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NMC Guidance Document No.03-06

From: Commanding Officer, U.S. Coast Guard National Maritime Center
To: Distribution

Subj: BACKGROUND REVIEWS OF APPLICANTS FOR MERCHANT MARINER'S
CREDENTIALS

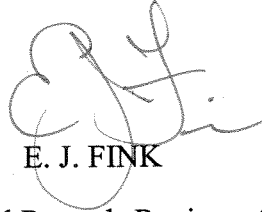
Reference: (a) Federal Register dated January 6, 2004, Coast Guard docket 2003-14500
(b) Federal Register dated January 13, 2006, Coast Guard docket 2004-17455

1. PURPOSE. This guidance document provides information about the application of the rulemakings that appeared in references (a) and (b) concerning the validation of a mariner's vital information as well as determining that the applicant has the character and habits of life to be entrusted with the duties of a credentialed mariner. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is not intended to, nor does it impose, legally-binding requirements on any party.
2. ACTION. Commanding officers of units with a Regional Examination Center should be guided by the instructions included herein and bring this guidance document to the attention of the maritime industry with interests in the marine personnel field. This guidance will be distributed by electronic means only. It is available on the World Wide Web at <http://www.uscg.mil/stcw/index.htm>.
3. DIRECTIVES AFFECTED. NMC Policy Letter 07-03 is superseded and cancelled.
4. DISCUSSION.
 - a. Reference (a) added enhanced requirements for applicants for merchant mariners' documents to provide proof of identity and for a criminal record review to determine that they possess a background suitable for employment as a certificated seafarer. Reference (b) added similar requirements for persons applying for a license or a certificate of registry.
 - b. There are subtle differences between the two sets of regulations. This guidance document provides RECs with a job aid, enclosure (1), to assist them in processing applicants for mariners' credentials. Enclosure (1) sets out the procedures for fingerprinting, identification, and performing criminal record reviews of applicants for mariners' credentials. It was developed to provide REC evaluators a quick reference to determine if an applicant must be fingerprinted, undergo a criminal records review and/or a review of the National Driver Register.

16721

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c. Questions concerning this document or the application of the regulations concerning validation of vital information should be addressed to the NMC at 202-493-1033.



E. J. FINK

Enclosure (1) Job Aid for a Criminal Records Review of an Applicant for a Merchant Mariner's Credential

Distribution: Commandant (G-PSO)
Commandant (G-PCV)
Area Commanders (PPp) (APp)
All District Commanders (p)
All commands with an REC

**JOB AID FOR A CRIMINAL RECORDS REVIEW OF AN APPLICANT FOR
A MERCHANT MARINER'S CREDENTIAL**

<p style="text-align: center;">APPLICANT FOR LICENSE OR CERTIFICATE OF REGISTRY, WITH AN ACCOMPANYING MMD</p>	<p style="text-align: center;">APPLICANT FOR LICENSE OR CERTIFICATE OF REGISTRY ONLY</p>	<p style="text-align: center;">APPLICANT FOR MMD ONLY</p>
<p>1. ACTIONS REQUIRING A REVIEW.</p> <ul style="list-style-type: none"> a. Original issue; b. Renewal; c. Renewal for continuity; d. Raise of grade;^{1,2} e. Endorsement of an MMD when the applicant held the old form of MMD and will be issued a new form;³ and f. Issue of duplicate. 	<p>1. ACTIONS REQUIRING A REVIEW.</p> <ul style="list-style-type: none"> a. Original issue; b. Renewal; c. Renewal for continuity; d. Raise of grade;¹ and e. Issue of duplicate. 	<p>1. ACTIONS REQUIRING A REVIEW.</p> <ul style="list-style-type: none"> a. Original issue; b. Renewal; c. Renewal for continuity; d. Raise of grade;² e. Endorsement when the applicant held the old form of MMD and will be issued a new form³; and f. Issue of duplicate.
<p>2. CRIMINAL RECORDS REVIEW.</p> <p>An applicant for any of the transactions listed in item 1 must be submitted for a criminal records review unless the applicant was screened based on fingerprints taken by the Coast Guard and completed within 12 months of the receipt date of the new application. If the applicant admits to convictions in the 12-month period, screening is required.</p> <p>Screening is not required for renewal, issue of a duplicate, or raise in grade of a license when the application was received prior to 13 January 2006 and is still an open, valid application.</p>	<p>2. CRIMINAL RECORDS REVIEW.</p> <p>An applicant for any of the transactions listed in item 1 must be submitted for a criminal records review unless the applicant was screened based on fingerprints taken by the Coast Guard and completed within 12 months of the receipt date of the new application. If the applicant admits to convictions in the 12-month period, screening is required.</p> <p>Screening is not required for renewal, issue of a duplicate, or raise in grade of a license when the application was received prior to 13 January 2006 and is still an open, valid application.</p>	<p>2. CRIMINAL RECORDS REVIEW AND SAFETY AND SECURITY CHECK. An applicant for any of the transactions listed in item 1 may be required to undergo a criminal records review and a safety and security check.</p> <p>Screening is not required if the applicant was screened based on fingerprints taken by the Coast Guard and completed within 12 months of the receipt date of the new application. If the applicant admits to convictions in the 12-month period, screening is required.</p>

