



Department of Defense INSTRUCTION

NUMBER 1320.4

March 14, 1995

ASD(FMP)

SUBJECT: Military Officer Actions Requiring Approval of the Secretary of Defense or the President, or Confirmation by the Senate

References: (a) DoD Instruction 1320.4, "Military Officer Actions Requiring Approval of the President or Secretary of Defense or Confirmation by the Senate," October 29, 1981 (hereby canceled)
(b) Title 10, United States Code
(c) United States Constitution, Article, Section II, Clause 1 and Clause 2
(d) [DoD Directive 1320.12](#), "Defense Officer Promotion Program," February 4, 1992

1. REISSUANCE AND PURPOSE

This Instruction:

1.1. Reissues reference (a) to implement policy and updates responsibilities and procedures under reference (b).

1.2. Continues to implement references (b), (c) and (d) and prescribes administrative procedures governing the submission of military officer personnel actions for grades O-1 through O-10 requiring approval of the Secretary of Defense or the President, or confirmation by the Senate.

2. APPLICABILITY

This Instruction applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff, the Defense Agencies, DoD Field Activities, and the Inspector General of the Department of Defense (IG, DoD) (hereafter referred to collectively as "the DoD Components"). The term "Secretaries of

the Military Departments," as used herein, refers to the Secretary of the Army, the Secretary of the Navy, and the Secretary of the Air Force. The term "Military Services," as used herein, refers to the Army, the Navy, the Air Force, and the Marine Corps. It also refers to the Coast Guard when it is operating as a Service of the Department of the Navy.

3. DEFINITIONS

3.1. Adverse Information. Any substantiated adverse finding or conclusion from an officially documented investigation or inquiry.

3.2. Alleged Adverse Information. Any allegation of conflict of interest, failure to adhere to required standards of conduct, abuse of authority, misconduct or information serving as the basis for an incomplete or unresolved official investigation or inquiry into a possible conflict of interest or failure to adhere to standards of conduct or misconduct.

(The definitions in paragraphs 3.1. and 3.2., above, are not all-inclusive and do not relieve the Secretaries of the Military Departments from advising the Secretary of Defense, through the Assistant Secretary of Defense for Force Management Policy (ASD(FMP)), of significant factual information that might affect the nomination process. This includes administrative, judicial and non-judicial punishment proceedings.)

3.3. GFO. Refers to general and flag officers and to officers selected for promotion or appointment to general or flag officer grades.

3.4. Military Officer Personnel Actions. Includes all actions involving grades O-1 through O-10 that pertain to designations, nominations, appointments, reappointments, extensions, assignments, reassignments, promotions, retirements, selection board reports, and all related necessary recommendations and documentation. This term also includes all actions relating to officers nominated to, or selected for, such grades.

4. POLICY

It is DoD policy that:

4.1. The Secretaries of the Military Departments shall follow standard procedures when submitting military personnel officer actions requiring approval of the President or the Secretary of Defense, or confirmation by the Senate. These procedures shall

enable the Secretaries of the Military Departments to determine what information is required for a nomination, when to submit a nomination, and the format to use when nominating an officer(s) for military officer personnel actions. Those military officer personnel actions requiring approval by the President or confirmation by the Senate shall be treated as Presidential correspondence.

4.2. The Department of Defense shall fully inform the President and the Senate of adverse information relating to officers who are the subjects of military officer personnel actions covered by this Instruction.

5. RESPONSIBILITIES

5.1. The Assistant Secretary of Defense for Force Management Policy, under the authority of the Under Secretary of Defense for Personnel and Readiness shall monitor compliance with this Instruction.

5.2. The Secretaries of the Military Departments shall submit nominations for military officer personnel actions in accordance with this Instruction and references (b), (c), and (d).

6. PROCEDURES

6.1. Actions Involving General and Flag Officers

6.1.1. General

6.1.1.1. The Secretaries of the Military Departments shall forward their proposed military officer personnel actions on three- and four-star nominations and one- and two-star promotion board reports by memorandum to the Secretary of Defense through the ASD(FMP) and, when required by reference (b), such nominations shall be transmitted through the Chairman of the Joint Chiefs of Staff. The nomination package shall include those items specified in enclosure 1.

6.1.1.2. The Secretaries of the Military Departments shall ensure that all investigative files, to include Equal Employment Opportunity files, are reviewed prior to forwarding a nomination to the Secretary of Defense for GFO actions requiring approval by the Secretary of Defense or the President, or confirmation by the Senate. Based on those reviews, the Secretaries of the Military Departments shall forward through the Chairman of the Joint Chiefs of Staff any adverse information as prescribed in paragraph 6.2., below, or, if no adverse information, make the following certification:

6.1.1.2.1. All systems of records, to include Equal Employment Opportunity files and the Standard Form 278 (Public Financial Disclosure Report) [Delete SF 278 reference for one star nominations], 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).

6.1.1.2.2. The requirement to forward adverse information or this certification only applies to adverse information concerning the officer since his or her last Senate confirmation, except as prescribed in subparagraph 6.2.1.11., below. The Military Service concerned shall provide the official notification to the Secretary of Defense through the ASD(FMP) that there is, or is not, adverse or alleged adverse information on an officer(s).

6.1.1.3. In conjunction with the Military Service's review of investigative files, the IG, DoD, shall review its investigative files and notify the ASD(FMP) regarding adverse or alleged adverse information. The ASD(FMP) shall not process a nomination until the IG, DoD notification is received or if the IG, DoD notification is older than 60 days from the date of receipt of the nomination by the Office of the ASD(FMP). The IG, DoD notification shall be current from the date the nomination is received in the Office of the ASD(FMP) until the nomination reaches the Senate. In those instances where the IG, DoD notification is more than 60 days old, the ASD(FMP) shall notify the Military Service concerned and request an update of investigative files from the IG, DoD. The IG, DoD shall in turn, provide the results of the update to the Office of the ASD(FMP) and the Military Departments concerned.

6.1.1.4. In those instances where a nomination is received in the Office of the ASD(FMP) and the Military Department concerned requests that the nomination be held, the ASD(FMP) shall do so for no more than 2 duty days. If by the end of the second day, the Office of the Assistant Secretary of Defense for Force Management Policy (OASD(FMP)) does not receive a memorandum indicating that a Secretary of a Military Department wishes to have the nomination delayed, the nomination shall be processed.

