DEPARTMENT OF THE NAVY
OFFICE OF THE JUDGE ADVOCATE GENERAL
200 STOVALL STREET
ALEXANDRIA, VA 22332-2400

CH-1, CH-2, AND CH-3 INCORPORATED

IN REPLY REFER TO
JAGINST 5800.7C
JAG 133
3 OCT 90

JAG INSTRUCTION 5800.7C

From: Judge Advocate General

Subj: MANUAL OF THE JUDGE ADVOCATE GENERAL (JAGMAN)

Ref: (a) 5 U.S.C. § 301
(b) 10 U.S.C. §§ 801-940
(c) Manual for Courts-Martial, United States, 1984 (MCM)

Encl: (1) Manual of the Judge Advocate General
(2) Summary of Significant Revisions

1. Purpose. To promulgate the Manual of the Judge Advocate General contained in enclosure (1) as authorized by the Secretary of the Navy.

2. Cancellation. JAG Instruction 5800.7B of 1 July 1978 is hereby cancelled; provided, however, that all those provisions contained in Chapter I of JAG Instruction 5800.7B and not contained in Chapter I of JAG Instruction 5800.7C shall continue in full force and effect until JAG Instruction 5810.2, Military Justice Regulations, is signed.

3. Scope. The JAGMAN contains regulations for the Department of the Navy that are issued under the authority of references (a) through (c) and other statutes and regulations. It is a complete revision of the previous JAGMAN and should be read in its entirety. Portions of the previous JAGMAN have been incorporated in separate JAG instructions with a limited distribution list. Enclosure (2) is a summary of revisions, including a side-by-side comparison of chapters and sections with the previous JAGMAN. Major highlights include:

a. Reduced the number of chapters from 21 to 14 and added three new chapters on release of Government information, international law, and environmental protection.

b. Updated, reorganized, and modified Chapter I to comport with recent case law, to provide guidance regarding jurisdiction over reservists, to provide guidance on the exercise of court-martial jurisdiction after civilian trial, and to eliminate subject areas already adequately covered in the MCM or superseded by other instructions.

c. Streamlined the procedures and guidance for conducting administrative fact-finding investigations and consolidated the investigations chapters from six to one. New guidance has been included regarding the conduct of investigations of major incidents.

d. Authorized field commands to retain set off authority for claims under Article 139 Investigations for $5,000.00 or less and eliminated the need to conduct a formal inquiry and provide the rights of a party to servicemembers accused of wrongful conduct.

0693LD0551450

e. Consolidated and reorganized the old chapters on claims into a single, comprehensive chapter.

f. Developed new appendices for Chapter III, Article 138 Investigations, setting forth the form of the complaint, a suggested Privacy Act statement, and suggested letters.

4. Availability

a. Printed Form. Order using DD Form 1348 (MILSTRIP), citing stock number 0693-LD-055-1450, through Commanding Officer, Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, PA 19120-5099, commercial (251) 697-3217, AUTOVON 442-3217. Requisitions may be submitted via AUTODIN, DAMES, MILSTRIP message to DAAS or to the NPFC Bulletin Board at (215) 697-0186.

b. Disk Form. A two-disk version of the new JAGMAN in WORDPERFECT 5.0 word processing format is available through your local Naval Legal Service Office or the Office of the Judge Advocate General. Local copying and redistribution of these disks are both authorized and encouraged. Contact the Office of the Judge Advocate General (Administrative Operations Branch), commercial (202) 325-0733, AUTOVON 221-0733, for additional information concerning disk availability. Contact the Office of the Judge Advocate General (Information Systems Branch), commercial (202) 325-2924, AUTOVON 221-2924 for technical assistance.

c. Distribution List Changes. Submit changes in writing to the appropriate address below. Requests for an increase in quantity should include the command unit identification code (UIC) and be accompanied by a justification statement setting forth the reason(s) additional copies are required.

Navy activities:	Office of the Judge Advocate General (Code 64.41A) Department of the Navy 200 Stovall Street Alexandria, VA 22332-2400
Marine Corps activities:	Commandant of the Marine Corps (Code AREB) Headquarters Marine Corps Washington, DC 20380-0001

5. Action. The JAGMAN is effective as of the date of this Instruction. Recommended changes should be forwarded to the Office of the Judge Advocate General (Code 133), Department of the Navy, 200 Stovall Street, Alexandria, VA 22332-2400.

E. D. STUMBAUGH

DISTRIBUTION:
JAG Special MCM/JAG List

MANUAL

OF THE

JUDGE ADVOCATE GENERAL

Office of the Judge Advocate General
Department of the Navy
200 Stovall Street
Alexandria, VA 22332-2400

MANUAL OF THE JUDGE ADVOCATE GENERAL

RECORD OF CHANGES

Changes are received and entered will be recorded in the spaces provided below.

Change Number	Date of Change	Date Received	Date Entered	Signature of person entering change

Change Number	Date of Change	Date Received	Date Entered	Signature of person entering change

SUMMARY OF JAG MANUAL CHANGES

1. Section 0107a(1). Affirms that detachments placed under the operational control of commands other than their parent unit, by virtue of operational orders, are "of the command" of both organizations for nonjudicial punishment purposes.

2. Section 0114f(3)(D). Makes discretionary the notation of punitive letters issued as nonjudicial punishment in a member's fitness report or evaluation.

3. Section 0117b. Authorizes the Marine GCM authority geographically nearest, and senior to the officer imposing nonjudicial punishment, to act on an appeal when it is impracticable for the appeal to be forwarded to the next senior operational commander.

4. Section 0126c. Expands the options available to national security case convening authorities and eliminates a jurisdictional issue by clearly allowing less important cases to be returned to subordinate convening authorities when appropriate.

5. Sections 0131 and 0132. Clarifies the forwarding and decisional process for determining IMC availability. The changes expressly authorize a requested counsel's commander to determine the existence of a bona fide attorney-client relationship prior to considering whether the requested attorney would be reasonably available, and also more clearly define the term "attorney-client relationship."

6. Section 0142. Clarifies the guidance relating to the release of information pertaining to accused persons and conforms this section to the applicable provisions of JAGINST 5803.1A, Rules of Professional Responsibility for Attorneys Practicing Under the Supervision of the Judge Advocate General.

7. Section 0151a(4). Eliminates the inclusion of extra-judicial matter in the convening authority's action in cases involving convictions of larceny or other offenses of moral turpitude where the sentence includes a punitive discharge.

8. Section 0151b(2). Authorizes any Marine GCM authority to take action on the record when it is impracticable for the original convening authority to do so.

9. Section 0151c. Defines an "award" for the purpose of R.C.M. 1106(d)(3)(B).

10. Section 0152b. Eliminates the requirement for a brief synopsis of the accused's current conduct record in the convening authority's action.

11. Section 0155e(1). Provides more guidance regarding the

routing of promulgating orders.

12. Section 0159a. Modifies the definition of national security case.

13. Section 0160. Provides more guidance regarding the notice to be given upon vacation of suspended courts-martial sentences. It also reminds convening authorities that punitive discharges cannot be executed while the case is undergoing appellate review.

14. Appendix A-1-a. Removes the "Via" line from the sample non-punitive letter of caution.

15. Section 0224a(1). Allows line of duty/misconduct determinations for injuries resulting from enemy action to be made by entries in health or dental records.

16. Section 0303b. Changes "Article 1106" to "Article 1150."

17. Appendix A-3-b. Changes "Chapter XI" to "Chapter III" in reference (b) of the appendix.

18. Section 0405d. Changes the word "then" to "than" in the second sentence.

19. Section 506b. Changes the word "Paragraph" to "Section" in the last sentence.

20. Section 528b. Changes "Article 138/1106" to "Article 138/1150" everywhere it appears in the section.

21. Appendix A-5-a. Changes the telephone numbers for the points of contact.

22. Section 616b(3). Deletes "sections 2021(a)-(b) and 2032" and adds "see section 0807 and JAGINST 5890.1" in the third line of the section.

23. Section 632d. Removes the "1" before the word "Legal" in the third line of the section.

24. Sections 0902 and 0903. Conforms the JAG Manual sections on Federal Authority to Administer Oaths and Perform Notarial Acts to revised federal statutes.

25. Appendices A-9-a and A-9-b. Conforms the appendices relating to acknowledgements and sworn statements to revised federal statutes.

SUMMARY OF SUBSTANTIVE JAG MANUAL CHANGES

1. Section 0106d. Permits multiservice commanders and officers in charge to impose nonjudicial punishment upon members of the naval service.

2. Section 0109e(1). Adds the requirement that service record entries documenting nonjudicial punishment reflect that the accused was advised that acceptance of nonjudicial punishment does not preclude further adverse administrative action.

3. Section 0113c. Clarifies that the imposition of a punitive letter may not be suspended.

4. Section 0117c. Describes the method by which an appeal may be taken from nonjudicial punishment imposed within multiservice commands and units.

5. Section 0120a(2). Updates list of additional convening authorities authorized to convene general courts-martial pursuant to specific SECNAV grant of authority.

6. Section 0131c and 0131d. Clarifies the guidance relating to the contents of a request for individual military counsel (IMC) and the convening authority's ability to deny requests for IMC.

7. Section 0139b. Incorporates Department of Justice (DOJ) requirements for requests for Attorney General approval prior to issuance of grant of immunity. Adds the requirements that such requests include the witness' social security number and a statement reflecting the intent of local prosecutors regarding the witness.

8. Section 0150d. Requires a report of summary court-martial be attached to the record of trial. Provides guidance on the contents of the report.

(Chapter II - Investigations. This chapter completely revises the manner in which JAGMAN investigations are conducted, reviewed, and filed. Commands should review the chapter in its entirety. Highlights of the changes are listed from 9-28 below.)

9. Section 0202. Sets forth the general principles governing the new chapter II. In addition, addresses the relation of JAGMAN investigations to other investigations.

10. Section 0204. Establishes the preliminary inquiry as a tool to be used for all incidents warranting an investigation, to determine whether additional investigation is necessary.

11. Section 0205. Sets forth options for commands to use in investigating incidents based on the primary manner in which the investigation will be used. Establishes three new types of investigations.

12. Section 0206. Emphasizes seeking the advice of counsel regarding how a particular type of investigation should be investigated.

13. Section 0209. Type one: command investigations. These investigations examine incidents of primary interest to the command, need not be forwarded if of no interest outside the convening authority's command, are forwarded to a GCM convening authority but not necessarily any further, are conducted like traditional "informal" JAGMAN investigations, and are maintained by the final reviewing authority rather than JAG.

14. Section 0210. Type two: litigation-report investigations. These investigations document matters of primarily legal interest, such as claims, are conducted under the supervision of a judge advocate to preserve their confidentiality in litigation, and are forwarded to JAG.

15. Section 0211. Type three: courts and boards of inquiry. These investigations are used to investigate major incidents similar to current practice, but are no longer forwarded beyond the Echelon II level.

16. Section 0220. Sets forth the release authority for each of the three types of investigations.

17. Section 0221. Establishes when a line of duty/misconduct determination is required.

18. Section 0223. Adds the requirement that any injury incurred during a period of unauthorized absence requiring a line of duty/misconduct determination must be the subject of a command investigation.

19. Section 0224. Emphasizes the presumption that an injury or disease suffered by a member of the naval service is presumed to be in the line of duty and not as a result of misconduct.

20. Section 0230. Requires a preliminary inquiry for each injury or disease requiring a line of duty/misconduct determination. Eliminates the use of NAVJAG 5800/15 to record line of duty/misconduct determinations, relying instead on medical record entries and the presumption that injuries or diseases suffered by members of the naval service are incurred in the line of duty and not as a result of misconduct unless otherwise documented. Lists the circumstances under which a command investigation must be convened.

21. Section 0233. Adds a specific checklist for line of duty/misconduct investigations.

22. Section 0235. Deletes the requirement of convening an investigation when the death of a service member occurs at a location in the United States but not under military control, while the member was off duty, and the circumstances of the death have no discernable nexus to the naval service. Establishes a limited investigation to document these types of cases.

23. Section 0242. Incorporates the use of the new types of investigations under chapter II in the specific section relating to aircraft accidents. Clarifies the relationship between safety and JAGMAN investigations. Sets forth required facts and opinions.

24. Section 0243. Clarifies when motor vehicle accidents must be investigated and incorporates the use of the new types of investigations. Expands the checklist for this type of incident.

25. Section 0244. Adds a section similar to the section on aircraft accidents for shipboard and submarine accidents. Incorporates the use of the new types of investigations. Clarifies the relationship between safety and JAGMAN investigations.

26. Section 0251. Sets forth the requirement to use a litigation-report type investigation when documentation of the facts in anticipation of a claim is the primary purpose of the investigation. Encourages the CA to consult a judge advocate regarding the type of investigation to convene when a claim for or against the Government is possible. Sets forth a specific checklist of required facts and opinions.

27. Section 0252. Adds a section on health care incidents and when such incidents require an investigation. Sets forth the relationship between JAGMAN and quality assurance investigations. Provides a specific checklist of required facts and opinions.

28. Section 0253. Expands the section on reservists.

29. Section 0505c(3). Modifies the JAG Manual to conform with procedures found in SECNAVINST 5720.42E for processing FOIA requests for courts-martial records of trial.

30. Section 0505c(4). Sets forth the release authorities for specific types of investigations.

31. Section 0505d(1). Adds the requirement found in SECNAVINST 5720.42E that an Initial Denial Authority (IDA) sign formal extension letters.

32. Section 0506b(1). Removes an incorrect statement of law.

33. Section 0509. Provides additional guidance on the releasability of results of nonjudicial punishment to the public. Gives commands the option of neither confirming nor denying the existence of some NJP records on a named individual.

34. Section 0510e. Provides additional guidance regarding the procedures to be used for a partial or total denial of a FOIA request.

35. Section 0515b. Emphasizes only living persons have rights under the Privacy Act.

36. Section 0517b. Conforms identification procedures to SECNAVINST 5211.5D and current case law.

37. Section 0517e. Clarifies general access policy under the Privacy Act.

38. Section 0524a. Rewrites and simplifies the paragraph's language without changing content.

39. Section 0525a. Clarifies who may release information when litigation is expected.

40. Section 0525b. Narrows release authority to conform with SECNAVINST 5820.8A.

41. Section 0525c. Cites additional reference for JAG authority.

42. Section 0528a. Directs reader to appropriate authority for procedural guidance.

43. Section 0528b. Changes paragraph to conform with the requirements of SECNAVINST 5720.42E and SECNAVINST 5820.8A.

44. Section 0528b(1). Sets forth the release authorities for specific types of investigations.

45. Section 0528b(2). Eliminates inconsistencies with SECNAVINST 5720.42E for processing requests for courts-martial records of trial.

46. Section 0528c. Identifies the local release authority for affirmative claims files.

47. Section 0902. Authorizes limited duty officers (law) and certain enlisted legalmen (USN) to administer oaths and perform notarial acts in accordance with existing statutes. Authorizes certain enlisted legal services specialists (USMC) to perform notarial acts in accordance with existing statute.

48. Section 0905. Cites additional authority for notarial acts.

49. Section 0908. Clarifies statement of law.

50. Section 0910. Updates the summary of state law authorization for acknowledgements and sworn statements.

51. Section 1002b(1). Changes to reflect current U.S. policy of not deploying nuclear weapons overseas.

52. Section 1003b(4)(d). Reflects current policy that some NATO Standardization Agreements are considered international agreements.

53. Section 1003c. Recognizes all DON approval authorities for negotiating and concluding international agreements.

54. Section 1003c(1)(c). Requires additional information when requesting authority to negotiate international agreement.

55. Section 1003c(2). Emphasizes requirement of prior consultation with Department of State before concluding an international agreement.

56. Section 1004b(1). Recognizes that international organizations may receive transfers of defense articles or services.

57. Section 1004b(2). Provides further guidance on the statutory requirements for the transfer of defense articles or services.

58. Section 1004c. Rewrites and expands the discussion on what constitutes security assistance.

59. Section 1007a. Clarifies that this section pertains to foreign litigation arising from overseas operations.

60. Sections 1008d(2) and 1008d(3). Deletes reference to "humanitarian parole" status which has been eliminated by the Immigration and Naturalization Service (INS). Reflects current INS policy.

61. Section 1106a(1)(b). Changes to reflect current Customs regulation.

62. Section 1106c(2). Changes to reflect current Customs regulation.

63. Section 1106c(3)(b). Changes to reflect current Customs regulation.

64. Section 1106c(4). Changes to reflect current Customs regulation.

65. Section 1111. Changes to reflect current Customs regulation.

66. Section 1113a. Changes to reflect current Foreign Assets Control Regulations.

67. Appendix A-1-c. Amends "Notification and Election of Rights" form to advise accused that acceptance of nonjudicial punishment will not preclude further adverse administrative action.

