



Department of Defense INSTRUCTION

NUMBER 1320.04

January 3, 2014

Incorporating Change 1, Effective June 30, 2020

USD(P&R)

SUBJECT: Military Officer Actions Requiring Presidential, Secretary of Defense, or Under Secretary of Defense for Personnel and Readiness Approval or Senate Confirmation

References: See Enclosure 1

1. PURPOSE. This instruction:

a. Reissues DoD Instruction (DoDI) 1320.4 (Reference (a)) in accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (b)) to establish policy, assign responsibilities, and prescribe procedures for the submission of military officer personnel actions for grades O-10 and below requiring:

(1) Review by or approval of the President, Secretary of Defense (SecDef), or Under Secretary of Defense for Personnel and Readiness (USD(P&R)); or

(2) Confirmation by the Senate.

b. Establishes policy and is to be used in conjunction with Chairman of the Joint Chiefs of Staff (CJCS) Instructions 1330.05 and 1331.01D, DoDI 1300.19, Volume 1 of DoD Manual 5110.04-M, DoDD 5505.06, SecDef Memorandums, DoDI 1320.14, DoDI 1320.11, DoDI 1320.12, DoDD 1350.2, DoD Manual (DoDM) 1336.05, Article 2 of the U.S. Constitution, and USD(P&R) Memorandum (References (c) through (q)).

c. Implements law codified in Title 10, United States Code (Reference (r)).

d. Incorporates and cancels USD(P&R) Memorandums (References (s) through (x)) and Assistant Secretary of Defense for Force Management Policy Memorandums (References (y) through (ac)).

e. Compiles guidance from the Senate, Senate Armed Services Committee (SASC), White House, White House Military Office, Secretary of Defense, Deputy Secretary of Defense, Office of the Secretary of Defense Executive Secretary, Washington Headquarters Services, and USD(P&R) staffs. This compilation is provided for the benefit of and reference by the Military Departments.

2. APPLICABILITY. This instruction applies to:

a. OSD, the Military Departments, the Office of the CJCS and the Joint Staff (JS), the Combatant Commands, the Office of the Inspector General of the Department of Defense (IG DoD), the Defense Agencies, DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this instruction as the “DoD Components”).

b. Actions involving personnel for grades WO1 through O-10 being appointed on an active-duty list or a reserve active-status list of the Military Services except for the United States Coast Guard.

3. POLICY. It is DoD policy that:

a. DoD will inform the President and the Senate of adverse and reportable information relating to officers who are the subjects of military officer personnel actions in accordance with this instruction.

b. General or flag officer (G/FO) personnel actions will not normally be forwarded to the President, SecDef, or USD(P&R) for approval or to the Senate for confirmation if:

(1) There are planned or ongoing investigations into matters that constitute potentially adverse information concerning the officer.

(2) The personnel action does not adhere to the procedural requirements in this instruction.

c. Officers identified in personnel actions will be mentally, physically, morally, and professionally qualified for promotion or appointment.

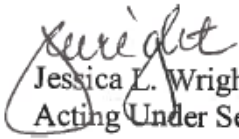
4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. Enclosure 3 provides overarching procedures, restrictions, allocations, and requirements for the processing and approval of actions requiring Presidential, SecDef, or USD(P&R) approval or Senate confirmation.

6. RELEASABILITY. **Cleared for public release.** This instruction is available on the Directives Division Website at <https://www.esd.whs.mil/DD/>.

7. SUMMARY OF CHANGE 1. The change to this issuance updates references and organizational titles and removes expiration language in accordance with current Chief Management Officer of the Department of Defense direction.

8. EFFECTIVE DATE. This instruction is effective January 3, 2014.


Jessica L. Wright
Acting Under Secretary of Defense
for Personnel and Readiness

Enclosures

1. References
2. Responsibilities
3. Overall Guidance
4. Adverse and Reportable Information
5. Procedures Specific to O-7 through O-10 Actions
6. Requirements for O-6 and Below (O6B) Actions
7. Documents Required for Military Officer Personnel Actions O-7 through O-10
8. Documents Required for Military Officer Personnel Actions for Grades O6B
9. Scrolls
10. Senate Text Files

Glossary

TABLE OF CONTENTS

ENCLOSURE 1: REFERENCES.....7

ENCLOSURE 2: RESPONSIBILITIES.....9

 USD(P&R).....9

 SECRETARIES OF THE MILITARY DEPARTMENTS.....9

 CJCS9

ENCLOSURE 3: OVERALL GUIDANCE11

 MILITARY OFFICER PERSONNEL ACTIONS FOR GRADES O-10 AND BELOW11

 General Comments.....11

 Specific Guidance11

 PROCESSING TIMELINE13

 100-DAY REPORTS15

 PROVIDING INFORMATION TO THE SASC15

ENCLOSURE 4: ADVERSE AND REPORTABLE INFORMATION.....16

 GENERAL GUIDANCE16

 Adverse Information16

 Reportable Information.....16

 REPORTING ADVERSE AND REPORTABLE INFORMATION17

ENCLOSURE 5: PROCEDURES SPECIFIC TO O-7 THROUGH O-10 ACTIONS19

 AGENCY CHECKS AND CERTIFICATIONS19

 HOLDS ON OFFICER PERSONNEL ACTIONS20

 RETIREMENTS IN THE GRADES OF O-9 AND O-10.....22

 RETIREMENTS IN THE GRADES OF O-7 AND O-8.....25

 NOMINATIONS TO THE GRADES OF O-9 AND O-1027

 NOMINATIONS TO THE GRADES OF O-7 AND O-8.....29

 STATISTICAL FORMATS FOR O-7 AND O-8 PROMOTION BOARDS30

 Racial and Ethnic30

 Joint Duty Assignments30

 Acquisition Corps31

 CAREER RESUMES FOR O-7 THROUGH O-10 PACKAGES31

ENCLOSURE 6: REQUIREMENTS FOR O6B ACTIONS33

 GENERAL GUIDANCE33

 ADVERSE OR REPORTABLE INFORMATION AND HOLD GUIDANCE ON
 PROMOTION AND MISCELLANEOUS APPOINTMENTS34

General Guidance.....34
Hold and Restart Guidance36

ENCLOSURE 7: DOCUMENTS REQUIRED FOR MILITARY OFFICER PERSONNEL
ACTIONS FOR GRADES O-7 THROUGH O-1040

RETIREMENTS IN THE GRADES OF O-9 AND O-10.....40
RETIREMENTS IN THE GRADES OF O-7 AND O-8 (SERVICE-IN-GRADE
WAIVERS).....41
RETIREMENT PACKAGES IN THE GRADE OF O-7 OR O-8 (DOWNWARD
GRADE NOTIFICATIONS WITH SUBSTANTIATED ADVERSE)42
O-9 AND O-10 NOMINATIONS42
G/FO PSBS, SSBS, AND FRBS43
NOMINATIONS TO THE GRADE OF O-7 OR O-8 (NOT SUBMITTED
CONCURRENT WITH THE PROMOTION BOARD)46
SSBs.....47
PRBs47
REMOVAL OR VACATION OF PROMOTION ACTIONS48

ENCLOSURE 8: DOCUMENTS REQUIRED FOR MILITARY OFFICER PERSONNEL
ACTIONS FOR GRADES O6B49

O6B PSBs (INCLUDING POSITION VACANCY BOARDS) AND SSBs.....49
O6B FRBs.....52
NOMINATIONS AND APPOINTMENTS FOR REGULAR APPOINTMENTS AND
THOSE OFFICERS PREVIOUSLY WITHHELD54
APPOINTMENTS TO THE GRADE OF O-2 AND O-3 (NOT SELECTED BY A PSB) ...55
WARRANT OFFICER PROMOTIONS56
ORIGINAL APPOINTMENTS ON THE ACTIVE-DUTY LIST AND RESERVE
ACTIVE-STATUS LIST57

ENCLOSURE 9: SCROLLS59

SCROLL PROCEDURES FOR GRADES O-7 THROUGH O-1059
General Guidance.....59
Formats60
SCROLL PROCEDURES FOR GRADES O6B60
General Guidance.....60
Formats61

ENCLOSURE 10: SENATE TEXT FILES.....62

SENATE TEXT FILES FOR O-7 AND O-8 PROMOTION BOARDS62
General Guidance.....62
Procedures.....62
SENATE TEXT FILES O6B63

General Guidance.....	63
Procedures.....	63
GLOSSARY	65
PART I: ABBREVIATIONS AND ACRONYMS	65
PART II: DEFINITIONS.....	66
FIGURES	
1. Certification Format.....	19
2. Retirement Announcement Format.....	24

ENCLOSURE 1

REFERENCES

- (a) DoD Instruction 1320.4, "Military Officer Actions Requiring Approval of the President or Secretary of Defense, or Confirmation by the Senate" March 14, 1995 (hereby cancelled)
- (b) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))," June 23, 2008
- (c) Chairman of the Joint Chiefs of Staff Instruction 1330.05, "Joint Officer Management Program Procedures," May 1, 2008
- (d) Chairman of the Joint Chiefs of Staff Instruction 1331.01D, "Manpower and Personnel Actions Involving General and Flag Officers," August 1, 2010
- (e) DoD Instruction 1300.19, "DoD Joint Officer Management (JOM) Program," April 3, 2018
- (f) DoD Manual 5110.04-M-V1, "DoD Manual for Written Material: Correspondence Management," June 16, 2020
- (g) DoD Directive 5505.06, "Investigations of Allegations Against Senior DoD Officials," June 6, 2013, as amended
- (h) Secretary of Defense Memorandum, "Three-and Four-Star Retirement Approval," August 17, 2002
- (i) Secretary of Defense Memorandum, "Processing Retirement Applications of Officers in the Grades of O-7 and O-8," October 9, 1998
- (j) Secretary of Defense Memorandum, "Redelegation of Authority Under Executive Order 13358 – Assignment of Functions Relating to Certain Appointments, Promotions, and Commissions in the Armed Forces," December 10, 2004
- (k) Secretary of Defense Memorandum, "Delegation of Authority Pertaining to the Retirement of Officers Under Title 10, United States Code, Section 1370," June 5, 2003
- (l) DoD Instruction 1320.14, "Commissioned Officer Promotion Program Procedures," December 11, 2013, as amended
- (m) DoD Instruction 1320.11, "Special Selection Boards," February 12, 2013, as amended
- (n) DoD Directive 1350.2, "Department of Defense Military Equal Opportunity (MEO) Program," August 18, 1995, as amended
- (o) DoD Manual 1336.05, "Defense Manpower Data Center Domain Values for Military Personnel Data Extracts," July 28, 2009, as amended
- (p) United States Constitution, Article 2, Section II, Clause 1 and Clause 2
- (q) Under Secretary of Defense for Personnel and Readiness Memorandum, "Self-Reporting by Officers and Senior Enlisted Members of Criminal Convictions," April 2, 2008
- (r) Title 10, United States Code
- (s) Under Secretary of Defense for Personnel and Readiness Memorandum, "Approval of Selection Board Reports," February 16, 1998 (hereby cancelled)
- (t) Under Secretary of Defense for Personnel and Readiness Memorandum, "Informing the Secretary of Downward Grade Adjustments," August 13, 2003 (hereby cancelled)
- (u) Under Secretary of Defense for Personnel and Readiness Memorandum, "Officer Nomination Timing," April 27, 2004 (hereby cancelled)

- (v) Under Secretary of Defense for Personnel and Readiness Memorandum, “General and Flag Officer Boards – Adverse Information of a Credible Nature,” July 19, 2006 (hereby cancelled)
- (w) Under Secretary of Defense for Personnel and Readiness Memorandum, “Officer Appointments – Exemplary Conduct,” February 12, 2007 (hereby cancelled)
- (x) Under Secretary of Defense for Personnel and Readiness Memorandum, “Coordination of General and Flag Officer Selections for Defense Agencies and Field Activities,” April 3, 2008 (hereby cancelled)
- (y) Assistant Secretary of Defense for Force Management Policy Memorandum, “Processing Three- and Four-Star Retirement Request,” May 21, 2001 (hereby cancelled)
- (z) Assistant Secretary of Defense for Force Management Policy Memorandum, “Interim Change to Department of Defense Instruction 1320.4,” December 7, 1998 (hereby cancelled)
- (aa) Assistant Secretary of Defense for Force Management Policy Memorandum, “Interim Change to Department of Defense Instruction 1320.4,” August 28, 2001 (hereby cancelled)
- (ab) Assistant Secretary of Defense for Force Management Policy Memorandum, “Interim Change to Department of Defense Instruction 1320.4,” February 27, 2002 (hereby cancelled)
- (ac) Assistant Secretary of Defense for Force Management Policy Memorandum, “Processing Reports of Promotion Boards,” April 2, 1999 (hereby cancelled)
- (ad) Secretary of Defense Memorandum, “Redelegation of Authority Under Executive Order 13358 – Assignment of Functions Relating to Certain Appointments, Promotions, and Commissions in the Armed Forces,” November 17, 2008¹

¹ Copies may be obtained from the secure Internet website at the Officer Decision Support System (<https://www.dmdc.osd.mil/gofo> or and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>) or by calling (703) 697-4685

ENCLOSURE 2

RESPONSIBILITIES

1. USD(P&R). The USD(P&R):

- a. Reviews reports of promotion, special selection, and federal recognition boards.
- b. Reviews and provides advice on O-7 through O-10 nominations, O-9 and O-10 retirement requests, and O-7 and O-8 retirements requiring service-in-grade waivers or those O-7 and O-8 retirements with pending or ongoing investigations.
- c. Reviews and approves O-9 and O-10 retirements without waivers or adverse or reportable information.
- d. Serves as the SecDef's principal advisor on all military officer personnel actions.
- e. Monitors compliance with this instruction.

2. SECRETARIES OF THE MILITARY DEPARTMENTS. In accordance with References (c) through (e), (h) through (l), (n) through (r), and SecDef memorandum (Reference (ad)), the Secretaries of the Military Departments:

- a. Follow the procedures in this instruction when submitting military officer personnel actions requiring Presidential, SecDef, or USD(P&R) approval or Senate confirmation.
- b. Certify that officers identified in G/FO personnel actions are mentally, physically, morally, and professionally qualified for promotion or appointment.
- c. Comply with the policies and procedures prescribed in this instruction.
- d. Recommend policy changes to this instruction, as necessary, to the USD(P&R).
- e. Exercise redelegated authority to issue posthumous commissions in accordance with Reference (af).

3. CJCS. In accordance with References (c) through (e), the CJCS:

- a. Reviews reports of promotion selection boards (PSB) and special selection boards (SSB) that considered joint officers.
- b. Reviews and provides advice on O-7 through O-10 nominations and retirement requests.
- c. Serves as the proponent for the administration and execution of all joint PSBs as directed by the SecDef.

d. In accordance with References (e) and (h) through (k), formulates procedures and instructions to implement and support this instruction governing military officer actions requiring Presidential, SecDef, or USD(P&R) approval or Senate confirmation.

e. Monitors compliance with this instruction.

f. Recommends policy changes to this instruction, as necessary, to the USD(P&R).

g. Reviews and comments on all G/FO promotions, nominations, and retirement packages containing adverse or reportable information for all DoD Components.

h. Maintains and publishes a list of international billets requiring coordination with foreign governments and international organizations.

i. Secures required coordination with the appropriate OSD and DoD Components prior to recommending G/FOs for joint assignments.

ENCLOSURE 3

OVERALL GUIDANCE

1. MILITARY OFFICER PERSONNEL ACTIONS FOR GRADES O-10 AND BELOW

a. General Comments. This enclosure provides overarching guidance for all actions involving personnel for grades WO-1 through O-10 that pertain to designations, nominations, appointments, reappointments, extensions, promotions, retirements, selection board reports, and all related necessary recommendations and documentation requiring Presidential, SecDef, or USD(P&R) approval or Senate confirmation.

b. Specific Guidance

(1) Military officer personnel actions requiring Presidential approval or Senate confirmation are treated as Presidential correspondence.