6.1.2. Three- and Four-Star Nomination Requirements

6.1.2.1. The Secretary of Defense shall submit all military officer personnel actions involving three- and four-star officers to the President. All

nominations shall be based on the recommendations of the Secretary of the appropriate Military Department and, if required by reference (b), the advice of the Chairman of the Joint Chiefs of Staff.

6.1.2.2. The Secretaries of the Military Departments shall include in their nomination packages a memorandum to the President that provides the age of the officer; the proposed assignment; the authorized grade for the proposed assignment; the grade and name of the officer being replaced; whether the replacement officer is retiring and, if so, the projected date of retirement; whether the incumbent officer is being nominated for another position or otherwise is being reassigned; the number of joint duty or joint equivalent assignments the officer has served; whether the officer has been awarded the joint specialty; 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. Additionally, the memorandum shall set forth the qualifications needed by an officer to carry out effectively the duties and responsibilities of the proposed assignment.

6.1.2.3. The Chairman of the Joint Chiefs of Staff shall submit to the Secretary of Defense his or her evaluation of the performance of the officer as a member of the Joint Staff, in other joint duty assignments, as required by reference (b). That evaluation shall then be sent to the Secretary of Defense, through the ASD(FMP). The Secretary of Defense shall include the Chairman of the Joint Chiefs of Staff's evaluation when the nomination is sent to the President. When reference (b) requires that each Secretary of a Military Department provide a nomination for a position, the Chairman of the Joint Chiefs of Staff's memorandum shall state whether this requirement has been met.

6.1.2.4. The Chairman of the Joint Chiefs of Staff shall monitor the Military Services to ensure that grade ceilings prescribed in reference (b) are not exceeded.

6.1.2.5. The Chairman of the Joint Chiefs of Staff may also nominate officers to the Secretary of Defense for O-9 and O-10 joint duty billets as provided in reference (b). When those nominations are made, the Chairman of the Joint Chiefs of Staff shall ensure that all appropriate investigative files are reviewed as prescribed in subparagraph 6.1.1.2., above, prior to submission of the nomination to the Secretary of Defense. In conjunction with that review, the Chairman of the Joint Chiefs of Staff shall 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 60 days old. If there is adverse or alleged adverse information about the officer, then the Chairman of the Joint Chiefs of Staff shall process the nomination using the procedures

outlined in paragraph 6.2., below.

6.1.3. One- and Two-Star Nominations

6.1.3.1. The Secretary of Defense shall submit to the President all actions involving one- and two-star officers requiring Presidential approval or Senate confirmation, as prescribed by reference (b). When submitting promotion board reports, the Secretaries of the Military Departments shall forward the proposed action by memorandum to the Secretary of Defense and, when required by reference (b), through the Chairman of the Joint Chiefs of Staff. The memorandum shall forward a copy of the memorandum from the Chairman of the Joint Chiefs of Staff that designated the joint representative for the promotion board and shall also include a statement that the Acquisition Corps promotion statistics have been coordinated with the Under Secretary of Defense for Acquisition and Technology.

6.1.3.2. After the issue relating to adverse information outlined in subparagraph 6.2.1.8., below, is resolved, the Secretary of the Military Department concerned shall submit a memorandum to the Secretary of Defense, through the ASD(FMP). The memorandum shall indicate if the Secretary of the Military Department concerned still supports the nomination for promotion and shall also include the required information in subparagraphs 6.1.1.1., 6.1.1.2., and 6.1.1.3., above, and enclosure 3.

6.2. Processing Adverse or Alleged Adverse Information on GFOs

6.2.1. General

6.2.1.1. Normally, the Department of Defense does not report alleged adverse information or other unsubstantiated allegations to the Senate. However, in extraordinary cases, such as where the allegations received significant media attention or when the Senate Armed Service Committee (SASC) brings allegations to the attention of the Department of Defense, the Secretaries of the Military Departments shall include a discussion of the unsubstantiated allegations in the nomination package. When appropriate, the nomination package shall also include a summary of the information as outlined in enclosure 3.

6.2.1.2. Before a Secretary of a Military Department submits a nomination with adverse information to the Secretary of Defense and the Chairman of the Joint Chiefs of Staff, the Military Department's staff element concerned are encouraged to consult informally with their OSD counterparts on the content of the summary of adverse information (see enclosure 3). Such consultation shall be in

addition, and without prejudice, to subsequent review and coordination by the OSD counterparts.

6.2.1.3. In those cases when a promotion board report has been received in the OSD and the OASD(FMP) and/or the General Counsel of the Department of Defense (GC, DoD) requests clarification or additional information from the Secretary of the Military Department concerned on an officer(s) with adverse information or alleged adverse information, the timeframes at enclosure 4 shall be used to determine the length of time the OSD office concerned shall be allowed to resolve the issue. If the issue is not resolved after the time prescribed at enclosure 4, the promotion board report nomination package shall be retrieved from the OSD office concerned. At the time the nomination package is retrieved by the OASD(FMP), the OSD office concerned shall have coordinated on the nomination package with respect to the officer(s) on the promotion board report without adverse information. If appropriate, the OSD office concerned may provide a memorandum that will be included in the nomination package with respect to the officer(s) with adverse or alleged adverse information. The ASD(FMP) will in turn, process the promotion nomination package to the Secretary of Defense with a recommendation to withhold the officer(s)' name from the nomination scroll pending further review by the OSD office concerned. Before the ASD(FMP) makes that recommendation to the Secretary of Defense, the OASD(FMP) shall request that the Military Service provide a new scroll without the name(s) of the officer(s) with adverse information or alleged adverse information.

6.2.1.4. The adverse information summaries at enclosure 3 shall be included as part of the package when submitting the nomination to the Chairman of the Joint Chiefs of Staff and the ASD(FMP). When the nomination with adverse information or, pursuant to subparagraph 6.2.1.1., above, with alleged adverse information, is sent to the Office of the ASD(FMP), a copy of the completed investigation or inquiry shall also be included with the nomination package.