68. Appendix A-1-d. Amends "Notification and Election of Rights" form to advise accused that acceptance of nonjudicial punishment will not preclude further adverse administrative action.

69. Appendices A-1-i(1) and A-1-i(2). Clarifies the language used in grants of immunity and cites the authority under which convening authorities grant immunity.

70. Appendix A-1-i(4). Complies with Privacy Act requirements by providing court-martial witnesses for whom a grant of immunity is to be requested with notification of the purposes and uses of information collected about them.

71. Appendix A-1-p. Establishes a format for the report of summary court-martial required by section 0150d.

72. Appendix A-2-a. Provides definitions of key words and phrases contained in the chapter.

73. Appendix A-2-b. Provides definitions and rights of parties.

74. Appendix A-2-c. Provides a sample convening order and report format for a command investigation.

75. Appendix A-2-d. Provides a sample appointing order and report format for a litigation-report investigation.

76. Appendix A-2-f. Revises the sample Privacy Act record of disclosure form.

77. Appendix A-2-g. Provides a sample warning advisement about statements regarding origin of disease or injury.

78. Appendix A-2-h. Provides sample documentation of a preliminary inquiry.

SUMMARY OF SIGNIFICANT REVISIONS

CHAPTER 1
REGULATIONS IMPLEMENTING AND SUPPLEMENTING THE MANUAL FOR COURTS-MARTIAL

	New Sections	Former Sections
1.	§ 0101	The introductory scope section is new.
2.	§ 0102	This section is based on former § 0111a.
3.	§ 0103	This section is based on former § 0111b.
4.	§ 0104	This section is based on former § 0111c.
5.	§ 0105	This section replaces portions of former § 0106 on nonpunitive censure. It has been rewritten to clarify the different types of censure authorized.
6.	§ 0106	This section is based on former § 0101.
7.	§ 0107	This section is based on former § 0102.
8.	§ 0108	This section is based on former § 0103.
9.	§ 0109	This section is based on former § 0104a.
10.	§ 0110	This section is based on former § 0104b.
11.	§ 0111	This section is based on former § 0105a.
12.	§ 0112	This section was part of a change to regulations concerning UCMJ jurisdiction over reserve component personnel approved by the Secretary of the Navy on 28 February 1989 (hereafter cited as "1989 RCP Amendment").
13.	§ 0113	This section is based on former § 0105b.
14.	§ 0114	This section replaces the portion of former § 0106 dealing with punitive censure.
15.	§ 0115	This section is based on former § 0107.
16.	§ 0116	This section is based on former § 0108.
17.	§ 0117	This section is based on former § 0109.
18.	§ 0118	This section is based on former § 0110.
19.	§ 0119	This section is based on former § 0112.
20.	§ 0120	This section is based on former § 1115a. Commander, Naval Reserve Force, Commander, Naval, Surface Reserve Force, and Commander, Naval Air Reserve Force were designated general court-martial convening authorities in the 1989 RCP Amendment. Included as GCMA's officers whose nomination to flag or general officer

New Sections	Former Sections	
		rank has been confirmed by the Senate and serves in a flag or general officer billet or is the immediate temporary successor in command of such as officer. Commanders, commanding officers, and officers in charge of inactive duty training units were designated summary court-martial convening authorities in the 1989 RCP Amendment.
21.	§ 0121	This section is based on former § 0115b.
22.	§ 0122	This section is based on former § 0116a-b
23.	§ 0123	This section is based on former § 0116c, as amended by the 1989 RCP Amendment.
24.	§ 0124	This section is based on former § 0116d. Clarifies when military charges may be referred to court-martial or be the subject of nonjudicial punishment proceedings after a member has been tried in State or foreign court.
25.	§ 0125	This section is based on former § 0116f, except subsection 0116f(3).
26.	§ 0126	This section is based on former §§ 0116e and § 0116f(3).
27.	§ 0127	This section is based on former § 0117.
28.	§ 0128	This section is based on former § 0118.
29.	§ 0129	This section is based on former § 0119.
30.	§ 0130	This section is based on former §§ 0120, except subsection 0120b(2), and § 0125.
31.	§ 0131	This section is based on former § 0120b(2)(a)-(b).
32.	§ 0132	This section is based on former § 0120b(2)(c).
33.	§ 0133	This section is based on former § 0121.
34.	§ 0134	This section was added by the 1989 RCP Amendment.
35.	§ 0135	This section is based on former § 0127a.
36.	§ 0136	This section is based on former § 0128.
37.	§ 0137	This section is based on former § 0129.
38.	§ 0138	This section is based on former § 0130, except subsections 0130e and 0130f.
39.	§ 0139	This section is based on former § 0130e.
40.	§ 0140	This section is based on former § 0130f.
41.	§ 0141	This section is based on former § 0133.

	New Sections	Former Sections
42.	§ 0142	This section is based on former § 0134a.
43.	§ 0143	This section is based on former § 0134b.
44.	§ 0144	This section is based on former § 0135.
45.	§ 0145	This section is based on former § 0136.
46.	§ 0146	This section is based on former § 0137.
47.	§ 0147	This section is based on former § 0138.
48.	§ 0148	This section is based on former § 0139.
49.	§ 0149	This section is based on former § 0140.
50.	§ 0150	This section is based on former § 0144.
51.	§ 0151	This section is based on former § 0145, except subsections 0145a(4)-(7) and a(9).
52.	§ 0152	This section is based on former § 0145a(4)-(7) and a(9).
53.	§ 0153	This section is based on former § 0146a.
54.	§ 0154	This section is based on former § 0146b.
55.	§ 0155	This section is based on former § 0147a.
56.	§ 0156	This section is based on former § 0147b.
57.	§ 0157	This section is based on former § 0148.
58.	§ 0158	This section is based on former § 0149, except subsection 0149a(2).
59.	§ 0159	This section is based on former § 0149a(2).
60.	§ 0160	This section is based on former § 0150.
61.	§ 0161	This section is based on former § 0151.
62.	§ 0162	This section is based on former § 0153.
63.	§ 0163	This section is based on former § 0154.
64.	§ 0164	This section is based on former § 0156.
65.	§ 0165	This section is based on former § 0157.
66.	§ 0166	This section is based on former § 0158.

New Sections	Former Sections
67. § 0167	This section is based on former § 0159.
68. § 0168	This section is based on former § 0166.
69. § 0169	This section is based on former § 0169.
70. § 0170	This section is based on former §§ 0175-77.
71. § 0171	This section is based on former § 0181.

CHAPTER II
ADMINISTRATIVE INVESTIGATIONS (FACT-FINDING BODIES)

This chapter has been completely rewritten and must be read in its entirety. It is a consolidation of former chapters II, III, IV, V, VIII, and IX. Those sections dealing with courts of inquiry and the procedures for a board of investigation when a hearing is required have been placed in JAGINST 5830.1. Significant substantive changes are below.

1. § 0202 Subsection 0202c codifies the time limitations originally set forth in OPNAV 059/83. It also includes a new definition of major incidents.

2. § 0207 Subsections 0207b and 0207c sets forth in detail procedures for major incidents, requiring a court of inquiry unless the convening authority determines otherwise and reports his conclusions to his superior.

3. § 0210 Subsection 0210b(2) adds the following qualifying language: . . . and involve significant potential claims, permanent disability, or death . . . .

4. § 0213 Subsection 0213b adds a standard of proof; preponderance of the evidence for all findings and clear and convincing evidence for determinations regarding deceased or incompetent members or for finding of not in line of duty. Subsection 0213c prohibits speculation by fact finding bodies.

5. § 0225 Subsection 0225a(2) eliminates the requirement for a section "0815" hearing and sets forth new procedures to follow when the convening authority is inclined to make an adverse line of duty/misconduct determination.

6. § 0226 Subsection 0226a(l) clarifies when a fact-finding body is required by adding new language: "from other than a previously known medical condition." Subsection 0226c provides additional guidance for circumstances involving a major incident.

7. § 0237 This section has been substantially revised and clarified.

New Sections	Former Sections

CHAPTER III
ARTICLE 138 COMPLAINTS--COMPLAINTS OF WRONG

1. § 0301 Replaces former § 1101. It deletes the definition equating the term commanding officer with a person who is superior in rank.

2. § 0302 Replaces former § 1102. It adds the regulatory language of Article, 1150, U.S. Navy Regulations, 1990, as specific authority for requesting redress under this chapter.

3. § 0303

   a. Replaces former § 1103a. It streamlines the provision by labeling a complaint of wrongs a procedure and referring to § 0303f for the definition of "wrong."

   b. Replaces former § 1103b. It redefines commanding officer in terms of rank, position, and exercise of primary command authority, vice power to impose nonjudicial punishment.

   c. Replaces former § 1103c.

   d. Replaces former § 1103d. It clarifies the time at which the identity of the proper respondent is determined--the time of the alleged wrong.

   e. Replaces former § 1103g. Deletes the designation of the Assistant VCNO and Chief of Staff, CMC as GCMA's for complaints not cognizable under Article 138, UCMJ.

   f. Replaces former § 1103e.

   g. Replaces former § 1103f.

   h. Replaces former § 1103h. Specifically alerts GCMA's that their inquiry may take the form of a JAGMAN investigation.

   i. Replaces former § 1103i. Deletes language regarding action on the complaint in the personal absence of the GCMA.

4. § 0304

   a. Replaces former § 1104a.

   b. Replaces former § 1104b.

   c. Replaces former § 1104c. Reformats the section to "break out" each class of noncognizable wrongs. Adds relief-for-cause proceedings to this list and clarifies that an act must be final before it is cognizable.

   d. Replaces former § 1104d.

e. New section. Sets out the premise that reassignment of either respondent or complainant prior to filing of an Article 138, UCMJ, complaint does not prevent the processing of the complaint.

5. § 0305

a. Replaces former § 1105a. Clarifies that Article 138, UCMJ, is available to "an inactive--duty reservist alleging a wrong by a commanding officer acting in an official capacity."

b. Replaces former § 1105b.

c. Replaces former § 1105c. Reformats the section to "break out" the routing of the complaint. Specifically requires routing via the respondent.

d. Replaces former § 1105d. Adds the requirement of the GCMA specifically requesting the area coordinator in writing to take action on the case, and the basis therefore.

e. This new section confirms that the GCMA over the respondent retains ultimate responsibility for processing the complaint, and requires keeping a file on the complaint--including the area coordinator's action and the letter requesting same--for 2 years.

f. Replaces former § 1105e.

6. § 0306

a. Replaces former § 1106a.

b. Replaces former § 1106b.

c. Replaces former § 1106c. Requires complainant to submit the complaint on the form set out in the appendix and the GCMA to forward a copy of the form (without enclosures) to JAG at the time of receipt. The form, when completed, meets all the procedural requirements previously set out in this section. The section also allows the GCMA to waive any procedural requirement except those that afford a benefit to complainant.

d. Replaces former § 1106d. Adds the requirement that endorsements by immediate superiors be completed within 10 days.

e. Replaces former § 1106e. Adds the requirement of notifying JAG of the withdrawal of the complaint.

f. Replaces former § 1106f. Deletes the language that the GCMA may deny the complaint solely on the ground of improper joinder.

7. § 0307

NOTE: Section a, setting out the conditions when legal advice and assistance from a judge advocate could be obtained, has been deleted.

New Sections	Former Sections

a. Replaces former § 1105b.

b. Replaces former § 1105c.

8. § 0308

a. Replaces former §§ 1108a-b. Reformats the sections to "break out" handling of each deficiency.

b. Replaces former § 1108c.

c. Replaces former § 1108d.

d. Replaces former § 1108e.

Note: Former § 1108, providing "that the GCMA may not refuse to act on a complaint on the ground that other avenues of redress may exist," has been deleted.

e. Replaces former § 1108g.

f. Replaces former § 1108h. Clarifies the requirement that the officer directed to effect the relief determined by the GCMA shall do so without waiting for final review by the Secretary.

g. Replaces former § 1108i.

h. Replaces former § 1108j.

i. Replaces former § 1108k.

j. Replaces former § 1108l. Sets out specifically the requirement to provide adequate facts to support the GCMA's conclusion and enough detail to allow Secretarial review.

9. § 0309 Replaces former § 1109.

10. § 0310

a. Replaces former § 1110a.

b. Replaces former § 1110b.

c. This new section sets out the routing of the complaint and Secretarial options for legal advice if the JAG is the GCMA.

11. § 0311

a. Replaces former § 1111a.

b. Replaces former § 1111b.

New
Sections Former Sections

c. Replaces former § 1111c.

d. Replaces former § 1111d.

e. Replaces former § 1111e. The use of the term GCMA allowed the deletion of subparts (4) and (5) as surplusage.

g. Replaces former § 1111g.

12. New appendices for this chapter have been developed. They set out the form of the complaint, a suggested Privacy Act statement, a GCMA letter to SECNAV, a GCMA notice of right to rebut, and a GCMA letter to complainant.

CHAPTER IV
ARTICLE 139 INVESTIGATIONS--
REDRESS OF INJURIES TO PROPERTY

1. § 0401 This section replaces former § 1002. It outlines the scope of the chapter.

2. § 0402 This section replaces former § 1001. It provides the statutory authority for the chapter.

3. § 0403 This section replaces former § 1003. It outlines claims not cognizable.

4. § 0404 This section replaces former § 1004. It states the limitations on a claim under Article 139, UCMJ.

5. § 0405 This section replaces former §§ 1005-1006. It contains the requirements for filing a claim, for a command to conduct an investigation, and what must be included in the investigation.

6. § 0406 This section replaces former § 1007. It includes the necessary action where offenders are members of one command, including action by the commanding officer, the review authority, and charge against pay. It increases the amount of a claim form $750.00 to $5,000.00.

7. § 0407 This section replaces former § 1008. It includes the required action where offenders are members of different commands, including action by a common superior and forwarding the investigation to SECNAV if necessary.

8. § 0408 This section replaces former § 1009. It contains the standards for finality and reconsideration of a claim. It provides for an appeal to JAG.

9. § 0409 This section replaces former § 1010. It provides that administrative action under this chapter is separate from disciplinary action against the offender.

New Sections	Former Sections	

CHAPTER V
RELEASE OF GOVERNMENT INFORMATION

This is a completely new chapter.

1.	§ 0501	This section outlines the scope of the chapter and the typical types of requests for information.
2.	§ 0502	This section discusses the policy of the Freedom of Information Act (FOIA).
3.	§ 0503	This section explains the publication requirements of the FOIA.
4.	§ 0504	This section includes the most important definitions for administering the FOIA.
5.	§ 0505	This section outlines the minimum requirements for a FOIA request, the need to identify the records requested, records requiring special handling, and the time limits for processing a FOIA request.
6.	§ 0506	This section explains the statutory FOIA exemptions.
7.	§ 0507	This section discusses FOIA-type public interest and the privacy interest of the individual.
8.	§ 0508	This section discusses naval policy for the release of mailing lists under the FOIA.
9.	§ 0509	This section discusses naval policy on the release of nonjudicial punishment results.
10.	§ 0510	This section outlines the responsibilities for action by the release authority.
11.	§ 0511	This section outlines the responsibilities for action by the initial denial authority.
12.	§ 0512	This section discusses naval policy for fees.
13.	§ 0513	This section discusses the policy of the Privacy Act.
14.	§ 0514	This section briefly discusses the background of the Privacy Act.
15.	§ 0515	This section includes the most important definitions for administering the Privacy Act.
16.	§ 0516	This section outlines the responsibilities for publication, access, amendment, exempt systems, and the denial authority.
17.	§ 0517	This section outlines the procedures for requesting access to a Privacy Act record.
18.	§ 0518	This section outlines the procedures for disclosing information from a Privacy Act record.

New Sections	Former Sections
19. § 0519	This section provides the requirements for disclosure accountings.
20. § 0520	This section explains the procedures for collecting personal information.
21. § 0521	This section contains the requirements for safeguarding personal information.
22. § 0522	This section contains the policy for the release of official information and testimony for litigation purposes.
23. § 0523	This section explains that official requests for information are different from FOIA and Privacy Act requests.
24. § 0524	This section includes the most important definitions for administering official requests for information.
25. § 0525	This section outlines the responsibilities of various officials when receiving an official request for information.
26. § 0526	This section replaces former § 1330b. It provides for the forwarding of an official request for records in the custody of the National Personnel Records Center.
27. § 0527	This section replaces former § 1330c. It provides the procedures for the release of medical and other records of civilian employees under certain circumstances.
28. § 0528	This section replaces former § 1331. It contains the procedures for producing official records in the absence of a court order.
29. § 0529	This section replaces former § 1332. It provides that the Judge Advocate General, the Deputy Judge Advocate General, and the Assistant Judge Advocate Generals may execute certificates of full faith and credit.
30. A-5-a	The appendix contains litigation points of contact.