(2) The Secretaries of the Military Departments forward proposed military officer personnel actions by memorandum to the SecDef or the Deputy Secretary of Defense (DepSecDef) through the USD(P&R). When required by Reference (r), or DoD policy, such personnel actions are transmitted to the SecDef through the CJCS.

(a) The memorandum from the Secretary of the Military Department forwarding packages resulting from a PSB, SSB, or federal recognition board (FRB) will include certification that the officers submitted for promotion meet the exemplary conduct provisions of sections 3583, 5947, or 8583 of Reference (r) as applicable. Previously delayed or withheld nominations and appointments submitted at a later date must include the exemplary conduct certification at the time of submission.

(b) If any officer has adverse or reportable information included in the package provided to OSD, the forwarding memorandum must include:

1. Detailed information concerning the adverse or reportable information forwarded with the personnel action.

2. Justification of how and why each officer for which adverse or reportable information has been forwarded merits promotion or appointment notwithstanding such information.

3. A statement evaluating the officer's judgment as it relates to the adverse or reportable information and his or her potential for future service.

(3) The Secretaries of the Military Departments will:

(a) Ensure officers whose names are forwarded continue to remain qualified for promotion or appointment and meet the exemplary conduct provisions.

(b) Take action under section 624 and 14311 of Reference (r) and this instruction to delay the promotion or appointment of an officer or withhold the nomination package when such action is necessary to ensure compliance with paragraph 1b(3)(a) of this enclosure.

(4) The Secretary of the Military Department, in an instance when an officer's name is on a promotion list but is withheld from a corresponding scroll, will afford the officer the protections provided in sections 624 and 14311 of Reference (r) during the qualification examination process.

(5) The CJCS, as the principal senior military advisor to the SecDef concerning military matters, as required by law or policy, advises the SecDef and makes recommendations on approval of any waivers or other items requested by the Secretaries of the Military Departments on G/FO personnel actions.

(6) Within OSD, only the SecDef or DepSecDef may disapprove the forwarding of an officer's or individual's name for nomination or appointment after the Secretary of a Military Department has provided his or her recommendation. In those rare instances when the SecDef or DepSecDef disapprove the Secretary of the Military Department's recommendation, the action will be returned to the Military Department.

(a) Upon such disapproval, the USD(P&R) will notify the Secretary of the Military Department.

(b) The offices of primary responsibility for processing the nomination through the OSD may return a nomination package to the Military Department for further clarification, for additional information, or if the Military Department requests the nomination be returned. The offices of primary responsibility are:

1. The Office of the Assistant Secretary of Defense for Readiness and Force Management (OASD(R&FM)), Military Personnel Policy, Officer Enlisted Personnel Management (OEPM) for G/FO actions, O6 and below (O6B) promotions, original appointments on an active-duty list, and miscellaneous appointment packages.

2. Office of the Assistant Secretary of Defense for Manpower and Reserve Affairs (OASD(M&RA)) for original appointments on a reserve active-status list.

(7) Packages on O-7 and above officers requiring action by the SecDef or the DepSecDef will be delivered by the Military Department, after completion of the JS coordination if required, to OEPM. All O-6 and below packages requiring action by the SecDef or the DepSecDef will be delivered by the Military Department, after completion of the JS coordination if required, to the Correspondence and Analysis Branch (CAB), Correspondence Management Division, Executive Services Directorate, Washington Headquarters Services, Pentagon. All documents will be provided printed on one side of 8 ½ by 11 inch paper.

(a) In general, packages delivered to OEPM or CAB will include the original Secretary of the Military Department memorandum with attachment(s) and a copy of the complete package (including a copy of any Presidential scroll). The original Presidential scroll will be provided to CAB in a separate folder.

1. Any nomination package requiring special handling (e.g., expedited processing, pending 100th day of board adjournment, or 10-day hold after signature) will be identified in writing to OEPM or CAB with the package.

2. The Military Departments are required to upload a copy of the entire package into the G/FO Decision Support System (DSS) (<https://www.dmdc.osd.mil/gofo>) prior to, or immediately after, documents are provided to CAB.

(b) CAB will provide O-6 and below packages to the appropriate office of primary responsibility for processing:

1. OEPM; or

2. OASD(M&RA).

(8) All actions requiring approval or action below the DepSecDef level will be delivered to the appropriate office of primary responsibility by the Military Department. These actions will include all of the documents related to the military officer personnel action from the respective Military Department and will be uploaded to the DSS by the Military Department prior to providing the required documentation to the office of primary responsibility. Information outlining the appropriate approval level for personnel actions covered in this instruction are provided at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

(9) For nomination packages containing three or more names that require Senate confirmation, the Military Department will upload a Senate text file to the DSS. Submission of the Senate text file electronically is in addition to, **not** instead of, submission of an original hard copy scroll. In accordance with the requirements in Enclosure 10 of this instruction, the Military Department will:

(a) Ensure that the information contained in this electronic file is in the format described and matches the data provided in the nomination package except as indicated in Enclosure 10 of this instruction.

(b) Provide an electronic file for each scroll submitted as required.

(c) If changes are required, the Military Department will submit a new text file and hard copy scroll.

2. PROCESSING TIMELINE

a. Processing a package through the JS will take approximately 10 duty days and processing a package through OSD will take approximately 21 duty days. Some packages may require additional processing steps, which may increase the overall processing time within the OSD. Packages with adverse or reportable information and packages involving waivers or those not routinely processed will typically require additional time to process. Timely submission of complete and accurate packages by the Military Departments will help to maximize efficiency.

b. CAB will provide appropriate notification to the OSD, JS, and Military Department staffs when packages are signed by the SecDef or the DepSecDef, placed on hold pending transmittal to the next office for coordination, sent to the White House Military Office, signed by the President, and sent to the Senate. Updates to the status of nominations at the Senate can be obtained from the Senate website at <http://www.senate.gov> under the legislation and records and nomination links.

c. In most cases, 48 hours after the President signs a nomination, when the Senate is in session, the White House Clerk forwards the nomination scroll to the Senate Clerk. In those instances where international protocol requires coordination with other governments or agencies (as prescribed in Reference (d)), the White House Clerk holds those nominations until CAB notifies all parties that the appropriate offices in OSD Policy or the JS have completed all appropriate coordination. The Secretaries of the Military Departments will identify those nominations that require coordination under international protocol when submitting those nominations.

d. For G/FO nominations, the Office of the Assistant to the Secretary of Defense for Public Affairs will make the public announcement of Presidential nominations as soon as possible after the WHMO notification of Presidential approval and confirmation of delivery to the Senate.

e. Nomination packages will not be forwarded to the Senate more than 9 months prior to the projected promotion, movement, or appointment date. The acceptable window for delivery of nominations requiring Senate confirmation to CAB is not more than 9 months prior to promotion or appointment plus processing time within OSD and the White House. This equates to approximately 10 months prior to the projected promotion or appointment for all nomination packages.

f. Based on SASC practices, it will act, when appropriate, on pending nominations within 4 months of the projected date of promotion (PDOP) or projected date of assignment (PDOA). The PDOP or PDOA for nomination scrolls with multiple officers or individuals will be the date of earliest promotion or appointment on that particular scroll. The Secretary of the Military Department will keep the OSD office of primary responsibility, as indicated in paragraph 1b(6) of this enclosure, advised of changes to PDOP, PDOA, or projected appointment date.

g. If after confirmation, a G/FO's PDOP or PDOA changes by more than 30 days, the Military Department will notify OEPM so it can notify the SASC of the reason for the delay.

h. Under the Standing Rules of the Senate, nominations not acted upon at the time of a recess of more than 30 days or at the end of a session of Congress will be returned.

(1) When nominations are returned, they will be returned to the OSD through the White House. The Office of the Under Secretary of Defense for Personnel and Readiness (OUSD(P&R)) will notify the Military Departments of nominations that are returned.

(2) If the Secretary of the Military Department wishes further consideration of a nomination, it must be resubmitted as a new nomination.

3. 100-DAY REPORTS

a. The USD(P&R) or the Secretary of the Military Department must advise the SASC and House Armed Services Committee (HASC) when PSB reports (including position vacancy board reports) and FRB reports are not approved by the 100th day after the board members sign the board report.

b. The USD(P&R) will provide the 100-day report if a board report has been provided to OSD for processing on or before the 60th day after board adjournment for G/FO actions and on or before the 75th day after adjournment for O6B actions.

c. The Secretary of the Military Department will provide the 100-day report to the HASC and SASC if:

(1) The board report is received by the OSD after the 60th day after board adjournment for G/FO actions and after the 75th day after board adjournment for O6B actions.

(2) OEPM determines that the board report was not ready to be processed upon receipt or could not be processed in time.

d. The 100-day report will include the name of the board, an explanation for the delay, and the date the board report was approved or an estimate of when the board report is projected to be approved. The responsible office will provide a copy to OEPM or the Military Department, as appropriate. A follow-up report, including the same information, will be provided to the SASC and HASC every 30 days after the 100th day following board adjournment, until the board report is approved.

4. PROVIDING INFORMATION TO THE SASC

a. The OEPM is the primary conduit for all DoD discussions concerning adverse information, reportable information, pending investigations, or inquiries with the SASC or other Senate members or staff, after a nomination reaches the Senate. This does not prohibit the Military Departments from communicating with the SASC or other Senate members or staff, about a nomination with adverse or reportable information provided the information has been coordinated with the staff of OEPM.

b. Adverse or reportable information is provided to the SASC after officer nominations have been signed by the President. Upon Presidential approval of a nomination, OEPM will direct the Military Department to deliver adverse or reportable information binders, which have been previously reviewed by OSD, to the SASC nominations clerk.

c. The Military Department will forward to OEPM from the Senate, its members, or staff, any inquiry concerning a military officer personnel action that is currently pending confirmation or approval. When this is not possible, the Military Department will provide copies of any written inquiries and responses or summaries of any verbal communications to OEPM. Additionally, when time permits, these responses will be coordinated with OEPM in advance.

ENCLOSURE 4

ADVERSE AND REPORTABLE INFORMATION

1. GENERAL GUIDANCE

a. Adverse Information. Adverse information is any substantiated adverse finding or conclusion from an officially documented investigation or inquiry or any other credible information of an adverse nature. To be credible, the information must be resolved and supported by a preponderance of the evidence. To be adverse, the information must be derogatory, unfavorable, or of a nature that reflects clearly unacceptable conduct, integrity, or judgment on the part of the individual.

(1) The following types of information, even though credible, are not considered adverse:

(a) Motor vehicle violations that did not require a court appearance.

(b) Minor infractions without negative effect on an individual or the good order and discipline of the organization that:

1. Were not identified because of substantiated findings or conclusions from an officially documented investigation.

2. Did not result in more than a non-punitive rehabilitative counseling administered by a superior to a subordinate.

(2) Adverse information does not include:

(a) Information previously considered by the Senate pursuant to an earlier nomination of the officer.

(b) Information attributed to an individual 10 or more years before the date of the personnel action under consideration, except for substantiated conduct any single act of which, if tried by court-martial, could have resulted in the imposition of a punitive discharge and confinement for more than 1 year. The date of the substantiated adverse finding or conclusion from an officially documented investigation or inquiry is used to establish the time period, not the date of the incident.

b. Reportable Information. Reportable information is:

(1) Information other than adverse information requested to be reported by the SASC or by any member of the Senate; or

(2) Information related to alleged misconduct or impropriety, which is subject to an on-going investigative, administrative, or judicial process. Normally a nomination will be delayed pending resolution of the investigative, administrative, or judicial process; however, in

extraordinary cases and where the resolution is not expected within a reasonable time, the nomination may be processed with an appropriate summary of the case. The summary will include an opinion from a qualified senior leader on the probable outcome of the investigative, administrative, or judicial process; or

(3) Credible information related to an individual's involvement or affiliation with a significant event that is widely known to the general public or members of Congress that brings discredit upon or calls into question the integrity of members of the DoD, Components of the DoD, or the DoD. Ordinarily, such information that has been known for more than 3 years prior to the nomination process, or information that was previously considered by the SASC as part of a prior nomination of that individual, will not be reported.

2. REPORTING ADVERSE AND REPORTABLE INFORMATION

a. When the Secretary of the Military Department attributes adverse or reportable information to an officer, the Secretary's memorandum will include:

- (1) Detailed information concerning the adverse or reportable information.
- (2) An affirmative statement regarding the officer's judgment with respect to the specific information.
- (3) The specific rationale for support of the officer for nomination or appointment as it applies to adverse or reportable information.
- (4) An explanation of how the officer meets the requirement of exemplary conduct set forth in sections 3583, 5947, and 8583 of Reference (r).
- (5) A statement identifying why documentation of non-judicial punishment imposed, letters or memorandums imposed administratively, or similar documents are not included in the package.
- (6) A summary in those instances when an allegation is ongoing (e.g., Equal Employment Opportunity complaint or potential Anti-Deficiency Act violation), and it is likely to take months or years to resolve. The Secretary of the Military Department will include the particulars of the complaint, the results of any completed reviews and final decisions, the status of the pending actions and the expected length of time to resolve, and the impact if the nomination is not forwarded.
- (7) A summary of the information in the Adverse Information Summary (AIS) or Reportable Information Summary (RIS) as outlined at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

b. A complete unredacted copy of the report of investigation (ROI) must accompany the nomination package. The investigating agency will provide the ROI to the Military Department's staff element for use in preparing summaries of adverse or reportable information.

(1) In cases where the Secretary of the Military Department makes a final determination on adverse information that does not match the findings of the report of investigation, the Secretary of the Military Department must certify in writing the Military Department's determination.

(2) Adverse or reportable information binders will be delivered to OEPM upon delivering the officer personnel action to CAB.

c. The AIS or RIS sheet will be included as part of the nomination package when submitting it to the CJCS and the CAB. A copy of any documentation of non-judicial punishment imposed, as well as copies of letters or memorandums imposed administratively and similar documents, will be included with the nomination package. Sample formats for AIS and RIS are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

d. The Deputy Assistant Secretary of Defense for Military Personnel Policy (DASD(MPP)) when advising the Director, WHMO, of the adverse or reportable information, will attach copies of the AIS or RIS sheet. If the President signs the nomination and forwards it to the Senate, OEPM will send a letter with the AIS or RIS to the Chairman, SASC, advising of the adverse or reportable information.

e. For G/FO actions, OEPM will monitor monthly checks with the IG DoD on all nomination packages that have been received by the Department and for which confirmation is pending.

f. For G/FO actions, the Secretary of the Military Department will provide to the USD(P&R) all adverse information since the officer's last confirmation.

(1) This does not relieve the Secretary of the Military Department from advising the SecDef, through the USD(P&R), of other adverse information or significant material information that occurred before the last confirmation that was not reported during the last confirmation, and that might affect the nomination process.

(2) When forwarding G/FO actions, the Military Departments will ensure adverse or reportable information binders are delivered to OEPM upon delivery of the personnel action to CAB.

(a) Binders will include a table of contents, career resume, a copy of the AIS or RIS, the ROI or associated investigation, non-judicial punishment imposed, copies of letters or memorandums imposed administratively and similar documents, and promotion review board (PRB) results, as appropriate.

(b) If an ROI references witness statements and testimony, copies of these documents will also be required to be included in the binders.