6.2.1.5. The ASD(FMP), when advising the Director, White House Military Office (WHMO), of the adverse or alleged adverse information, shall attach copies of the adverse information summary formats at enclosure 3 to his memorandum. If the President signs the nomination and forwards it to the Senate, the ASD(FMP) shall send a letter (minus the adverse information cover sheets) to the Chairman, SASC, advising of the adverse or alleged adverse information.

6.2.1.6. The ASD(FMP) shall initiate monthly checks with the Military Services and the IG, DoD, on all nominations that have been received by the Senate, but not yet confirmed. If, after the nomination reaches the Senate, the Military Service concerned or the IG, DoD, identify any adverse information or alleged adverse

information not previously reported, the cognizant DoD component shall notify the Office of the ASD(FMP) within 5 duty days of receipt of adverse or alleged adverse information. In addition, the IG, DoD shall notify the ASD(FMP) when notified by a Military Service of adverse or alleged adverse information. The notifications shall be in writing and shall include the officer(s)' grade, name, and a synopsis of the allegation(s). For the Military Services, the notification letter shall also include the date the allegations were received by the Military Service concerned. The ASD(FMP), with the verbal concurrence of the Director, WHMO, and the Executive Secretary of the Department of Defense shall then advise the SASC of the information and request that the nomination be held in abeyance until the matter is resolved.

6.2.1.7. In those cases where the officer(s) identified with adverse or alleged adverse information is on a promotion list as outlined in subparagraph 6.2.1.6., above, the ASD(FMP), with the verbal concurrence of the Director, WHMO, and the Executive Secretary of the Department of Defense shall advise the SASC, and ask it to defer nomination of the officer(s) concerned while permitting the remaining officers on the list to continue forward for confirmation. The ASD(FMP) shall provide the Secretary of Defense copies of the memorandum sent to the Director, WHMO and letter sent to the Chairman, SASC advising of the requests made under this subparagraph. The ASD(FMP) shall also advise the Chairman of the Joint Chiefs of Staff.

6.2.1.8. When an investigation or inquiry is completed on an officer(s) whose nomination is on hold at the SASC under subparagraph 6.2.1.6., above, the Secretary of the Military Department concerned shall so inform the Secretary of Defense, through the ASD(FMP), in writing. The Secretary of the Military Department's notification shall state if the allegations were substantiated, what action was taken, if any, and whether or not the Secretary of the Military Department still supports the nomination. In those cases where the allegation is substantiated and the Secretary of the Military Department and the Secretary of Defense support the nomination, that nomination shall be processed for approval to the President. If the President continues to support the nomination, the ASD(FMP) shall advise the SASC to proceed with the confirmation process. If, based on the adverse information, the Secretary of the Military Department does not support the nomination, the Secretary of the Military Department concerned shall submit a new nomination package to the Secretary of Defense, through the ASD(FMP), requesting that the President withdraw the nomination from the SASC. In those instances where the allegation is unsubstantiated, the ASD(FMP), with the verbal concurrence of the Director, WHMO, and the Executive Secretary of the Department of Defense shall advise the SASC of the outcome of the investigation or inquiry and request that the nomination proceed forward for confirmation. The ASD(FMP) shall provide the Secretary of Defense copies of the

memorandum sent to the Director, WHMO and the letter sent to the SASC advising of the action taken. The ASD(FMP) shall also advise the Chairman of the Joint Chiefs of Staff.

6.2.1.9. When an investigation or inquiry is opened on a nomination that has been signed by the President, but has not yet reached the Senate, the Secretary of the appropriate Military Department shall notify the ASD(FMP), in writing, within 5 duty days of receipt of the information. The notification shall include the officer's grade, name, a synopsis of the allegations, and the date the allegations were received by the Military Service concerned. The ASD(FMP) shall then notify the Director, WHMO, of the adverse or alleged adverse information and request processing of the nomination be stopped. In those instances where a nomination has not been signed by the President and an investigation or inquiry is opened, the ASD(FMP) shall request the Director, WHMO, put the nomination on hold pending further review. This action shall then be followed up with a letter to the Director, WHMO, prepared by the ASD(FMP) and signed by the Executive Secretary of the Department of Defense. The ASD(FMP) shall then advise the Secretary of the Military Department concerned, in writing, of the action taken with the Director, WHMO. After the investigation or inquiry is complete, the Secretary of the Military Department concerned shall resubmit the nomination as prescribed by subparagraph 6.2.1.8., above.

6.2.1.10. In those situations where the ASD(FMP) is advised of adverse or alleged adverse information on an officer(s) on a promotion board report, the ASD(FMP) shall put the board report on hold, and then request that the Military Service concerned provide a new scroll without the officer(s)' name(s), so the remainder of the promotion board report can proceed forward to the President for approval and to the Senate for confirmation. The ASD(FMP) shall notify the Secretary of Defense and the Chairman of the Joint Chiefs of Staff of the action taken on the promotion board report. If the President has signed the promotion list, but has not yet sent it to the Senate, at the time adverse or alleged adverse information is identified about an officer or an investigation or inquiry is opened, the ASD(FMP) shall request that the Director, WHMO hold the promotion list pending resolution of the matter. This action shall be confirmed by a letter to the Director, WHMO prepared by the ASD(FMP) and signed by the Executive Secretary of the Department of Defense. The ASD(FMP) shall also advise the Secretary of Defense and the Chairman of the Joint Chiefs of Staff of the action taken with the Director, WHMO. In addition, the ASD(FMP) shall provide the Secretary of Defense bi-monthly status updates until action is completed or until the Secretary of the Military Department concerned determines disposition of the promotion list. Once the matter is resolved, the Secretary of the Military Department concerned shall notify the Secretary of Defense, through the ASD(FMP), in writing, of his or her recommended action as prescribed by subparagraph 6.2.1.8., above.