CHAPTER VI
DELIVERY OF SERVICEMEMBERS, CIVILIANS, AND DEPENDENTS --SERVICE OF PROCESS AND SUBPOENAS-- STATE TAX AND REGULATORY AUTHORITY

1. § 0601	This is a new section that provides a summary of the scope of the chapter.
2. § 0602	This is a new section and provides an overview of Part A of Chapter VI, dealing with the delivery of persons requested by State authorities in criminal cases.
3. § 0603	This section replaces former § 1301. It is substantially the same, but adds the requirements of completing a delivery agreement and consulting with a judge advocate in intra-state cases.

New Sections	Former Sections	
4.	§ 0604	This section replaces former § 1302. It expands the authority for delivery of personnel to commanding officers who have consulted a judge advocate (formerly authority was limited to general court-martial convening authorities).
5.	§ 0605	This section replaces former § 1303. It specifically references DODDIR 5525.9 and SECNAVINST 5820.8.
6.	§ 0606	This is a new section detailing the authority of the Office of General Counsel in contract areas, the shared authority of the Office of General Counsel and the Judge Advocate General in environmental matters, the specific areas of authority of the various divisions of the Office of the Judge Advocate General, and required coordination with the Commandant of the Marine Corps. This section replaces former § 1304 which dealt briefly with the authority of the Judge Advocate General. Appendix A-5-a sets out litigation points of contact.
7.	§ 0607	This section replaces former § 1305. It adds the requirement that the State official signing the delivery agreement must show authority to bind the State. Appendix A-6-b replaces Appendix A-13-b.
8.	§ 0608	This section replaces former § 1306 and is substantially the same as the former provision. It clarifies the inclusion of civilians and contractors in the delivery regulations.
9.	§ 0609	This section replaces former § 1307 and is substantially the same as the former provision.
10.	§ 0610	This section replaces former §§ 1308 and 1310. It combines the two sections addressing when delivery may be refused and the reports that must be submitted when delivery is refused. Section 1309, which had been reserved, is deleted. Appendix A-6-c replaces Appendix A-13-c.
11.	§ 0611	This section replaces former § 1312 and is substantially the same as the former section. Former § 1311, which was reserved, has been deleted.
12.	§ 0612	This section replaces former § 1313. It adds specific guidance regarding how matters should be reported to the Judge Advocate General and the Office of General Counsel and how to handle the situation when an employee is a member of an exclusive bargaining unit.
13.	§ 0613	This section replaces former § 1315 and is substantially the same as the former provision. Appendix A-6-c replaces Appendix A-13-c.
14.	§ 0614	This section replaces former § 1316 and is substantially the same as the former provision. Sections 1317-1319, which were reserved, have been deleted.
15.	§ 0615	This section replaces former § 1314 and has been expanded to cover all forms of injunctive relief rather than just habeas corpus. The section provides greater specificity regarding the reporting the Judge Advocate General and the Office of General Counsel (See Appendix A-5-a).

New Sections	Former Sections
16. § 0616	This section replaces former § 1320. It provides specific guidance regarding designating a place for service of process, how to handle those situations when a person may refuse service of process, and how to handle situations involving civilians. The section notes that the commanding officer may allow service of process regardless of validity and is to advise the recipient of the need to consult with counsel regarding validity/effect.
17. § 0617	This section replaces former § 1321 and notes that if a State wants a person overseas the command should immediately contact the Office of the Judge Advocate General or the General Counsel.
18. § 0618	This section replaces former § 1322 and notes the distinction between civilians and military members, indicating the areas of responsibility of the Judge Advocate General and the Office of General Counsel.
19. § 0619	This section replaces former § 1323 and notes that civilians requesting brig prisoners as witnesses must specify necessity/security/transport/action/time.
20. § 0620	This section replaces former § 1324. The text of the former section has been deleted and commanders are referred to SECNAVINST 5820.8 for guidance.
21. § 0621	This section replaces former § 1325 and is substantially similar to the prior provision, although more specific guidance is given regarding responsibility for cases involving civilian employees.
22. § 0622	This is a new section addressing how to handle those situations when civilians seek repossession of personal property aboard an installation.
23. Part C	Part C now deals with liaison with the Department of Justice and replaces former Part D. The former Part C dealt with the release of official information. Since release of official information is now primarily covered by SECNAVINST 5820.8, the detailed discussion of this issue has been deleted from the JAG Manual. Accordingly, former §§ 1330-1332 have been deleted.
24. § 0623	This section replaces former § 1340 and is substantially the same as the former provision.
25. § 0624	This section replaces former § 1341 and provides greater specificity regarding the areas of responsibility of the Office of General Counsel and those areas to which the section does not apply.
26. § 0625	This section replaces former § 1350 and is substantially the same as the former provision.
27. § 0626	This section replaces former § 1351 and is substantially the same as the former provision.
28. § 0627	This section replaces former § 1360 and is substantially the same as the former

New Sections	Former Sections	
		provision.
29.	Part F	Part F contains §§ 0628-0632 that are new sections dealing with the authority of the States to tax and regulate the Federal Government and with the liability of members and their dependents to taxation and regulation by State and local Governments.

CHAPTER VII
LEGAL ASSISTANCE

1.	§ 0701	This section replaces former §§ 1901-1902. It adds a provision that services depend on the availability of resources and deletes the historical background of the program.
2.	§ 0702	This section replaces former § 1911. It deletes the provision concerning Judge Advocate General liaison with civilian bar associations.
3.	§ 0703	This section replaces former § 1904. It deletes the provisions concerning maintenance of referral lists and reference material and establishment and disestablishment of legal assistance offices.
4.	§ 0704	This section replaces former § 1903. It describes judge advocates as legal assistance "attorneys" vice "officers" and deletes the provisions concerning qualifications of judge advocates.
5.	§ 0705	This section replaces former § 1906d. It deletes the provision defining duties that only attorneys can perform.
6.	§ 0706	This section replaces former § 1905. It adds classes of persons, in order of priority, who are eligible for assistance.
7.	§ 0707	This section replaces former § 1908. It adds a prohibition against the disclosure of a member's presence in the office if it would reveal the nature of assistance.
8.	§ 0708	This new section adds a list of standard services available at legal assistance offices.
9.	§ 0709	This section replaces former § 1907. It adds a prohibition against providing assistance with regard to income-producing activities and through third parties. It deletes the provision concerning nonlegal advice.
10.	§ 0710	This section replaces former §§ 1909-1910. It adds a provision prohibiting reserve personnel providing assistance on active duty from referring clients to the reservist's private practice or law firm. It deletes the provision concerning waiving the prohibition against reserve judge advocates on inactive duty from accepting fees for assistance performed in an official capacity.
11.	§ 0711	This section replaces former Appendix A-19-a. It defines the type and scope of cases handled and persons eligible.

New Sections	Former Sections
12. § 0712	This section adds provisions describing the Preventative Law Program.
13. § 0713	Former §§ 1906 (Functions of Legal Assistance Officers), 1912 (Communications), 1914 (Files and Records), and 1915 (Liberal Construction) have been deleted.

CHAPTER VIII
GENERAL CLAIMS REGULATIONS

The claims chapter has been completely rewritten and should be read in its entirety. Those procedures contained in the former claims chapters pertaining to Federal Torts Claims Act, the Miliary Claims Act, the Personnel Claims Act, the Non-Scope Claims Act, the Federal Claims Collection Act, and the Medical Care Recovery Act have been moved to a JAG instruction.

1. § 0801	This section describes the scope of the chapter.
2. § 0802	This section outlines the responsibilities of the Judge Advocate General, the Deputy Assistant Judge Advocate General (Claims and Tort Litigation), and commanding officers.
3. § 0803	This section replaces former § 2002. It provides the requirements for conducting an investigation.
4. § 0804	This section replaces former §§ 2005 and 2006. It outlines the duties of the investigating officer and the content of the report.
5. § 0805	This section replaces former § 2010. It provides for the prompt and fair settlement of claims against the United States and the assertion of claims in favor of the United States.
6. § 0806	This section replaces former § 2015. It outlines the action necessary by the command upon receipt of a claim.
7. § 0807	This section replaces former § 2021. It outlines the action required by a naval official receiving notice of a suit.
8. § 0808	This section replaces former § 2201. It defines a foreign claim.
9. § 0809	This section replaces former § 2202. It Provides the statutory authority for foreign claims and the statutory purpose.
10. § 0810	This section replaces former §§ 2215-2216, 2227. It outlines the requirements for filing a foreign claim.
11. § 0811	This section replaces former §§ 2207-2210. It outlines claims payable.
12. § 0812	This section replaces former §§ 2211-2214, 2217, 2228. It outlines claims not payable.

New Sections	Former Sections
13. § 0813	This section provides the method for computing payment.
14. § 0814	This section replaces former §§ 2218-2219. It provides the authority to appoint a commission, for the referral of a claim to a commission, the composition of a commission, qualifications of members, and the commission's adjudicating authority.
15. § 0815	This section replaces former § 2220. It contains the procedures for processing cases by the staff judge advocate, the appointing authority, the claims investigating officer, and the commission.
16. § 0816	This section replaces former § 2221. It contains the reports required.
17. § 0817	This section contains the procedures for forwarding reports.
18. § 0818	This section replaces former § 2225. It contains the procedures for action on forwarded claims.
19. § 0819	This section replaces former § 2222a. It provides for the notification to claimant.
20. § 0820	This section replaces former § 2224. It provides for the reconsideration of a claim and states that there is no right to appeal or file suit.
21. § 0821	This section replaces former § 2222b, 2223, 2229. It provides the procedures for the payment of a claim.

CHAPTER IX
AUTHORITY OF ARMED FORCES PERSONNEL TO PERFORM NOTARIAL ACTS

1. § 0901	This section describes the scope of the chapter.
2. § 0902	This section combines former §§ 2502-2503. It adds subsections prohibiting persons from performing notarial acts without the seal of the notarial officer.
3. § 0903	This section replaces former § 2504.
4. § 0904	This section replaces former § 2506.
5. § 0905	This section explains the relationship between the Uniform Recognition of Acknowledgements Act and, and its successor, the Uniform Law on Notarial Acts, and deletes the provision continuing the statutory language of the former Act.
6. § 0906	This section replaces former § 2508.
7. § 0907	This section replaces former § 2509.

New Sections	Former Sections	
8.	§ 0908	This section replaces former § 2507. It adds subsections explaining how to take acknowledgements and sworn instruments, how to administer oaths, how to certify documents as true copies, and how to properly identify the person requesting the notarial act.
9.	§ 0909	This new section requires persons performing notarial acts to keep a log of each act.
10.	§ 0910	This section replaces former § 2509. It reflects changes in State notarization requirements since 1980. Where States have enacted apparently conflicting statutes, the most restrictive view is provided.

CHAPTER X
INTERNATIONAL LAW

This is a completely new chapter.

1.	§ 1001	This section outlines the scope of the chapter.
2.	§ 1002	This section identifies common issues in naval operations overseas, such as "neither confirm nor deny" and sovereign immunity.
3.	§ 1003	This section discusses the definition, negotiation, and handling of international agreements.
4.	§ 1004	This section identifies areas of common concern for security assistance.
5.	§ 1005	This section provides references for political asylum and temporary refuge issues.
6.	§ 1006	This section provides guidance on U.S. responsibilities overseas under foreign environmental laws in light of sovereign immunity.
7.	§ 1007	This section provides specific guidance for foreign litigation. It follows former § 1325.
8.	§ 1008	This section gives a detailed summary of immigration and naturalization.
9.	§ 1009	This section gives a general description of status of forces agreements.
10.	§ 1010	This section details foreign criminal jurisdiction issues and U.S. policy.
11.	§ 1011	This section gives general guidance for processing requests for assistance to law enforcement officials outside U.S. jurisdiction.
12.	§ 1012	This section provides guidance on the disposition of captured enemy public property during and after armed conflict.
13.	§ 1013	This section discusses and provides references concerning U.S. agency roles during noncombatant evaluation procedures.

New Sections	Former Sections	
14.	§ 1014	This section references the procedures for accepting gifts from foreign governments.

CHAPTER XI
CUSTOMS REQUIREMENTS--DOMESTIC AND FOREIGN

1.	§ 1101	The section replaces former § 1801. It adds references to the customs inspection program, customs inspection procedures, and customs responsibilities of vessel and aircraft commanders.
2.	§ 1102	This new section describes the jurisdiction of the U.S. Customs Service.
3.	§ 1103	This section replaces former §§ 1802-1803 and states the responsibilities of commanding officers on arrival and entry of naval vessels returning to the customs territory of the United States.
4.	§ 1104	This new section states the responsibilities of aircraft commanders entering the customs territory of the United States.
5.	§ 1105	This new sections defines "resident" and "nonresident."
6.	§ 1106	This new section describes the eligibility for exemption from customs duties for articles acquired by returning residents.
7.	§ 1107	This new section describes the eligibility for exemption for articles acquired by returning nonresidents.
8.	§ 1108	This section replaces §§ 1810-1812 and outlines the exemption for household goods shipments.
9.	§ 1109	This section replaces §§ 1814-1817 and states the exemption for sea store cigarettes.
10.	§ 1110	This section replaces §§ 1818-1820 and describes the exemption for gifts sent from foreign countries.
11.	§ 1111	This new section replaces §§ 1829 and 1831 and lists prohibited import articles.
12.	§ 1112	This replaces section § 1830 and lists restricted import articles.
13.	§ 1113	This new section lists embargoed import articles.
14.	§ 1114	This section replaces § 1833 and states the exemption and importation requirements for motor vehicles.
15.	§ 1115	This section replaces § 1836 and states the exemption and importation requirements for pleasure boats.
16.	§ 1116	This section replaces §§ 1834 and 1835 and states the controls for importing privately owned firearms and ammunition.

New Sections	Former Sections	
17.	§ 1117	This new section states the limitation on importing alcoholic beverages and tobacco.
18.	§ 1118	This new section states the requirements under the export control regulations on U.S. ammunitions and technology.
19.	§ 1119	This new section states the requirements under currency reporting regulations.
20.	§ 1120	This new section describes foreign customs under status of forces agreements.
21.	A-18-a	This new appendix lists the telephone numbers of District Directors of Customs.

CHAPTER XII
ADMIRALTY CLAIMS

1.	§ 1201	No change.
2.	§ 1202	No change.
3.	§ 1203	This section was amended to reflect revised SECNAV delegation of the admiralty claims settlement authority.
4.	§ 1204	This section was amended to add "//31//" to Navy JAG message address.
5.	§ 1205	No change.
6.	§ 1206	No change.
7.	§ 1207	No change.
8.	§ 1208	No change.
9.	§ 1209	No change.
10.	§ 1210	No change.
11.	§ 1211	No change.
12.	§ 1212	This section was amended to show correct statute citations.
13.	§ 1213	This section was amended to reflect revised SECNAV delegation of the admiralty claims settlement authority.
14.	§ 1214	No change.
15.	§ 1215	No change.

New Sections	Former Sections
16. § 1216	This section was formerly § 1219. It was amended to correct statute citations.
17. § 1217	This section was formerly § 1221. It was amended to reflect revised SECNAV delegation of the admiralty claims settlement authority.
18. § 1218	This section was formerly § 1222.
19. § 1219	This section was formerly § 1223a. Former § 1223b-g have been deleted.
20. § 1220	This section was formerly § 1225.
21. § 1221	This section was formerly § 1226.
22. § 1222	This section was formerly § 1227.
23. § 1223	This section was formerly § 1228. It was amended to add "//31//" to Navy JAG message address.
24. § 1224	This section was formerly § 1229.

CHAPTER XIII
ENVIRONMENTAL PROTECTION

This is a completed new chapter.

1. § 1301	This section outlines the purpose of the chapter.
2. § 1302	This section outlines the scope of the chapter.
3. § 1303	This section stresses the importance of familiarity of and adherence to environmental laws and regulations.
4. § 1304	This section states the requirement of complying with the SOFA and the environmental controls of the host country.
5. § 1305	This section outlines the responsibilities of commanding officers and all naval personnel.
6. § 1306	This section references the procedures for complying with a notice of violation.
7. § 1307	This section discusses compliance with environmental regulation.
8. § 1308	This section discusses briefly procedural/planning statutes.
9. § 1309	This section discusses briefly pollution control and abatement statutes.
10. § 1310	This section discusses briefly statutes controlling specific substances.
11. § 1311	This section discusses briefly statutes protecting animals, historic places, and water.

New Sections	Former Sections	
12.	§ 1312	This section discusses environmental compliance in the Federal work place.
13.	A-13-a	The appendix is a list of selected references.