ENCLOSURE 5

PROCEDURES SPECIFIC TO O-7 THROUGH O-10 ACTIONS

1. AGENCY CHECKS AND CERTIFICATIONS

a. The Secretaries of the Military Departments will ensure that all investigative files, to include DoD, Service, and State Inspector General files in accordance with Reference (g), and Equal Employment Opportunity, Equal Opportunity, National Crime Information Center, Central Clearance Facility, Judge Advocate General, General Counsel, and other Service database files, are reviewed prior to forwarding an officer personnel action for Presidential, SecDef, or USD(P&R) approval, or Senate confirmation. Based on those reviews, the Secretaries of the Military Departments will forward through the CJCS any adverse or reportable information in the format prescribed in paragraph 2a(7) of Enclosure 4 or, if no adverse or reportable information exists, make the certification as provided in Figure 1.

Figure 1. Certification Format

All systems of records, to include Equal Employment Opportunity/Equal Opportunity files and the Office of Government Ethics Form 278 (Public Financial Disclosure Report) [Delete OGE 278 reference for nominations of O-6 officers], maintained in the Department of Defense that pertain to this/these officer(s) have been examined. The files contain no adverse information about this/these officer(s) since his/her/their last Senate confirmation. Further, to the best of my knowledge, there is no planned or ongoing investigation or inquiry into matters that constitute alleged adverse information on the part of this/these officer(s).

b. In conjunction with the Military Department's review of investigative files, the IG DoD, will review its investigative files and notify OEPM regarding adverse or pending alleged adverse information. OEPM will not process a nomination package until the IG DoD notification is received or, if the date on the IG DoD notification memorandum to OEPM is more than 90 days old, an updated IG DoD notification is received.

(1) The Military Department will ensure that the IG DoD notification remains current from the date the nomination package is received in OEPM until the nomination is confirmed (or, in the case of retirements, until the officer is transferred to the retired rolls).

(2) The Military Departments will monitor the DSS to ensure that IG DoD checks are current and reflect the most accurate information. The IG DoD will, in turn, provide the results of the update to OEPM and the Military Department.

(3) If a current IG DoD notification is not received within 5 duty days of receipt of the nomination package, the entire action may be returned to the Military Department.

c. G/FOs being recommended for appointment to advisory committees/boards will undergo the same investigative files checks as provided for in paragraphs 1a and 1b of this enclosure.

2. HOLDS ON OFFICER PERSONNEL ACTIONS

a. In those instances where a nomination package is received in OEPM and the Military Department informally requests that the package be placed on hold, OEPM will do so for no more than 5 duty days.

(1) If, by the end of the 5th duty day, OEPM does not receive a written memorandum or e-mail indicating that the Secretary of a Military Department wishes to have the package placed on hold, OEPM will request the status of the package from the Military Department.

(2) If the written memorandum or e-mail is still not provided within an additional 2 duty days, OEPM will decide on whether to return or continue to hold the nomination package.

b. Nomination packages that do not contain the information required by this instruction or by other DoD policy will be placed on hold by OEPM.

(1) If the required documents are not provided by the Military Department within a reasonable period, the nomination package will be returned without action.

(2) When concerns are brought to the attention of OEPM by a coordinating agency regarding a nomination package that cannot be resolved by the OSD staff, the nomination package will be placed on hold, and OEPM will request clarification from the Military Department.

(3) When an officer's nomination that is part of a nomination package is placed on hold, OEPM will request that the Military Department provide a new scroll withholding the name of the officer. OEPM will process the nomination package to the SecDef with a recommendation to withhold the officer's name from the nomination scroll pending further consideration by the Secretary of the Military Department.

c. If the Military Department or the IG DoD identifies any adverse information, pending alleged adverse information, reportable information, or an investigation not previously reported on an officer being recommended for a military officer personnel action, it will:

(1) Informally notify OEPM within 5 duty days of receipt of adverse or alleged adverse information. This notification will include the officer's name, grade, the first name on the associated list or the scroll, a synopsis of the information or investigation, and current status.

(2) An e-mail notification from the Director or Deputy Director of the Military Department General or Flag Officer Management Office, on behalf of the Secretary of the Military Department, is an acceptable means of making this initial notification.

(a) If more than one officer is on the scroll, the notification will state whether the Military Department wishes the remaining officers on the list to proceed forward without the officer concerned for confirmation.

(b) OEPM, with the concurrence of the SecDef and the Director, WHMO, will then advise the SASC of the information and request the officer's nomination be placed on hold until the matter is resolved. OEPM will specify whether the remaining officers on the list should continue forward for confirmation, if appropriate.

(c) In those cases where the nomination has already reached the White House or Senate, the Secretary of the Military Department will immediately notify OEPM.

(3) In addition, the IG DoD will immediately notify OEPM when it becomes aware or has been notified by a Military Service or other credible source that an officer has become the subject of adverse or potentially adverse information if the named officer has been recommended for a military officer personnel action.

(4) Within 5 days of the initial notification, the Secretary of the Military Department and IG DoD will forward a formal notification that includes the officer's grade, name, and a synopsis of the allegation(s). For the Military Departments, the notification letter will also include the date the notification of an ongoing investigation was received by the Military Department and the requested action.

d. When an investigation or inquiry is completed on an officer whose nomination is on hold, the Secretary of the Military Department will inform the SecDef in writing, through the USD(P&R), of the outcome of the investigation.

(1) The Secretary of Military Department will state whether the allegations were unsubstantiated or substantiated.

(a) If substantiated, the notification will include what action was taken, if any, whether or not the Secretary of the Military Department still supports the officer for nomination and an assessment of the officer's judgment as it relates to the substantiated adverse information and the officer's overall qualification for promotion or appointment.

(b) With regard to substantiated adverse information, the IG DoD, will notify OEPM of the results of investigations completed on officers pending nomination.

(c) OEPM will process the nomination package once certification of the Military Department's investigation outcome is received from the IG DoD. If the IG DoD review does not match the Military Department's findings, OEPM will continue to hold the nomination package until the disparity is resolved.

1. The Military Department will resolve the disparity with the IG DoD, if possible.

2. If the disparity cannot be resolved, the Secretary of the Military Department will provide notification of such, including its explanation for the difference, and a recommendation to OUSD(P&R).

3. OEPM will include the Military Department's explanation in the nomination package.

(2) If a nomination package contains adverse information that has not been made available to the officer, the Secretary of the Military Department will ensure the information is provided to the officer and that the officer is afforded an opportunity to submit written comments for consideration.

(a) If the officer does not have access to the information for reasons of national security, the officer will (to the extent practical) be provided with an appropriate summary of the information.

(b) In those instances where the adverse information has not been reviewed by an officer's PSB to O-7 or O-8, the adverse information and the officer's comments will be provided to a PRB or, if the officer was removed from a previous board, the information will be provided to the next PSB prior to submission of the nomination package.

(3) In those instances when an action is pending (for example from a previous Equal Employment Opportunity complaint or Anti-Deficiency Act violation), and it is likely to take months or years to resolve, the Secretary of the Military Department may submit the nomination package for consideration by the Department if a preliminary review of the investigation indicates the allegation pertaining to the officer being considered for nomination will likely be not substantiated.

(a) The Secretary of the Military Department will provide the particulars of the complaint, the results of any completed reviews and final decisions, the status of the pending actions and the expected length of time to resolve, and the impact if the nomination is not forwarded.

(b) The Secretary of the Military Department will provide OEPM with updates as new information becomes available while the nomination is processing.

3. RETIREMENTS IN THE GRADES OF O-9 AND O-10

a. The Secretaries of the Military Departments will forward all recommendations for military officers to retire in the grade of O-9 or O-10 through the CJCS to the SecDef or USD(P&R), as appropriate. The Secretaries of the Military Departments will include the date of retirement, age of the officer, a discussion of significant accomplishments in the officer's current grade, the date the officer was assigned to his or her position of importance and responsibility, and the date the officer is projected to depart his or her position. The recommendation will include all positions the officer held in the grade of O-9 or O-10 and be inclusive of all time in that grade. The Secretary of the Military Department will keep OEPM advised of changes to these dates for the retiring officer.

b. The SecDef retains the authority to determine satisfactory or non-satisfactory service for all officers in the grades of O-9 or O-10 who have adverse or reportable information that has been identified since the officer's first Senate confirmation to the grade in which retirement is requested and officers requiring service-in-grade waivers of 12 months or less. Service-in-grade waivers of more than 12 months must be forwarded to the President for approval. The

USD(P&R) or PDUSD(P&R) approves O-9 and O-10 retirements without waivers or adverse or reportable information.

(1) The Secretaries of the Military Departments will ensure all recommendations for military officers to retire in the grade of O-9 or O-10 with adverse or reportable information state the substantive basis (including a brief synopsis of the officer's accomplishments in that grade) for the recommendation and in addition to the information required in section 3 of this enclosure, will forward a complete copy of the ROI, AIS or RIS, and any disciplinary action the officer received as a result of the incident. Additionally, the Secretary of the Military Department must make an affirmative statement that the officer served satisfactorily in the grade being recommended for retirement.

(2) The Secretaries of the Military Departments will ensure all recommendations for military officers to retire in the grade of O-9 and O-10 with a service-in-grade waiver provide substantive justification for the request and provide the information required by paragraph 3a of this enclosure.

(3) One-step retirements are retirement requests submitted to the OSD 75 days or less from the date the officer is projected to relinquish his or her position of importance and responsibility (O-9 or O-10 position).

(a) The SecDef or USD(P&R)/PDUSD(P&R) approves the retirement and any required waivers and signs the certifications of satisfactory service.

(b) Upon SecDef or USD(P&R)/PDUSD(P&R) approval, OEPM will date and dispatch the certifications of satisfactory service to the President, the President of the Senate, and the Speaker of the House of Representatives.

1. The certification to the President will be dispatched first. Approximately 24 hours after the White House receives the certification memorandum, OEPM will send the remaining certification letters to the President of the Senate and the Speaker of the House of Representatives.

2. Once the President of the Senate and the Speaker of the House of Representatives have been notified, OEPM will send copies of the certifications to the Chairman and Ranking Member of the SASC and HASC and the Secretary of the Military Department. At that time, the retirement may be announced. The first sentence of the retirement announcement will be as provided in Figure 2.

Figure 2. Retirement Announcement Format

The SecDef announced today that he has approved the retirement of grade, full name (first, middle initial, and last), Service, for advancement to the grade of retired grade on the retired list.

(4) Two-step retirements are retirement requests submitted to the OSD more than 75 days before the date the officer is projected to relinquish his or her position of importance and responsibility (O-9 or O-10 position).

(a) The SecDef or USD(P&R) approves the retirement and any required waivers and signs the certifications of satisfactory service.

(b) Upon approval of the retirement, OEPM notifies the Secretary of the Military Department that the SecDef or the USD(P&R) has approved the retirement request. Public announcement cannot be made until the certification described in paragraph 3b(4)(c) of this enclosure is received from the Secretary of the Military Department.

(c) Within 75 days before a retiring officer departs his or her position, the Secretary of the Military Department will verify and forward certification to OEPM that the IG DoD check is current and there has been no new information that would affect the SecDef or USD(P&R) decision to certify the retirement of the officer to the President and Congress.

(d) Following receipt of the certification memorandum, but not earlier than 60 days before the officer departs his or her position, OEPM will prepare SecDef or USD(P&R) certifications for the President, President of the Senate, and the Speaker of the House of Representatives.

1. The certification to the President will be dispatched first. Approximately 24 hours after the White House receives the certification memorandum, OEPM will send the remaining certification letters to the President of the Senate and the Speaker of the House of Representatives.

2. Once the President of the Senate and the Speaker of the House of Representatives have been notified, OEPM will send copies of the certifications to the Chairman and Ranking Member of the SASC and HASC and the Secretary of the Military Department. At that time, the retirement may be announced. The first sentence of the retirement announcement will be as provided in Figure 2.

(5) In those cases where alleged adverse information is identified while the retirement package is being processed within OSD or after the retirement has been announced, the Secretary of the Military Department or the IG DoD, whichever receives notice of alleged adverse information, will notify the USD(P&R) within 5 duty days of receipt of the alleged adverse information as prescribed in section 2 of this enclosure. After receipt of the information from the Secretary of the Military Department or the IG DoD, the retirement nomination will be held in abeyance by OEPM pending review of the alleged adverse information. After the review is

completed, the Secretary of the Military Department and the IG DoD will inform OEPM of the outcome of the review as prescribed by this instruction. If the alleged adverse information is determined to be substantiated, the Military Department must resubmit the retirement for the SecDef's consideration as outlined in paragraph 3a of this enclosure.

4. RETIREMENTS IN THE GRADES OF O-7 AND O-8

a. This section applies to requests for non-disability retirement from active duty under the provisions of chapters 367, 571, and 867 of Reference (r) submitted for officers in the grades of O-7 and O-8.

b. The Secretary of the Military Department is the approval authority for all retirements of officers except those requiring a service-in-grade waiver. This function may not be delegated below the Under Secretary level of the Military Department.

c. No officer may be approved for retirement unless that officer's name has been checked against DoD, Service, and State Inspector General files, and Equal Employment Opportunity, Equal Opportunity, National Crime Information Center, Central Clearance Facility, Judge Advocate General, General Counsel, and other Service databases files. This name check must be kept current (within 90 days) from the time the officer applies for retirement until the effective date of the officer's retirement.

(1) If the name check reflects no adverse information or pending or ongoing investigation involving the officer, the retirement application may be approved.

(2) If the name check discloses adverse information, the Secretary of the Military Department will decide if the officer should be permitted to retire.

(3) If the name check discloses a pending or ongoing investigation involving the officer, further action on the officer's retirement application will be deferred, pending completion of the following procedures:

(a) The Secretary of the Military Department will immediately notify the officer of the deferment. Discussions with the investigative agency may be necessary before the officer is notified to determine whether notification may interfere with the outcome of the investigation.

(b) The Secretary of the Military Department will request that the agency or official conducting the investigation provide:

1. The allegations under investigation.

2. The date the investigation was initiated and its anticipated date of completion.

3. The status of the investigation to include a summary of work completed to date and an assessment, if appropriate, of the extent to which evidence received to date supports the allegation(s). If such an assessment is not appropriate, the agency or official conducting the investigation should so state. The investigating agency or official will provide updated reports

that confirm or revise the anticipated completion date to the Secretary of the Military Department every 30 days and notify the Secretary of the Military Department immediately when the results of the investigation are known.

4. Any other information that the investigating agency or official believes is pertinent to the consideration by the Secretary of the Military Department of the officer's retirement application.

(c) The agency or official conducting the investigation will comply with the Service Secretary's request for information within 10 duty days.

(d) Upon the Secretary of the Military Department's request, the agency or official conducting the investigation will expedite the investigation if appropriate.

(e) If the agency or official conducting the investigation does not anticipate completion of the investigation by the requested retirement date, the Secretary of the Military Department will determine, on a case-by-case basis, whether the retirement should be approved or deferred pending completion of the investigation. In making a determination in accordance with this paragraph, and as prescribed in SecDef memorandum (Reference (i)), the Secretary of the Military Department will consider, at a minimum:

1. The seriousness of the allegations.
2. The likely outcome of the investigation.
3. The needs of the Military Service.
4. The personal situation of the officer.

(f) If the Secretary of the Military Department approves a retirement application of an officer under investigation, he or she will immediately notify the SecDef through the USD(P&R) and provide a written report which addresses the factors identified in paragraphs 4c(3)(e)1.-4. of this enclosure, and any other factors that the Secretary of the Military Department considers relevant. An officer will not be permitted to retire earlier than 21 duty days after the notification is delivered to CAB, which will forward such notification to OEPM through the CJCS for processing to the SecDef in accordance with established nomination processing procedures.

(g) Upon receipt of notification that an officer is the subject of a pending or ongoing investigation, the officer's personnel records will be flagged. No approval of a retirement may be made with respect to an officer whose records are flagged without the approval of the Secretary of the Military Department.

(h) All notifications under paragraph 4c of this enclosure will be in writing.

