNAVPERS
 3. SECNAV
 4. CNO
- 4-9. A periodic reinvestigation (PR) determines a subject's continued eligibility for access to classified information.
1. True
 2. False

- 4-10. When should a PR be initiated?
1. 4.5 years from completion of the last investigation
 2. 5 years from completion of last investigation
 3. Every 3 years
 4. Every 4 years
- 4-11. Which of the following checks may be used as the investigative basis for a Top Secret clearance?
1. PSI
 2. PR only
 3. SSBI only
 4. PR or SSBI
- 4-12. The investigative requirements for the personnel reliability program (PRP) is based on which of the following factors of the position?
1. Knowledge
 2. Location
 3. Paygrade
 4. Sensitivity
- 4-13. What authority is authorized to grant, deny, or revoke security clearances for all Department of the Navy personnel?
1. OPNAV
 2. SECNAV
 3. BUPERS
 4. DON CAF
- 4-14. Of the following methods that could be used to notify a command of a favorable security clearance, which one should DON CAF NOT use?
1. Letter
 2. Message
 3. Secure telephone
 4. Manpower Management System
- 4-15. Normally, interim clearances are granted for a maximum of how many days?
1. 90
 2. 120
 3. 180
 4. 240
- 4-16. Which of the following forms is used to request security determinations from DON CAF?
1. Personnel Security Action Request
 2. Record of Investigation, Clearance, and Access
 3. Classified Information Nondisclosure Agreement
 4. Request for Personnel Security Investigation
- 4-17. Which of the following forms is used to record a clearance granted by DON CAF?
1. OPNAV 5510/10
 2. OPNAV 5520/20
 3. OPNAV 5510/20
 4. OPNAV 5520/30
- 4-18. Of the following individuals, which one is NOT authorized to witness the execution of the Classified Information Nondisclosure Agreement?
1. Commanding officer
 2. Executive officer
 3. Security manager
 4. Leading Yeoman
- 4-19. Which of the following is NOT a category of classification?
1. For Official Use Only
 2. Confidential
 3. Top Secret
 4. Secret

- 4-20. The disclosure of information that could cause exceptionally grave damage to national security should carry what classification?
1. Secret
 2. Top Secret
 3. Confidential
 4. Guarded
- 4-21. The disclosure of information that could cause serious damage to national security should carry what classification?
1. Secret
 2. Top Secret
 3. Confidential
 4. Sensitive
- 4-22. The disclosure of information that could cause identifiable damage to national security should carry what classification?
1. Secret
 2. Top Secret
 3. Confidential
 4. Interim
- 4-23. Who is responsible for controlling the dissemination of classified material within the command?
1. Command security manager
 2. Administrative officer
 3. Executive officer
 4. Commanding officer
- 4-24. Who is delegated the responsibility to ensure personnel are instructed on prevention of unauthorized disclosure of classified information?
1. Command security manager
 2. Administrative officer
 3. Commanding officer
 4. Executive officer
- 4-25. Top Secret documents cannot be reproduced without the permission of which of the following authorities?
1. Department head
 2. Security manager
 3. Commanding officer
 4. Issuing or higher authority
- 4-26. After a Top Secret document has been transferred, downgraded, or destroyed, the record of disclosure should be maintained for how many years?
1. 1
 2. 2
 3. 3
 4. 5
- 4-27. There is no requirement to maintain records of receipts, distribution, or disposition on which of the following types of classified material?
1. Secret
 2. Top Secret
 3. Confidential
- 4-28. Which of the following instructions prescribes that classified correspondence be serially numbered by the originator for each calendar year?
1. SECNAVINST 5215.1
 2. SECNAVINST 5216.5
 3. OPNAVINST 5215.1
 4. OPNAVINST 5216.5
- 4-29. At least how many times must the upper and lower sections of a fabric typewriter ribbon be cycled before it can be treated as unclassified?
1. Five
 2. Seven
 3. Three
 4. Nine