CHAPTER XIV
PAYMENTS DUE MENTALLY INCOMPETENT MEMBERS, PHYSICAL EXAMINATIONS OF SUCH MEMBERS, AND TRUSTEE DESIGNATIONS

1.	§ 1401	This section replaces former § 1501. It explains the purpose of this chapter.
2.	§ 1402	This section replaces former § 1502. It defines the scope of authority to designate trustees for members incapable of managing their own affairs.
3.	§ 1403	This section replaces former § 1503. It deletes reference to health and comfort payments for a member who is mentally incapable of handling his affairs and who is hospitalized in a naval medical facility. It deletes the conditions of payments for health and comfort.
4.	§ 1404	This section replaces §§ 1504-1505. This section combines the information contained in the former sections. It deletes all information concerning other military departments. It adds a paragraph regarding restoration of competency.
5.	§ 1405	This section replaces § 1508. It states the procedures for designation of a trustee.
6.	§ 1406	This section replaces § 1506. It discusses the issuance of travel orders and travel expense responsibility.
7.	§ 1407	This section replaces § 1507. It adds the provision that cognizant disbursing officers should follow guidelines in the Department of Defense Military Pay and Allowance Entitlement Manual pertaining to disposition of the member's personal financial record. It directs appropriate finance centers to suspend the member's pay pending the appointment of a trustee. It adds the responsibility that the finance centers notify the Judge Advocate General of any changes affecting the pay of a member mentally incapable of managing his affairs.
8.	§ 1408	This section replaces § 1509. It discusses the provision for payment of emergency funds to a member's commanding officer without requirement of a surety bond for the benefit of the member and his legal dependents. It adds and increases the amount of health and comfort payment for the member while hospitalized in a naval medical facility.
9.	§ 1409	This section replaces § 1510. It summarizes the accounting procedures, failure to account, termination of payments, and default. It deletes any reference to the responsibility of finance centers to advise the Judge Advocate General of any change affecting pay of a member incapable of managing his affairs.

☆ U.S. GOVERNMENT PRINTING OFFICE: 1997 – 516 - 477 / 83520

SUMMARY OF CHANGE 3 JAG MANUAL CHANGES

1. Section 0101. Administrative, not substantive, changes.

2. Section 0106. Adds language extending NJP authority to Reserve CO/CDRS on active duty or inactive training.

3. Section 0109. Administrative, not substantive, changes.

4. Section 0111. Adds language to clarify that NJP reduction in rate is not applicable to personnel promoted by Board process.

5. Section 0113. Allows for NJP authority to mitigate punishment on accused who is medically unfit for correctional custody or confinement.

6. Section 0114. Adds an "accurate and relevant" standard of review for a punitive censure.

7. Section 0116. Changes the appeal of NJP time limit, to 5 working days, excluding weekends and holidays.

8. Section 0117. Administrative, not substantive, changes.

9. Section 0118. Adds language from the MCM further explaining vacation of a suspended sentence.

10. Section 0119. Adds language outlining the notification of suspected officer misconduct/officer NJP results. USMC and USN notification requirements are different.

11. Section 0120. Adds recently authorized general and special courts-martial CA's.

12. Section 0121. Adds procedures for requesting convening authority for courts-martial.

13. Sections 0123, 0124, 0125, 0126. Administrative, not substantive, changes.

14. Section 0126c(5). Adds CENTCOM/VCNO to the list of National Security CA's.

15. Section 0127. Adds new language reflecting Court decisions regarding the review of pretrial confinement.

16. Section 0131b(4)(d). Change to 100-mile rule for individual military counsel in death penalty cases.

17. Section 0136. Discusses SJA/CA delegation to excuse members detailed to a Court. Reflects MCM language.

18. Sections 0138, 0139, 0140. Administrative, not substantive, changes.

19. Section 0149. Adds direction for routing reports of results of trial in cases where sentences include forfeitures and/or reduction in grade.

20. Section 0152. Administrative, not substantive, changes.

21. Section 0155. Makes administrative change to permit promulgating order and CA's action in a single document.

22. Sections 0157, 0160, 0161, 0163, 0164, 0165, 0166. Administrative, not substantive, changes.

23. Appendix A-1-f. Changes the appeal of NJP time limit, to 5 working days, excluding weekends and holidays.

24. Appendix A-1-j. Requires trial counsel to detail information regarding effective date of adjudged forfeitures, adjudged reduction in grade, automatic forfeitures, and any written deferment(s) by the convening authority. Adds PSD/Unit Diary Clerk and Disbursing Office to Distribution.

25. Appendix A-1-q. Cited in section 0119, provides sample report of officer nonjudicial punishment.

26. Section 0204. Adds language requiring CA's and JAGMAN investigators to liaise with NCIS to reduce redundancies and to increase efficiency in both investigations.

27. Section 0205. Adds language about "no military nexus" death investigations.

28. Section 0209. 0209d(6) adds language requiring convening order direction to JAGMAN investigators to coordinate with law enforcement officials. 0209f, g(3), and h require 20-day action for investigators, CA's, and endorsers on all death investigations.

29. Section 0212. Reminds CA's to consider law enforcement authority liaison when drafting convening orders.

30. Section 0213. Refers the reader to section 0242c for statutory membership qualifications for CLASS A aircraft accident JAGMAN investigations.

31. Section 0215. Advises JAGMAN investigators to liaise with SJA prior to questioning witnesses suspected of an offense. To minimize impeding parallel criminal investigations.

32. Section 0220a. Refers the reader to the section stating Navy policy for release of death investigations to NOK.

33. Section 0234. 0234b clarifies notification of NCIS in death cases. 0234c specifies a 20-day time limit for investigation, CA review, and each endorser. Also requires coordination with next in endorsement chain for all extensions and requires comment on delays--in investigation and/or in endorsement(s). 0234d establishes "first flag" release policy to NOK. States requirement to safeguard graphic details of report before delivery to NOK, and requires some form of personal delivery to NOK (i.e., CACO or other representative).

34. Section 0235. Clarifies requirement for JAGMAN investigation if nonnaval personnel found dead on Navy installation. Section 0235c establishes that limited investigations are final when the CA documents the factors for the decision not to conduct a further death investigation.

35. Section 0242c. Promulgates the new CLASS A aircraft accident investigation requirements for investigator qualifications and independence, in accordance with 10 U.S.C. 2255.

36. Section 0245. Ensures notification of NCIS for cases involving suspicious explosions.

37. Section 0249. Ensures notification of NCIS for cases involving fires.

38. Appendix A-2-a. Adds definitions for the terms "Class A Aircraft Accident" and "Mishap Unit."

39. Sections 0301, 0302. Adds language better explaining the differences and similarities between article 138 complaints and NAVREGS 1150 complaints.

40. Section 0303. Adds language clarifying the complaint process and the differences between 1150 and 138 complaints.

41. Section 0304. Clarifies acts which may not be the subject of a complaint or which request improper redress. Also eliminates the "final" military record language, thereby removing an internal conflict in the instruction.

42. Section 0305. Places reservists on the same footing with regard to complaints. Explains responsibilities for reviewing/processing complaints. Mostly administrative, vice substantive, changes.

43. Section 0306. Provides more explanatory procedures for submission and forwarding of complaints. Mostly administrative, vice substantive, changes.

44. Section 0307. Old section 0307 ("Complainant's Entitlements") eliminated, now covered in changes to old section 0308. Old section 0308 has been renumbered section 0307.

45. Section 0307. (Formerly section 0308) Provides a "user friendly" approach to complaints for GCMAs to follow, including a new, comprehensive checklist. Mostly administrative, vice substantive, changes.

46. Sections 0308 (formerly 0309), 0309 (formerly 0310), and 0310 (formerly 0311). Administrative changes only.

47. Appendix A-3-b. Adds checklist for GCMA processing of article 138 complaints.

48. Appendix A-3-c. Adds sample GCMA Notice of Right to Rebut.

49. Appendix A-3-d. Adds sample GCMA Letter to Complainant.

50. Appendix A-3-e. Formerly Appendix A-3-b; administrative changes only.

51. Section 0627. Adds subsection d., that military counsel will be provided to represent military prisoners sentenced to death by court-martial, in any post-conviction habeas corpus proceedings and appeals therefrom.

52. Section 0701. Defines "family members" as used in this section. Refers legal assistance attorneys and paralegals to the not yet approved Legal Assistance Manual. Administrative changes only.

53. Sections 0702, 0703, 0704, 0705. Administrative changes.

54. Section 0706. Establishes persons eligible for legal assistance, including reservists. Administrative changes also made.

55. Section 0707. Clarifies nature of legal assistance information and files as private and privileged. Focus of access is attorney's responsibility. Eliminates information pertinent only to legal assistance providers which will be contained in JAGINST 5801.2, Legal Assistance Manual.

56. Section 0708. Administrative changes only.

57. Section 0709. Eliminates language pertaining to JAG approval of legal assistance attorneys (will be moved to JAGINST 5801.2) and the review by JAG/CMC of complaints by members who feel services have been wrongfully withheld (other regulations provide redress). Removes examples of prohibited U.S. interests (moved to JAGINST 5801.2).

58. Sections 0710, 0711. Administrative changes only.

59. Section 0712. Deleted. Requirements for the Preventative Law Program will be contained in JAGINST 5801.2.

60. Chapter 14. Provides notice of the transfer of functions under Chapter 14 from OJAG to DFAS. Change 4 will contain revisions.

61. Index. Administrative changes only.

☆U.S. GOVERNMENT PRINTING OFFICE:1998-432-832/97558

TABLE OF CONTENTS

CHAPTER		PAGE
I	REGULATIONS IMPLEMENTING AND SUPPLEMENTING THE MANUAL FOR COURTS-MARTIAL	1-1
II	ADMINISTRATIVE INVESTIGATIONS	2-1
III	ARTICLE 138 COMPLAINTS--COMPLAINTS OF WRONG	3-1
IV	ARTICLE 139 INVESTIGATIONS--REDRESS OF INJURIES TO PROPERTY	4-1
V	RELEASE OF GOVERNMENT INFORMATION	5-1
VI	DELIVERY OF SERVICEMEMBERS, CIVILIANS, AND DEPENDENTS--SERVICE OF PROCESS AND SUBPOENAS--STATE TAX AND REGULATORY AUTHORITY	6-1
VII	LEGAL ASSISTANCE	7-1
VIII	GENERAL CLAIMS REGULATIONS	8-1
IX	AUTHORITY OF ARMED FORCES PERSONNEL TO PERFORM NOTARIAL ACTS	9-1
X	INTERNATIONAL LAW	10-1
XI	CUSTOMS REQUIREMENTS--DOMESTIC AND FOREIGN	11-1
XII	ADMIRALTY CLAIMS	12-1
XIII	ENVIRONMENTAL PROTECTION	13-1
XIV	PAYMENTS DUE MENTALLY INCOMPETENT MEMBERS, PHYSICAL EXAMINATIONS OF SUCH MEMBERS, AND TRUSTEE DESIGNATORS	14-1

PREFATORY NOTES

a. The Manual of the Judge Advocate General may be cited as "JAGMAN 0101a(1)" or "JAGMAN A-1-b-(1)."

b. Forms, certain reference material, and technical guides are located in the Appendices, which are keyed by section number to the relevant chapter.

c. The words "Navy" and "naval" as used in this Manual include the Marine Corps, except where the context indicates differently.

d. The Uniform Code of Military Justice and the Manual for Courts-Martial, United States, 1984, are referred to as "UCMJ" and "MCM" respectively in this Manual.

CHAPTER 1
REGULATIONS IMPLEMENTING AND SUPPLEMENTING THE MANUAL FOR COURTS-MARTIAL

Section		Page
0101	Scope	1-10
PART A – NONPUNITIVE MEASURES		
0102	Nonpunitive administrative measures generally	1-10
0103	Extra military instruction	1-10
0104	Administrative withholding of privileges	1-11
0105	Nonpunitive censure	1-11
PART B – NONJUDICIAL PUNISHMENT		
0106	Authority to impose	1-12
0107	Jurisdiction	1-13
0108	Limitation on imposition of nonjudicial punishment	1-14
0109	Advice to accused prior to imposition of nonjudicial punishment	1-14
0110	Procedures for imposition of nonjudicial punishment	1-16
0111	Limitations on and nature of punishments	1-17
0112	Limitations on nonjudicial punishments to be imposed on reserve component personnel not on active duty	1-17
0113	Effective date and execution of nonjudicial punishments	1-18
0114	Punitive censure	1-18
0115	Announcement of disposition of nonjudicial punishment	1-22
0116	Command action on nonjudicial punishment appeals	1-22
0117	Authority to act on nonjudicial punishment appeals	1-23
0118	Suspension, mitigation, remission, setting aside, and vacation of suspension	1-25
0119	Records of nonjudicial punishment	1-26
PART C – COURTS-MARTIAL		
SUBPART C1 PRETRIAL MATTERS		
0120	Designation of additional convening authorities	1-27
0121	Requests for authority to convene courts-martial	1-28
0122	General restrictions on exercise of court-martial jurisdiction	1-29
0123	Exercise of court-martial jurisdiction over retired, reserve, Fleet Reserve, Fleet Marine Corps Reserve, and discharged personnel	1-31
0124	Exercise of court-martial jurisdiction in cases tried in domestic or foreign criminal courts	1-31
0125	Exercise of court-martial jurisdiction over major Federal offenses	1-33
0126	Exercise of court-martial jurisdiction in cases involving national security	1-33
0127	Pretrial restraint of accused	1-35
0128	Forwarding of charges	1-35
0129	Superior competent authority defined	1-36
0130	Personnel of courts-martial	1-37
0131	Standards for determining availability of requested individual military counsel	1-39
0132	[Reserved]	
0133	Additional matters in convening orders	1-42
0134	Additional matters in the case of certain reserve component personnel	1-42
SUBPART C2 TRIAL MATTERS		
0135	Article 39(a), UCMJ, sessions	1-44
0136	Delegation of authority to excuse members	1-44
0137	Pretrial agreements	1-44
0138	Authority to grant immunity from prosecution	1-45
0139	Content of immunity requests when approval of the Attorney General is required	1-46
0140	Post-testimony procedure when authority to grant immunity was obtained from the Attorney General	1-47
0141	Personal data and character of prior service of the accused	1-47
0142	Release of information pertaining to accused persons	1-47
0143	Spectators at proceedings	1-49
0144	Security of classified matter in judicial proceedings	1-49
0145	Financial responsibility for costs incurred in support of courts-martial	1-50
0146	Fees of civilian witnesses	1-50
0147	Warrants of attachment	1-52
0148	Court-martial forms	1-52
SUBPART C3 POST-TRIAL MATTERS		
0149	Report of results of trial	1-54
0150	Record of trial	1-54
0151	Initial review and action	1-55
0152	Actions on specific types of sentence	1-56
0153	Disposition of records following convening authority action	1-58
0154	Filing and supervision of court-martial records	1-59
0155	Promulgating orders—general and special courts-martial	1-59
0156	Promulgating orders—Summary courts-martial	1-61
0157	Service and execution of sentences	1-61
0158	Remission and suspension	1-62
0159	Limitations on authority to remit and suspend sentences	1-63
0160	Vacation of suspension of sentence	1-64
0161	Request for withdrawal of appellate review	1-65
0162	Application for relief—Article 69(b)	1-65
0163	Petition for new trial—Article 73	1-66

0164 Notification to accused of Court of Criminal Appeals decision 1-67
0165 Request for immediate execution of discharge 1-67
0166 Inspection of record of trial containing classified information 1-68
0167 Setoff of indebtedness of a person against pay 1-68

PART D -- MISCELLANEOUS

0168 Apprehension by civilian agents of the Naval Criminal Investigative Service 1-69
0169 Authority to prescribe regulations relating to the designation and changing of places of confinement 1-69
0170 Forms supplementing the Military Rules of Evidence 1-69
0171 Cross-reference to Secretarial or JAG regulations implementing the MCM 1-69

CHAPTER II
ADMINISTRATIVE INVESTIGATIONS

PART A -- OVERVIEW AND SCOPE

0201 Construction 2-5
0202 Scope 2-5
0203 Follow-up action 2-5

PART B -- PRELIMINARY CONSIDERATIONS

0204 Preliminary inquiry 2-6
0205 Command options 2-7
0206 Seeking counsel 2-8
0207 No further action 2-8

PART C -- THE THREE TYPES OF ADMINISTRATIVE INVESTIGATIONS

0208 Commonalties 2-9
0209 Type One: Command investigations 2-9
0210 Type Two: Litigation-Report investigations 2-12
0211 Type Three: Courts and boards of inquiry 2-15

PART D -- PRINCIPLES APPLICABLE TO ALL TYPES OF ADMINISTRATIVE INVESTIGATIONS

0212 Convening orders 2-17
0213 Personnel and costs 2-17
0214 Oaths 2-18
0215 Proof of facts -- standards of proof 2-18
0216 Privacy Act compliance 2-20
0217 Investigative reports 2-21
0218 Disciplinary action 2-22
0219 Routing copies 2-22
0220 Release of investigations 2-23