(i) All service-in-grade waiver requests for officers serving in the grades of O-7 and O-8 under the provisions of chapters 367, 571, and 867 of Reference (r) are approved by the USD(P&R).

1. The Secretary of the Military Department will forward requests to waive the 3 year service-in-grade for retirement requirement by memorandum, coordinated through the CJCS, to the USD(P&R). Each request must include full justification for the requested waiver.

2. Upon approval, the USD(P&R) will forward notice to the Chairman and Ranking Member of the SASC and HASC and will advise the Secretary of the Military Department that he or she may exercise their retirement authority with respect to the officer.

(j) If the Secretary of the Military Department intends on exercising his or her authority to retire a G/FO at a lower grade, they must forward a memorandum through the CJCS and USD(P&R) to the SecDef advising of such intent. The SecDef must be advised at least 21 duty days in advance of the Secretary of the Military Department's completion or announcement of such action.

5. NOMINATIONS TO THE GRADES OF O-9 AND O-10

a. Nomination packages involving appointments to the grades of O-9 or O-10 will be based on the recommendations by the Secretary of the Military Department and the CJCS as specified in Reference (d).

b. The Secretary of the Military Department will provide, in the memorandum to the SecDef, specific data as outlined in Enclosure 3 of this instruction. The duty title will be the last duty title as designated by the President or the nomination will include a request for Presidential re-designation of the position of importance and responsibility under section 601 of Reference (r). Re-designation is also required when the grade or significant duties of the position change.

(1) The Secretary of the Military Department will also include the proposed assignment and the authorized grade for the proposed assignment; the number of joint duty or joint equivalent assignments in which the recommended officer has served; whether the officer has been designated a joint qualified officer (JQO); whether the officer has attended Senior Service School; and information indicating the effect the proposed action would have on statutory grade ceilings for that grade.

(2) The Secretary of the Military Department will also include a PDOP and PDOA, if different than the requested date of Senate confirmation, and will keep OEPM advised of any changes to these dates.

(3) A current list of the section 601 of Reference (r) positions can be viewed by accessing DSS at <https://www.dmdc.osd.mil/gofo>.

c. The Secretary of the Military Department will include in the nomination package a draft memorandum to the President that provides:

(1) The age of the officer.

(2) The proposed assignment.

(3) The authorized grade for the proposed assignment.

(4) The grade and name of the officer being replaced.

(5) Information indicating the effect the proposed action would have on statutory grade ceilings for that grade.

(6) The qualifications needed by an officer to carry out effectively the duties and responsibilities of the proposed assignment.

(7) As appropriate, a request for Presidential designation or re-designation of a position of importance and responsibility.

d. The CJCS, through the USD(P&R), will submit to the SecDef an evaluation of the performance of the officer as a member of the JS or in other joint duty assignments, or comments concerning the officer's eligibility when excluded from joint duty requirements, when the officer is recommended for an initial appointment to the grade of O-9 or O-10, as required by section 601 of Reference (r). If an officer is going to a Special Activity or Defense Agency, the CJCS will include the coordination from the appropriate OSD Principal Staff Assistant. The SecDef will include the CJCS's evaluation when the nomination recommendation is forwarded to the President as required by section 601 of Reference (r). When Reference (r) requires that each Secretary of the Military Department provide a nomination for a position, the CJCS's memorandum will state whether this requirement has been met. The CJCS will make a recommendation on approval of any waivers required.

(1) The CJCS will monitor the Military Departments to ensure that grade ceilings prescribed in section 525 of Reference (r) are not exceeded. In addition, for new billets or changes in authorizations, the CJCS will provide comments concerning an offset for the new billet or recommendations for changes in headspace or the Joint Pool.

(2) The CJCS may also recommend officers to the SecDef for assignment to O-9 and O-10 joint duty billets under section 601 of Reference (r).

(a) When such recommendations are made, the CJCS will ensure that all appropriate investigative files are reviewed, as prescribed in paragraph 1a of this enclosure, prior to endorsing the nomination recommendation. In conjunction with that review, the CJCS will also ensure that the IG DoD advises whether there is adverse or alleged adverse information on an officer and that the IG DoD notification is no more than 90 days old.

(b) The Military Department staff element will take necessary steps to assist the CJCS in complying with this instruction. If there is adverse or alleged adverse information about the officer to be recommended, then the CJCS will process the nomination package using the procedures prescribed in this instruction.

6. NOMINATIONS TO THE GRADES OF O-7 AND O-8

a. The SecDef will submit to the President all actions involving appointment to the grades of O-7 and O-8 requiring Presidential approval and Senate confirmation, as prescribed by section 624 and 12203 of Reference (r).

b. The Secretary of the Military Department will forward military personnel action packages by memorandum to the SecDef and, when required by Reference (r) or DoD policy, through the CJCS to the USD(P&R).

(1) The Secretary of the Military Department will forward the reports of PSBs and SSBs as provided in References (c), (d), (e), and (l) to the CJCS for review and comment.

(2) The Secretary of the Military Department will provide the SecDef PSB statistics with the board report after the CJCS has reviewed and commented on the results. If promotion objectives set forth in section 662 of Reference (r) were not met, the Secretary of the Military Department will provide comments on action taken or action that will be taken to prevent further failures or explain disagreement with the CJCS's determination under section 618 of Reference (r).

(3) For active-duty list boards, the Secretary of the Military Department will provide the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) a statistical comparison of Acquisition Corps and line officer promotion selection rates. If the board failed to meet the Acquisition Corps selection objective in section 1731 of Reference (r), the USD(AT&L) will provide the Secretary of the Military Department with a memorandum acknowledging the failure to meet the selection objective. The Military Department must obtain a copy of the coordination from the USD(AT&L) prior to forwarding the board report to the CJCS. Subsequently, a copy of the USD(AT&L) memorandum and the acquisition statistics will be provided to OEPM with the board report.

(4) The Secretary of the Military Department will include in the memorandum to the SecDef the statements required by this instruction concerning approval or disapproval of the board report and if applicable, confirmation that Acquisition Corps statistics were provided to the USD(AT&L). In addition, the Secretary of the Military Department will include other pertinent information concerning the recommended officer, such as previously forwarded nominations of an officer to the same recommended grade. Subsequent recommendations to nominate the same officer to the same recommended grade will include the rationale to support the re-nomination of the officer. A summary will be provided that identifies previous nomination submissions and outcomes.

(5) The Secretary of the Military Department will include a statement recommending approval or disapproval of the board report with certification that the report, under section 618 or 14110 of Reference (r), was reviewed and is in compliance with law, regulation, and the instructions, information, and guidelines furnished to the PSB.

(6) The Secretaries of the Military Department will include with PSB packages for active-duty list officers selected for promotion to the grade of O-7, a listing, by category, of waivers requested (good of the Service, scientific and technical, professional, tour length, and

JQO and a joint duty assignment projection that explains how the respective Military Department intends to provide a joint tour for those officers recommended for good of the Service waivers and a plan for those officers who have previously received good of the Service waivers, but have not yet been assigned to joint tours.

(7) When submitting a PSB package where an officer's name is on the promotion board report, but is not included on the corresponding nomination scroll pending a determination as to the officer's qualifications for appointment or because of a pending investigation, the forwarding memorandum will include a statement to that effect and also state that the officer's nomination package will be delayed under section 624(d) or 14311 of Reference (r). This information will be provided by name.

(8) The Secretaries of the Military Departments will also include other certifications as required by the USD(P&R).

7. STATISTICAL FORMATS FOR O-7 AND O-8 PROMOTION BOARDS. Racial and ethnic, joint duty assignment, and Acquisition Corps statistical data will be submitted with all O-7 and O-8 promotion boards.

a. Racial and Ethnic. Statistical formats are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

b. Joint Duty Assignments

(1) Selection boards must give appropriate consideration to the performance of officers who are serving in, or have served in, joint duty assignments.

(a) Officers in the grade of O-6 or above who are serving on or have served on the JS, are expected, as a group, to be promoted to the next higher grade at a rate not less than the rate for officers of the same armed force in the same grade and competitive category who are serving on, or have served on, the headquarters staff of their armed force as provided in section 662 of Reference (r).

(b) Officers in the grade of O-6 or above who have been designated as a JQO are expected, as a group, to be promoted to the next higher grade at a rate not less than the rate for all officers of the same armed force in the same grade and competitive category as required in section 662 of Reference (r).

(c) Officers in the grade of O-6 or above who are serving on or have served on the OSD staff, are expected, as a group, to be promoted to the next higher grade at a rate not less than the rate for officers of the same armed force in the same grade and competitive category who are serving on, or have served on the headquarters staff of their armed force.

(2) Statistical formats are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

c. Acquisition Corps

(1) PSBs must give appropriate consideration to the selection of officers in the Acquisition Corps. The SecDef will ensure that the qualifications of commissioned officers selected for the Acquisition Corps are such that those officers are expected, as a group, to be promoted at a rate not less than the rate for all line (or the equivalent) officers of the same armed force in the same grade as provided in section 1731 of Reference (r).

(2) Statistical formats are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

8. CAREER RESUMES FOR O-7 THROUGH O-10 PACKAGES

a. Career resumes will include:

- (1) Grade.
- (2) Full name.
- (3) Current assignment, to include duty title.
- (4) Date assigned.
- (5) Military Service.
- (6) Component.
- (7) All assignments with date assigned and grade held in the assignment.
- (8) All combat and contingency operations with date assigned and grade held.
- (9) All joint assignments with date assigned and grade held.
- (10) Officer's joint qualification designation.
- (11) Academic degrees.
- (12) Military schools attended to include any joint school.
- (13) Any foreign languages spoken.
- (14) All promotions with date of appointment.
- (15) U.S. decorations and badges.
- (16) Years of active commissioned service.

(17) Date of birth.

(18) Mandatory retirement date for age.

(19) Mandatory retirement date of years of service.

b. If the information required in paragraph 8a of this enclosure is not listed on the officer's career resume, it must be included on a separate sheet as an attachment.

c. The Military Department will upload the career resume in Adobe .pdf format into DSS. Career resumes will not be stapled and will be printed on one side of 8 ½ by 11 inch paper only and checked for accuracy.

ENCLOSURE 6

REQUIREMENTS FOR O6B ACTIONS

1. GENERAL GUIDANCE

a. When submitting O6B PSB, SSB, or FRB reports, nominations, and appointment packages, the Secretaries of the Military Departments will forward the proposed action by memorandum (signed and dated) to the OSD according to the procedures specified in this instruction and References (c), (e), (f), (l), and DoDIs 1320.11 and 1320.12 (Reference (m)).

b. The Secretary of the Military Department's forwarding memorandum will be addressed to the official within the OSD who has approval authority for that action or as specified otherwise by OEPM:

(1) For appointments or nominations going to the White House, address the memorandum to the DepSecDef. However, if the package provided to OSD includes adverse information or reportable information, then address the memorandum to the SecDef.

(2) For appointments with a SecDef appointment scroll, address the memorandum to the SecDef.

(3) For boards only requiring board report approval, address the memorandum to the USD(P&R) or other appropriate authority as specified by OEPM.

c. The Secretary of the Military Department will:

(1) Forward the reports of PSBs and SSBs to the CJCS for review and comment as provided in References (c), (e), and (l).

(2) After CJCS review, provide comments on action taken or planned action to prevent future failures, or explain disagreement if:

(a) The promotion objectives in section 662 of Reference (r) were not met;

(b) The CJCS determines that appropriate consideration was not given to officers with joint duty experience; or

(c) The Secretary of the Military Department disagrees with the CJCS determination.

d. For active-duty list PSBs (to the grades of O-5 and O-6), the Secretaries of the Military Department will provide the USD(AT&L) a statistical comparison of Acquisition Corps and line officer promotion selection rates.

e. The Secretary of the Military Department's forwarding memorandum will include any certifications as required by the OUSD(P&R).

f. Active and Reserve Component actions will not be combined into one package. The reports of SSBs, PSBs, and FRBs will not be combined into one package. In addition, packages with different approval levels (i.e., SecDef, DepSecDef, or USD(P&R)) will not be combined. Original appointments will not be combined with promotion and miscellaneous appointment packages.

g. The public release of board results will be in accordance with the following procedures:

(1) Active Duty O-4 - O-6 and Reserve Component O-6 Nominations. The Secretary of the Military Department may make a public announcement only after the DepSecDef or other appropriate authority signs the memorandum forwarding the nomination scroll to the President.

(2) Active Duty O-1 - O-3 and Reserve Component O-1 - O-5 Promotions. The Secretary of the Military Department may make a public announcement only after the USD(P&R) or other appropriate authority forwards the appointment scroll to the SecDef for signature.

(3) SSBs. For SSBs with no resulting appointment or nomination scroll, the Secretary of the Military Department may release the results after the USD(P&R) or other appropriate authority approves the board report.

2. ADVERSE OR REPORTABLE INFORMATION AND HOLD GUIDANCE ON PROMOTION AND MISCELLANEOUS APPOINTMENTS

a. General Guidance

(1) Typically, the DoD does not report adverse information or reportable information to the Senate for nominations to the grades of O6B.

(2) The Secretaries of the Military Departments need not report adverse or reportable information when nomination or appointment packages are submitted for President, SecDef, or USD(P&R) approval or Senate confirmation unless, in the judgment of the Secretary of the Military Department, such action is appropriate in a specific case pursuant to paragraphs 2a(2)(a) and 2a(2)(b) of this enclosure.

(a) In extraordinary cases, where adverse or reportable information has received significant media attention or when the SASC brings information to the attention of the DoD, the Secretaries of the Military Department will report such matters in the nomination or appointment packages as provided for in this enclosure.

(b) In other extraordinary cases, the Secretary of the Military Department has the discretion to report adverse or reportable information as part of the nomination or appointment packages as provided for in this enclosure, even if there is not a requirement for the Secretary to do so.

(c) In those instances where the adverse information that is to be reported to OSD has not been reviewed by an officer's PSB, SSB, or FRB, the adverse information and the officer's

comments will be provided to a PRB or, if the officer was removed from a previous promotion list, the information will be provided to the next PSB, SSB, or FRB prior to submission of the nomination or appointment package to OSD. In all other instances, the Secretaries of the Military Departments need not conduct a PRB unless, in the judgment of the Secretary of the Military Department, such action is appropriate in a specific case.

(3) When the Secretary of the Military Department submits adverse information or reportable information attributed to an officer to OSD, the Secretary's memorandum will:

(a) Include detailed information concerning the information and the specific rationale for support of the officer. When the officer is recommended for nomination or appointment as a result of a PSB, SSB, or FRB, include how the officer meets the requirement of exemplary conduct in sections 3583, 5947, and 8583 of Reference (r).

(b) Specifically address the officer's judgment in relation to the information and include specifics of any outstanding items, events, or performance from the officer's record that counterbalance the submitted information.

(c) Include a statement identifying why documentation of non-judicial punishment imposed, letters, or memorandums imposed administratively (or similar documents) are not included in the package.

(4) When the Military Department submits a nomination or appointment that includes adverse or reportable information to CAB, it will include the AIS or RIS, a copy of any PRB, a copy of any officer rebuttals, a copy of any administrative or discipline paperwork given to the officer, a one- or two-page summary of the officer's career (officer record brief or other similar document), and a copy of any paperwork showing outstanding items, events, or performance of the officer. When a nomination package with adverse or reportable information is sent to the CAB, four binders with the ROI and backup information as identified in paragraph 2a(4)(a) of this enclosure will be provided to OEPM.

(a) The four tabbed and indexed binders will contain information that the Military Department plans to send the SASC if the President nominates the officer to the Senate for confirmation. These binders should include copies of:

1. The investigation report, including witness statements.
2. The PRB, including adverse or reportable information that the board considered.
3. Any officer rebuttals.
4. Any administrative or discipline paperwork given to the officer.
5. The statement from the complainant.
6. A one or two page summary of the officer's career (officer record brief or other similar document).

