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# PERSONNEL ACTIONS FOR THE UNITED STATES COAST GUARD

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## I. Purpose

This directive establishes the Department of Homeland Security (DHS) policy regarding Coast Guard officer personnel actions that require the Secretary's approval. These include appointments (commissions, promotions, and designations), resignations, retirements, revoking or vacating commissions, removals from the promotion list, involuntary separations, and other significant personnel actions effecting Coast Guard Regular and Reserve officers.

## II. Scope

This directive applies to the United States Coast Guard.

## III. Authorities

- A. Title 3, U. S. Code, Chapter 4 (Delegation of Functions)
- B. Title 10, U. S. Code, Chapter 37 (General Service Requirements)
- C. Title 10, U. S. Code, Chapter 41 (Special Appointments, Assignments, Details, and Duties)
- D. Title 10, U. S. Code, Chapter 61 (Retirement or Separation for Physical Disability)
- E. Title 10, U. S. Code, Chapter 1205 (Appointment of Reserve Officers)
- F. Title 10, U. S. Code, Chapter 1209 (Active Duty)
- G. Title 14, U. S. Code, Chapter 3 (Composition and Organization)
- H. Title 14, U. S. Code, Chapter 9 (Coast Guard Academy)
- I. Title 14, U. S. Code, Chapter 11 (Personnel)
- J. Title 14, U. S. Code, Chapter 21 (Coast Guard Reserve)

K. The Homeland Security Act of 2002, codified in Title 6, US Code

## **IV. Definitions**

A. None

## **V. Responsibilities**

The Commandant of the Coast Guard shall ensure compliance with all applicable regulations and policies. The Commandant is responsible for providing guidance to properly execute the above authorities.

## **VI. Policy & Procedures**

A. For the President, the Secretary, by law, retains the authority and responsibility to appoint officers and to approve officer resignations in the Coast Guard and Coast Guard Reserve.

B. The Secretary delegates certain authorities prescribed in Titles 10 and 14, U. S. Code, to the Commandant of the United States Coast Guard. The following officer personnel management responsibilities are delegated:

1. Retention in a reserve status for an initial period (10 U.S.C. 651)
2. Recalling Reserve officers to extended active duty (10 U.S.C. 12311)
3. Maintaining the active duty promotion list of officers (14 U.S.C. 41a)
4. Conducting an annual count of officers on the active duty promotion list (14 U.S.C. 42)
5. Retention of Coast Guard Academy graduates to complete their obligated commissioned service (14 U.S.C. 182)
6. Convening selection/promotion boards for Regular officers
7. (14 U.S.C. 251)
8. Establishing the promotion zones (14 U.S.C. 256)
9. Delays of promotion (14 U.S.C. 271)
10. Convening a lieutenant continuation board (14 U.S.C. 283)

11. Rear admiral continuation (14 U.S.C. 290)
12. Voluntary retirements (14 U.S.C. 291)
13. Separating regular Coast Guard officers for cause (14 U.S.C. 326)
14. Eligibility for severance benefits (14 U.S.C. 327)
15. Assigning running mates to Reserve officers (14 U.S.C. 726)
16. Convening selection/promotion boards for Reserve officers
17. (14 U.S.C. 729)

C. The Secretary approves personnel actions that may impact the national security of the United States, such as executing Title 10 recall of Reservists on behalf of the President in times of national emergency.

D. The Commandant has established applicable procedures concerning personnel actions in COMDTINST M1000.6 (series), Coast Guard Personnel Manual.

E. Timely processing of these personnel actions is important to ensure proper pay and benefits are provided to Coast Guard officer personnel when due. Accordingly, each review level will process the documents quickly.

F. Correspondence is sent from the Commandant to the office of the Executive Secretariat, Department of Homeland Security, via the following procedures:

1. The Chief Executive Secretariat for the Commandant packages the letter with a note recommending the appropriate action for the Secretary.
2. A courier hand carries the package to the Executive Secretariat, Department of Homeland Security.
3. The DHS Executive Secretariat follows its own procedures for review and approval by the Secretary. Upon completion, the Executive Secretariat contacts the Chief Executive Secretariat for the Commandant to pick up the package.
4. The Coast Guard will track the package in its further processing through the White House Military Office to the Senate, and its return to the Coast Guard after Senate action.

G. Attached is a list of correspondence that is typically submitted to the Secretary for approval.

H. **Questions or Concerns Regarding the Process**: Any questions or concerns regarding this directive should be addressed to the Assistant Commandant for Human Resources.