PART E -- LINE OF DUTY/MISCONDUCT

0221 When line of duty/misconduct determinations are required 2-23
0222 Why line of duty/misconduct determinations are required 2-24
0223 What constitutes line of duty 2-24
0224 What constitutes misconduct 2-25
0225 Relationship between misconduct and line of duty 2-25
0226 Mental responsibility 2-25
0227 Intoxication and drug abuse 2-26
0228 Refusal of medical and dental treatment 2-26
0229 Relationship to disciplinary action 2-26
0230 How line of duty/misconduct determinations are recorded 2-26
0231 Action by reviewing authorities 2-27
0232 Special considerations in reserve component cases 2-29
0233 Checklist for line of duty/misconduct investigations 2-29

PART F -- SPECIAL CONSIDERATION IN DEATH CASES

0234 General 2-31
0235 When investigations of death cases are required 2-31
0236 Autopsies 2-32
0237 Determinations concerning line of duty/misconduct in death cases 2-32
0238 Major incidents and other cases involving death where a court of inquiry may be appropriate 2-33
0239 Independent review 2-33
0240 Standard of proof 2-33
0241 Special routing 2-34

PART G -- INVESTIGATIONS OF SPECIAL TYPES OF INCIDENTS

0242 Aircraft accidents 2-34
0243 Motor vehicle accidents 2-38
0244 Accidents aboard ships or submarines (generally) 2-40
0245 Explosions 2-41
0246 Stranding of a ship of the Navy 2-43
0247 Collisions 2-43
0248 Accidental or intentional flooding of a ship 2-44
0249 Fires 2-45
0250 Loss or excess of government funds or property 2-46
0251 Claims for or against the Government 2-50
0252 Health care incidents 2-53
0253 Reservists 2-56
0254 Firearm accidents 2-57
0255 Other incidents 2-57

CHAPTER III
ARTICLE 138 INVESTIGATIONS--
COMPLAINTS OF WRONG

0301 Purpose 3-3
0302 Authority 3-3
0303 Definitions of terms and phrases used in this chapter 3-3

0305 Participants to a complaint of wrong 3-5
0306 Procedure 3-6
0307 Consideration of the complaint by the officer exercising general court-martial authority (GCMA) 3-7
0308 Endorsements by officers senior in the chain of command to the GCMA 3-8
0309 Action by the Judge Advocate General 3-9
0310 Review by the Secretary of the Navy 3-9

CHAPTER IV
ARTICLE 139 CLAIMS--
REDRESS OF DAMAGE TO PROPERTY

0401 Scope 4-3
0402 Statutory authority 4-3
0403 Claims not cognizable 4-3
0404 Limitation on claims 4-3
0405 Complaint by the injured party and investigation 4-3
0406 Action where offenders are members of one command 4-4
0407 Action where offenders are members of different commands 4-4
0408 Reconsideration and appeal 4-5
0409 Effect of court-martial proceedings 4-5

CHAPTER V
RELEASE OF GOVERNMENT INFORMATION

0501 Scope 5-5

PART A – FREEDOM OF INFORMATION ACT

0502 Policy 5-5
0503 Background 5-5
0504 Definitions 5-6
0505 Responsibilities 5-6
0506 Exemptions 5-8
0507 Public interest 5-9
0508 Mailing lists 5-9
0509 Nonjudicial punishment results 5-10
0510 Action by release authority 5-10
0511 Action by IDA 5-10
0512 Fees 5-11

PART B – PRIVACY ACT

0513 Policy 5-11
0514 Background 5-11
0515 Definitions 5-12
0516 Responsibilities 5-12
0517 Procedures 5-13
0518 Disclosure to others 5-14
0519 Disclosure accountings 5-15
0520 Collection of information 5-15
0521 Safeguarding personal information 5-15

PART C – RELEASE OF OFFICIAL INFORMATION AND TESTIMONY FOR LITIGATION PURPOSES

0522 Policy 5-16
0523 Relationship with FOIA and the Privacy Act 5-16
0524 Definitions 5-16
0525 Responsibilities 5-17
0526 Records in the custody of the National Personnel Records Center 5-18
0527 Medical and other records of civilian employees 5-18
0528 Production of official records in the absence of a court order 5-18
0529 Certificates of full faith and credit 5-19

CHAPTER VI
DELIVERY OF SERVICEMEMBERS, CIVILIANS, AND DEPENDENTS
--SERVICE OF PROCESS AND SUBPOENAS--
STATE TAX AND REGULATORY AUTHORITY

0601 Scope 6-5

PART A – DELIVERY OF PERSONNEL

0602 Delivery of persons requested by State authority in criminal cases 6-5
0603 Delivery when persons are within territorial limits of the requesting State 6-5
0604 Delivery when persons are beyond territorial limits of the requesting State 6-6
0605 Persons stationed outside the United States 6-7
0606 Authority of the Judge Advocate General and of the General Counsel 6-7
0607 Agreement required prior to delivery to State authorities 6-8
0608 Delivery of persons to Federal authorities 6-8
0609 Delivery of persons to foreign authorities 6-9
0610 Circumstances in which delivery is refused 6-9
0611 Members released by civil authorities on bail or on their own recognizance 6-9
0612 Interviewing members or civilian employees by Federal civilian investigative agencies 6-9
0613 Request for delivery of member serving sentence of court-martial 6-10
0614 Request for delivery of members serving sentence of a State court 6-11
0615 Request for injunctive relief (habeas corpus, temporary restraining orders, etc.) and service of process by mail 6-12

PART B -- SERVICE OF PROCESS AND SUBPOENAS UPON PERSONNEL

0616 Service of process upon personnel 6-12
0617 Members or civilian employees subpoenaed witnesses in State courts 6-15
0618 Members or civilian employees subpoenaed as witnesses in Federal courts 6-15
0619 Naval prisoners as witnesses or parties in civil courts 6-16
0620 Interviews and depositions in connection with civil litigation in matters pertaining to official duties 6-16
0621 Suits against the United States 6-16
0622 Repossession of personal property 6-18

PART C -- LIAISON WITH THE DEPARTMENT OF JUSTICE

0623 Litigation reports and pleadings 6-18
0624 Liaison with the U.S. Attorney and other officials of the Department of Justice (including officials of the United States Marshal Service) 6-18

PART D -- MISDEMEANORS COMMITTED ON NAVY AND MARINE CORPS INSTALLATIONS

0625 General 6-19
0626 Prosecution before Federal Magistrates 6-19

PART E -- APPEARANCES BY JUDGE ADVOCATES IN CIVIL COURT AND/OR CIVIL ADMINISTRATIVE PROCEEDINGS

0627 On behalf of members 6-19

PART F -- STATE TAX AND REGULATORY AUTHORITY

0628 Background 6-20
0629 State regulation of Federal functions, including liquor sales 6-20
0630 State and local taxation of on-base sales 6-21
0631 State and local taxes, including hotel taxes and the Federal traveller 6-21
0632 Liability of military personnel and dependents for State and local taxes 6-21

CHAPTER VII
LEGAL ASSISTANCE

0701 Scope 7-3
0702 Supervision of legal assistance 7-3
0703 Legal assistance providers 7-3
0704 Legal assistance attorneys 7-3
0705 Nonlawyer personnel 7-3
0706 Persons eligible for legal assistance 7-3
0707 Personal and privileged character of service 7-4
0708 Legal assistance services 7-4
0709 Limitations on scope of legal assistance services 7-5
0710 Referrals and fees 7-5
0711 Expanded legal assistance program 7-6

CHAPTER VIII
GENERAL CLAIMS PROVISIONS

PART A -- GENERAL

0801 Scope 8-5
0802 Responsibilities 8-5
0803 Investigations generally 8-5
0804 Investigations--the report 8-6
0805 Claims--generally 8-7
0806 Claims--action by the receiving command 8-7
0807 Claims--action when suit filed 8-8

PART B -- FOREIGN CLAIMS

0808 Definition 8-8
0809 Statutory authority 8-8
0810 Filing the claim 8-8
0811 Claims payable 8-9
0812 Claims not payable 8-10
0813 Computation of the amount of payment 8-11
0814 Foreign Claims Commissions 8-11
0815 Processing of cases 8-12
0816 Reports required 8-13
0817 Forwarding reports 8-14
0818 Action on forwarded claims 8-14
0819 Notification to the claimant 8-14
0820 Reconsideration, appeal, and suit 8-15
0821 Payment 8-15

CHAPTER IX
AUTHORITY OF ARMED FORCES PERSONNEL TO PERFORM NOTARIAL ACTS

PART A -- FEDERAL AND NONFEDERAL AUTHORITY

0901 Scope 9-3
0902 Federal authority to administer oaths and perform notarial acts 9-3
0903 Non-Federal authority to perform notarial acts 9-5

PART B -- COMPILATION OF NON-FEDERAL NOTARIAL PROCEDURES AND LAWS

0904 Introduction 9-5
0905 Uniform Acknowledgment Act, Uniform Recognition of Acknowledgments Act and Uniform Law on Notarial Acts 9-5

0906 Acknowledgments 9-6
0907 Sworn instruments 9-6
0908 General instructions for acknowledgments and sworn instruments 9-6
0909 Notary logs 9-8
0910 Special instructions for acknowledgements and sworn instruments (Summary of State laws) 9-8

CHAPTER X
INTERNATIONAL LAW

1001 Scope 10-3
1002 Naval operations overseas 10-3
1003 International agreements 10-4
1004 Security assistance 10-5
1005 Political asylum and temporary refuge 10-7
1006 Foreign environmental law 10-8
1007 Foreign litigation 10-8
1008 Immigration and naturalization 10-9
1009 Status of Forces Agreements 10-12
1010 Foreign criminal jurisdiction 10-12
1011 Enforcement of U.S. laws overseas 10-14
1012 Property captured from the enemy during armed conflict 10-14
1013 Noncombatant evacuation procedures (NEO) 10-14
1014 Acceptance of gifts from foreign governments 10-14

CHAPTER XI
CUSTOMS REQUIREMENTS--DOMESTIC AND FOREIGN

PART A – GENERAL

1101 Scope 11-5
1102 Introduction to United States Customs 11-5

PART B – INSPECTION AND REPORTING REQUIREMENTS MILITARY VESSELS AND AIRCRAFT

1103 Arrival and entry of vessels 11-7
1104 Arrival and entry of aircraft 11-7

PART C – IMPORT DUTY EXEMPTIONS

1105 Customs definitions of "resident" and "nonresident" 11-8
1106 Articles acquired by returning residents 11-8
1107 Article accompanying nonresidents 11-9
1108 Household goods shipments 11-10
1109 Special exemption for sea-store cigarettes 11-12
1110 Gifts sent from foreign countries 11-12

PART D – IMPORT/EXPORT RESTRICTIONS

1111 Prohibited import articles 11-13
1112 Restricted import articles 11-13
1113 Embargoed articles 11-14
1114 Importing motor vehicles 11-14
1115 Importing pleasure boats 11-15
1116 Importing privately owned firearms and ammunition 11-15
1117 Importing alcoholic beverages and tobacco 11-16
1118 Export control regulations 11-16
1119 Currency reporting regulations 11-16

PART E – FOREIGN CUSTOMS

1120 Foreign customs 11-17

CHAPTER XII
ADMIRALTY CLAIMS

PART A – INTRODUCTION

1201 Scope 12-4
1202 Organization 12-4

PART B – REPORTING AND INVESTIGATING ADMIRALTY INCIDENTS

1203 Admiralty incidents 12-5
1204 Initial report of admiralty incident 12-6
1205 Subsequent investigative report 12-7
1206 Surveys 12-8
1207 Documentary evidence 12-9
1208 Collision and allision cases 12-9
1209 Documenting collision damage and repair costs 12-10
1210 Personal injury cases 12-12
1211 Correspondence with private parties 12-14

PART C – ADMIRALTY CLAIMS AGAINST THE NAVY

1212 Naval liability 12-14
1213 Authority for claims settlement 12-15
1214 Statute of limitations 12-15
1215 Administration of admiralty claims 12-15
1216 Adjudicating admiralty cases as foreign claims 12-16

PART D – AFFIRMATIVE ADMIRALTY CLAIMS

1217 Authority for affirmative claims settlement 12-16
1218 Statute of limitations for affirmative claims 12-17
1219 Affirmative claims administration 12-17

PART E – MISCELLANEOUS

1220	Salvage	12-17
1221	Towage and pilotage	12-18
1222	Intragovernment admiralty incidents	12-18
1223	Foreign government claims	12-18
1224	Coast Guard and National Transportation Safety Board investigations	12-19

CHAPTER XIII
ENVIRONMENTAL PROTECTION

1301	Purpose	13-3
1302	Scope	13-3
1303	Background	13-3
1304	Environmental compliance and international operations	13-3
1305	Responsibility	13-3
1306	Notices of violation and environmental litigation	13-4
1307	Compliance	13-4
1308	Procedural/planning statutes	13-5
1309	Pollution and abatement control statutes	13-5
1310	Statutes controlling specific substances	13-6
1311	Statutes protecting animals, historic places, and water	13-7
1312	Environmental compliance in the Federal work place	13-7

CHAPTER XIV
PAYMENTS DUE MENTALLY INCOMPETENT MEMBERS, PHYSICAL EXAMINATIONS OF SUCH MEMBERS, AND TRUSTEE DESIGNATIONS

1401	Purpose	14-3
1402	Scope	14-3
1403	Authority to appoint trustees	14-3
1404	Procedures	14-3
1405	Procedures for designation of a trustee	14-4
1406	Travel orders	14-4
1407	Status of pay account	14-4
1408	Emergency funds and health and comfort	14-5
1409	Reports and supervision of trustees	14-5

JAG MANUAL CORRECTION/SUGGESTION SHEET

_____
Date

From: _____

_____

To: Office of the Judge Advocate General, Administrative Law Division (Code 13), Washington Navy Yard, Bldg. 33, 1322 Patterson Avenue SE, Suite 3000, Washington, DC 20374-5066 **Fax:** (703) 604-6955 (DSN 664-6955)

1. It is requested the following correction(s) be made to the next change of the JAG Manual:

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

2. It is requested the following suggestion(s) be included in the next change of the JAG Manual:

_____
_____
_____
_____
_____
_____
_____
_____

_____
Signature

CHAPTER I
REGULATIONS IMPLEMENTING AND SUPPLEMENTING THE MANUAL FOR COURTS-MARTIAL

0101 SCOPE

PART A – NONPUNITIVE MEASURES

0102 NONPUNITIVE ADMINISTRATIVE MEASURES GENERALLY

0103 EXTRA MILITARY INSTRUCTION

a. Definition
b. Limitations

0104 ADMINISTRATIVE WITHHOLDING OF PRIVILEGES

a. Privilege
b. Deprivation of liberty

0105 NONPUNITIVE CENSURE

a. General
b. Nonpunitive censure

PART B – NONJUDICIAL PUNISHMENT

0106 AUTHORITY TO IMPOSE

a. Commander
b. Officer in charge
c. Principal assistant
d. Multiservice commander or officer in charge
e. Withholding of nonjudicial punishment authority

0107 JURISDICTION

a. Individual
b. Over reserve component personnel on active duty or inactive duty training

0108 LIMITATION ON IMPOSITION OF NONJUDICIAL PUNISHMENT

a. Units attached to ships
b. Cases previously tried in civil courts
c. Right to demand trial

0109 ADVICE TO ACCUSED PRIOR TO IMPOSITION OF NONJUDICIAL PUNISHMENT

a. Legal rights
b. Accused attached to or embarked in a vessel
c. Accused not attached to or embarked in a vessel (Record cannot be used in aggravation in event of later court-martial unless lawyer serves as personal representataive.)

d. Accused not attached to or embarked in a vessel (Record may be used in aggravation in event of later court-martial.)
e. Service record entries

0110 PROCEDURES FOR IMPOSITION OF NONJUDICIAL PUNISHMENT

a. Captain's mast/office hours guide
b. Standard of proof
c. Observers at Captain's Mast/Office Hours
d. Nonjudicial punishment based on report of a fact-finding body
e. Advice after imposition of nonjudicial punishment

0111 LIMITATIONS ON AND NATURE OF PUNISHMENTS

a. Restriction imposed upon officers and warrant officers
b. Correctional custody
c. Confinement on bread and water or diminished rations
d. Extra duties
e. Reduction in grade
f. Arrest in quarters

0112 LIMITATIONS ON NONJUDICIAL PUNISHMENTS TO BE IMPOSED ON RESERVE COMPONENT PERSONNEL NOT ON ACTIVE DUTY

a. Punishment involving restraint on liberty
b. Punishment involving forfeiture of pay

0113 EFFECTIVE DATE AND EXECUTION OF NONJUDICIAL PUNISHMENTS

a. Forfeiture of pay and reduction in grade
b. Punishments involving restraint and extra duties
c. Punitive letters

