



COMDTINST 1410.2
JUL 3 2006

COMMANDANT INSTRUCTION 1410.2

Subj DOCUMENTS VIEWED BY COAST GUARD OFFICER PROMOTION AND
SPECIAL BOARDS

- Ref: (a) Personnel Manual, COMDTINST M1000.6 (series)
(b) Title 14, U.S. Code
(c) Title 10, U.S. Code
(d) Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series)
(e) Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series)

1. **PURPOSE.** This Instruction amplifies current law and policy as to what constitutes an officer's record for the purposes of promotion and special boards convened for officers in the U.S. Coast Guard and the Coast Guard Reserve.
2. **ACTION.** Area and district commanders, commanders of maintenance and logistics commands, sector commands, commanding officers of headquarters units, assistant commandants for directorates, the Judge Advocate General, and special staff offices at Headquarters shall ensure familiarization with the provisions of this directive. Internet release is authorized.
3. **DIRECTIVES AFFECTED.** Coast Guard Active Duty Promotion Boards, COMDTINST 1410.1 is cancelled. The contents of that Instruction have been consolidated here and in reference (a).
4. **BACKGROUND.**
 - a. Coast Guard officers are responsible for their career development and maintenance of their records. Personnel boards are a significant aspect of an officer's career and it is critical that every officer manages the contents of the record and the data in various human resource management systems such as Direct Access.

DISTRIBUTION – SDL No.145

	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A	2	2	2	1	2	2	1	2	1	1	1	1	2	1	1	1	1		1		2					
B	1	8	10*	1	12	12	11	6	6	2	2	3	3	5	1	1	1	6	1	1	2	1	2	1	1	1
C	2	2	2	2	2	1	1	1	1	1	2	2	1	2	1	1	1		2	1	1	1	1	1	1	1
D		1	1	2	1	1	1	1		1	1	1	1	1	1	1	1	1	1	1	1	1	1			1
E	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		1	1	1	1			1	1		
F																	1	1	1							
G																										
H																										

NON-STANDARD DISTRIBUTION: *B:C MLCLANT, MLC PAC (6 extra)

- b. Section 258, reference (b), with respect to officers on the ADPL, and sections 729 and 730, reference (b), with respect to officers on the IDPL, provide for the furnishing of the names and records of officers eligible for promotion to the selection board. Section 576 of reference (c) similarly provides that the records and names of warrant officers on the ADPL who are eligible for promotion be furnished to the selection (promotion) board. The procedures for the promotion of members of the permanent commission teaching staff (PCTS), ensigns on the ADPL, Reserve Program Administrators (RPA), recalled retired regular officers and band director are promulgated under sections 189, 271, 276, 276 and 336 respectively, of reference (b). The procedures for the promotion of Reserve warrant officers on the IDPL are promulgated under section 12242, reference (c).

5. DISCUSSION.

- a. The purpose of a special board governs the scope of information to be provided to the board. The board is provided records relevant to the intended purpose of the board. The opinions of criminal investigators are not usually provided to a special board, but the statement of witnesses upon which those opinions are based should be provided to the board if relevant to the purpose for which the board is convened. This ensures equity throughout the process depending on the goals of the board. Promotion boards tend to be limited to a narrow focus on performance of duties as a commissioned officer. Special boards are far broader, giving the board sufficient information to evaluate the entire officer's career in relation to the decision to be made.
- b. Reference (d) outlines the PDR system which consists of a series of paper documents categorized by type. Additionally, much of this data is being captured within Human Resources (HR) management databases such as Direct Access, with the ultimate end state being that these databases replace the paper forms. Consequently, data displayed within Direct Access and other systems may gather disparate fields of information and display them together. Some of these fields may be permitted for viewing and others may not. This Instruction provides the framework for identifying types of permitted fields and those fields not permitted. These data fields may then be assembled into various formats for presentation before a board to assist in the effectiveness and efficiency of the board's process.
- c. An officer's record consists of documents and data pertaining to all periods of Coast Guard and Coast Guard Reserve service, regardless of breaks in such service.