## **CORRESPONDENCE TYPICALLY SUBMITTED TO THE SECRETARY FOR APPROVAL**

Chief Warrant Officer Appointments (Title 10 USC, Section 571)

Does not go on to the Senate or the White House

Frequency: 1 per year on average

Chief Warrant Officer Promotions (Title 10 USC, Section 578)

Does not go on to the Senate or the White House

Frequency: 2 per year on average

Interservice Transfers (Title 10 USC, Section 716)

Does not go on to the Senate or the White House

Frequency: 5 to 8 per year on average

Selective Reserve Direct Commissioning (Title 10 USC, Section 12201)

Does not go on to the Senate or the White House

Frequency: 1 per year

Direct Commissioning of Officers via the Recruiting Command (Title 10 USC, Section 12201)

Does not go on to the Senate or the White House

Frequency: 4 to 5 per year

Acceptance of Resignations of Reserve Officers (Title 10 USC, Section 12203)

Does not go on to the Senate or the White House

Frequency: Quarterly

Reserve Program Administrators (Title 10 USC, Section 12203)

Does not go on to the Senate or the White House except for Captain or above

Frequency: 1 per year (approximately October)

Reserve Physician Assistants Appointees (Title 10 USC, Section 12203)

Does not go on to the Senate or the White House

Frequency: 1 to 4 per year

Temporary Disability Retirement Returnee for Reserve Officers (Title 10 USC, Section 12203)

Goes to the Senate via the White House for all officers at or above the grade of Commander

Frequency: 1 per year

Commandant Nomination (Title 14 USC, Section 44)

Goes to the Senate via the White House

Frequency: 4-year increments unless circumstances arise (i.e., retirement)

Notification of Retirement of Commandant (Title 14 USC, Section 46)

Does not go on to the Senate or the White House

Frequency: usually at 4-year increments in February

Vice Commandant Nomination (Title 14 USC, Section 47)

Goes to the Senate via the White House

Frequency: normally 2-year increments

Pacific & Atlantic Area Commander Nominations (Title 14 USC, Section 50)

Goes to the Senate via the White House

Frequency: normally 2-year increments

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### Chief of Staff Nomination (Title 14 USC, Section 50a)

Goes to the Senate via the White House

Frequency: normally 2-year increments

### Determination of Retired Grade for Vice Admirals (Title 14 USC, Section 51)

Does not go on to the Senate or the White House

Frequency: Annually, change of Commandant, or voluntary retirement of Vice Admirals

### Director of the Coast Guard Reserve (Title 14 USC, Section 53)

Goes to the Senate via the White House

Frequency: normally 2-year increments

### Permanent Commissioned Teaching Staff Appointment; Promotions (Title 14 USC, Section 188)

Goes to the Senate via the White House

Frequency: As vacancies occur

### Acceptance of Resignations of Regular Officers (Title 14 USC, Section 211)

Does not go on to the Senate or the White House

Frequency: Quarterly

### Care of Newborn Children Returnees (Title 14 USC, Section 211)

Goes to the Senate via the White House

Frequency: 1 per year

### United States Coast Guard Academy Graduates (Title 14 USC, Section 211)

Goes to the Senate via the White House

Frequency: 1 per year (approximately January)

### Integration of Reserve and Temporary Officers to Permanent Status (Title 14 USC, Section 211)

Goes to the Senate via the White House

Frequency: 1 per year (approximately November)

### Temporary Separation Returnees (Title 14 USC, Section 211)

Goes to the Senate via the White House

Frequency: 1 to 2 per year

### Temporary Disability Retirement Returnee (Title 14 USC, Section 211)

Goes to the Senate via the White House for all Regular officers

Frequency: 1 per year

### Temporary Appointments: Chief Warrant Officer to Lieutenant and Physicians Assistant Programs (Title 14 USC, Section 214)

Does not go on to the Senate or the White House

Frequency: 2 per year

### Promotion Board Reports (Title 14 USC, Section 261)

Does not go on to the Senate or the White House

Frequency: Several - at the completion of O-2 through O-7 and Chief Warrant Officer Appointment, Chief Warrant Officer Selection, and Reserve Program Administrator (RPA) boards throughout the promotion year (1 July to 31 June)

## ATTACHMENT 1

### Promotions: Appointments (Title 14 USC, Section 271)

Lieutenant Commander up to, and including, rear admiral promotions go to the Senate via the White House

Lieutenant (junior grade) and lieutenant promotions do not go to the Senate or the White House

Frequency: 7 per year

### Removal from Promotion Listing (Title 14 USC, Section 272)

Does not go on to the Senate or the White House

Frequency: 1 to 2 per year

### Retirement of Rear Admirals (Title 14 USC, Section 290)

Does not go on to the Senate or the White House

Frequency: Approximately 3 to 6 per year

### Commissioning Appointments for Officer Candidate School Graduates (Title 14 USC, Section 412 & Title 10 USC, Section 12203)

Does not go on to the Senate or the White House

Frequency: 4 per year

### Reserve Officer Promotion Board Reports (Title 14 USC, Section 730)

Does not go on to the Senate or the White House

Frequency: Several - at the completion of O-2 through O-7 and Chief Warrant Officer Appointment, and Chief Warrant Officer Selection boards throughout the promotion year (1 July to 31 June)