7. Any paperwork showing outstanding items, events, or performance of the officer.

8. Any other pertinent information.

(b) The Military Department will also provide a summary of the incident, a summary of the outstanding achievements of the officer, and a listing of the grades and names of the officer's military chain of command (through the first G/FO) at the time of the incident.

(5) The DASD(MPP), when advising the Director, WHMO, of the adverse or reportable information, will:

(a) Attach copies of the AIS or RIS to the DASD(MPP) memorandum.

(b) If the President signs the nomination and forwards it to the Senate, send a letter (with the AIS or RIS) to the Chairman, SASC, advising of the adverse or reportable information.

(6) OEPM will advise the Military Department when the binders are ready for pickup from OEPM and delivery to the SASC.

(7) The Military Department will advise OEPM when the binders have been delivered to the SASC.

b. Hold and Restart Guidance

(1) If, after a nomination scroll reaches the Senate but before confirmation, the Military Department determines that it is appropriate to delay the confirmation of an officer based on potential adverse information, reportable information, or for other reasons, the responsible DoD Component will immediately notify OEPM.

(a) Initial notification to OEPM from the Military Department must occur immediately. This notification will include the officer's grade, name, the name of the list or package, and a synopsis of the situation and its current status. An e-mail notification from an O-6 or GS-15 (or higher) is an acceptable means to make this initial notification. If more than one officer is on this list, this notification will state if the Military Department wishes the rest of the officers on this list to proceed forward for confirmation. The USD(P&R), with the concurrence of the Director, WHMO, will then advise the SASC of the information and request the nomination of the individual be held in abeyance until the matter is resolved. In the case where this is a list of officers, the USD(P&R) will specify whether the remaining officers on the list should continue forward for confirmation.

(b) Within 5 days, the Military Department will follow up with a memorandum from the Secretary of the Military Department or the Assistant Secretary (Manpower and Reserve Affairs) to the USD(P&R), which will include the officer's grade, name, the name of the list or package, a synopsis of the situation, and its current status. If more than one officer is on the list, the notification will state if the Military Department wishes the rest of the officers on the list to proceed forward for confirmation.

(c) This action will then be followed up with a USD(P&R) memorandum to the Director, WHMO (unless a memorandum was already provided) and subsequently, after approval from the Director, WHMO, a letter to the SASC. In the case where this was a list of officers, the USD(P&R) will specify whether the remaining officers on the list should continue forward for confirmation. The USD(P&R) will then advise the Secretary of the Military Department, in writing, of the action taken with the SASC.

(d) When the investigation or inquiry is completed, or the reason for the hold is cleared on an officer(s) whose nomination is on hold at the SASC, the Secretary of the Military Department will inform the USD(P&R). The Secretary of the Military Department will state whether the allegation was substantiated or unsubstantiated, and whether the nomination is still supported. The submission of adverse or reportable information by the Secretary of the Military Department will include an AIS or RIS and other paperwork required by this enclosure.

1. In those cases where the allegation is substantiated or reportable information is included and the SecDef supports the officer for appointment, the DASD(MPP) will advise the Director, WHMO, of the information and attach a copy of the AIS or RIS to this memorandum. If the President continues to support the officer for appointment, the DASD(MPP) will provide the Chairman, SASC, a letter (with the AIS or RIS) advising of the information and requesting the SASC to proceed with the confirmation process.

2. If, based on the adverse information or other information discovered during the investigation or review, the Secretary of the Military Department does not support the officer for appointment, the Secretary of the Military Department will advise the USD(P&R). When withdrawal of the nomination from the Senate is necessary, the Secretary of the Military Department will forward through the USD(P&R) to the DepSecDef such a request with a withdrawal scroll attached for Presidential signature.

3. In those instances where the allegation is unsubstantiated, and the Secretary of the Military Department supports the nomination, the USD(P&R), with the concurrence of the Director, WHMO, will advise the SASC of the outcome of the investigation or inquiry and request that the nomination proceed forward for confirmation. The USD(P&R) will also advise the Secretary of the Military Department of the action taken with the SASC.

(2) If, after a nomination scroll reaches the White House, but before it has reached the Senate, the Military Department determines that it is appropriate to delay the processing of the nomination of an officer based on potential adverse information, reportable information, or for other reasons, the Military Department will immediately notify OEPM of the potentially adverse or reportable information.

(a) Initial notification must occur without delay to OEPM from the Military Department. This notification will include the officer's grade, name, the name of the list or package, a synopsis of the situation, and its current status. An e-mail notification from an O-6 or GS-15 (or higher) is an acceptable means to make this initial notification. OEPM will then notify the Director, WHMO, of the adverse or alleged adverse information and request the nomination package be placed on hold.

(b) Within 5 days, the Military Department will follow up with a memorandum from the Secretary of the Military Department or the Assistant Secretary (Manpower and Reserve Affairs) to the USD(P&R), which will include the officer's grade, name, the name of the list or package, a synopsis of the situation, and its current status.

1. If more than one officer is on the list, this notification will state if the Military Department wishes the rest of the officers on the list to proceed forward for appointment and confirmation. If so, the Military Department will provide a new scroll and electrons for revised Senate text file (if more than three names are on the scroll) with the officer's name that was placed on hold deleted.

2. OEPM will process the revised scroll through the OSD staff for the DepSecDef's approval and subsequent transmittal to the White House.

(c) This action will be followed up with a USD(P&R) memorandum to the Director, WHMO (unless a memorandum was already provided). In the case where remaining officers on the list should continue forward for Presidential appointment, the USD(P&R) will advise the Director, WHMO, that a new scroll is being provided under separate cover. The USD(P&R) will then advise the Secretary of the Military Department, in writing, of the action taken with the Director, WHMO.

(d) After the investigation or inquiry is complete, or the reason for the hold is cleared, the Secretary of the Military Department will inform the USD(P&R). The Secretary of the Military Department will state whether the allegation was substantiated or unsubstantiated, and whether the nomination is still supported. The submission of adverse or reportable information with this request by the Secretary of the Military Department will include the AIS or RIS and other paperwork required by this enclosure. If this officer was part of a list of officers put on hold at the White House, the Secretary of the Military Department will also provide a revised scroll for this one officer.

1. In those cases where the allegation is substantiated and the SecDef supports the officer for appointment, the DASD(MPP) will advise the Director, WHMO, of the adverse information and attach a copy of the AIS or RIS to the memorandum. If the President supports the officer for appointment, the DASD(MPP) will provide the Chairman, SASC, a letter (with the AIS or RIS) advising of the adverse information.

2. If, based on the adverse information or other information discovered during the investigation or review, the Secretary of the Military Department does not support the officer for appointment, the Secretary of the Military Department will advise the USD(P&R). OEPM will then advise the Director, WHMO, and request no further action be taken on the nomination.

3. In those instances where the allegation is unsubstantiated, and the Secretary of the Military Department supports the nomination, the USD(P&R) will advise the Director, WHMO, of the outcome of the investigation or inquiry and request that the nomination proceed forward for confirmation and appointment. The USD(P&R) will also advise the Secretary of the Military Department of the action taken with the Director, WHMO.

(3) If the Military Department decides to delay the processing of the nomination or appointment of an officer whose package is processing within OSD based on potential adverse information, reportable information, or for other reasons, the Military Department will immediately notify OEPM.

(a) Initial notification must occur without delay to OEPM from the Military Department. This notification will include the officer's grade, name, the name of the list or package, and a synopsis of the situation and its current status. An e-mail notification from an O-6 or GS-15 is an acceptable means to make this initial notification. OEPM will then place the package on hold pending receipt of formal notification from the Military Department.

(b) Within 5 days, the Military Department will follow up with a memorandum from the Secretary of the Military Department or the Assistant Secretary (Manpower and Reserve Affairs) to the USD(P&R) which will include the officer's grade, name, the name of the list or package, a synopsis of the situation, its current status, and requested disposition of the package.

1. If more than one officer is on the list, the notification will state if the Military Department wishes the rest of the officers on the list to proceed forward for confirmation or appointment. If so, the Military Department will provide a new scroll and electrons for revised Senate text file (if nomination is going to the Senate and contains three or more names) with the officer's name that was placed on hold deleted.

2. OEPM will process the package with the revised scroll so the remaining officers can proceed forward.

(c) Once the matter is resolved, the Secretary of the Military Department will make a decision to support or not support the nomination, and will take appropriate action to close the matter.

(4) Should OASD(M&RA) or OEPM need to process adverse or reportable information on an original appointment package, procedures outlined in this enclosure will be used.

ENCLOSURE 7

DOCUMENTS REQUIRED FOR MILITARY OFFICER PERSONNEL ACTIONS FOR GRADES O-7 THROUGH O-10

1. RETIREMENTS IN THE GRADES OF O-9 AND O-10. The following items must be completed and included with the Secretary of the Military Department's submission of an O-9 or O-10 retirement action:

a. The Secretary of the Military Department's forwarding memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS.

b. Current IG DoD check, not more than 90 days old.

c. Draft memorandum to the President for the SecDef's signature (retirements with service-in-grade waivers or adverse or reportable information) or the USD(P&R)'s signature (retirements without service-in-grade waivers or adverse or reportable information) (original for OEPM and a copy for CAB). The Military Department will upload the Microsoft (MS) Word document into DSS.

d. Draft SecDef or USD(P&R) letters to the President of the Senate and Speaker of the House of Representatives (original for OEPM and a copy for CAB). The Military Department will upload the MS Word document into DSS.

e. Draft SecDef congratulatory letter to the retiring officer (copy for both OEPM and CAB). The Military Department will upload the MS Word document into DSS.

f. Current career resume with color photo (original for OEPM and a copy for CAB). The Military Department will upload the career resume in Adobe .pdf format into DSS. Career resumes will not be stapled and will be printed on one side of 8 ½ by 11 inch paper only and checked for accuracy (see Enclosure 5 of this instruction for specific guidance).

g. CJCS memorandum or coordination on the Secretary of the Military Department's cover memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS.

h. AIS or RIS sheet (original for OEPM and a copy for CAB). The Military Department will upload an electronic file of the MS Word document into DSS.

(1) Formats are located at: <https://www.dmdc.osd.mil/gofo> or <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx> (for guidance on adverse and reportable information see Enclosure 4 of this instruction).

(2) A copy of the ROI, if any, for retirement packages that includes adverse or reportable information. Include AIS or RIS along with copies of any punitive letters, any statements by the officer, and any non-judicial punishment proceedings.

i. Retirement packages in the grade of O-9 and O-10 will also include the officer's date of birth, initial date of federal commissioned service, total federal commissioned service, current mandatory retirement date (MRD), the basis for the MRD (time in service or age), any previous MRD extensions, date of retirement, justification for any service-in-grade waiver, and the projected date the officer will depart his or her position of importance and responsibility or conduct a change of command ceremony. The duty title used in the retirement package will be the last duty title as designated by the President for the position of importance and responsibility to which the officer is assigned. The Military Department will inform OEPM of changes to the retiring officer's departure date or retirement date.

2. RETIREMENTS IN THE GRADES OF O-7 AND O-8 (SERVICE-IN-GRADE WAIVERS).

The following items must be completed and included with the Secretary of the Military Department's submission of an O-7 or O-8 retirement with service-in-grade waiver:

a. The Secretary of the Military Department's forwarding memorandum to the USD(P&R) (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS.

b. Current IG DoD check, not more than 90 days old.

c. Current career resume with color photo (original for OEPM and a copy for CAB). The Military Department will upload the career resume in Adobe .pdf format into DSS. Career resumes will not be stapled and will be printed on one side of 8 ½ by 11 inch paper only and checked for accuracy (see Enclosure 5 of this instruction for specific guidance).

d. CJCS memorandum or coordination on the Secretary of the Military Department's cover memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS.

e. AIS or RIS sheet (original for OEPM and a copy for CAB). The Military Department will upload an electronic file of the MS Word document into DSS.

(1) Formats are located at <https://www.dmdc.osd.mil/gofo> or <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>. For guidance on adverse and reportable information, see Enclosure 4 of this instruction.

(2) A copy of the ROI, if any, for retirements that include adverse or reportable information. Include AIS or RIS along with copies of any punitive letters, any statements by the officer, and any non-judicial punishment proceedings.

f. Retirement packages in the grade of O-7 and O-8 with service-in-grade waivers will also include the officer's date of birth, initial date of federal commissioned service, total federal commissioned service, current MRD, the basis for the MRD (time in service or age), date of retirement, justification for the service-in-grade waiver, and the projected date the officer will depart his or her position or conduct a change of command ceremony. The Military Department will inform OEPM of changes to the retiring officer's departure date or retirement date.

3. RETIREMENT PACKAGES IN THE GRADE OF O-7 OR O-8 (DOWNWARD GRADE NOTIFICATIONS WITH SUBSTANTIATED ADVERSE). The following items must be completed and included with the Secretary of the Military Department's submission of an O-7 or O-8 retirement downward grade notification:

a. The Secretary of the Military Department's forwarding memorandum to the SecDef (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS.

b. Current IG DoD check, not more than 90 days old.

c. Current career resume with color photo (original for OEPM and a copy for CAB). The Military Department will upload the career resume in Adobe .pdf format into DSS. Career resumes will not be stapled and will be printed on one side of 8 ½ by 11 inch paper only and checked for accuracy (see Enclosure 5 of this instruction for specific guidance).

d. CJCS memorandum or coordination on the Secretary of the Military Department's cover memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS.

e. AIS or RIS sheet (original for OEPM and a copy for CAB). The Military Department will upload an electronic file of the MS Word document into DSS.

(1) Formats are located at: <https://www.dmdc.osd.mil/gofo> or <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx> (for guidance on adverse and reportable information see Enclosure 4 of this instruction).

(2) A copy of the ROI, if any, for retirements that include adverse or reportable information. Include AIS or RIS along with copies of any punitive letters, any statements by the officer, and any non-judicial punishment proceedings.

4. O-9 AND O-10 NOMINATIONS. The following items must be completed and included with the Secretary of the Military Department's submission of an O-9 or O-10 nomination:

a. The Secretary of the Military Department's forwarding memorandum to the SecDef (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS.

b. Current IG DoD check, not more than 90 days old.

c. Draft memorandum to the President for the SecDef's signature. The Military Department will upload the MS Word document into DSS.

d. Presidential scroll in accordance with Enclosure 9 of this instruction (original for OEPM and a copy for CAB). The Military Department will upload the MS Word document into DSS.

e. Current career resume with color photo (original for OEPM and a copy for CAB). The Military Department will upload the career resume in Adobe .pdf format into DSS. Career resumes will not be stapled and will be printed on one side of 8 ½ by 11 inch paper only and checked for accuracy (see Enclosure 5 of this instruction for specific guidance).

f. Press release to include current duty title (original for OEPM and a copy for CAB). However, if not provided with the nomination package, the Military Department will provide the press release to CAB, at least 24 hours prior to the requested date and time of public release. The press release will be provided through electronic means to CAB, and the Military Department will upload the MS Word document into DSS.

g. CJCS memorandum or coordination on the Secretary of the Military Department's cover memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS.

h. Adverse and reportable information (for guidance on adverse and reportable information see Enclosure 4 of this instruction).

(1) AIS or RIS sheet (original for OEPM and a copy for CAB). The Military Department will upload electronic file of MS Word document into DSS. Formats are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

(2) Four tabbed and indexed binders and other information as indicated in Enclosure 4 of this instruction.

i. Nomination packages to the grade of O-9 or O-10 will also include the officer's date of birth, initial date of federal commissioned service, total federal commissioned service, current MRD, the basis for the MRD (time in service or age), any previous MRD extensions, any waivers required, and whether frocking is required. The duty title used in the nomination package will be the last duty title as designated by the President or the nomination package will include a request for Presidential re-designation of the position of importance and responsibility.

j. PDOP and PDOA: Date that the Military Department projects the officer will be promoted to the next higher grade and expected date the officer will be assigned to the new position. The Military Department will notify OEPM if either the PDOP or PDOA change.