- 4-30. A system of security checks at the close of each working day must be instituted to make sure that classified material held by a command is properly protected.
1. True
 2. False
- 4-31. Which of the following classes of classified material should not be mailed?
1. Secret
 2. Top Secret
 3. Confidential
 4. Guarded
- 4-32. Receipts for classified material should be maintained for a minimum of how many years?
1. 1
 2. 2
 3. 3
 4. 4
- 4-33. Whenever classified material is transmitted, it should be enclosed in two opaque, sealed envelopes.
1. True
 2. False
- 4-34. How many officials are required to witness the destruction of Top Secret and Secret material?
1. One
 2. Two
 3. Three
 4. Four
- 4-35. The basic laws of NJP may be found in what section of the *Manual for Courts-Martial*?
1. Part I
 2. Part II
 3. Part III
 4. Part V
- 4-36. Which of the following statements is correct concerning NJP?
1. It is a forum for command members to air grievances
 2. The legal protection is less extensive than it is for nonpunitive measures
 3. It provides commanders with a means for promoting positive behavior changes
 4. All NJP authority must be delegated by SECNAV
- 4-37. No officer may limit the Article 15 authority of a subordinate commander without the specific approval of what official?
1. CNO
 2. SECDEF
 3. SECNAV
 4. COMNAVPERSCOM
- 4-38. May Reserve personnel recalled to active duty for imposition of NJP receive punishment involving restraint? If so, under what circumstances?
1. Yes; when the CO of the Reserve center approves the recall
 2. Yes; when SECNAV approves the recall
 3. Yes; when recalled to active duty for a period longer than the period of restraint
 4. No
- 4-39. At what time does a member's right to refuse the imposition of NJP terminate?
1. When he or she signs the report chit accepting mast
 2. When he or she signs the rights acknowledgment form before the mast
 3. When he or she appears before the CO
 4. Up until the punishment is announced

- 4-40. The term "minor offense" means misconduct not more serious than that usually handled at which of the following forums?
1. Summary court-martial
 2. Special court-martial
 3. General court-martial
 4. Trial court-martial
- 4-41. Who makes the final determination as to whether or not an offense is considered minor?
1. Legal officer
 2. Senior resident, NCIS
 3. Executive officer
 4. Commanding officer
- 4-42. The Report and Disposition of Offense(s), NAVPERS Form 1626/7, should be processed in the manner prescribed on the form itself.
1. True
 2. False
- 4-43. The NAVPERS Form 1626/7 serves all EXCEPT which of the following functions?
1. Records premast restraint
 2. Serves as a preliminary inquiry report
 3. Records that appeal rights have been explained to the accused
 4. Includes all premast advice that must be given to the accused
- 4-44. In what order should witnesses be listed on the NAVPERS Form 1626/7?
1. Civilian witnesses, then military witnesses in order of seniority
 2. Military witnesses, then civilian witnesses in alphabetical order
 3. Military witnesses by seniority, then civilian witnesses
 4. Military and civilian witnesses in the order of involvement in the offense
- 4-45. If an accused refuses to sign the section of the NAVPERS Form 1626/7 that acknowledges the accusation(s) against him or her, what action should be taken?
1. Any of the witnesses listed on the form may sign attesting to that fact
 2. The person informing the accused of the accusations should sign attesting to that fact
 3. The accused should be given a direct order to sign the form
 4. The form is forwarded without the accused's signature and no notations are made
- 4-46. What appendix of the JAGMAN illustrates the notification and election of rights that should be used when an accused is embarked in a vessel?
1. A-1-a
 2. A-1-b
 3. A-1-c
 4. A-1-d
- 4-47. The XO may screen a case either by holding an informal hearing or imposing punishment after reviewing the report chit and the record of the accused.
1. True
 2. False
- 4-48. The results of NJP may be published in the plan of the day not later than how many months after the imposition of NJP?
1. 1
 2. 2
 3. 3
 4. 6