0114 PUNITIVE CENSURE

a. General
b. Secretarial letter of censure
c. Punitive censure
d. Other censures
e. Internal departmental responsibility
f. Punitive censure procedures
g. Appeals
h. Forwarding letter
i. Cancellation
j. Public reprimands

0115 ANNOUNCEMENT OF DISPOSITION OF NONJUDICIAL PUNISHMENT

a. Publication
b. Plan of the Day publication
c. Bulletin boards
d. Daily formation (Marine Corps) or morning quarters (Navy)

0116 COMMAND ACTION ON NONJUDICIAL PUNISHMENT APPEALS

a. Time limit
b. Procedures
c. Contents of forwarding endorsement

0117 AUTHORITY TO ACT ON NONJUDICIAL PUNISHMENT APPEALS

a. When the officer who imposed punishment is in a Navy chain of command
b. When the officer who imposed punishment is in the chain of command of the Commandant of the Marine Corps
c. When punishment is imposed within a multiservice command or unit
d. Delegation of authority to act on appeals
e. Rehearing after appeal

0118 SUSPENSION, MITIGATION, REMISSION, SETTING ASIDE, AND VACATION OF SUSPENSION

a. Definition of "successor in command"
b. Authority to suspend, mitigate, remit, set aside: new commander
c. Interruption of probationary period
d. Vacation of suspension

0119 RECORDS OF NONJUDICIAL PUNISHMENT

a. Records
b. Report of officer nonjudicial punishment

PART C – COURTS-MARTIAL

SUBPART C1 – PRETRIAL MATTERS

0120 DESIGNATION OF ADDITIONAL CONVENING AUTHORITIES

a. General courts-martial
b. Special courts-martial
c. Summary courts-martial

0121 REQUESTS FOR AUTHORITY TO CONVENE COURTS-MARTIAL

a. General courts-martial
b. Special and summary courts-martial
c. Separate and detached units
d. Commanding officers of staff enlisted personnel
e. Authority limited to summary courts-martial
f. Requests for courts-martial convening authority
g. Record maintenance

0122 GENERAL RESTRICTIONS ON EXERCISE OF COURT-MARTIAL JURISDICTION

a. Special and summary courts-martial
b. Units attached to ships

0123 EXERCISE OF COURT-MARTIAL JURISDICTION OVER RETIRED, RESERVE, FLEET RESERVE, FLEET MARINE CORPS RESERVE, AND DISCHARGED PERSONNEL

a. Policy
b. Request for authorization

c. Apprehension and restraint
d. Jurisdiction over reserve component personnel under Article 3(d), *UCMJ*
e. Order to active duty in the case of reserve component personnel not on active duty
f. Release from active duty of reserve component personnel described in subsection e
g. Tolling statute of limitations

0124 EXERCISE OF COURT-MARTIAL JURISDICTION IN CASES TRIED IN DOMESTIC OR FOREIGN CRIMINAL COURTS

a. Policy
b. Criteria
c. Procedure
d. Limitations

0125 EXERCISE OF COURT-MARTIAL JURISDICTION OVER MAJOR FEDERAL OFFENSES

a. Background
b. Limitation on court-martial jurisdiction
c. Exceptions
d. Related matters

0126 EXERCISE OF COURT-MARTIAL JURISDICTION IN CASES INVOLVING NATIONAL SECURITY

a. Referral to the Naval Criminal Investigative Service
b. Notice to the Judge Advocate General
c. Limitations on convening authority
d. Policy guidance
e. Cases involving classified information
f. Reporting requirements

0127 PRETRIAL RESTRAINT OF ACCUSED

a. Custody and restraint of accused before or during trial
b. Counsel
c. Preliminary (probable cause) review
d. Initial review officer
e. Reserve component personnel

0128 FORWARDING OF CHARGES

a. Forwarding of charges by an officer in a Navy chain of command
b. Forwarding of charges by an officer in the chain of command of the Commandant of the Marine Corps

0129 SUPERIOR COMPETENT AUTHORITY DEFINED

a. Accuser in a Navy chain of command
b. Accuser in the chain of command of the Commandant of the Marine Corps

0130 PERSONNEL OF COURTS-MARTIAL

a. Military judges
b. Counsel
c. Members
d. Reporters, interpreters, escorts, bailiffs, clerks, and guards
e. Oaths of court-martial personnel

0131 STANDARDS FOR DETERMINING AVAILABILITY OF REQUESTED INDIVIDUAL MILITARY COUNSEL

a. General
b. Definitions
c. Submission and forwarding of requests
d. Action by the commander of requested counsel
e. Administrative review
f. Approval of associate defense counsel

0132 [Reserved]

0133 ADDITIONAL MATTERS IN CONVENING ORDERS

0134 ADDITIONAL MATTERS IN THE CASE OF CERTAIN RESERVE COMPONENT PERSONNEL

a. Holdover of reserve component personnel on active duty
b. Holdover of reserve component personnel on inactive duty training
c. Sentences to forfeiture or fine
d. Sentence involving restraint on liberty

SUBPART C2 – TRIAL MATTERS

0135 ARTICLE 39(a), UCMJ, SESSIONS

0136 DELEGATION OF AUTHORITY TO EXCUSE MEMBERS

0137 PRETRIAL AGREEMENTS

a. General
b. Major Federal offenses
c. Limitations in national security cases

0138 AUTHORITY TO GRANT IMMUNITY FROM PROSECUTION

a. General
b. Procedure
c. Civilian witnesses
d. Cases involving national security
e. Review
f. Form of grant

0139 CONTENT OF IMMUNITY REQUESTS WHEN APPROVAL OF THE ATTORNEY GENERAL IS REQUIRED

a. Approval
b. Order to testify

0140 POST-TESTIMONY PROCEDURE WHEN AUTHORITY TO GRANT IMMUNITY WAS OBTAINED FROM THE ATTORNEY GENERAL

a. Information
b. Verbatim transcript

0141 PERSONAL DATA AND CHARACTER OF PRIOR SERVICE OF THE ACCUSED

0142 RELEASE OF INFORMATION PERTAINING TO ACCUSED PERSONS

a. General
b. Applicability of regulations
c. Release of information
d. Information subject to release
e. Prohibited information
f. Exceptional cases

0143 SPECTATORS AT PROCEEDINGS

a. At sessions of courts-martial
b. At pretrial hearings

0144 SECURITY OF CLASSIFIED MATTER IN JUDICIAL PROCEEDINGS

a. General
b. Security clearance of personnel
c. Procedures concerning spectators

0145 FINANCIAL RESPONSIBILITY FOR COSTS INCURRED IN SUPPORT OF COURTS-MARTIAL

a. Travel, per diem, fees, and mileage
b. Services and supplies

0146 FEES OF CIVILIAN WITNESSES

a. Method of payment
b. Public voucher
c. Obtaining money for advance tender or payment
d. Reimbursement
e. Certificate of person before whom deposition is taken
f. Payment of accrued fees
g. Computation
h. Non-transferability of accounts
i. Signatures
j. Rates for civilian witnesses prescribed by law
k. Supplemental construction of section
l. Expert witnesses
m. Payment of witness fees to foreign nationals

0147 WARRANTS OF ATTACHMENT

0148 COURT-MARTIAL FORMS

a. List
b. How to obtain forms
c. Forms prescribed by MCM

SUBPART C3 – POST-TRIAL MATTERS

0149 REPORT OF RESULTS OF TRIAL

0150 RECORD OF TRIAL

a. Authentication of record of trial in special courts-martial not involving a bad-conduct discharge
b. Retention of trial notes or recordings
c. Security classification
d. Summary court-martial record of trial

0151 INITIAL REVIEW AND ACTION

a. Convening authority
b. When impracticable for convening authority to act
c. Legal officer/staff judge advocate recommendation

0152 ACTIONS ON SPECIFIC TYPES OF SENTENCE

a. Sentences including forfeiture
b. Sentences including reprimand
c. Automatic reduction of enlisted accused
d. Sentences extending to dismissal

0153 DISPOSITION OF RECORDS FOLLOWING CONVENING AUTHORITY ACTION

a. Summary courts-martial and special courts-martial not involving a bad-conduct discharge
b. General courts-martial and special courts-martial which include an unsuspended or suspended bad-conduct discharge

0154 FILING AND SUPERVISION OF COURT-MARTIAL RECORDS

a. JAG supervision
b. Filing of courts-martial records
c. Records containing classified information

0155 PROMULGATING ORDERS – GENERAL AND SPECIAL COURTS-MARTIAL

a. When promulgating orders required
b. When supplementary order is not required
c. Supplementary orders in U.S. Navy-Marine Corps Court of Criminal Appeals cases
d. Form
e. Number and distribution
f. Navy officer accused

0156 PROMULGATING ORDERS – SUMMARY COURTS-MARTIAL

0157 SERVICE AND EXECUTION OF SENTENCES

a. General
b. Place and nature of confinement
c. Confinement on bread and water or diminished rations
d. Punitive discharge--Naval Clemency and Parole Board action
e. Execution of death penalty

0158 REMISSION AND SUSPENSION

a. Authority to remit or suspend sentences in general courts-martial, and special courts-martial in which the sentence includes a bad-conduct discharge
b. Authority to remit or suspend sentences in summary courts-martial, and special courts-martial in which the sentence does not include a bad-conduct discharge
c. Probationary period
d. Liaison with Naval Clemency and Parole Board

0159 LIMITATIONS ON AUTHORITY TO REMIT AND SUSPEND SENTENCES

a. Cases involving national security
b. Flag and general officers
c. Officers and warrant officers
d. Authority of the Commanding Officer, Naval Station Norfolk, VA, and the Commanding Officer, Marine Detachment, U.S. Disciplinary Barracks, Fort Leavenworth, KS

0160 VACATION OF SUSPENSION OF SENTENCE

a. Review of confinement of probationer pending vacation proceedings
b. Notice of proceedings
c. Filing of report of proceedings
d. Execution of vacated punishments

0161 REQUEST FOR WITHDRAWAL OF APPELLATE REVIEW

a. Article 66 cases
b. Article 69(a) cases

0162 APPLICATION FOR RELIEF - ARTICLE 69(b)

a. General
b. Time limitations
c. Submission procedures
d. Contents of application
e. Signatures on application

0163 PETITION FOR NEW TRIAL - ARTICLE 73

0164 NOTIFICATION TO ACCUSED OF COURT OF CRIMINAL APPEALS DECISION

a. Current address of Accused
b. Promulgation package
c. Copies of decision
d. Change in address
e. Completion of appellate review

0165 REQUEST FOR IMMEDIATE EXECUTION OF DISCHARGE

a. General
b. Conditions of approval
c. Execution of unexecuted portion of sentence
d. Form of request for immediate execution of discharge

0166 INSPECTION OF RECORD OF TRIAL CONTAINING CLASSIFIED INFORMATION

0167 SETOFF OF INDEBTEDNESS OF A PERSON AGAINST PAY

a. Court-martial decisions
b. Administrative determinations
c. Army and Air Force property
d. Voluntary restitution

PART D -- MISCELLANEOUS

0168 APPREHENSION BY CIVILIAN AGENTS OF THE NAVAL CRIMINAL INVESTIGATIVE SERVICE

0169 AUTHORITY TO PRESCRIBE REGULATIONS RELATING TO THE DESIGNATION AND CHANGING OF PLACES OF CONFINEMENT

0170 FORMS SUPPLEMENTING THE MILITARY RULES OF EVIDENCE

a. Interrogations
b. Search and seizure

0171 CROSS-REFERENCE TO SECRETARIAL OR JAG REGULATIONS IMPLEMENTING THE MCM

CHAPTER I
REGULATIONS IMPLEMENTING AND SUPPLEMENTING THE MANUAL FOR COURTS-MARTIAL

0101 SCOPE

The Uniform Code of Military Justice (UCMJ) and the Manual for Courts-Martial (MCM), authorize "the Secretary concerned" or "the Judge Advocate General concerned" to prescribe regulations implementing or supplementing certain provisions of the UCMJ or the MCM. This chapter provides those regulations and additional regulations relating to military justice.

Part A contains regulations and procedures governing nonpunitive corrective measures. Part B contains regulations and procedures relating to nonjudicial punishment. Part C pertains to trial by court-martial. It is divided into three subparts, concerning the pretrial, trial, and post-trial stages of the court-martial process. Part D contains miscellaneous provisions, including a table of cross-references between this chapter and corresponding provisions of the MCM.

PART A - NONPUNITIVE MEASURES

0102 NONPUNITIVE ADMINISTRATIVE MEASURES GENERALLY

Commanding officers and officers in charge are authorized and expected to use administrative corrective measures to further the efficiency of their commands or units. See R.C.M. 306(c)(2), MCM. These measures are not to be imposed as punishment for any military offense(s). They may be administered either orally or in writing. They generally fall into three areas: extra military instruction, administrative withholding of privileges, and nonpunitive censure.

0103 EXTRA MILITARY INSTRUCTION

a. Definition. Extra military instruction (EMI) is defined as instruction in a phase of military duty in which an individual is deficient, and is intended for and directed towards the correction of that deficiency. It is a bona fide training technique to be used for improving the efficiency of an individual within a command or unit through the correction of some deficiency in that individual's performance of duty. It may be assigned only if genuinely intended to accomplish that result. It is not to be used as a substitute for judicial (court-martial) action or nonjudicial punishment (NJP), and must be logically related to the deficiency in performance for which it was assigned.

b. Limitations. EMI shall be conducted within the following limitations:

(1) EMI normally will not be conducted for more than 2 hours per day.

(2) EMI may be conducted at a reasonable time outside normal working hours. Reserve component personnel on inactive duty training, however, may not be required to perform EMI outside normal periods of inactive duty training.

(3) EMI will not be conducted over a period that is longer than necessary to correct the performance deficiency for which it was assigned.

(4) EMI should not be conducted on the member's Sabbath.

(5) EMI will not be used for the purpose of depriving the member of normal liberty to which the member is otherwise entitled. A member who is otherwise entitled thereto may commence normal liberty upon completion of EMI.

(6) Authority to assign EMI that is to be performed during normal working hours is not limited to any particular grade or rate, but is an inherent part of that authority over their subordinates which is vested in officers and noncommissioned/petty officers in connection with duties and responsibilities assigned to them. This authority to assign EMI that is to be performed during normal working hours may be withdrawn by any superior if warranted.

(7) Authority to assign EMI to be performed after normal working hours is vested in the commanding officer or officer in charge. Such authority may be delegated, as appropriate, to officers and noncommissioned/petty officers, in connection with duties and responsibilities assigned to them, only if authorized by regulations of the Chief of Naval Operations or the Commandant of the Marine Corps, as appropriate. See OPNAVINST 3120.32 series.

0104 ADMINISTRATIVE WITHHOLDING OF PRIVILEGES

a. Privilege. A privilege is a benefit, advantage, or favor provided for the convenience or enjoyment of an individual. Examples of privileges that may be temporarily withheld as administrative corrective measures are: special liberty; exchange of duty; special command programs; access to base or ship libraries, base or ship movies, or enlisted or officers' clubs; base parking; and base or ship special services events. It may also encompass the withholding of special pay as well as commissary and exchange privileges, provided such withholding complies with applicable rules and regulations, and is otherwise in accordance with law. In all instances, unless properly delegated, final authority to withhold a privilege, however temporary, must ultimately rest with the level of authority empowered to grant that privilege.

b. Deprivation of liberty. Deprivation of normal liberty as a punishment, except as specifically authorized under the UCMJ, is illegal. Therefore, except as the specific result of punishment imposed under article 15, UCMJ, or as the result of the sentence of a court-martial, it is illegal for any officer or noncommissioned/petty officer to deny to any subordinate normal liberty, or privileges incident thereto, as punishment for any offense. Lawful deprivation of normal liberty, however, may result from other lawful actions such as authorized pretrial restraint, or deprivation of normal liberty in a foreign country or in foreign territorial waters, when such action is deemed essential for the protection of the foreign relations of the United States, or as a result of international legal hold restriction. Moreover, it is necessary to the efficiency of the naval service that official functions be performed and that certain work be accomplished in a timely manner. It is, therefore, not a punishment when persons in the naval service are required to remain on board and be physically present outside of normal working hours for work assignments that should have been completed during normal working hours, for the accomplishment of additional essential work, or for the achievement of the currently required level of operational readiness.

0105 NONPUNITIVE CENSURE

a. General. "Censure" is a statement of adverse opinion or criticism of an individual's conduct or performance of duty expressed by a superior in the member's chain of command. Censure may be punitive or nonpunitive. See section 0114 regarding punitive censure. Censure does not include adverse comments in reports of fitness or performance evaluations, letters of instruction, or administrative remarks entries documenting factual matters such as counseling. Proper use of adverse matter that is not censure is governed by Department of the Navy regulations and applicable service directives, such as the Naval Military Personnel Command Manual and the Marine Corps Individual Records Administration Manual.

b. Nonpunitive censure. Nonpunitive censure is provided for in R.C.M. 306(c)(2), MCM. Nonpunitive censure may be issued by any superior in the member's chain of command, and may be either oral or in writing. A sample nonpunitive letter is at Appendix A-1-a.