5. G/FO PSBs, SSBs, AND FRBs. The following items must be completed and included with the Secretary of the Military Department's submission of a G/FO PSB:

a. The Secretary of the Military Department's forwarding memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS. The Secretary of the Military Department's memorandum will specify the name of the board or process that selected the officers, the total number of officers included on the scroll(s), the total number of officers withheld from the scroll(s) and general reasons for the withhold action, and the first PDOP of an officer on the scroll. For all actions based solely on a Board for Correction of Military Records (BCMR) or Board for Correction of Naval Records (BCNR)

recommendation, the memorandum will include the basis for the action and a synopsis of the error or injustice that occurred (can be included in a summary sheet accompanying the board report).

- b. Current IG DoD check on all nominees, not more than 90 days old.
- c. Draft memorandum to the President for the SecDef's signature (original for OEPM and a copy for CAB). The Military Department will upload the MS Word document into DSS.
- d. Presidential scroll (in accordance with Enclosure 9 of this instruction) (original for OEPM and a copy for CAB). The Military Department will upload the MS Word document into DSS.
- e. Current career resume with color photo (original for OEPM and a copy for CAB). The Military Department will upload the career resume in Adobe .pdf format into DSS. Career resumes will not be stapled and will be printed on one side of 8 ½ by 11 inch paper only and checked for accuracy (see Enclosure 5 of this instruction for specific guidance).
- f. Press release to include current duty title (original for OEPM and a copy for CAB). If not provided with the nomination package, the Military Department will provide the press release to the CAB, at least 24 hours prior to the requested date and time of public release. The press release will be provided through electronic means to CAB and the MS Word document uploaded into DSS by the Military Department.
- g. CJCS memorandum (for PSBs and SSBs that consider joint officers) (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS. Coordination from the CJCS is sufficient for PSBs, SSBs, and FRBs that do not consider joint officers.
- h. A copy of the CJCS memorandum designating the joint representative for the board. For promotion boards that did not consider joint officers, the package provided to the OEPM will include a statement that the board did not consider joint officers.
- i. Joint duty statistics (see Enclosure 5 of this instruction for specific guidance) (original for OEPM and a copy for CAB). The Military Department will upload the document in Adobe .pdf format into DSS. Joint duty statistics are required for nomination packages resulting from selection boards convened under section 611(a) of Reference (r) that considered joint officers for promotions to grades O-7 and O-8. Provide a listing by category of waivers requested (good of the service, scientific and technical, and professional). Provide a joint duty assignment projection that explains how the Military Department intends to provide a joint tour for those officers recommended for good of the service waivers and a detailed explanation why the officer has not been able to get full joint tour credit. Provide a projection on when the officer will be designated a JQO and the officer's projected PDOP.
- j. Copy of memorandum to the USD(AT&L) (in accordance with guidance at Enclosure 5 of this instruction) setting forth Acquisition Corps statistics (original for OEPM and a copy for CAB). If a PSB does not meet the Acquisition Corps selection objective, a copy of the memorandum from the USD(AT&L) to the Service will be included in the package. The Military Department will upload the memorandum in Adobe .pdf format into DSS. Acquisition

Corps statistics are required for nomination packages resulting from selection boards convened under section 611(a) of Reference (r) that considered Acquisition Corps officers for promotions to grades O-7 and O-8. For active-duty list promotion boards that did not consider Acquisition Corps officers, the memorandum from the Secretary of the Military Department will include a statement (can be included in a summary sheet) that the board did not consider Acquisition Corps officers.

k. Racial and ethnic profile statistics (in accordance with guidance at Enclosure 5 of this instruction) (original for OEPM and a copy for CAB). The Military Department will upload the statistics in Adobe .pdf format into DSS. Racial and ethnic profile statistics will be reported according to the guidance provided in DoDD 1350.2 and DoDM 1336.05 (References (n) and (o)).

l. Promotion board record of proceedings (original and a copy of the board report for OEPM and a copy for CAB). The Military Department will upload the documents in Adobe .pdf format into DSS.

(1) The record of proceedings, at a minimum, will include the following:

(a) Convening notice required by section 614 or 14105 of Reference (r).

(b) Board report required by section 617 or 14109 of Reference (r), signed by each board member and recorder, with the certification required by this instruction. Board reports will include a list of officers recommended for promotion.

(c) All instructions, information, and guidance that were provided to the board, under section 615 or 14107 of Reference (r) and this instruction, except information concerning particular officers unless specifically requested by the OUSD(P&R) on a case-by-case basis.

(2) Included will be a signature block indicating "Approved for the President." For Active Duty and Reserve Component G/FO boards, a signature line for approval by the SecDef will be provided below the Secretary of the Military Department signature line.

m. Adverse and reportable information (see Enclosure 4 of this instruction for specific guidance).

(1) AIS or RIS sheet (original for OEPM and a copy for CAB). The Military Department will upload the electronic file of MS Word document into DSS (formats are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>).

(2) Four tabbed and indexed binders and other information as indicated in Enclosure 4 of this instruction.

n. When adverse information was not considered by the original PSB, the Military Department will provide a summary of the timeline involved and why the information was not considered by the PSB. In those cases where the adverse information was mature before the board convened, the Military Department will provide further rationale of what policy or

procedure allowed the Secretary of the Military Department to have access but prevented this information from being considered by the board and if a change to this policy or procedure is warranted. Also, the Military Department will indicate if this information was reviewed by the individual officer and their response.

o. Summary sheet.

(1) Summary sheet (original for OEPM and a copy for CAB). The Military Department will upload the summary sheet in Adobe .pdf format into DSS. A summary sheet will be included for PSB, SSB, and FRB packages and for packages with scrolls that contain multiple grades or competitive categories. The summary sheet will include, by competitive category or grade, the number of officers selected, the number of officers on the scroll, the name of the first officer listed on the scroll, the board adjournment date, and the PDOP.

(2) The Military Department will inform OEPM of changes to the PDOP.

(3) The summary sheet will also contain the names of those officers withheld and the reason for their names being withheld if this information is not provided in the Secretary of the Military Department's forwarding memorandum.

6. NOMINATIONS TO THE GRADE OF O-7 OR O-8 (NOT SUBMITTED CONCURRENT WITH THE PROMOTION BOARD). The following items must be completed and included with the Secretary of the Military Department's submission of a nomination package to the grade of O-7 or O-8 (not submitted concurrent with the promotion board):

a. The Secretary of the Military Department's forwarding memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS. For actions based solely on BCMR or BCNR recommended promotions, the memorandum will describe the basis for the action and attributed error or injustice. For packages submitted subsequent to a promotion board, the memorandum will include the title of the board that originally considered the officer.

b. Current IG DoD check, not more than 90 days old.

c. Draft memorandum to the President for the SecDef's signature (original for OEPM and a copy for CAB). The Military Department will upload the MS Word document uploaded into DSS.

d. Scroll (original for OEPM and a copy for CAB). The Military Department will upload the MS Word document uploaded into DSS (see Enclosure 9 of this instruction for specific guidance).

e. Current career resume with color photo (original for OEPM and a copy for CAB). The Military Department will upload the career resume in Adobe .pdf format into DSS. Career resumes will not be stapled and will be printed on one side of 8 ½ by 11 inch paper only and checked for accuracy (see Enclosure 5 of this instruction for specific guidance).

f. Press release, to include current duty title (original for OEPM and a copy for CAB). If not provided with the nomination package, the Military Department will provide the press release to the CAB, at least 24 hours prior to the requested date and time of the public release. The press release will be provided through electronic means to CAB, and the Military Department will upload the MS Word document into DSS.

g. CJCS memorandum or coordination on the Secretary of the Military Department's cover memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf format into DSS.

h. If the Secretary of a Military Department convenes a selection or advisory board for nomination to a statutory position, the Military Department will provide the original board report, a copy of the board report, and upload the document in Adobe .pdf format into DSS. When a board is not held, a description of the process by which the officer was recommended will be provided.

i. Adverse and reportable information (see Enclosure 4 of this instruction for specific guidance).

(1) AIS or RIS Sheet (original for OEPM and a copy for CAB). The Military Department will upload the electronic file of the MS Word document into DSS (formats are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>).

(2) Four tabbed and indexed binders and other information as indicated in Enclosure 4 of this instruction.

7. SSBs. The following items must be completed and included with the Secretary of the Military Department's submission of an SSB (this includes special boards):

a. Documents from section 5 of this enclosure.

b. The reason the officer was considered by the SSB. This information may be included as part of the summary sheet, in the transmittal memo, or in other documents included with the package.

c. For reports of SSBs convened under section 628 or 14502 of Reference (r), an annotation that identifies the selection board that considered or should have considered the officer for promotion.

d. An annotation if the officer already holds the recommended grade and the SSB recommendation approval will give the officer an earlier date of rank.

8. PRBs. The following items must be completed and included with the Military Department Secretary's submission of a PRB:

a. Documents from section 6 of this enclosure.

b. The reason the officer was considered by the PRB. This information may be included as part of the summary sheet, in the transmittal memo, or in other documents included with the package.

c. An annotation on the PRB report that identifies the PSB that selected the officer for promotion.

9. REMOVAL OR VACATION OF PROMOTION ACTIONS. The following items must be completed and included with the Secretary of the Military Department's submission of a removal or vacation of promotion action:

a. The Secretary of the Military Department's forwarding memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS.

b. Current career resume with color photo (original for OEPM and a copy for CAB). The Military Department will upload the career resume in Adobe .pdf format into DSS. Career resumes will not be stapled and will be printed on one side of 8 ½ by 11 inch paper only and checked for accuracy (see Enclosure 5 of this instruction for specific guidance).

c. Coordination from the CJCS if an officer is on the active-duty list or in a joint position . (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS.

d. Adverse and reportable information (for guidance on adverse and reportable information see Enclosure 4 of this instruction).

(1) AIS or RIS sheet (original for OEPM and one copy for CAB). The Military Department will upload the electronic file of the MS Word document into DSS (formats are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>).

(2) Four tabbed and indexed binders and other information as indicated in Enclosure 4 of this instruction.

e. A copy of the officer's response to the notification of possible removal (to include all endorsements) (original for OEPM and a copy for CAB). The Military Department will upload in Adobe .pdf format into DSS. (Not required for position vacancy removals unless adverse).

f. The effective date of the promotion delay action and the date on which the officer would have been promoted had the delay not occurred will also be included in the package and may be included in the forwarding memorandum.

ENCLOSURE 8

DOCUMENTS REQUIRED FOR MILITARY OFFICER PERSONNEL ACTIONS FOR GRADES O6B

1. O6B PSBs (INCLUDING POSITION VACANCY BOARDS) AND SSBs. The following items must be included with the Secretary of the Military Department's submission of an O6B PSB or SSB:

a. The Secretary of the Military Department's forwarding memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS.

(1) The Secretary of the Military Department's memorandum will specify the name of the board submitted, the total number of officers selected by the board(s), the total number of names on the scroll(s), the total number of the officers withheld from the scroll(s), the general reasons for the withholds, the names of officers withheld from the scroll(s), and the PDOP. The names of the officers withheld and the PDOP may be included in a summary sheet instead of the Secretary memorandum. When submitting the name of only one officer in the package, the name of that officer (in upper/lower case) will be included in the Secretary's memorandum.

(2) The Secretary's memorandum will also include statements recommending approval or disapproval of the board report, certifying that the board complied with applicable law and policy, and indicating any previous submission of these individuals. The nomination of an officer(s) to the same recommended grade will include the outcome of previous submissions and the rationale for supporting the re-nomination of the officer. A summary will also be provided that identifies previous nomination submissions and outcomes.

(3) The Secretary's memorandum will include an exemplary conduct certification, a statement that the officers are qualified for promotion, a statement recommending approval of the action, a statement recommending appointment of the officers, and any other certifications as required by the USD(P&R).

(4) The Secretary's memorandum will include comments concerning adverse or reportable information as provided in Enclosure 6 of this instruction.

b. Scroll (when appointments are required) (see Enclosure 9 of this instruction for specific guidance).

(1) Presidential Scrolls. The Military Department will submit the original scroll in accordance with Enclosure 9 of this instruction (original in a folder for CAB and a copy for both OEPM and CAB) and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

(2) SecDef Scrolls. The Military Department will submit the original scroll for OEPM and a copy for CAB and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

c. Senate text file (as provided in Enclosure 10 of this instruction). The Military Department will upload this electronic file into DSS.

d. Joint paperwork (for PSBs and SSBs in accordance with Enclosure 6 of this instruction).

(1) The CJCS (or Director, JS) memorandum for PSBs and SSBs that considered joint officers (copy for OEPM and CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS.

(2) CJCS (or Director for Manpower and Personnel) letter designating the joint representative for the PSB or SSB and special listing as provided in Reference (c). The Military Department will upload the documents in Adobe .pdf into DSS. For PSBs and SSBs that did not consider joint officers, the package provided to OEPM will include a statement (can be included in a summary sheet) that the board did not consider joint officers.

(3) Joint duty statistics for PSBs as required by Reference (c) (copy for both OEPM and CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS.

e. Acquisition Corps paperwork (for PSBs in accordance with Enclosure 6 of this instruction).

(1) The Secretary of the Military Department's memorandum forwarding statistics to the USD(AT&L) (copy for both OEPM and CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS.

(2) Acquisition Corps statistics (copy for both OEPM and CAB). The Military Department will upload the statistics in Adobe .pdf into DSS. Acquisition Corps statistics are required for packages resulting from selection boards convened under section 611(a) of Reference (r) that considered Acquisition Corps officers for promotion to grades O-5 and above. The statistics will include the number considered, the number selected, and the percentage selected for Acquisition Corps officers, non-Acquisition Corps officers, and the board average. For active-duty list promotion boards that did not consider Acquisition Corps Officers, the package provided to OEPM will include a statement (can be included in a summary sheet) that the board did not consider Acquisition Corps Officers.

f. Promotion board record of proceedings include at a minimum:

(1) Board report required by section 617 or 14109 of Reference (r), signed by each board member and recorder, with the certification required by this instruction and Reference (l), and select list (copy for both OEPM and CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS.

(2) Convening notice required by section 614 or 14105 of Reference (r). The Military Department will upload in Adobe .pdf into DSS.

(3) Nonselect list, show cause list, and list of officers who submitted letters to the board requesting nonselection or who otherwise directly caused their nonselection through written

communication to the board (for boards convened pursuant to section 611a of Reference (r)). The Military Department will upload the document in Adobe .pdf into DSS.

(4) All instructions, information, and guidance that were provided to the board, under section 615 or 14107 of Reference (r) and this instruction, except information concerning particular officers unless specifically requested by the USD(P&R) or OUSD(P&R) on a case-by-case basis. The Military Department will upload the document in Adobe .pdf into DSS.

(5) SSB reports will identify the selection board that considered or should have considered the officer for promotion.

(6) A signature block indicating "Approved for the President." The signature line for approval by the PDUSD(P&R) will also include a recommended disapproval line and a section for comments. For packages that contain more than one board report, the Military Department will provide a consolidated signature page for approval by the PDUSD(P&R). The signature block will be placed on a separate page of paper and the electrons will be loaded into DSS. OEPM will make the necessary changes if the report will be approved by the USD(P&R).

g. Adverse or reportable information (see Enclosure 6 of this instruction for specific guidance).