- 4-49. Which of the following actions may be taken by a CO at mast?
1. Referral to an Article 32 pretrial investigation
 2. Dismissal of the case with a warning
 3. Postponement of the action pending further investigation
 4. Each of the above
- 4-50. Regardless of the rank of an OIC, his or her NJP power is limited to that of a CO in what range of paygrades?
1. W1 to O2
 2. O1 to O2 only
 3. O2 to O3 only
 4. O1 to O3
- 4-51. Which of the following NJP punishments may be awarded to an E-3 enlisted accused by an OIC?
1. Correctional custody for 14 days
 2. Correctional custody for 7 days
 3. Restriction for 15 days
 4. Forfeiture of one-half of one month's pay for 1 month
- 4-52. What is the maximum number of specific punishments that may be imposed at mast?
1. Five
 2. Six
 3. Seven
 4. Eight
- 4-53. Procedures for issuing punitive letters may be found in which of the following publications?
1. MCM
 2. JAGMAN
 3. MILPERSMAN
 4. U.S. Navy Regulations, 1990
- 4-54. Which of the following statements is correct concerning extra duties?
1. Guard duty may not be assigned as extra duty
 2. Extra duties cannot be demeaning to the accused's rank or position
 3. Extra duties should not extend beyond 2 hours per day
 4. Each of the above
- 4-55. An appeal to NJP must be submitted in writing within how many days of the imposition of NJP?
1. 5
 2. 7
 3. 10
 4. 14
- 4-56. Which of the following types of NJP hearings should be entered in the unit punishment book?
1. Only NJP hearings that refer cases to court-martial
 2. Only NJP hearings that impose punishment that affects pay
 3. Only NJP hearings that impose punishment
 4. All NJP hearings

ASSIGNMENT 5

Textbook Assignment: "Legal," chapter 9, continued, pages 9-14 through 9-19; "Awards," chapter 10, pages 10-1 through 10-3; "Officer Distribution Control Report (ODCR)," chapter 11, pages 11-1 through 11-6; "Officer Service Records," chapter 12, pages 12-1 through 12-3; "Travel, Leave Procedures, and Pay and Allowances," chapter 13, pages 13-1 through 13-6; "Technical Administration," chapter 14, pages 14-1 through 14-2.

- 5-1. The regulations that govern administrative investigations are found in what publication?
1. MCM
 2. SORM
 3. JAGMAN
 4. MILPERSMAN
- 5-2. An administrative fact-finding body searches out, develops, assembles, analyzes, and records all available information about the matter under investigation.
1. True
 2. False
- 5-3. If an incident occurs at a place geographically distant from a command, a request for another command to convene the investigation would be submitted to what individual?
1. General court-martial convening authority
 2. Common superior of both commands
 3. Area coordinator
 4. CO of command requested to convene investigation
- 5-4. For which of the following events would a command investigation NOT be appropriate?
1. Aircraft accidents
 2. Damage to government quarters
 3. Groundings
 4. Floodings
- 5-5. Which type of investigation must be conducted under the direction and supervision of a judge advocate?
1. Litigation report
 2. Command investigation
 3. Preliminary inquiry
 4. Board of inquiry
- 5-6. Of the following terms, which does NOT describe a major incident?
1. Multiple deaths
 2. Substantial property loss
 3. Significant departure from leadership
 4. Minor harm to environment
- 5-7. A court of inquiry consists of a minimum of how many commissioned officers?
1. Six
 2. Five
 3. Four
 4. Three
- 5-8. During which of the following types of investigations is testimony taken under oath and all proceedings recorded?
1. Command investigations
 2. Courts of inquiry
 3. Litigation reports
 4. Boards of inquiry

- 5-9. Of the following personnel, who may order a command investigation?
1. Executive officer only
 2. Aide to a flag officer only
 3. Judge advocate only
 4. Any officer in the command
- 5-10. An appointing order should be in which of the following forms?
1. Official letter only
 2. Official letter addressed to the JAG
 3. Official letter addressed to the IO
 4. Official letter addressed to the department head
- 5-11. What must be provided if a service member is asked to provide his or her social security number for an investigation?
1. Privacy Act statement
 2. Formal request from JAG
 3. Formal request from IO
 4. Formal request from the CA
- 5-12. The appointing order directs the completion of the IO's report within a maximum of how many days?
1. 14
 2. 21
 3. 30
 4. 45
- 5-13. The CA has a maximum of how many days to review a death investigation?
1. 10
 2. 15
 3. 20
 4. 30
- 5-14. Additional instruction and guidance on safety investigations can be found in which of the following directives?
1. OPNAVINST 5100.14
 2. OPNAVINST 5100.12
 3. OPNAVINST 3750.6
 4. OPNAVINST 5112.6
- 5-15. Which of the following items is NOT required in every administrative investigation?
1. Preliminary statement
 2. Findings of fact
 3. Recommendations
 4. Opinions
- 5-16. Of the following items, which one should NOT be included in a preliminary statement?
1. Nature of the investigation
 2. Difficulties encountered
 3. Failure to advise individuals of their rights
 4. Synopsis of facts, recommendations, or opinions
- 5-17. What is the first enclosure in an investigative report?
1. Opinions
 2. Recommendations
 3. Findings of fact
 4. Appointing order
- 5-18. Upon completion of an investigation, the IO should submit his/her investigation to whom?
1. CA
 2. JAG
 3. TYCOM
 4. OPNAV