6.2.1.11. As a matter of policy, the Secretary of a Military Department concerned shall provide to the Office of the ASD(FMP) all adverse information since an officer's last Senate confirmation. Additionally, for promotion to O-7, the Secretary of the Military Department concerned shall review all adverse information during the last 10 years of an officer's career to identify trends. The Secretary of the Military Department concerned need not report adverse information identified during that 10 year review unless, in his or her judgment, such information would affect the nomination process. If a Secretary of a Military Department concerned decides to provide the adverse information as part of the nomination as prescribed in subparagraph 6.1.1.2., above, the information shall be provided to the Secretary of Defense, through the ASD(FMP), as prescribed in subparagraphs 6.2.1.2. and 6.2.1.3., above and enclosure 3. For nominations involving all other GFOs, the Secretaries of the Military Departments concerned shall forward adverse information about conduct since an officer's last Senate confirmation.

6.2.2. Providing Information to the SASC. The ASD(FMP) shall be the primary spokesperson and conduit for the Department of Defense permitted to discuss adverse information or alleged adverse information with the SASC, or other Senate members or staff, alter a nomination reaches the Senate. This does not prohibit the Military Services from communicating with the SASC, or other Senate members or staff, about a nomination with adverse or alleged adverse information. However, when possible, the Military Services should forward any inquiry from the Senate, its members or staff, concerning matters covered by this subparagraph to the ASD(FMP) for reply. When this is not possible, the Military Services shall provide copies of any written inquiries and responses or summaries of any verbal communications to the ASD(FMP). Additionally, when time permits, these responses shall be coordinated with ASD(FMP) in advance.

6.3. Actions Involving Officers Below General and Flag Officer Grades

6.3.1. General

6.3.1.1. The Secretaries of the Military Departments shall submit promotion board reports to the Secretary of Defense. After the ASD(FMP) approves the board report, the Secretary of the Military Department concerned may make a public announcement. The Secretaries of the Military Departments shall submit promotion board reports as outlined in enclosure 2.

6.3.1.2. The Secretaries of the Military Departments need not report adverse or alleged adverse information when promotion board reports are submitted for

approval by the Secretary of Defense or the President or confirmation by the Senate unless, in the judgment of the Secretary of the Military Department concerned, such action is appropriate in a specific case. If such reporting is appropriate, the Secretary of the Military Department concerned shall submit a summary of the information with the promotion board report as prescribed by enclosure 3.

6.3.1.3. When an officer(s) becomes the subject of an inquiry or investigation after the promotion list reaches the Senate and the Secretary of the Military Department concerned believes it appropriate to delay the nomination pending outcome of the investigation or inquiry, the Secretary of that Military Department concerned shall notify the ASD(FMP). The ASD(FMP) shall then notify the SASC, with the concurrence of the White House and the Executive Secretary of the Department of Defense, as described in subparagraph 6.2.1.7., above. When the investigation or inquiry is complete, the Secretary of the Military Department shall notify the Secretary of the Defense, through the ASD(FMP), as prescribed in subparagraph 6.2.1.8., above.

6.4. Required Documentation for Military Officer Personnel Actions Grades O-1 Through O-10

6.4.1. Consolidation of Actions

6.4.1.1. Actions to be approved by the Secretary of Defense shall not be included with those requiring approval of the President. Selection Board Reports requiring Secretary of Defense approval and Presidential nomination may be combined into a single package. (See enclosure 2.) Similarly, actions not requiring Senate confirmation shall not be included with actions that do. Further, when a Secretary of a Military Department forwards several Selection Board Reports to the ASD(FMP) at the same time, the scrolls shall be combined where appropriate. This shall not be done to combine Active component and Reserve component actions nor to combine actions on O-6 and below and GFO nominations.

6.4.1.2. Summary Sheet. When an action covers a significant number of officers, such as promotion list, appointment lists or multiple board reports, a summary sheet shall be attached to the memorandum indicating the totals by grade and the basis for the action.

6.4.2. Delivery

6.4.2.1. All nominations shall be delivered to the Directorate for Correspondence and Directives, Washington Headquarters Services, Pentagon, for processing within the Department of Defense and for delivery to the White House.

6.4.2.2. Promotion nominations and actions containing 50 or more names, exclusive of those involving GFOs, that require Senate confirmation shall be submitted to the Office of the Deputy Assistant Secretary of Defense (Military Personnel Policy), Officer and Enlisted Personnel Management, Pentagon, on magnetic tape or floppy disk (preferred medium is floppy disk) in accordance with the format at enclosure 5. Submission of the list on magnetic tape or disk is in addition to, not instead of, submission of hard copies, as required by enclosure 5.

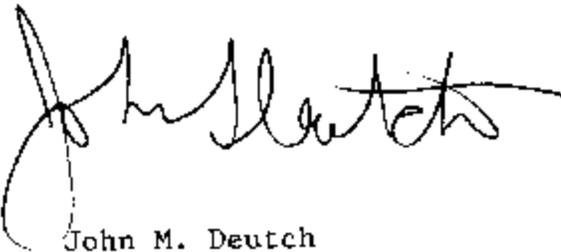
6.4.3. Processing Nominations

6.4.3.1. The timelines at enclosure 4 are the maximum amount of time that shall be permitted to process a nomination from the Secretary of the Military Departments through the Chairman of the Joint Chiefs of Staff and the Secretary of Defense. The processing time at the White House is notional. The Chairman of the Joint Chiefs of Staff shall have 10 duty days to process a nomination. Processing a nomination through the Office of the Secretary of Defense without adverse information shall take a maximum of 18 duty days. Processing a nomination through the Office of the Secretary of Defense with adverse information shall take a maximum of 23 duty days. Some nominations may require additional processing steps, which shall increase the overall processing time in the Office of the Secretary of Defense. (See enclosure 4.) For those nominations that require those additional steps, the maximum amount of time permitted to process a nomination is 2 additional duty days. If a nomination takes longer to process than permitted by the timelines, the ASD(FMP) shall provide the Secretary of Defense a reason for the delay. Timely submission of nominations by the Secretaries of the Military Departments can help to ensure that they are approved by the desired effective date.