(1) AIS or RIS and other items specified in paragraph 2a(4) of Enclosure 6 of this instruction (original for OEPM and a copy for CAB). The Military Department will upload electronic file of the MS Word document into DSS. Formats are located at:
<https://www.dmdc.osd.mil/gofo> and
<http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

(2) Four tabbed and indexed binders and other information as indicated in Enclosure 6 of this instruction.

h. Summary sheet (copy for both OEPM and CAB).

(1) The Military Department will upload the memorandum in Adobe .pdf and MS Word into DSS. A summary sheet will be included for PSB, SSB, and FRB packages and for packages with scrolls that contain multiple grades or competitive categories. The summary sheet will include, by competitive category or grade, the number of officers selected, the number of officers on the scroll, the name of the first officer listed on the scroll, the board adjournment date, the PDOP, and whether the board was joint.

(2) The Military Department will inform OEPM of changes to the PDOP.

(3) The summary sheet will also contain the names of those officers withheld and the reason for their names being withheld if this information is not provided in the Secretary of the Military Department's forwarding memorandum.

i. For SSBs the following applies.

(1) Packages with SSBs will also include the reason the officer's record was considered by the SSB. This information may be included as part of the summary sheet, in the transmittal memo, or in another document included with the package. The summary sheet will include the number of officers selected, but not included on the scroll.

(2) For reports of SSBs convened under section 628 or 14502 of Reference (r), packages will include an annotation that identifies the selection board that considered or should have considered the officer for promotion.

(3) Packages will include an annotation if the officer had already been appointed to the recommended grade and that the SSB recommendation approval will give the officer an earlier effective date of rank. The package will include the board information that the appointment was based on.

(4) For actions based on BCMR or BCNR recommendations or as a result of a court order, the BCMR or BCNR decision or court order will be loaded into DSS.

j. Copies of any letters provided by the Secretary of the Military Department to the SASC and HASC advising that the board(s) were not approved by the 100th day after board adjournment. The Military Department will upload the documents in Adobe .pdf into DSS.

k. For scrolls that contain officers who are overdue for promotion, include a summary by month of the number of overdue promotions and the number of promotions that are projected by month for the next 6 months from the expected delivery date of the package to the OSD.

2. O6B FRBs. The following items must be included with the Secretary of the Military Department's submission of an O6B FRB:

a. The Secretary of the Military Department's forwarding memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS. The memorandum will:

(1) Specify the name of the board(s) submitted, the total number of officers selected by the board(s), the total number of names on the scroll(s), the total number of officers withheld from the scroll(s), the general reasons for the withholds, the names of the officers withheld from the scroll(s), and the PDOP. The names of the officers withheld and the PDOP may be included in a summary sheet instead of the Secretary's memorandum. When submitting the name of only one officer in the package, the name of that officer (in upper/lower case) will be included in the Secretary's memorandum.

(2) Include a statement that the board complied with applicable law and policy and was subsequently approved. The forwarding memorandum will address any previous submission of these individuals or this board. Re-submission of an officer(s) to the same recommended grade will include the rationale for re-submission. A summary will also be provided that identifies previous submissions and outcomes.

(3) Include an exemplary conduct certification, a statement that the officers are qualified for appointment, a statement recommending approval of the action, a statement recommending appointment of the officers, and any other certifications as required by the USD(P&R).

(4) Include comments concerning adverse or reportable information as provided in Enclosure 6 of this instruction.

b. Scroll.

(1) Presidential Scroll. The Military Department will submit the original scroll in accordance with Enclosure 9 of this instruction (original in a folder for CAB and a copy for both OEPM and CAB) and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

(2) SecDef Scrolls. The Military Department will submit the original scroll for OEPM, a copy for CAB, and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

c. Senate text file (as provided in Enclosure 10 of this instruction). The Military Department will upload this electronic file into DSS.

d. Adverse or reportable information (see Enclosure 6 of this instruction for specific guidance).

(1) AIS or RIS and other items specified in paragraph 2a(4) of Enclosure 6 of this instruction, (original for OEPM and a copy for CAB). The Military Department will upload the electronic file of the MS Word document into DSS. Formats are located at:
<https://www.dmdc.osd.mil/gofo> and
<http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

(2) Four tabbed and indexed binders and other information (in accordance with guidance at Enclosure 6 of this instruction).

e. Summary sheet (copy for both OEPM and CAB). A summary sheet will be included for packages with scrolls that contain multiple grades. The summary sheet will include by grade: the number of officers selected, the number of officers on the scroll, the name of the first officer listed on the scroll, the board adjournment date, and the PDOP. The Military Department will upload the summary sheet in Adobe .pdf and word electrons into DSS.

(1) The Military Department will inform OEPM of changes to the PDOP.

(2) The summary sheet will also contain the names of those officers withheld and the reason for their names being withheld if this information is not provided in the Secretary of the Military Department's forwarding memorandum.

f. Copies of any letters provided by the Secretary of the Military Department to the SASC and HASC advising that the board(s) were not approved by the 100th day after board adjournment.

3. NOMINATIONS AND APPOINTMENTS FOR REGULAR APPOINTMENTS AND THOSE OFFICERS PREVIOUSLY WITHHELD. The following items must be included with the Secretary of the Military Department's submission of a nomination or appointment:

a. The Secretary of the Military Department's forwarding memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS. The memorandum will:

(1) Specify the name of the officer (in upper/lower case) when one officer is nominated, title of the original board or package the officer was withheld from along with a generic reason for the withhold, the PDOP, and the expiration of the officer's promotion eligibility period (when appropriate). If the package contains multiple one-person scrolls, the officers' names can be included in a summary sheet.

(2) Include a statement that the officer is qualified for promotion. In addition, for those officers recommended as a result of a PSB, SSB, or FRB, a certification will be included that the officer meets the exemplary conduct standards. The Secretary's memorandum will address any previous submission of this officer to same grade. Re-submission of an officer(s) to the same recommended grade will include the rationale for re-submission. A summary will be also provided that identifies previous nomination or appointment submissions and outcomes.

(3) Include comments concerning adverse or reportable information as provided in Enclosure 6 of this instruction.

b. Scrolls.

(1) Presidential Scrolls. The Military Department will submit the original scroll in accordance with Enclosure 9 of this instruction (original in a folder for CAB and a copy for both OEPM and CAB) and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

(2) SecDef Scrolls. The Military Department will submit the original scroll for OEPM, a copy for CAB, and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

c. Senate text file. For specific guidance, see Enclosure 10 of this instruction. The Military Department will upload the electronic file of the document into DSS.

d. Adverse or reportable information. For specific guidance, see Enclosure 6 of this instruction.

(1) AIS or RIS and other items specified in paragraph 2a(4) of Enclosure 6 of this instruction (original for OEPM and a copy for CAB). The Military Department will upload the electronic file of the MS Word document into DSS. Formats are located at:
<https://www.dmdc.osd.mil/gofo> and
<http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

(2) Four tabbed and indexed binders and other information. For specific guidance, see Enclosure 6 of this instruction.

- e. The Military Department will inform OEPM of changes to the PDOP.

4. APPOINTMENTS TO THE GRADES OF O-2 AND O-3 (NOT SELECTED BY A PSB).

The following items must be included with the Secretary of the Military Department's submission of a recommendation for appointment to the grades of O-2 and O-3 (not selected by a PSB):

- a. The Secretary of the Military Department's forwarding memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS. The memorandum will:

- (1) Specify the name of the list submitted or process that selected the officers, the total number of officers included on the scroll(s), the total number of officers withheld from the scroll(s) and general reasons for the withhold action, and the first PDOP.

- (2) For appointments to O-3 from a promotion selection process pursuant to section 624 or 14308 of Reference (r), include a certification that:

- (a) The process was reviewed and is in compliance with law and regulations.

- (b) The officers recommended are fully qualified for promotion to the next higher grade and are needed in the next higher grade to accomplish mission objectives.

- (3) Include a statement that the officers are qualified for promotion and a statement recommending approval or disapproval of the appointments.

- (4) Include comments concerning adverse or reportable information as provided in Enclosure 6 of this instruction.

- b. The original O-3 promotion process report with a select list (original for OEPM and a copy for CAB). The Military Department will upload document in Adobe .pdf into DSS. Included will be a signature block indicating "Approved for the President." The signature line for approval by the PDUSD(P&R) will also include a recommended disapproval line and a section for comments. For packages that contain more than one process report, the Military Department will provide a consolidated signature page for approval by the PDUSD(P&R). The signature block will be placed on a separate page of paper and the electrons will be loaded into DSS. OEPM will make the necessary changes if the report will be approved by the USD(P&R).

- c. SecDef scroll. The Military Department will submit the original scroll for OEPM, a copy for CAB, and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

- d. Adverse or reportable information. For specific guidance, see Enclosure 6 of this instruction.

- (1) AIS or RIS and other items specified in paragraph 2a(4) of Enclosure 6 of this instruction, (original for OEPM and a copy for CAB). The Military Department will upload the electronic file of the MS Word document into DSS. Formats are located at:

<https://www.dmdc.osd.mil/gofo> and
<http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

(2) Two tabbed and indexed binders and other information. For specific guidance, see Enclosure 6 of this instruction.

e. Summary sheet (copy for both OEPM and CAB).

(1) A summary sheet will be included for packages with scrolls that contain multiple grades. The summary sheet will include, by grade, the number of officers selected, the number of officers on the scroll, the name of the first officer listed on the scroll, the board adjournment date, and the PDOP. The Military Department will upload the summary sheet in Adobe .pdf and MS Word into DSS.

(2) The Military Department will inform OEPM of changes to the PDOP.

(3) The summary sheet will also contain the names of those officers withheld and the reason for their names being withheld, if this information is not provided in the Secretary of the Military Department's forwarding memorandum.

5. WARRANT OFFICER PROMOTIONS. The following items must be included with the Secretary of the Military Department's submission of warrant officer promotions:

a. The Secretary of the Military Department's forwarding memorandum (original for OEPM and a copy for CAB). The Military Department will upload the memorandum in Adobe .pdf into DSS. The memorandum will:

(1) Specify the name of the list submitted, the total number of officers selected, the total number of officers included on the scroll(s), the total number of officers withheld from the scroll(s) and general reasons for the withhold action, and the first PDOP.

(2) For appointments as a result of a PSB, include the name of the PSB and also include a statement that the board complied with applicable law and policy and was subsequently approved.

(3) Include a statement that the officers are qualified for promotion and a statement recommending approval or disapproval of the appointments.

(4) For appointments to the grade of chief warrant officer, W-5, on the warrant officer active-duty list, include a statement that the appointments will not exceed the limit provided for in section 571 (c) of Reference (r).

(5) Include comments concerning any adverse or reportable information. For specific guidance, see Enclosure 6 of this instruction.

b. SecDef scroll. The Military Department will submit the original scroll for OEPM, a copy for CAB, and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

c. Adverse or reportable information. For specific guidance, see Enclosure 4 of this instruction.

(1) AIS or RIS and other items specified in paragraph 2a(4) of Enclosure 6 of this instruction, (original for OEPM and a copy for CAB). The Military Department will upload the electronic file of the MS Word document into DSS. Formats are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

(2) Two tabbed and indexed binders and other information. For specific guidance, see Enclosure 6 of this instruction.

d. Summary sheet (copy for both OEPM and CAB).

(1) A summary sheet will be included for packages with scrolls that contain multiple grades. The summary sheet will include, by grade, the number of officers selected, the number of officers on the scroll, the name of the first officer listed on the scroll, and the PDOP. The Military Department will upload the summary sheet in Adobe .pdf and MS Word into DSS.

(2) The Military Department will inform OEPM of changes to the PDOP.

(3) The summary sheet will also contain the names of those officers withheld and the reason for their names being withheld, if this information is not provided in the Secretary of the Military Department's forwarding memorandum.

6. ORIGINAL APPOINTMENTS ON THE ACTIVE-DUTY LIST AND RESERVE ACTIVE-STATUS LIST. The following items must be included with the Secretary of the Military Department's submission of a recommendation for an original appointment on the active-duty list and a Reserve active-status list:

a. The Secretary of the Military Department's memorandum (original for OEPM or OASD(M&RA) and a copy for CAB). Original appointment scrolls will be submitted under one memorandum whenever possible. The memorandum will:

(1) Specify the number of officers, enlisted members, or individuals submitted, the name of the officer or individual (in upper/lower case) when one officer or individual is recommended, the current status of the officer(s) or individual(s), the reason for the original appointment, the commissioning or appointment program, and the PDOP.

(2) Include a statement that the officers, enlisted members, or individuals are qualified for the appointment and the reason for appointment.

(3) Include comments concerning adverse or reportable information as provided in Enclosure 6 of this instruction.

b. Scroll.

(1) Presidential Scrolls. The Military Department will submit the original scroll in accordance with Enclosure 9 of this instruction (original in a folder for CAB and a copy for both OEPM and CAB) and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

(2) SecDef Scrolls. The Military Department will submit the original scroll for OEPM or OASD(M&RA), a copy for CAB, and upload a MS Word document and an Adobe .pdf of the scroll into DSS.

c. Senate text file as provided in Enclosure 10 of this instruction. The Military Department will upload the electronic file into DSS.

d. Adverse or reportable information. For specific guidance, see Enclosure 6 of this instruction.

(1) AIS or RIS and other items specified in paragraph 2a(4) of Enclosure 6 of this instruction, (original for OEPM and a copy for CAB). The Military Department will upload the electronic file of MS Word document into DSS. Formats are located at:
<https://www.dmdc.osd.mil/gofo> and
<http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

(2) Two tabbed and indexed binders and other information. For specific guidance see Enclosure 6 of this instruction.

(3) The Military Department will inform OEPM or OASD(M&RA) of changes to the PDOP.

e. Summary sheet. The Military Department will upload the summary sheet in Adobe .pdf into DSS.

ENCLOSURE 9

SCROLLS

1. SCROLL PROCEDURES FOR GRADES O-7 THROUGH O-10

a. General Guidance. Each appointment or nomination package that requires a scroll will contain an original, a copy, and MS Word electrons attached to the DSS by the Military Department, prepared using the guidance outlined in this enclosure. Each Military Service is responsible for producing scroll paper and maintaining appropriate stock levels.

(1) The first and last pages of the scroll will be a grade of paper described as “Fine Writing, 100 percent White.” The watermark on the first and last pages of the scroll will be right side up. The first page of the scroll will have the appropriate White House letterhead. All scrolls will be on standard 8 ½ by 11 inch paper.

(2) Do not use bold type on the scroll. Use Times New Roman 12 font throughout the scroll. “Per line” characters will not exceed 72 (a space is counted as a character).

(3) The lead in “(To the Senate of the United States)” of the header will be flush with the left margin, followed by a colon. The header paragraphs will begin three lines below the lead in and will be single-spaced. The first word in the header paragraph will be indented five spaces with the first letter of the first word capitalized. Use upper and lower case letters for header paragraphs. Do not capitalize the words “title” (i.e., title 10 or “section” (e.g., section 601), and use “U.S.C.” when referring to the code. Spell out all Military Services, i.e., United States Army, United States Navy, United States Air Force, United States Marine Corps, and Army or Air National Guard of the United States in the header paragraph.

(4) Type the grade information in the body of the scroll in upper and lower case letters and underline.

(a) Underline the nominated grade line and start the list of nominated individuals on the next line. Do not put a blank line between the nominated grade and name listing. Names will be listed alphabetically for active duty scrolls and alphabetically within each grade for Reserve components, as appropriate. For combined O-7 and O-8 scrolls, list each grade separately.

(b) Put periods after the middle initial, junior, or senior. Do not put a period after I, II, etc. For individuals with multiple initials, space once between period and the next initial.

(5) Allow a minimum of 3 inches at the end of any scroll for Presidential signature. If a second page is required, place the text of the first page in a picture frame, allowing a 2-inch margin at the top of the second page, when possible. Scrolls requiring more than two pages will use 1-inch top and bottom margins on second and succeeding pages as long as the last page allows 3 inches for Presidential signature. The last page of any scroll with more than one page will contain a minimum of three names.