- 5-19. Award recommendations are prepared using which of the following instructions?
1. OPNAVINST 1560.1
 2. OPNAVINST 1650.1
 3. SECNAVINST 1560.1
 4. SECNAVINST 1650.1
- 5-20. Awards recognizing specific acts should be given within 60 days after the act occurred.
1. True
 2. False
- 5-21. Per NAVADMIN 265/00, the number of command-authorized Navy and Marine Corps Achievement Medals is limited by which, if any, of the following factors?
1. There are no limitations on the number of awards issued by the command
 2. The total number of billets in the command
 3. The number of officers assigned to the command
 4. The number of enlisted assigned to the command
- 5-22. An award recommendation should be prepared on which of the following OPNAV forms?
1. 1650/2
 2. 1650/3
 3. 1650/4
 4. 1650/5
- 5-23. A proposed non-combat citation is limited to a total of how many typewritten lines?
1. 20
 2. 22
 3. 24
 4. 25
- 5-24. The normal processing time for an award recommendation should be what maximum number of days?
1. 15
 2. 30
 3. 60
 4. 120
- 5-25. What is the intent behind letters of appreciation and commendation?
1. To promote morale
 2. To promote harmony
 3. To reward individuals only
 4. To accelerate advancement only
- 5-26. Information pertaining to the Officer Distribution Control Report (ODCR) is contained in which of the following instructions?
1. BUPERSINST 1301.1
 2. BUPERSINST 1401.2
 3. BUPERSINST 1401.30
 4. BUPERSINST 1301.40
- 5-27. An ODCR is prepared for each naval command by which of the following activities?
1. EPMAC
 2. MAPTIS
 3. NAVFINCEN
 4. COMNAVPERSCOM
- 5-28. How often is the ODCR prepared?
1. Monthly
 2. Quarterly
 3. Semiannually
 4. Annually

- 5-29. When pen changes to an ODCR are made, in what part of the report should you place the date the correction was made?
1. Left margin
 2. Right margin
 3. Over the corrected data
 4. Under the corrected data
- 5-30. A description of an officer's primary duties can be found in what data element of an ODCR?
1. Desk code
 2. Billet title
 3. Activity mission code
 4. Billet phase indicator
- 5-31. The security code data element on an officer's ODCR consists of all EXCEPT which of the following information?
1. Member's pay entry base date
 2. Member's security clearance eligibility
 3. Member's current security clearance authority
 4. Completion date of member's last investigation
- 5-32. An officer's name should not exceed a total of how many characters on an ODCR, including spaces?
1. 20
 2. 21
 3. 22
 4. 23
- 5-33. What data element of an ODCR is indicated by an asterisk following the officer's name?
1. PAD
 2. OSAM
 3. DESIG
 4. ASSED/SSED
- 5-34. Which data element of an ODCR reflects an officer's current operational flying status?
1. MOF
 2. ACD
 3. ABI
 4. AUG
- 5-35. The permanent officer record in microfiche format is maintained by which of the following activities?
1. COMNAVPERSCOM
 2. NAVPERS
 3. CHNAVPERS
 4. COMNAVCRUITCOM
- 5-36. On officer record microfiches, which fiche numbers contain, respectively, (a) reserve status, and (b) privileged information?
1. (a) 2 (b) 4
 2. (a) 3 (b) 4
 3. (a) 2 (b) 5
 4. (a) 3 (b) 5
- 5-37. Information rightly placed in the official record of an officer may not be removed except by which of the following authorities?
1. OPNAV
 2. COMNAVPERSCOM
 3. SECNAV
 4. CHNAVPERS
- 5-38. The acceptance and oath of office is filed on the right side of an officer's service record.
1. True
 2. False