6. DEFINITIONS.

- a. Identification Data – General: This includes the officer's full name, current rank, current grade, date of current rank, commissioning date, employee identification number, the current unit and current position at that unit. The Social Security Number may only be displayed if it is essential or required to confirm a particular document is associated with the individual.
- b. Paygrade History Data: This includes the paygrade history of an individual to include their rank/grade and the date they were advanced in grade.
- c. Family Data: This includes the dependency status of any officer, elections made for

Servicemen's Group Life Insurance (SGLI), entitlements, contact information, and information relating to spousal/dependent employment.

- d. Personal Demographic Information: This includes an officer's gender, race, ethnicity, religion and age.
 - e. Pay & Service Length Information: This includes data related to entitlements, length of active service (such as active duty base date or pay base date) and time remaining in the service (such as mandatory retirement dates, active duty termination dates, and expected loss dates). This does not include pending voluntary separation requests.
 - f. Award Data: This includes data as to the type of award, date it was awarded, the awarding authority and specific details contained within a citation.
 - g. Assignment History: This includes the units at which the officer has served, the dates of service and the positions in which the officer served.
 - h. Sensitive Assignment Data: This includes rotation date, e-resume contents for assignment purposes (not for applying to programs) and participation in the special needs program.
 - i. Medical Data: This includes readiness data such as dates of recent medical/dental exams, medical duty status, health care treatment history, and medical waivers. This does not include weight data and non-privileged information.
 - j. Weight Data: This includes weight, body fat and associated measurements for determining compliance with the Commandant's Weight Standards.
 - k. Security Clearance Data: This includes the level of security clearance, date of various clearance levels and information provided to obtain a clearance.
 - l. Separation Data: Includes information on previous separations from the Service and approved voluntary separation orders.
 - m. Performance Data: Data related to an officer's performance, currently captured in Officer Evaluation Reports (OERs), administrative remarks, punitive letters, etc.
 - n. Competency/Specialty Data: Data related to particular professional accomplishments or skill sets.
 - o. Education Data: Data related to civilian education currently captured in the Record of Professional Development; includes degrees awarded, and standardized test scores, etc.
7. POLICY. The following outlines portions of the record and matters of record that promotion or special boards may view. If the specific form or data set is not set forth in this Instruction, it shall be masked from view of the members during a particular board.
- a. Unless essential to the purpose of a special board, it is Coast Guard policy that the following data sets shall not be provided to officer promotion boards: Personal Demographic

Information, Sensitive Assignment Data, Medical Data, Security Clearance Data. (Paragraph 6.d, h, i, and k respectively.)

- b. ADPL Promotion Boards. Promotion boards are restricted to record entries made after the officer's original commissioning date and those entries dealing with performance as an officer. All other documents or information from before the commissioning date is masked from view. Documents and data sets permitted to be viewed by ADPL promotion boards are outlined in the attached enclosure. Rules governing communications to the board are set forth in references (a) and (e). Ensign OERs for candidates for promotion to the grade of O-4 and above shall be masked from view of ADPL selection boards.
- c. Ensign and Chief Warrant Officer (CWO) Promotion Boards. These boards shall follow the same rules as ADPL promotion boards. Documents and data sets permitted to be viewed by these promotion boards are outlined in the attached enclosure. Rules governing communications to the board are set forth in references (a) and (e).
- d. IDPL Promotion Boards. IDPL promotion boards have access to the same information as ADPL promotion boards, except that additional documents related to Reserve service are permitted. Documents and data sets permitted to be viewed by IDPL promotion boards are outlined in the attached enclosure. Rules governing communications to the board are set forth in references (a) and (e).
- e. Retired Recall Promotion Boards. Retired Recall promotion boards follow the same rules as ADPL promotion boards. The board shall have available the entire record of commissioned service prior to retirement. Documents and data sets permitted to be viewed by these promotion boards are outlined in the attached enclosure. Rules governing communications to the board are set forth in references (a) and (e).
- f. PCTS, RPA and Band Director Promotion Boards. These boards shall follow the same rules as ADPL promotion boards. Documents and data sets permitted to be viewed by these boards are outlined in the attached enclosure. Rules governing communications to the board are set forth in references (a) and (e). Ensign OERs for PCTS and RPA candidates for promotion to the grade of O-4 and above shall be masked from view of selection boards.
- g. Special Boards. Special boards consider issues unique to a particular circumstance in making special determinations. These determinations include but are not limited to revocation of commission, determination of highest grade held, removal from a promotion list, or reversion to permanent grade. Because of this, there are a variety of concerns unique to these boards in relation to the record before each board:
 - (1) Special boards that are convened to determine if an officer should be removed from a promotion list shall follow the guidelines set forth for ADPL promotion boards. The only

exception is that communications to the board are not restricted in their length and content.