6.4.3.2. Forty-eight hours after the President signs a nomination or promotion list, the White House Clerk shall forward the nomination or promotion list to the Senate Clerk. This provision is included in this Instruction by agreement with the White House. In those instances where international protocol requires coordination with other governments and/or other agencies, the White House Clerk shall hold those nominations until the Directorate for Correspondence and Directives completes all appropriate coordination. The Secretaries of the Military Departments shall identify those nominations to the ASD(FMP) that involve such coordination under international protocol when submitting those nominations. The Office of the Assistant to the Secretary of Defense for Public Affairs shall announce Presidential nominations as soon as possible after Presidential signature and Military Service coordination.

7. EFFECTIVE DATE

This Instruction is effective immediately.

A handwritten signature in black ink, appearing to read "John M. Deutch". The signature is fluid and cursive, with a large initial "J" and "M".

John M. Deutch
Deputy Secretary of Defense

Enclosures - 5

- E1. GFO Documents Required for Nominations
- E2. O-6 and Below Documents Required for Nominations
- E3. Adverse Information Cover Sheets
- E4. Sample Timeline Normal Processing
- E5. Magnetic Tape/Floppy Disk Preparation and Transmittal Procedures

E1. ENCLOSURE 1

GFO DOCUMENTS REQUIRED FOR NOMINATIONS

E1.1. ALL GFOs MILITARY OFFICER PERSONNEL ACTIONS

E1.1.1. The Secretary of the Military Department concerned Cover Memorandum (3 copies).

E1.1.2. Current IG, DoD, check, not more than 60 days old.

E1.1.3. Draft Memorandum to the President (3 copies). One- and two-star military personnel actions shall be prepared for the signature of the Deputy Secretary of Defense. Three- and four-star military personnel actions shall be prepared for the signature of the Secretary of Defense.

E1.1.4. Scroll (3 copies). (See attachments E1.A1. and E1.A2.)

E1.1.5. Resume (3 copies).

E1.1.6. Press release (3 copies).

E1.1.7. Photograph 8-inch X 10 1/2-inch glossy (three- and four-star only).

E1.1.8. The Chairman of the Joint Chiefs of Staff Memorandum.

E1.1.9. Adverse Information Cover Sheets (see enclosure 3).

E1.2. ONE- AND TWO-STAR PROMOTION SELECTION BOARDS

E1.2.1. The Secretary of the Military Department concerned Cover Memorandum (3 copies).

E1.2.2. Current IG, DoD, check on all nominees, not more than 60 days old.

E1.2.3. Draft memorandum to the President (3 copies).

E1.2.4. Scroll (3 copies). (See attachments E1.A1. and E1.A2.)

E1.2.5. Resume (3 copies).

E1.2.6. Press release (3 copies).

E1.2.7. Chairman of the Joint Chiefs of Staff Memorandum.

E1.2.8. Joint Duty Statistics.¹

E1.2.9. Acquisition Corps Statistics.²

E1.2.10. Ethnic and/or racial profile statistics.

E1.2.11. Promotion Board Proceedings.³

E1.2.12. Promotion Board Report for Deputy Secretary of Defense Approval.

E1.2.13. Adverse Information Cover Sheets, if applicable. (See enclosure 3.)

E1.2.14. Copy of the Chairman of the Joint Chiefs of Staff letter designating the joint representative for the Board.

¹ Joint duty statistics are required for nominations resulting from selection boards convened under Section 611(a) of reference (b) for promotions to grades O-4 and above. Provide a listing by category of waivers requested (good of the Service, scientific and technical, professional, tour length, joint equivalent, currently serving). Provide a joint duty assignment projection that explains how the Service intends to provide a joint tour for those officers recommended for good of the Service waivers.

² Acquisition Corps statistics are required for nominations resulting from selection boards convened under Section 1736 of reference (b) for promotions to grades O-4 and above.

³ Promotion board proceedings include information that is required by DoD Directive 1320.12, Defense Officer Promotion Program.

Attachments - 2

E1.A1. Flag Officer Scroll Procedures

E1.A2. GFO Scroll Formats

E1.A1. ATTACHMENT 1 TO ENCLOSURE 1

GENERAL AND FLAG OFFICER SCROLL PROCEDURES

E1.A1.1.1. Each nomination package shall contain an original scroll and three copies prepared using the guidance outlined below. Each Service is responsible for requesting scroll paper and maintaining appropriate stock levels.

E1.A1.1.1.1. The first and last pages of the scroll shall be a grade of paper described as "Fine Writing, 100 percent White." The first page of the scroll shall have the appropriate White House letterhead. All scrolls shall be the standard "8 1/2- by-11" size.

E1.A1.1.1.2. Do not use bold type on the scroll. Use the same font throughout the scroll; i.e., a font equal to 10-pitch pica type. "Per line" characters shall not exceed 72 (a space is counted as a character).

E1.A1.1.1.3. The "lead in" of the header shall be flush with the left margin, followed by a colon. The "header" paragraphs shall begin three lines below the "lead in" and shall be single-spaced. The first word in the header paragraph shall be indented five spaces with the first letter of the first word capitalized. Do not capitalize the words "title" (i.e., title 10), "section" (i.e., section 571), and use "U.S.C." when referring to the code. Spell out all Services; e.g., United States Army, United States Air Force, etc. in the "header" paragraph. If the Service is listed in the "header" paragraph of the scroll, it normally will not need to be reiterated in the remainder of the scroll. One exception is a statutory scroll.

E1.A1.1.1.4. Allow a minimum of 2 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 shall use 1-inch top and bottom margins on second and succeeding pages as long as the last page allows 2 inches for Presidential signature.

E1.A1.1.1.5. Scrolls of more than two pages shall be numbered; center the page number at the bottom of the page. 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.

E1.A1.1.1.6. GFO Scrolls:

E1.A1.1.1.6.1. Three- and four-star scrolls:

E1.A1.1.1.6.1.1. "To be (grade)" shall be upper/lower case and underlined.

E1.A1.1.1.6.1.1. (current grade) (name), (SSAN), U.S. (Service) shall be upper/lower case.

E1.A1.1.1.6.2. 1-2-star scrolls:

E1.A1.1.1.6.2.1. "To be (grade)" shall be upper/lower case and underlined.

E1.A1.1.1.6.2.2. (current grade) (name), (SSAN) shall be upper/lower case.

E1.A1.1.1.6.2.3. Names shall be listed alphabetically for Active Duty components and when appropriate for Guard and Reserve components.