- 5-39. The certificate of personnel security investigation, clearance and access is filed on the left side of an officer's service record.
1. True
 2. False
- 5-40. What authority contains detailed information on officer service records?
1. SORM
 2. SDSPROMAN
 3. MILPERSMAN
 4. OFFTRANSMAN
- 5-41. When an individual travels to a command or geographic area that is not the individual's permanent duty station, what official Navy acronym should be used?
1. TEMDUINS
 2. TEMADD
 3. TAD
 4. TDY
- 5-42. What NAVPERS form is used to prepare TEMADD travel orders?
1. 1320/12
 2. 1320/14
 3. 1320/16
 4. 1320/18
- 5-43. The complete accounting classification code and the standard document number and its construction can be found in which of the following manuals?
1. SDSPROMAN
 2. MILPERSMAN
 3. OFFTRANSMAN
 4. ENLTRANSMAN
- 5-44. Which of the following DD forms is used to liquidate a travel claim?
1. 1351-1
 2. 1351-2
 3. 1351-3
 4. 1351-4
- 5-45. Entries for mode of travel and reason for stops can be found in what block(s) on the reverse side of a travel voucher?
1. Block 25a only
 2. Block 25b only
 3. Both blocks 25a and 25b
 4. Block 25c
- 5-46. All members of the Navy should be encouraged to use their full leave entitlement each year.
1. True
 2. False
- 5-47. For which of the following time periods are members NOT authorized to earn leave?
1. Active duty for less than 30 days
 2. Active duty for training, with pay, for less than 30 days
 3. Lost time
 4. Each of the above
- 5-48. Navy members are advised of their leave balance each month by which of the following methods?
1. Memoranda prepared by command personnel officers
 2. Memoranda prepared by command disbursing officers
 3. Leave and earnings statements prepared by the Navy Finance Center
 4. Leave lists prepared by COMNAVPERSCOM

- 5-49. Of the following types of leave, which one is NOT charged against a member's leave entitlement?
1. Earned
 2. Advance
 3. Emergency
 4. Convalescent
- 5-50. Ordinary leave is requested and authorized on which of the following forms?
1. NAVCOMPT Form 3065
 2. NAVCOMPT Form 3067
 3. DD Form 1624
 4. DD Form 398
- 5-51. Which of the following MILPERSMAN articles gives detailed procedures for personnel to follow when they request, depart on, and return from leave?
1. 1040-200
 2. 1050-100
 3. 1050-250
 4. 1060-100
- 5-52. Military pay is broken down into a total of three parts. What are they?
1. Basic, travel, and combat
 2. Basic, incentive, and travel
 3. Basic, special, and incentive
 4. Basic, combat, and proficiency
- 5-53. What term identifies an amount of money paid to a member to provide for food, quarters, or services when they are not provided by the Navy?
1. Allowance
 2. Incentive
 3. Special pay
 4. Miscellaneous pay
- 5-54. Expenses incurred as a result of temporary or permanent moves may fall into which of the following travel allowance categories?
1. Miscellaneous
 2. Transportation
 3. Lodging and food
 4. Each of the above
- 5-55. Your supervisor may ask you to prepare which of the following documents in a "rough" form?
1. Inspection results
 2. School quota requests
 3. Welcome aboard letters
 4. Each of the above
- 5-56. Which of the following is the only authority that should be used in the preparation of officer fitness reports?
1. NAVMILPERSMAN
 2. Navy Regulations
 3. BUPERSINST 1610.10
 4. BUPERSINST 1616.9
- 5-57. Officer fitness reports form a primary basis for selecting officers for advanced training, duty assignment, promotion, and command.
1. True
 2. False
- 5-58. Reporting seniors should retain copies of FITREPs for at least how many years?
1. 5
 2. 2
 3. 3
 4. 4

5-59. Which of the following is the only authority that should be used in the preparation of enlisted evaluations?

1. BUPERSINST 1611.17
2. BUPERSINST 1610.10
3. Navy Regulations
4. NAVMILPERSMAN

5-60. Which of the following recommendations is true regarding routine office machine maintenance?

1. Know how to give routine care to any machine you operate
2. Acquaint yourself with equipment instruction manuals
3. Understand other kinds of local maintenance policy
4. Each of the above