(1) A nonpunitive letter is not considered punishment; rather, the letter is issued to remedy a noted deficiency in conduct or performance of

duty. The contents of a nonpunitive letter are not limited to, but may include the following: identification of conduct or performance of duty deficiencies, direction for improvement, language of admonishment, identification of sources of assistance, outline of corrective action, and the consequences of failing to correct the deficiencies.

(2) A nonpunitive letter will be kept a personal matter between the member and the superior issuing the nonpunitive letter. Other than Secretarial letters of censure (see section 0114b), the letter may not be forwarded to the Chief of Naval Personnel or the Commandant of the Marine Corps, quoted in or appended to fitness reports, included as enclosures to investigations pursuant to the Manual of the Judge Advocate General or to other investigations, or otherwise included in official departmental records of the recipient.

(3) The commanding officer of a member may use the underlying facts to support a detachment for cause proceeding, for relief of command, or to support a negative endorsement. If the member submits a rebuttal to those facts alleging inadequate counseling or a failure to warn of deficiencies, a copy of the nonpunitive letter may be included in the correspondence forwarding the member's rebuttal. Under such circumstances, a nonpunitive letter may properly be included in the official service record of the member upon filing of the complete correspondence under the provisions of applicable service regulations. The fact of issuance of a nonpunitive letter may not be mentioned in a fitness report but the underlying facts may be included.

PART B - NONJUDICIAL PUNISHMENT

0106 AUTHORITY TO IMPOSE

a. Commander. Any commander or commanding officer, including a commanding officer as designated pursuant to subsection d, may impose nonjudicial punishment upon officers and enlisted persons of the command. This authority to impose nonjudicial punishment extends to Reserve commanders or commanding officers on active duty training.

b. Officer in charge. Any commissioned officer who is designated as officer in charge of a unit by Departmental Orders, Tables of Organization, manpower authorizations, orders of a flag or general officer in command (including one in command of a multiservice command to which

members of the naval service are attached), or orders of the senior officer present, may impose upon enlisted persons assigned to the unit admonition or reprimand and one or more of the punishments listed in paragraph 5b(2)(A)(i) to (vi) of Part V, MCM.

c. Principal assistant. With the express prior approval of the Chief of Naval Personnel or the Commandant of the Marine Corps, as appropriate, a flag or general officer in command may delegate all or a portion of his powers under article 15, UCMJ, to a senior officer on his staff who is eligible to succeed to command in case of absence of such officer in command. To the extent of the authority thus delegated, the officer to whom such powers are delegated shall have the same authority as the officer who delegated the powers.

d. Multiservice commander or officer in charge. A multiservice commander or officer in charge to whose staff, command or unit members of the naval service are assigned may impose nonjudicial punishment upon such individuals. A multiservice commander, alternatively, may designate one or more naval units, and shall for each such naval unit designate a commissioned officer of the naval service as commanding officer for the administration of discipline under article 15, UCMJ. A copy of any such designation by the commander of a multiservice command shall be furnished to the Chief of Naval Personnel or the Commandant of the Marine Corps, as appropriate, and to the Judge Advocate General.

e. Withholding of nonjudicial punishment authority. Unless specifically authorized by the Secretary of the Navy, commanding officers of the Navy and Marine Corps shall not limit or withhold the exercise by subordinate commanders of any disciplinary authority they might otherwise have under article 15, UCMJ. But see section 0108a.

0107 JURISDICTION

a. Individual

(1) General rule. When nonjudicial punishment is imposed, the accused must be a member of the command, or of the unit, of the officer imposing the punishment. A member is "of the command," or "of the unit," if assigned or attached thereto. A member may be "of the command," or "of the unit," of more than one command or unit at the same time and, consequently, be subject to the nonjudicial punishment authority of both commanders. For example, members assigned to or attached to commands or units for the purpose of performing temporary duty (TDY) are subject to the nonjudicial punishment authority of the commanders of both the parent and TDY commands. Similarly, members assigned or attached to a detachment under the operational control of another command or unit by virtue of operational orders, or other authorized means, are subject to the nonjudicial punishment authority of the commanders of both the parent and supported units.

(2) Issuance of letter of censure to party before fact-finding body. A person who has been designated a party before a fact-finding body convened under these regulations (see chapter II) remains thereafter "of the command" of the unit or organization to which assigned or attached at the time of such designation for the purpose of imposition of the sole nonjudicial punishment of a punitive letter, even though for other purposes he may have been assigned or attached to another command before such letter was delivered to him. This status terminates automatically when all action on appeal has been completed respecting the letter of admonition or reprimand.

(3) Action when accused is no longer with command. Except as provided in subsection a(2), if the accused is no longer assigned to or attached to the unit at the time nonjudicial punishment is to be imposed, the alleged offense should be referred for appropriate action to a competent authority in the chain of command over the individual concerned.

b. Over reserve component personnel on active duty or inactive duty training. A member of a reserve component on active duty or inactive duty training is subject to the UCMJ. Such members are not, by virtue of termination of a period of active duty or inactive duty training, relieved from amenability to jurisdiction of the UCMJ for

offenses committed during such periods of active duty or inactive duty training and may be ordered to active duty for disciplinary proceedings. (See section 0123e regarding procedures for ordering to active duty and section 0123f regarding release from active duty of members ordered to active duty for disciplinary proceedings.)

0108 LIMITATION ON IMPOSITION OF NONJUDICIAL PUNISHMENT

a. Units attached to ships. The commanding officer or officer in charge of a unit attached to a ship of the Navy for duty should, as a matter of policy while the unit is embarked therein, refrain from exercising his powers to impose nonjudicial punishment. All such matters should be referred to the commanding officer of the ship for disposition.

(1) This general policy is a necessary corollary to the latter's overall responsibility for the safety, well being, and efficiency of the ship. Nevertheless, the commanding officer of a ship of the Navy is authorized to determine whether, and under what circumstances, he may desire to permit a commanding officer or officer in charge of a unit attached to that ship, while embarked therein, to exercise routinely nonjudicial punishment authority. The commanding officer of a ship of the Navy may, for example, permit a commanding officer or officer in charge of a unit attached to and embarked in the ship to exercise nonjudicial punishment authority. Certain types of offenses, or offenses committed by certain categories of personnel, may nonetheless be required to be referred to the commanding officer of the ship for disposition.

(2) This policy shall not apply to Military Sealift Command vessels operating under a master, nor does it apply where an organized unit is embarked for transportation only. When an organized unit is embarked for transportation only in a ship of the Navy, the officer in command of such organized unit shall retain the authority possessed over such unit prior to embarkation, including disciplinary authority. Under ordinary circumstances, the internal control and discipline of a unit embarked for transportation only shall be left to the officer in command of that unit. Nothing in the foregoing shall be construed as impairing the paramount authority of the commanding officer of the ship, including disciplinary authority, over all personnel of the naval service embarked. In the case of units embarked for transportation only, however, the commanding officer of the ship should take disciplinary action under the UCMJ over members of such embarked units only in unusual cases concerning incidents occurring on board the ship.

b. Cases previously tried in civil courts. See section 0124 for rules governing nonjudicial punishment in cases previously adjudicated in domestic or foreign criminal courts.

c. Right to demand trial. A person in the Navy or Marine Corps who is attached to or embarked in a vessel does not have the right to demand trial by court-martial in lieu of nonjudicial punishment.

0109 ADVICE TO ACCUSED PRIOR TO IMPOSITION OF NONJUDICIAL PUNISHMENT

a. Legal rights. Prior to the imposition of nonjudicial punishment, the commanding officer or officer in charge shall ensure that the individual concerned is fully advised of all applicable legal rights and that other required action is taken prior to the hearing. See section 0110d if nonjudicial punishment is to be based on the report of a fact-finding body. There is no right for an accused to consult with counsel prior to nonjudicial punishment; however, commanding officers are encouraged to permit an accused to so consult subject to the immediate availability of counsel, the delay involved, or operational commitments or military exigencies. Failure to provide the opportunity for an accused to consult with counsel prior to nonjudicial punishment does not preclude the imposition of nonjudicial punishment; it merely precludes the admissibility of the record of nonjudicial punishment in aggravation at a later court-martial (unless the accused was attached to or embarked in a vessel at the time of the imposition of nonjudicial punishment). The status of the accused (See subsection b) and the potential use of the record (See subsections c and d) should be considered in determining whether to utilize Appendix A-1-b, Appendix A-1-c, or Appendix A-1-d.

b. Accused attached to or embarked in a vessel. Appendix A-1-b is the Accused's Notification of Rights for use only in circumstances when an accused is attached to or embarked in a vessel. The record of nonjudicial punishment can be used in aggravation in the event of a later court-martial conviction for other offenses.

c. Accused not attached to or embarked in a vessel. (Record cannot be used in aggravation in event of later court-martial unless lawyer serves as personal representative.) Appendix A-1-c is an Accused's Notification of Rights that is for use if either the officer who may impose nonjudicial punishment does not intend any record of captain's mast/office hours to be used in aggravation in the event of a later court-martial conviction for other offenses, or if a personal representative, who is a civilian or military lawyer, appears at the captain's mast/office hours.

d. Accused not attached to or embarked in a vessel. (Record may be used in aggravation in event of later court-martial.) Appendix A-1-d is an Accused's Notification of Rights which is for use if it is intended to utilize the record of captain's mast/office hours in aggravation in the event of a later court-martial conviction on other charges. See R.C.M. 1001, MCM, and section 0141.

(1) Appendix A-1-d provides for obtaining advice of rights from a lawyer prior to the accused deciding whether to accept or refuse captain's mast/office hours. Such a lawyer may be a military lawyer or a civilian lawyer (obtained by the accused at his own expense). A military lawyer who provides such advice should be "independent." It is considered that a military lawyer who, in the course of his regular duties, acts as the principal legal advisor to the officer who would hold the captain's mast/office hours, is not "independent."

(2) If the accused does not wish to obtain this advice of rights from a lawyer, the accused should so indicate in the appropriate space and complete the remainder of the form. If the accused states that he desires to obtain advice of rights from a lawyer before deciding whether to accept or reject captain's mast/office hours, Appendix A-1-d shall so indicate, but the remainder of the form shall not be completed until the accused has been given a reasonable opportunity to obtain this advice of rights. Such advice to an accused from a military lawyer shall be limited to an explanation of the legal ramifications involved in the right to refuse captain's mast/office hours. These legal ramifications are limited to areas such as: the accused's substantive and procedural rights at a court-martial as opposed to captain's mast/office hours; the respective punishment limitations; and the potential uses of courts-martial convictions and captain's mast/office hours records at any subsequent trial by court-martial. Providing these technical explanations regarding basic principles of military law do not, per se, establish an attorney-client relationship, nor do they constitute an assignment of such a military lawyer as the individual's defense counsel or personal representative for purposes of nonjudicial punishment. Military lawyers making such explanations should guard against the establishment of any attorney-client relationship unless detailed by proper authority to serve as defense counsel or personal representative of the accused.

(3) Telephone communication between an accused facing captain's mast/office hours and a military lawyer counsel is sufficient to satisfy this advice requirement.

(4) In the event that the accused, through no fault of the accused's own, does not receive the requisite advice of rights, and does not waive the right thereto, Appendix A-1-c may be utilized in lieu of Appendix A-1-d.

e. Service record entries

(1) In the event punishment is imposed at captain's mast/office hours, and Appendix A-1-d is utilized, or the accused is represented by a lawyer at the hearing, appropriate service-record entries should be made, and signed by appropriate personnel, on page 13 (Navy) or page 12 (Marine Corps), or in such other manner as service directives may require. As an example, if the accused executed Appendix A-1-d, the service

record entry should state, after appropriate verification, the following:

> (Grade and name of accused) signed JAG Manual Appendix A-1-d, prior to (his)(her) (captain's mast)(office hours) which was held on (date of captain's mast/office hours).
>
> The accused [talked to a lawyer prior to deciding whether to demand trial by court-martial in lieu of (captain's mast) (office hours)] [elected to give up (his)(her) right to talk with a lawyer prior to deciding whether to demand trial by court-martial in lieu of (captain's mast) (office hours)]. The accused was advised that acceptance of nonjudicial punishment does not preclude further administrative action against (him)(her). This may include being processed for an administrative discharge which could result in an other than honorable discharge. In completing the remainder of the form, the accused did not demand trial by court-martial in lieu of (captain's mast) (office hours).

(2) If the accused is represented by a military or civilian lawyer as a personal representative at captain's mast/office hours, the following example of a service-record entry may be made, after appropriate verification:

> (Grade and name of accused) received punishment at (captain's mast) (office hours) on (date). The accused was represented by a lawyer.

0110 PROCEDURES FOR IMPOSITION OF NONJUDICIAL PUNISHMENT

a. Captain's mast/office hours guide. Appendix A-1-e is a guide for a personal hearing at captain's mast or office hours.

b. Standard of proof. Captain's mast/office hours that results in nonjudicial punishment is not a criminal trial; it is a disciplinary proceeding. Its purpose is to determine whether an offense was committed by the member and, if appropriate, to provide punishment therefor. Such punishment is designed for minor misconduct in a nonjudicial forum, without the permanent stigma of a record of "Federal conviction." As such, the standard of proof by which facts must be established at mast or office hours is a "preponderance of the evidence," rather than "beyond a reasonable doubt," as it is at courts-martial.

c. Observers at captain's mast/office hours. The presence of representative members of the command as observers during personal hearings under paragraph 4 of Part V, MCM, and article 15, UCMJ, is authorized and encouraged as a method of dispelling erroneous perceptions which may exist concerning the integrity and fairness of the imposition of nonjudicial punishment. Nothing in these requirements shall preclude the alleged offender from conferring privately with the officer conducting the hearing to relate matters which, in the opinion of the alleged offender, are of a personal nature.

d. Nonjudicial punishment based on report of a fact-finding body. If nonjudicial punishment is contemplated on the basis of the record of a court of inquiry or other fact-finding body, a preliminary examination shall be made of such record to determine whether the individual concerned was accorded the rights of a party before such fact-finding body and, if so, whether such rights were accorded with respect to the act or omission for which nonjudicial punishment is contemplated. If the individual does not exercise his right to demand trial by court-martial, or if he does not have that right, the individual may submit, in writing, any matter in defense, extenuation, or mitigation to the officer considering imposing the nonjudicial punishment. If the individual concerned was accorded the rights of a party with respect to the act or omission for which nonjudicial punishment is contemplated, such punishment may be imposed without further proceedings. If the individual concerned was not accorded the rights of a party with respect to the offense for which punishment is contemplated, the procedure prescribed in paragraph 4 of Part V, MCM, must be conducted. In the alternative, the record of the fact-finding body may be returned for additional proceedings during which the individual concerned shall be accorded the rights of a party with respect to the act or omission for which nonjudicial punishment is contemplated.

e. Advice after imposition of nonjudicial punishment. The officer who imposes punishment under article 15, UCMJ, shall again ensure that the offender is fully informed of his right to appeal. Appendix A-1-f is an Accused's Acknowledgment of Appeal Rights which should be signed and witnessed if one or more punishments is imposed.

0111 LIMITATIONS ON AND NATURE OF PUNISHMENTS

a. Restriction imposed upon officers and warrant officers. Restriction, with or without suspension from duty, imposed upon commissioned and warrant officers under paragraph 5b(1)(A) of Part V, MCM, may not exceed 15 consecutive days when imposed by a commanding officer below the grade of major or lieutenant commander.

b. Correctional custody. This punishment shall not be imposed on persons in paygrade E-4 and above unless unsuspended reduction below paygrade E-4 is imposed. See SECNAVINST 1640.7 series for instructions concerning the administration of correctional custody.

c. Confinement on bread and water or diminished rations. This punishment shall not be imposed on persons in paygrade E-4 and above unless unsuspended reduction below pay- grade E-4 is imposed.

d. Extra duties. Subject to the limitations set forth in paragraph 5c(6) of Part V, MCM, this punishment shall be considered satisfied when the enlisted person shall have performed extra duties during available time in addition to performing his military duties. Normally the immediate commanding officer of the accused will designate the amount and character of the extra duties to be performed. The daily performance of the extra duties, before or after routine duties are completed, constitutes the punishment whether the particular daily assignment requires 1, 2, or more hours, but normally extra duties should not extend to more than 2 hours per day. Except in cases of members of the Naval or Marine Corps Reserve performing inactive training or annual training for a period of less than 7 days, extra duty shall not be performed on Sunday, although Sunday counts in the computation of the period for which such punishment is imposed. Guard duty shall not be assigned as punishment.

e. Reduction in grade. Under no circumstances may the punishment of reduction in grade be imposed except to the next inferior paygrade. Navy personnel in the paygrade of E-7 or above and Marine Corps personnel in the paygrade of E-6 or above may not be reduced in paygrade.

f. Arrest in quarters. An officer or warrant officer undergoing this punishment shall not be permitted to perform duties involving the exercise of authority over any person who is otherwise subordinate to him.