E1.A1.1.1.6.2.4. For combined 1- and 2-star scrolls, list each rank separately as above.

E1.A1.1.1.6.3. Examples of retirement, appointment, promotion, statutory and withdrawal scrolls are at attachment E1.A2., enclosure 1.

E1.A2. ATTACHMENT 2 TO ENCLOSURE 1

GFO SCROLL FORMATS

GFO SCROLL FORMATS

Retirement

I nominate:

The following named officer to be placed on the retired list of the (Service, spelled out) in the grade indicated under section (list section) of title 10, U.S.C.

To be General and/or Admiral and/or Lieutenant General and/or Vice Admiral
(current grade) (first, middle initial, last name), 123-45-6789

Appointment

I nominate:

The following named officer for appointment to the grade of (general and/or lieutenant general and/or admiral and/or vice admiral) in the (Service) while assigned to a position of importance and responsibility under title 10 U.S.C., section (list reference):

To be (grade)
(current grade) (first, middle initial, last name), 123-45-6789

Promotion

I nominate:

The following named officers for promotion in the (Component) of the United States to the grade indicated under title 10, U.S.C., section (list reference(s)):

To be (Major and/or Brigadier General and/or Rear Admiral and/or Rear Admiral Lower half)
(current grade)(first, middle initial, last name), 123-45-6789, (Service)
(current grade)(first, middle initial, last name), 987-56-9840, (Service)
(Names shall be listed alphabetically)

Position specified by statute:

I nominate:

The following named officer, under provisions of title 10, U.S.C., section 8034, to be Position, Service:

To be General
To be Position, Service
(current grade) (first, middle initial, last name), 123-45-6789, (Service)

Withdrawal of nomination:

I withdraw the nomination of:

The following named officer for appointment to the grade of (list grade) while assigned to a position of importance and responsibility under title 10, U.S.C., section 601, which was forwarded on month, day, year:

To be position

To be grade

(Grade)(first, middle initial, last name), 123-45-6789, (Service)

E2. ENCLOSURE 2

O-6 AND BELOW DOCUMENTS REQUIRED FOR NOMINATIONS

E2.1.1. Appointments and Reserve Promotions for Grade O-6 and Below

E2.1.1.1. The Secretary of the Military Department concerned Cover Memorandum (3 copies) (for promotion).¹

E2.1.1.2. Nomination Scroll (3 copies) (see attachment E2.A1.).

E2.1.1.3. Adverse information cover sheets, if applicable (see enclosure 3).

E2.1.1.4. Ethnic and/or racial profile data for Reserve promotions only.

E2.1.1.5. Summary sheet for Reserve promotions only.

E2.1.2. Active-Duty List Promotions for Grade O-6 and Below

E2.1.2.1. The Secretary of the Military Department concerned cover Memorandum.¹ (3 copies.)

E2.1.2.2. Acquisition Corps Statistics for O-5 and O-6. (Ensure there is a statement in the Secretary of the Military Departments memorandum that states that the Acquisition Corps promotion statistics have been coordinated with the Under Secretary of Defense for Acquisition and Technology.)

E2.1.2.3. Nomination Scroll (O-4 and above only) (3 copies).

E2.1.2.4. Promotion board report.

E2.1.2.5. Chairman of the Joint Chiefs of Staff Memorandum with statistics (when applicable).

E2.1.2.6. Copy of the memorandum for the Chairman of the Joint Chiefs of Staff that designated the joint representative for promotion board.

¹ The Service cover memorandum should include the proposed release date of board results and the expected date of the earliest promotion.

E2.1.2.7. Ethnic and/or racial profile data.

E2.1.2.8. Summary sheet if forwarding numerous selection boards.

E2.1.2.9. Adverse information summary sheets, if applicable. (See enclosure
3.)

Attachments - 1

E2.A1. O-6 and Below Scroll Formats

E2.A1. ATTACHMENT 1 TO ENCLOSURE 2

O-6 AND BELOW SCROLL FORMATS¹⁻⁷

I nominate the following named officers, on the active duty list, for promotion to the grade indicated in the U.S. Army in accordance with section 624 of title 10, U.S.C. The officers identified by an asterisk (*) are also nominated for Regular appointment in accordance with section 531 of title 10, U.S.C.

Lieutenant Colonel

NURSE CORPS

ADAM, EDWARD N.	123-45-6789
ADAMSON-COLE, MARYS.	234-56-7890
BOWERS, THOMAS N., JR.	345-67-8900

VETERINARY CORPS

BROWN, EDUARDO	567-89-9000
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Major

ARMY COMPETITIVE

ADAMSON, ED*	678-90-9000
SMITH, RON E. *	789-90-9001

-
1. The first and last pages of the scroll shall be a grade of paper described as "Fine Writing", 100 percent White." The first page of the scroll shall have the appropriate White House letterhead. All scrolls shall be the standard "8 1/2-by-11" size.
 2. Use upper and lower case letters for header paragraphs. Use same font for all pages.
 3. Type the grade information in upper and lower case letters and underline.
 4. Type the competitive categories in caps and underline.
 5. Names must be in caps. Type last name (in alphabetical order), first name and middle initial in a single column. Type the full social security number in a second column. Refer to enclosure 5 of this Instruction on magnetic tape and/or disk formatting.
 6. Per line, characters should not exceed 72 (a space is counted as a character).
 7. For the last page or signature page, leave at least a 2-inch margin at the bottom.

National Guard Officer Nominated for Appointment in the Reserve

I nominate the following-named Air National Guard of the U.S. officers for appointment in the grade indicated in the Air Force Reserve under sections 12203 and 8351(a) of title 10, U.S.C.

Colonel

LINE

BRADY, ROGER E.	222-33-4444
SWANSON-LAND, SUSAN E.	333-44-5555

Presidential Commission of Chief Warrant Officers

I hereby appoint the following Naval Reserve Chief Warrant Officers to be permanent Chief Warrant Officer Four in the United States Navy under section 571(a) of title 10, U.S.C.