(2) For all other special boards:

- (a) The board may be provided any record relevant to the intended purpose of the board. The opinions of criminal investigators are not usually provided to a special board, but the statement of witnesses upon which those opinions are based should be provided to the board if relevant to the purpose for which the board is convened.
- (b) Communications to the board are not restricted in their length and content.
- (c) All relevant data sets connected to the purpose of the special board should be available. Portions of the data sets masked from view may be made visible as matters of record if they are relevant to the issues that brought about the special board (e.g., a false official statement made on a security clearance document). The officer under consideration may introduce these items through the officer's communication to the board.
- (d) Only those portions of an investigation (criminal, civil, administrative, CG Investigative Service) that are used to establish or demonstrate the existence or nonexistence of facts (e.g., statements of witnesses).

h. The guidelines set forth in this Instruction do not in any way limit the admission of evidence before a court martial, article 15 proceeding, or board of inquiry.

- 8. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this Instruction and have been determined to be not applicable.
- 9. FORMS AVAILABILITY. None.

PAUL J. HIGGINS /s/
Assistant Commandant for Human Resources
Acting

Encl: (1) Documents and Data Sets Permitted to be Viewed by ADPL, IDPL, Ensign, CWO, PCTS, Retired Recall, Band Director, and RPA Promotion Boards

DOCUMENTS AND DATA SETS PERMITTED TO BE VIEWED BY ADPL, IDPL, ENSIGN, CWO, PCTS, RETIRED RECALL, BAND DIRECTOR, AND RPA PROMOTION BOARDS

PDR Documents:

CG-3304	Court Memorandum
CG-3307	Administrative Remarks (Officers)
CG-4082	Record of Professional Development (formerly Officer Education Record)
CG-4175	CG Reserve Annual/Term Point Statement
CG-5311-CG-5317	All Officers Evaluations*
CG-9556	Acceptance of Oath and Office
CG-ADAGR	Active Duty Agreement
CG-ALC	Letter of Alcohol Incident
CG-AWD	Award Citation
CG-CIVC	Report of Civil Conviction
CG-DRG	Letter of Drug Abuse
CG-EDUC	Educational Transcript
CGHQ-2511B CGPPC-1071	Statement of Creditable Service**
CGHQ-4290	Transcript of Sea Service**
CGHQ-4717	Statement of Services
CGL-20YR	Letters for 20 Years of Service
CGL-INTEXT	Letters of Integration/Extension
CGL-LOBG	Letters of Obligating Service
CGL-PUN	Punitive Letters
CGL-REM	Letters for Removal for Cause
CGPPC-1072	Statement of Creditable Sea Service**
CG-REC	Recall Orders
CG-WC	Weight Compliance Letter
DD-214	Certificate of Release/Discharge
DD-215	Correction to DD-214
DD-553	Deserter/Absentee Wanted

* Includes evaluations submitted on forms from other agencies/services if the CG form was not used. For promotion to O-4 or above, Ensign OERs are masked.

** Although documents viewed by an Officer Promotion board address commissioned Coast Guard service, these documents may contain a combined officer/enlisted history (all CG versions viewed).

Matters of Record:

- Voluntary Separation Orders (Retirement, Resignation)
- Communications to the Board
- Reserve Officer Resumes (Note: Used for IDPL Boards only)

Data Sets:

Permitted to Be Viewed	Masked From View
Identification Data, General	Security Clearance Data
Pay Grade History Data	Family Data
Award Data	Personal Demographic Information
Assignment History	Pay & Service Length Information
Weight Data*	Sensitive Assignment Data
Separation Data	Medical Data
Performance Data	
Competency/Specialty Data	
Educational Data	

* Only specific instances of noncompliance and recompliance with CG Standards.

Removed from Previous Instruction:

- CG-4916 Initial Active Duty Form
- CG-5500 Application for Direct Commission
- CGL-APP Letters of Appointment
- CGL-AV Letters of Designation as CG Aviator
- CGL-27 Letters for 27 Point Screening
- CG-GED Results
- DD-2366 Montgomery GI Bill Act of 1984