(6) Scrolls of more than one page will be numbered; center the page number at the bottom of the page starting on page 2. The page number can be either within the 1-inch bottom margin or 1 inch from the bottom of the page as long as the last name on the page is two lines above the page number. Number the Presidential signature page. If properly placed, this page number will not interfere with the President's signature. When appropriate, use as few pages as necessary, but be consistent in the presentation of the scrolls.

b. Formats. Scroll formats are located at: <https://www.dmdc.osd.mil/gofo> or <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

2. SCROLL PROCEDURES FOR GRADES O6B

a. General Guidance. Each Military Department will provide original scrolls for SecDef and Presidential signature in appointment and nomination packages and maintain appropriate Service stock levels. Scroll guidelines are outlined in this section and in Reference (f):

(1) The first and last pages of the scroll will be a grade of paper described as "Fine Writing, 100 percent White" with the Department of Defense watermark. The watermark on the first and last pages of the scroll will be right side up. The first page of the scroll will have the appropriate White House or SecDef letterhead. All scrolls will be on standard 8 ½ by 11 inch paper. The middle pages of the scroll may be on multi-use recycled paper.

(2) Starting with the header paragraph, use Times New Roman 12 font; however, do not use bold type.

(3) The Senate lead in of the header and the header paragraph will be flush with the left margin, which should normally be 1 inch from the left edge of the paper.

(a) When the Senate lead in is more than 1 inch from the left margin, the left edge of the header paragraph will line up with the left edge of the Senate lead in.

(b) The Senate lead in will be followed by a colon.

(4) The header paragraph for White House scrolls will begin three lines below (two blank lines) the lead in and will be single-spaced.

(5) The header paragraph for SecDef scrolls will start 2 inches from the top margin. If the DoD seal is printed correctly on the paper, the header paragraph will begin three lines below (two blank lines) the seal. The left margin of the header paragraph for SecDef scrolls will fall in the middle of the DoD seal. This should be at the 1-inch mark if the DoD seal is printed correctly on the paper.

(6) Do not use proportional spacing in the header paragraph. The first word in the header paragraph will be indented five spaces with the first letter of the first word capitalized. Use upper and lower case letters for header paragraphs. Do not capitalize the words "title" (i.e., title 10) or "section" (e.g., section 601), and use "U.S.C." when referring to the code. Spell out all Military Services, i.e., United States Army, United States Navy, United States Air Force, and

United States Marine Corps in the header paragraph except as specified for Regular appointment scrolls. The right margin should be 1 inch.

(7) Type the grade information in the body of the scroll in upper and lower case letters and underline. The grade will be on the third line (two blank lines) after the header paragraph and centered on the page. If the scroll contains multiple grades, the grades will be listed on the scroll highest to lowest. For the second and subsequent grades, include one blank line between the previous names and the second and subsequent grades.

(8) There should be one blank line between the grade and the names. Type the names of the officers, enlisted members, or individuals in all capital letters, single spaced. Type in the first column the last name (in alphabetical order), first name, middle initial, and suffix. In a second column, type the last four digits of the social security number. Put periods after the middle initial, junior, or senior. Do not put a period after I, II, etc. Use commas before junior and senior; do not use commas before I, II, etc. For individuals with multiple initials, space once between period and the next initial.

(9) Allow a minimum of 3 inches at the end of any scroll for SecDef or Presidential signature. Scrolls requiring more than two pages will use 1-inch top and bottom margins on second and succeeding pages as long as the last page allows three inches for Presidential signature. The last page of any scroll with more than two pages will contain a minimum of three names.

(10) Scrolls of more than two pages will be numbered; center the page number at the bottom of the page starting on page 2. The page number can be either within the 1-inch bottom margin or 1 inch from the bottom of the page as long as the last name on the page is two lines above the page number. Number the SecDef or Presidential signature pages. If properly placed, this page number will not interfere with the signature. When appropriate, use as few pages as necessary, but be consistent in the presentation of the scrolls. For scrolls of more than two pages, the columns on the pages will line up.

(11) The Military Departments will provide scrolls that are no longer than 175 pages. When the processing of scrolls longer than 175 pages is necessary, the Military Department will provide the OUSD(P&R) paper copies that are printed front and back, head to foot.

b. Formats. Scroll formats are located at: <https://www.dmdc.osd.mil/gofo> and <http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

ENCLOSURE 10

SENATE TEXT FILES

1. SENATE TEXT FILES FOR O-7 AND O-8 PROMOTION BOARDS

a. General Guidance

(1) The Military Departments will upload files of Presidential nominations (containing three or more names) into DSS.

(2) The Military Departments will make sure that the information on the electronic version is consistent with the information on the paper scroll processed for signature. The Military Departments will update and transmit a new electronic file when the names or number of individuals on the scroll change.

(3) Electronic File Specifications. (File Compatibility) IBM-compatible PC process ability is required. Files must be in "ASCII" (.txt) format, not "Microsoft Word (.doc)," etc. A fixed font not proportioned will be used. If there are multiple lists, each one must be a separate file.

b. Procedures. Each record or line will be 72 characters maximum in length and will be in upper/lower case format, as appropriate. There is a 2-digit prefix code for each record. All of the following codes go in columns 1-2 (01, 99, 88, 77, and 66). The information included in each line designated by these codes is provided in paragraph 1b of this enclosure. Do not use tabs between fields (last name, first name, suffix/SSN), as spaces must be used for the Senate program to convert the file appropriately for the Senate record.

(1) Code 01- Component/Number. Contains the submitting Military Service's name (Army, Air Force, Navy, Marine Corps) and the count of nominees on the list (000022). The component name starts at column 3 and the count of nominees starts at column 61. The component's name is upper and lower case (first letter of first word capitalized).

(2) Code 99 - Message Text. Contains the text of the message submitting the nomination. Excluding the words "I nominate" this wording will match the wording in the printed copy of the scroll. No 99 record will terminate in a partial word and, as provided in section 1b of this enclosure, the line may not exceed 72 characters in length. Normal capitalization rules apply.

(3) Code 88 - Current Grade. This line contains the current grade of the individuals listed in the section immediate below the 88 and 77 lines. The grade starts at column 3 and is in upper and lower case (first letter of each word is capitalized).

(4) Code 77 - Nominated Grade. Contains the grade to which the immediately following names are being nominated, such as major or captain. The grade starts at column 3 and is in upper and lower case (first letter of each word is capitalized).

(5) Code 66 - Actual Nominees. Contains the last name of the nominee in one field, the first name and middle initial in a second field, the suffix “Jr.” or “Sr.” or “III” in a third field and the last four digits of the SSN in a fourth field. The names must be in the same order as on the written scroll. The suffixes on the text file and written scroll will be the same. The nominee record is in upper and lower case so normal capitalization rules apply. The last name starts at column 3, the first name starts at column 31 followed by one space and then the middle initial with a period, the suffix starts at column 58, and the last four numbers of the SSN start at column 61.

(6) Record Layout. Sample text files and layout are located at located:
<https://www.dmdc.osd.mil/gofo> and
<http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

2. SENATE TEXT FILES O6B

a. General Guidance

(1) The Military Departments will forward files of Presidential nomination scrolls (containing three or more names) through electronic means as provided in Enclosure 3 of this instruction.

(2) The Military Departments will ensure that the information on the electronic version is consistent with the information on the paper scroll processed for signature. The Military Departments will update and transmit a new electronic file when the names or number of individuals on the scroll changes.

(3) IBM-compatible PC process ability is required. Files must be in “ASCII” (.txt) format, not “Microsoft Word (.doc).” A fixed font not proportioned will be used. If there are multiple lists, each list must be a separate file.

b. Procedures. Each record or line will be 72 characters maximum in length and will be in upper/lower case format, as appropriate. Do not use tabs between fields (last name, first name, suffix/SSN), as spaces must be used for the Senate program to convert the file appropriately for the Senate record. There is a 2-digit prefix code for each line on the text file. The codes itemized in these subparagraphs go in columns 1-2 (01, 99, 77, and 66). The information included in each line designated by these codes is also provided.

(1) Code 01 – Component/Number. Contains the submitting Military Service’s name (e.g., Army, Air Force, Navy, Marine Corps) and the count of nominees on the list (000022). The component name starts at column 3, and the count of nominees starts at column 61. The component’s name is in all upper case.

(2) Code 99 - Message Text. Contains the text of the message submitting the nomination. This wording will match the wording in the printed copy of the scroll (excluding the words “I nominate”). The line may not exceed 72 characters in length. Normal capitalization rules apply.

(3) Code 77 – Nominated Grade. Contains the grade to which the immediately following names are being nominated, such as major or captain. The grade starts at column 3 and is in upper and lower case (first letter of each word is capitalized).

(4) Code 66- Actual Nominees. Contains the last name of the nominee in the first field, the first name and middle initial in a second field, the suffix “Jr.” or “Sr.” or “III” in a third field, and the last four digits of the SSN in the fourth field. The names must be in the same order as on the printed copy of the scroll. The suffixes on the text file and written scroll will be the same. The nominee names are in all caps. The last name starts at column 3, the first name starts at column 31 followed by 1 space and then the middle initial with a period, the suffix starts at column 58, and the last four numbers of SSN start at column 61. Put a space between double initials.

(5) Record Layout. Sample text files and layout are located at:
<https://www.dmdc.osd.mil/gofo> and
<http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx>.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AIS	adverse information summary
BCMR	Board for Correction of Military Records
BCNR	Board for Correction of Naval Records
CAB	Correspondence and Analysis Branch
CJCS	Chairman of the Joint Chiefs of Staff
CMD	Correspondence Management Division
DASD(MPP)	Deputy Assistant Secretary of Defense for Military Personnel Policy
DepSecDef	Deputy Secretary of Defense
DoDD	DoD directive
DoDI	DoD instruction
DSS	Decision Support System
FRB	federal recognition board
G/FO	general or flag officer
HASC	House Armed Services Committee
IG DoD	Inspector General of the Department of Defense
JQO	joint qualified officer
JS	Joint Staff
MRD	mandatory retirement date
MS	Microsoft
O6B	O6 and below
OASD(M&RA)	Office of the Assistant Secretary of Defense for Manpower and Reserve Affairs
OASD(R&FM)	Office of the Assistant Secretary of Defense for Readiness and Force Management

OEPM	Officer and Enlisted Personnel Management
OUSD(P&R)	Office of the Under Secretary of Defense for Personnel and Readiness
.pdf	Adobe Portable datafile
PDOA	projected date of assignment
PDOP	projected date of promotion
PDUSD(P&R)	Principal Deputy Under Secretary of Defense for Personnel and Readiness
PRB	promotion review board
PSB	promotion selection board
RIS	reportable information summary
ROI	report of investigation
SASC	Senate Armed Services Committee
SecDef	Secretary of Defense
SSB	special selection board
SSN	Social Security Number
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics
WHMO	White House Military Office

PART II. DEFINITIONS

These terms and their definitions are for the purpose of this instruction.

adverse information. A substantiated adverse finding or conclusion from an officially documented investigation or inquiry or any other credible information of an adverse nature. To be credible, the information must be resolved and supported by a preponderance of the evidence. To be adverse, the information must be derogatory, unfavorable, or of a nature that reflects clearly unacceptable conduct, integrity or judgment on the part of the individual. The following types of information, even though credible, are not considered adverse:

Motor vehicle violations that did not require a court appearance.

Minor infractions without negative effect on an individual or the good order and discipline of the organization that:

Were not identified as a result of substantiated findings or conclusions from an officially documented investigation.

Did not result in more than a non-punitive rehabilitative counseling administered by a superior to a subordinate.

Information previously considered by the Senate pursuant to a prior appointment of the officer.

Information attributed to an individual 10 or more years before the date of the personnel action under consideration, except for substantiated conduct any single act of which, if tried by court-martial, could have resulted in the imposition of a punitive discharge and confinement for more than 1 year. The date of the substantiated adverse finding or conclusion from an officially documented investigation or inquiry is used to establish the time period, not the date of the incident.

complainant. Person or party that makes a complaint.

flagged. Abbreviated term used to describe the suspension of favorable personnel actions. A flag is designed to suspend actions that are considered favorable to the Service member until the original incident or action that resulted in the flag has been resolved.

headspace. Available promotion authorizations below the grade ceilings established in sections 525 and 526 of Reference (r).

joint pool. Defined in Reference (d).

military officer personnel actions. Includes, but is not limited to, all actions involving grades O-10 and below that pertain to designations, nominations, appointments, extensions, assignments, waivers, reassignments, promotions, retirements, promotion and federal recognition board reports, removal from promotion lists and selection board reports, vacations of promotion, and all related necessary recommendations and documentation. This term also includes all actions relating to individuals nominated to, or selected for, such grades.

nomination package. Includes all actions involving Presidential nominations for submission to the Senate. Nomination packages include but are not limited to the Secretary of the Military Department's recommendation, scrolls, promotion board reports, FRBs, PRBs and SSBs.

original officer appointments. Includes officer actions defined in Reference (r) and those appointments that result from Military Department accession programs.

PDOP. The date used by the SASC in determining when nomination(s) may be considered for confirmation.

PDOP for individual officers. the anticipated date an officer is due to be promoted, appointed, or commissioned.

PDOP for appointment or nomination scrolls. the anticipated date (month, day, and year) of the first promotion from a particular scroll.

position of importance or responsibility. A position designated by the President to carry the grade of general or admiral or lieutenant general or vice admiral. The President may assign to any such position an officer of the Army, Navy, Air Force, or Marine Corps who is serving on active duty in any grade above O-6. An officer assigned to any such position has the grade specified for that position if he is appointed to that grade by the President and confirmed by the Senate.

PRB. A board convened under regulations prescribed by the Secretary of the Military Department to review adverse information prior to the submission of a recommendation for nomination to the SecDef when the adverse information has not been reviewed by the PSB, SSB, or FRB.

reportable information

Information other than adverse information requested to be reported by the SASC or by any member of the Senate; or

Information related to alleged misconduct or impropriety, which is subject to an on-going investigative, administrative, or judicial process. Normally a nomination will be delayed pending resolution of the investigation or administrative process; however, in extraordinary cases and where the resolution is not expected within a reasonable time, the nomination may be processed with an appropriate summary of the case. The summary will include an opinion from a qualified senior leader on the probable outcome of the investigative, administrative, or judicial process; or

Credible information related to an individual's involvement or affiliation with a significant event that is widely known to the general public or members of Congress that brings discredit upon or calls into question the integrity of members of the DoD, Components of the DoD, or the DoD. Ordinarily, such information that has been known for more than 3 years prior to the nomination process, or information that was previously considered by the SASC as part of a previous nomination of that individual, will not be reported.

ROI. Any type of investigation that requires reporting in conjunction with any action involving officers and those personnel being appointed on an active-duty list and a Reserve active-status list of the Military Services (e.g., command-directed investigation, IG DoD investigation).

scroll. A document used by the White House and DoD Components that lists the name(s) of officers for appointment or nomination.

Senate text file. Electronic files of executive nominations (containing three or more names) in "ASCII" (.txt) format.

withhold. The act of taking off or leaving off an officer's name from a nomination or appointment scroll pending review of his or her promotability, while allowing other individuals on the scroll to proceed forward for SecDef appointment, Presidential nomination, or Senate confirmation. This officer's name is still on the board report and promotion list until removed by Presidential authority or operation of law, or the officer is promoted.

100-day requirement. Letters provided to the SASC and HASC when 100 calendar days have passed since the adjournment of a promotion selection board (including promotion vacancy boards) or a federal recognition board that has not been approved. The letter addresses the reason(s) for the delay and when the Military Department or Department of Defense anticipates approval of the board report.