Chief Warrant Officer Four

TECHNICAL NURSE

SMITH-MILLER, SUSAN	444-55-6666
ZADORA, PETER	555-66-7777

E3. ENCLOSURE 3

ADVERSE INFORMATION COVER SHEET

E3.1. ADVERSE INFORMATION COVER SHEET

E3.1.1. Grade/Name/Service: Grade, Name, Service.

E3.1.2. Adverse Information: Executive summary of the information.

E3.1.3. Investigating Agency: List the agency that actually conducted the investigation.

E3.1.4. Findings: Executive summary of the information.

E3.1.5. Action Taken: State action taken and by whom. If no action was taken, so state.

E3.1.6. Reasons for Support: State why the Department of Defense and the Military Department concerned support the nomination.

Note: Above information should be on separate page.

E3.2. ADVERSE INFORMATION COVER SHEET

E3.2.1. What he or she did: Provide a more detailed summary of the adverse information.

E3.2.2. What we did:

E3.2.2.1. Service: Provide detailed summary of action taken. If no action was taken, so state.

E3.2.2.2. OSD: Include the following statement: The Under Secretary of Defense for Personnel and Readiness (USD(P&R)) and the General Counsel of the Department of Defense (GC, DoD) reviewed the summary of the incident. The USD(P&R) elected to support the nomination; the GC, DoD, asserted no legal objection to the nomination.

E3.2.3. Why we support the nomination: State why the Department of Defense and the Military Department concerned should support the nomination.

Note: Above information should be on separate page.

E4. ENCLOSURE 4
SAMPLE TIMELINE
NORMAL PROCESSING

1					3
Chairman					
JCS	OSD	WHITE HOUSE	SENATE		
10 Days	18 Days	15 Days	2		

NOTE: Nominations encumbered with adverse information can take substantially longer to process than the notional times shown above.

¹Does not take into account Service planning and preparation time prior to submission to the JCS.

²Processing time in the Senate can vary widely depending on such factors as the press of other business and schedule legislative recesses, e.g., Aug., Nov. and Dec.

³Additive to this process is the assignment "cascade" effect. For most senior nominations (3- and 4-star), there are numerous associated assignment backfill actions that must take place prior to the actual change at the 3-/4-star level. Depending on decisions whether or not to "gap" billets in the "cascade," this can add up to 30 days to the process after confirmation.

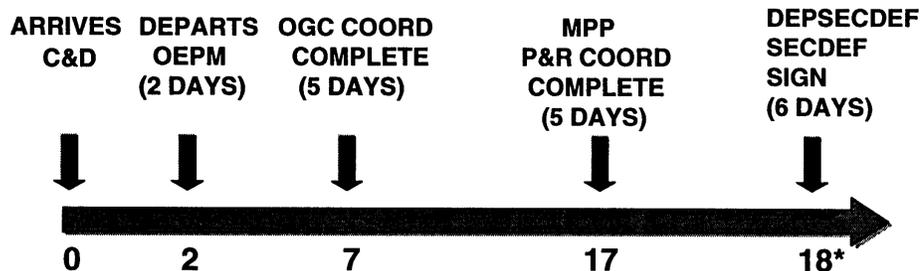
Attachments - 2

- E4.A1. GFO Nomination Processing Without Adverse Information
- E4.A2. GFO Nomination Processing With Adverse Information

E4.A1. ATTACHMENT 1 TO ENCLOSURE 4

G/FO NOMINATION PROCESSING Without Adverse Information

ASSUMES THE PACKAGE IS COMPLETE AND ACCURATE WHEN RECEIVED



* SOME NOMINATIONS REQUIRE ADDITIONAL PROCESSING STEPS WHICH INCREASE THE OVERALL PROCESSING TIME.

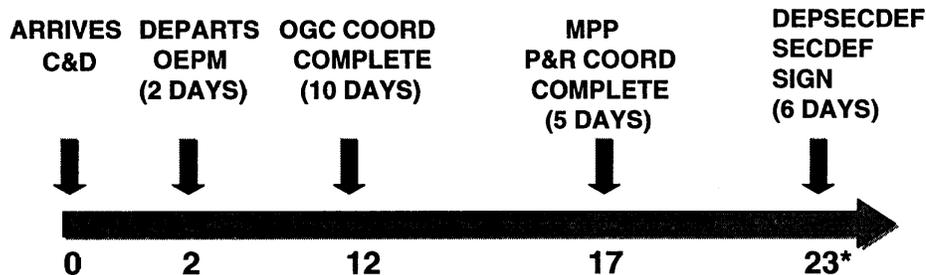
ASD (LA) FOR TAILHOOK '91 ATTENDEES (2 DAYS)
USD (A) FOR ACQUISITION ASSIGNMENTS (2 DAYS)
ASD (RA) FOR RESERVE COMPONENT ACTIONS (2 DAYS)
USD (P) (NATO POLICY) FOR NATO POSITIONS (2 DAYS)

NOTE: Processing days are defined as duty days.

E4.A2. ATTACHMENT 2 TO ENCLOSURE 4

G/FO NOMINATION PROCESSING With Adverse Information

ASSUMES THE PACKAGE IS COMPLETE AND ACCURATE WHEN RECEIVED



* SOME NOMINATIONS REQUIRE ADDITIONAL PROCESSING STEPS WHICH INCREASE THE OVERALL PROCESSING TIME.

ASD (LA) FOR TAILHOOK '91 ATTENDEES (2 DAYS)
USD (A) FOR ACQUISITION ASSIGNMENTS (2 DAYS)
ASD (RA) FOR RESERVE COMPONENT ACTIONS (2 DAYS)
USD (P) (NATO POLICY) FOR NATO POSITIONS (2 DAYS)

NOTE: Processing days are defined as duty days.

E5. ENCLOSURE 5

MAGNETIC TAPE/FLOPPY DISK PREPARATION AND TRANSMITTAL PROCEDURES

E5.1. PURPOSE

The purpose of this enclosure is to define the requirements governing submission to the U.S. Senate of lists of Executive nominations through the medium of magnetic tape and floppy disk.

E5.2. SCOPE

This specification shall cover file and record formats, tape-recording and labeling requirements, and transmittal policies.

E5.3. MAGNETIC TAPE SPECIFICATIONS

E5.3.1. All magnetic tapes of nomination lists must meet the following criteria. When more than one option is shown, the first is the preferred option.