<p align="center">APPLICANT FOR LICENSE OR CERTIFICATE OF REGISTRY, WITH AN ACCOMPANYING MMD</p>	<p align="center">APPLICANT FOR LICENSE OR CERTIFICATE OF REGISTRY ONLY</p>	<p align="center">APPLICANT FOR MMD ONLY</p>
<p>3. FINGERPRINTS. Fingerprinting is required for each of the above transactions if the applicant must be screened. If fingerprints are unobtainable (i.e. scarring etc.) applicant may complete and sign SF 86 page 10. Fingerprinting should be attempted at each transaction where required and a new SF-86 signed only when the prints are not obtained.</p>	<p>3. FINGERPRINTS. Fingerprinting is required for each of the above transactions if the applicant must be screened. If fingerprints are unobtainable (i.e. scarring etc.) applicant may complete and sign SF 86 page 10. Fingerprinting should be attempted at each transaction where required and a new SF-86 signed only when the prints are not obtained.</p>	<p>3. FINGERPRINTS. Fingerprinting is required for each of the above transactions if the applicant must be screened. If fingerprints are unobtainable (i.e. scarring etc.) applicant may complete and sign SF 86 page 10. Fingerprinting should be attempted at each transaction where required and a new SF-86 signed only when the prints are not obtained.</p>
<p>4. DUAL PROCESS. An applicant who is applying for a license or certificate of registry and an MMD need be fingerprinted once and undergo only one criminal records check, safety and security check and review of the National Driver Register.</p>	<p>4. DUAL PROCESS. Does not apply.</p>	<p>4. DUAL PROCESS. Does not apply.</p>
<p>5. IDENTIFICATION. An applicant must provide to the REC or USCG authorized designee evidence of identity at each application. Copies of documents previously submitted, even if on file at the REC, are not acceptable.</p>	<p>5. IDENTIFICATION. An applicant must provide to the REC or USCG authorized designee evidence of identity at each application. Copies of documents previously submitted, even if on file at the REC, are not acceptable.</p>	<p>5. IDENTIFICATION. An applicant must provide to the REC or USCG authorized designee evidence of identity at each application. Copies of documents previously submitted, even if on file at the REC, are not acceptable.</p>
<p>6. NATIONAL DRIVER REGISTER. The name and unique identifiers (DOB, SSN) of an applicant for any credential that will be issued with a new expiration date must be submitted to the National Driver Register for review.</p>	<p>6. NATIONAL DRIVER REGISTER. The name and unique identifiers (DOB, SSN) of an applicant for any credential that will be issued with a new expiration date must be submitted to the National Driver Register for review.</p>	<p>6. NATIONAL DRIVER REGISTER. The name and unique identifiers (DOB, SSN) of an applicant for any credential that will be issued with a new expiration date must be submitted to the National Driver Register for review.</p>

APPLICANT FOR LICENSE OR CERTIFICATE OF REGISTRY, WITH AN ACCOMPANYING MMD	APPLICANT FOR LICENSE OR CERTIFICATE OF REGISTRY ONLY	APPLICANT FOR MMD ONLY
<p>7. OATHS. If required, an oath must be administered using the guidance in NMC Policy Letter 05-02. Oaths should be administered at the same time as the fingerprinting and/or identification process.</p>	<p>7. OATHS. If required, an oath must be administered using the guidance in NMC Policy Letter 05-02. Oaths should be administered at the same time as the fingerprinting and/or identification process.</p>	<p>7. OATHS. If required, an oath must be administered using the guidance in NMC Policy Letter 05-02. Oaths should be administered at the same time as the fingerprinting and/or identification process.</p>
<p>8. NON-CITIZENS. With the exception of OUPV less than five net tons, only US citizens may receive a license or COR. Only applicants who are citizens or who have been lawfully admitted to the US for permanent residence may apply for a MMD (exception: foreign cadets attending USMMA).</p>	<p>8. NON-CITIZENS. With exception of OUPV less than five net tons, only US citizens may receive a license or COR. OUPV applicants may complete the identity process by presenting a passport, driver's license, national ID card or other ID card issued by a national, regional, or local government, or birth certificate with a raised seal of the issuing agency.</p>	<p>8. NON-CITIZENS. Only applicants who are citizens or who have been lawfully admitted to the US for permanent residence may apply for a MMD (exception: foreign cadets attending USMMA).</p>
<p>9. DECISION AUTHORITY. NMC will make recommendations to the REC's to submit to the OCMI who will make the final decision.</p>	<p>9. DECISION AUTHORITY. NMC will make recommendations to the REC's to submit to the OCMI who will make the final decision.</p>	<p>9. DECISION AUTHORITY. NMC will make recommendations to the REC's to submit to the OCMI who will make the final decision.</p>

1. Raise of grade for a license means an increase in the level of authority and responsibility and requires issuance of a new license with a new five-year expiration date.
2. Raise of grade for an MMD means an increase in the level of authority and responsibility of the ratings on an existing MMD. These transactions include a physical examination, drug test, proof of sea service, and proof of professional competence. They result in the issuance of an MMD with a new five-year expiration date.
3. Endorsement is a transaction that does not include the requirement for a physical examination and drug testing. The expiration date of the credential does not change.