E5.3.2. If the submitting Agency is able, it shall provide internal tape labels meeting one of the following standards:

E5.3.2.1. EBCDIC (IBM MVS/VSE/VM).

E5.3.2.2. ASCII.

E5.3.3. If it is not possible to supply labels, the first record on the tape must be an identification record in a format mutually agreeable to the submitting Agency and the Department of Defense.

E5.3.3.1. TRACKS - 9.

E5.3.3.2. RECORDING DENSITY:

E5.3.3.2.1. 6250 bpi.

E5.3.3.2.2. 1600 bpi.

E5.3.3.3. Dataset Name. Dataset names may be assigned at the discretion of the submitting Agency. A preferred format is DSN=LGA.NOM.xxxxx, in which xxxxx represents the submitting Agency, such as the U.S. Air Force or the U.S. Navy.

E5.3.3.4. When a dataset name is selected by the submitting DoD Component, it must remain constant for all tapes submitted by that Component. That provides proper controls and prompt return of tapes to the original owners. For non-labeled tapes, the tape identification record shall contain the equivalent information.

E5.4. FLOPPY DISK SPECIFICATIONS

E5.4.1. Medium. The preferred physical floppy disk is 3 1/2 inch; if necessary, the 5 1/4 inch floppy is acceptable.

E5.4.2. Density. For a 3 1/2 inch, 1.44MB is preferred. If necessary, 720KB is acceptable. For a 5 1/4 inch, 1.2MB is preferred. If necessary, 360KB is acceptable.

E5.4.3. Compatibility. IBM-compatible PC process ability is required.

E5.4.4. Format. See "Magnetic Tape Preparation" section E5.3. and Transmittal Procedures for details.

E5.4.5. File(s). Files must be in "ASCII" format, not "WordPerfect," "Wordstar," etc. If there are multiple lists, each one can be a separate file on the floppy, as opposed to one list for each floppy. Put as many lists as will fit on each floppy before continuing on subsequent floppies.

E5.4.6. If possible, a file transfer download from a mainframe or mini computer to a PC can be done to transfer a list to a floppy. This method is optimal because most data centers have had tape processing in place for many years (with little or no problems) and would eliminate having to process a list under two environments.

E5.5. RECORD ENTRIES

Records shall be fixed length, 72 characters long. Blocked records are preferred for tapes, but this left to the discretion of the submitting DoD Component. Several record types shall be used, as identified by a code in positions 1 and 2 of the record. A detailed description of each record type follows. Actual record formats are shown in attachment E5.A1. (Figure 1, Record Formats).

E5.5.1. Code AA - Record. Used when the submitting DoD Component is unable to provide a standard label tape from IBM mainframe Environment (MVS/VSE/VM). It contains the equivalent of a dataset name that can be checked by the tape-processing program. There shall be no more than one of these records per tape, and it shall appear first on the tape.

E5.5.2. Code 01 - Control Record. Contains the submitting DoD Component's name (DoD reference number "DE-NM") and the count of nominees on the list. The count of nominees must be right justified. If multiple lists are submitted on one tape, there must be a control record for each.

E5.5.3. Code 99 - Message Text Record. Contains the text of the message submitting the nomination, excluding the words "I nominate." If multiple records are required for the full message, each shall contain the record code in positions 1 and 2. No "99" record shall terminate in a partial word.

E5.5.4. Code 88 - Organizational Unit Record. Contains the name of the group within the submitting organization that pertains to the immediately following nominees, such as "Medical Service Corps" or "Chaplain." That field may be used to force subheadings within a single nomination list, such as the "Army Promotion List."

E5.5.5. Code 77 - Position Record. Contains the rank (DoD reference number "GR-AA") or position to which the immediately following names are being nominated, such as major or captain.

E5.5.6. Code 66- Nominee Record. Contains the last name of the nominee in one field, the first name and middle initial in a second field (DoD reference number "NA-RG"), and the suffix "Jr." or "Sr." in a third field. The fourth field, social security number (SSAN) or modular number (last four digits of the SSAN) is optional (DoD reference number "SO-CA").

E5.6. MULTIPLE NOMINATIONS LISTS

A single disk may be used to transmit more than one list of nominations. Tapes should only have one list each.

E5.7. TRANSMITTAL TO THE DEPARTMENT OF DEFENSE

E5.7.1. Floppy disks or magnetic tapes of nomination lists submitted to the

Department of Defense are identified by an external sticker label. Additionally, either an internal tape label or an identification record is required to permit program-controlled tape-checking during processing of tape(s).

E5.7.2. A transmittal document must accompany the tape. The format of that document is left to the submitting DoD Component, but must include at least the following:

E5.7.2.1. The name of the submitting DoD Component.

E5.7.2.2. The number of different nomination lists included on the tape.

E5.7.2.3. The external label information.

E5.7.2.4. The return address or instructions for returning the tape.

E5.8. TAPE AND DISK CONTROL

Tapes and disks submitted to the Department of Defense remain the property of the submitting DoD Component, and shall be promptly returned following their use. While in the possession of the Department of Defense, they shall be monitored by dataset name and serial number and remain under DoD control until the President has approved and signed the hard copy.

Attachments - 1

E5.A1. Actual Record Format

E5.A1. ATTACHMENT 1 TO ENCLOSURE 5

ACTUAL RECORD FORMAT

←----- Positions 1 - 72 -----→

00000000011111111122222222223333333333333333444444444455555555556666666666777
 123456789012345678901234567890123456789012345678901234567890123456789012

TAPE IDENTIFICATION RECORD

AAReserve of the Army Promotions and Appointments

1 3

CONTROL RECORD

	COUNT
01United States Army	000279
1 3	6 6 1 7

MESSAGE TEXT RECORD

99The following named officers for promotion in the Reserve of the

1 3

ORGANIZATIONAL UNIT RECORD

88Army Promotion List

1 3

POSITION RECORD

77Colonel

1 3

NOMINEE RECORD
 LAST NAME

FIRST NAME & MI

SUF. SSN

66Clay	Brent A	Jr 407 44 3985
1 3	3 1	5 6 8 1