0112 LIMITATIONS ON NONJUDICIAL PUNISHMENTS TO BE IMPOSED ON RESERVE COMPONENT PERSONNEL NOT ON ACTIVE DUTY

a. Punishment involving restraint on liberty

(1) If imposed on reserve component personnel on inactive duty training, restriction shall not extend beyond the normal inactive duty training period but may be carried over to subsequent periods of inactive duty training or active duty. A reserve component member on inactive duty may not be ordered to active duty for the sole purpose of serving such punishment unless the order to active duty received Secretarial approval. See section 0123e.

(2) If imposed on reserve component personnel who have been ordered to active duty for disciplinary proceedings, the period of active duty may not be extended for the purpose of serving such punishment unless the order to active duty received Secretarial approval. See section 0123e.

(3) Confinement on bread and water may not be imposed unless the reserve component member was ordered to active duty with Secretarial approval. See section 0123e.

(4) Correctional custody, extra duties, and arrest in quarters may not be imposed on reserve component personnel on inactive duty training.

b. Punishment involving forfeiture of pay. Pay subject to forfeiture refers only to basic pay plus sea or foreign duty pay. If punishment also includes reduction in grade, forfeiture shall be based on the grade to which the accused is reduced. For inactive duty training reserve component personnel ordered to active duty for punishment and released therefrom prior to collection of all forfeitures. See DODPM, Pt. 7, ch. 5 and 6.

0113 EFFECTIVE DATE AND EXECUTION OF NONJUDICIAL PUNISHMENTS

a. Forfeiture of pay and reduction in grade. These punishments, if unsuspended, take effect on the date imposed. If suspended, and the suspension is later vacated, these punishments take effect for all purposes on the date the suspension is vacated. If, subsequent to the imposition of a punishment of forfeiture of pay and prior to the execution of this punishment, an accused absents himself without authority, such period of absence shall interrupt the service of this punishment and shall be excluded in computing the service of this punishment. If a forfeiture of pay is imposed, however, while a prior punishment of forfeiture of pay is still in effect, the prior punishment will be completed before the latter begins to run. A punishment to reduction in rate may be executed in the accused's absence.

b. Punishments involving restraint and extra duties

(1) Generally. The punishments of arrest in quarters, correctional custody, confinement on bread and water or diminished rations, extra duties, and restriction, if unsuspended, take effect when imposed and are executed when served. But see paragraph 7 of Part V, MCM, if an appeal is filed.

(2) Interruption by absence or later punishment. If subsequent to the imposition and prior to the execution of these punishments an accused absents himself without authority, the period of absence shall interrupt the service of the unexecuted portion of these punishments. The execution of any previously imposed nonjudicial punishment involving restraint will normally be interrupted by a subsequent nonjudicial punishment involving restraint. Upon execution of the later-imposed nonjudicial punishment involving restraint, the unexecuted portion of the earlier punishment will be executed. The officer imposing the later punishment may, however, order that the earlier punishment be completed prior to execution of the later punishment. A sentence imposed by a court-martial will also interrupt the service of any nonjudicial punishment involving restraint. When the judicially imposed punishment has been served, any unexecuted nonjudicial punishment will be completed.

(3) Deferment of execution. Commanding officers and officers in charge may, when adequate facilities are not available or when the exigencies of the service require, defer execution of correctional custody or confinement on bread and water or diminished rations, for a reasonable period of time, not to exceed 15 days, after imposition. Also, commanding officers and officers in charge may, if the accused is found to be medically unfit for the service of the punishments of correctional custody, confinement on bread and water or diminished rations, defer, for a period not to exceed 15 days, the execution of the punishment until the accused is determined to be medically fit to serve the punishment. If at the end of the deferment period the accused remains medically unfit to serve the punishment of correctional custody or confinement on bread and water or diminished rations, the commanding officer or officer in charge who imposed the punishment may mitigate the punishment to one no more severe than the original punishment announced.

c. Punitive letters. These punishments take effect when imposed. A punitive letter is imposed when delivered to the offender. The imposition of a punitive letter may not be suspended.

0114 PUNITIVE CENSURE

a. General. "Censure" is a statement of adverse opinion or criticism of an individual's conduct or performance of duty expressed by a superior in the member's chain of command. Censure may be punitive or nonpunitive. See section 0105 regarding nonpunitive censure.

b. Secretarial letter of censure. The Secretary of the Navy may administratively censure members in writing without reference to article 15, UCMJ. The member to whom a Secretarial letter of censure is addressed has no right of appeal. Unless otherwise directed, a copy of the letter will be filed in the official record of the person censured. If a copy of the letter is filed in the official record of the member, the individual may submit a rebuttal. Any such reply shall be temperate in language and confined to pertinent facts. Opinions shall not be expressed nor the motives of others impugned. Replies shall not contain countercharges. The issuance of a Secretarial letter of censure and the underlying facts may be mentioned in a fitness report and used to support a detachment for cause proceeding, relief of command, or negative endorsement, or any other administrative action on the part of the service concerned.

c. Punitive censure. A punitive letter is issued as nonjudicial punishment or as the result of a sentence by court-martial. See section 0152b. When imposed upon officers, punitive censure must be in writing. When imposed upon enlisted personnel as nonjudicial punishment, punitive censure may be either written or oral. Punitive censure issued to enlisted personnel in execution of a court-martial sentence must be in writing. Unless withdrawn or set aside by higher authority upon appeal, punitive letters become part of the official service record of the member to whom they are addressed. The issuance of a punitive letter and the facts of the underlying offenses may be mentioned in the member's fitness report or enlisted evaluation and used to support a detachment for cause proceeding, relief of command, or any other administrative action on the part of the service concerned. Procedures for issuance of punitive letters and procedures of appeal rights in connection with imposition as nonjudicial punishment are discussed below in subsections f and g.

d. Other censures. No other punitive censure is authorized.

e. Internal departmental responsibility. Correspondence, records, and files in the Department of the Navy that relate to punitive censure and Secretarial letters of censure are personnel matters under the primary cognizance of the Chief of Naval Personnel or the Commandant of the Marine Corps, as appropriate.

f. Punitive censure procedures

(1) Issuing authority. When an officer has committed an offense that warrants a punitive letter, the immediate commanding officer subject to paragraphs 3 and 4 of Part V, MCM, may issue the letter or refer the matter through the chain of command, normally to the superior who exercises general court-martial jurisdiction over the prospective addressee. The degree of severity and effect of a punitive letter increase with the grade of the officer who issues the letter.

(2) Hearing requirement. Subject to the provisions of article 15(a), UCMJ, paragraph 3 of Part V, MCM, and section 0108c regarding demand for trial, a punitive letter may be issued, or its issuance recommended to higher authority, on the basis of an investigation or court of inquiry for acts or omissions for which the individual was accorded the rights of a party or on the basis of captain's mast/office hours prescribed in paragraph 4 of Part V, MCM. When a hearing at captain's mast/office hours is conducted the officer conducting the hearing shall prepare a report thereof. The report shall include a summary of the testimony of witnesses, statements, and affidavits submitted to the officer holding the hearing, and a description of items of information in the nature of physical or documentary evidence considered at the hearing.

(3) Content of letter

(a) General. A punitive letter issued pursuant to article 15, UCMJ, may be imposed only for those minor acts or omissions constituting offenses under the UCMJ. See paragraph 1e of Part V, MCM. The letter must set forth the facts constituting the offense but need not refer to any specific punitive article of the UCMJ nor satisfy the drafting requirements of court-martial specifications. The letter should contain sufficient specific facts, without reference to other documents, to apprise a reader of all relevant facts and circumstances of the offense.

General conclusions, such as "gross negligence," "unofficer-like conduct," or "dereliction of duty," *are valueless unless accompanied by specific facts* upon which they are based. A sample punitive letter is set forth for guidance in Appendix A-1-g.

(b) References. All punitive letters should refer to all prior proceedings and correspondence upon which they are based, applicable laws and regulations, including the MCM, and this section. Particular reference should be made to the hearing afforded the offender. Where applicable, the letter shall include a statement that the recipient was advised of the right to demand trial by court-martial in lieu of nonjudicial punishment and that such trial was not demanded. See article 15(a), UCMJ.

(c) Classification (security). Specific details requiring security classification should be omitted from punitive letters. A letter issued as nonjudicial punishment shall be designated "For Official Use Only" unless it contains classified matter. See SECNAVINST 5720.42D for marking instructions.

(d) Notification of right to appeal and right to submit statement. Punitive letters, except letters issued in execution of a court-martial sentence as described in section 0152b and Secretarial letters of censure, shall contain the following:

> You may appeal this action to the next superior authority, the _____ via [insert the official designation of the commanding officer issuing the letter or, if the officer is the immediate commanding officer of the offender, the official designations of the immediate commanding officer of the offender and the officer issuing the letter] under the provisions of article 15(e) of the Uniform Code of Military Justice, paragraph 7 of Part V, Manual for Courts-Martial, and section 0114g of the Manual of the Judge Advocate General.
>
> If you do not desire to appeal this action, you are directed to so inform the issuing authority in writing within 5 days after the receipt of this letter.
>
> If you do desire to appeal this action, you are advised that an appeal must be made within a reasonable time and that, in the absence of unusual circumstances, an appeal made more than 5 days after the receipt of this letter may be considered as not having been made within a reasonable time. If, in your opinion, unusual circumstances make it impracticable or extremely difficult for you to prepare and submit your appeal within the 5 days, you shall immediately advise the officer issuing this letter of such circumstances and request an appropriate extension of time to submit your appeal. Failure to receive a reply to such request will not, however, constitute a grant of such extension of time to submit your appeal.
>
> In all communications concerning an appeal of this action, you are directed to state the date of your receipt of this letter.
>
> Unless withdrawn or set aside by higher authority, a copy of this letter will be placed in your official record at [Bureau of Naval Personnel][Headquarters, U.S. Marine Corps]. You may forward within 15 days after receipt of final denial of your appeal or after the date of your notification of your decision not to appeal, whichever may be applicable, a statement concerning this letter for inclusion in your record. If you do not desire to submit a statement, you shall so state in writing within 5 days. You are advised that any statement submitted must be couched in temperate language and shall be confined to pertinent facts. Opinions shall not be expressed nor the motives of others impugned. Your statement may not contain countercharges. Your reporting senior may note this letter in your next [fitness report] [performance evaluation] submitted after this letter becomes final, either by decision of higher authority upon appeal or by your decision not to appeal. Omit last sentence in cases involving Marine Corps enlisted personnel in paygrades E-4 or below.

g. Appeals. The following rules apply to appeals of punitive letters (in addition to those rules contained in paragraph 7 of Part V, MCM, and sections 0116 and 0117):

(1) A copy of the report of captain's mast/office hours shall be provided to the individual upon request except where the interests of national security may be adversely affected. A copy shall be made available to the individual for use in preparation of a defense or appeal. See section 0116b(2) for similar rules concerning a copy of the record of an investigation or court of inquiry.

(2) In forwarding an appeal from a punitive letter (see section 0116), the officer who issued the letter shall attach to the appeal a copy of the punitive letter and the record of investigation or court of inquiry or report of hearing on which the letter is based. The appeal shall be forwarded via the chain of command to the superior to whom the appeal is made. The superior to whom the appeal is made may direct additional inquiry or investigation into matters raised by the appeal if such action is deemed necessary in the interests of justice.

(3) Appeals from a punitive letter imposed as nonjudicial punishment shall be forwarded as specified in section 0117.

(4) The standard of review for a punitive letter of censure will be that the language in the letter is "accurate and relevant to the offenses committed and the punishment imposed." The contents of the appeal must be couched in terms that are temperate and factual.

(5) Upon determination of the appeal, the superior shall advise the appellant of the action taken via the immediate commanding officer with copies of the action to officers in the chain of command through whom the appeal was forwarded. The superior shall also return all papers to the commander who issued the letter.

h. Forwarding letter. Upon denial of any appeal taken, the lapse of a reasonable time after issuance (see section 0116a), or upon receipt of the addressee's statement that an appeal is not desired, a copy of the punitive letter and other documents required by the Chief of Naval Personnel or the Commandant of the Marine Corps, together with the addressee's statement or a written declaration that he does not desire to make a statement, shall be forwarded to Chief of Naval Personnel (PERS-82 for officers and PERS-83 for enlisted) or the Commandant of the Marine Corps (Code JAM for officers and Code MMRB-20 for enlisted), as appropriate. If the punitive letter is not sustained on appeal, a copy of the letter shall not be filed in the official record of the member concerned. The command issuing a punitive letter has the responsibility of assembling and forwarding at one time all the foregoing documents and of providing a copy of the forwarding letter for each via addressee.

i. Cancellation. Material properly placed in an officer's or enlisted member's official record may not normally be removed or destroyed.

(1) If a factual error or other reasons indicate that a punitive letter issued under article 15, UCMJ, and filed in the addressee's official record results in a clear injustice, the officer referred to in paragraph 6 of Part V, MCM, and section 0118a, may cancel or direct cancellation of the punitive letter. Cancellation occurs by issuing a second letter to the officer or enlisted member concerned announcing the cancellation of the punitive letter and setting forth in detail the reason for cancellation.

(2) If a punitive letter is canceled by superior authority before a copy of the original of such letter is forwarded to the Chief of Naval Personnel or the Commandant of the Marine Corps, the punitive letter will not be forwarded and copies of the punitive letter will be removed from all files relating to the member and destroyed.

(3) If the cancellation occurs after a copy of the punitive letter has been forwarded, a copy of the letter of cancellation shall be forwarded to the Chief of Naval Personnel or the Commandant of the Marine Corps, as appropriate, as well as to any other addressees to whom copies of the punitive letter were forwarded. Upon receipt of the copy of the letter of cancellation, addressees will ensure that copies of the punitive letter shall not be filed in or, if already filed, shall be removed from, the member's official record and destroyed. The order or letter of cancellation or

a copy thereof shall not be filed in the member's official records.

(4) If a punitive letter is filed inadvertently or by mistake of fact, such document may be removed by the Chief of Naval Personnel or the Commandant of the Marine Corps, as appropriate. In other cases, only the Secretary of the Navy acting through the Board for Correction of Naval Records may order removal of punitive letters and other documents in official records.

j. Public reprimands. Omission of the word "private" preceding "admonition or reprimand" in article 15, UCMJ, does not constitute authority to commanding officers to issue "public reprimands," which are looked upon with disfavor by the Department of the Navy.

0115 ANNOUNCEMENT OF DISPOSITION OF NONJUDICIAL PUNISHMENT

a. Publication. Publication of nonjudicial punishment results is rooted in the reasonable belief that it serves to deter other members of the organization from committing similar offenses and that it has salutary effects upon the morale of the organization. Accordingly, commanding officers may, if the interests of the rehabilitation of the offender, good order, high morale, and perceptions of fairness so warrant, establish a policy whereby the disposition of nonjudicial punishment cases should be announced. See section 0509. Announcement may be, for example, by any or all of the methods below.

b. Plan of the Day publication. The name, rate, offense(s), and disposition of the offender may be published in the plan of the day within 1 month of the imposition of nonjudicial punishment or, if the punishment is appealed, within 1 month of the date the appeal is denied, provided that the plan of the day is disseminated to military personnel only. If the plan of the day is disseminated to other than military personnel, nonjudicial punishment results may be published without the name of the accused.

c. Bulletin boards. The name, rate, offense(s), and disposition of the individual case may be posted within 1 month of the imposition of nonjudicial punishment or, if the punishment is appealed, within 1 month of the date the appeal is denied, on command bulletin boards for military personnel only. If command bulletin boards are accessible to other than military personnel, nonjudicial punishment results may be published without the name of the accused.

d. Daily formation (Marine Corps) or morning quarters (Navy). The name, rate, offense(s), and disposition of nonjudicial punishment cases may be announced at daily formations or morning quarters within 1 month of the imposition of nonjudicial punishment or, if the punishment is appealed, within 1 month of the date the appeal is denied.

0116 COMMAND ACTION ON NON-JUDICIAL PUNISHMENT APPEALS

a. Time limit

(1) In accordance with paragraph 7d of Part V, MCM, an appeal of nonjudicial punishment shall be submitted within 5 working days, excluding weekends and holidays, of the imposition of nonjudicial punishment, or the right to appeal shall be waived in the absence of good cause shown. In computing this appeal period, allowance shall be made for the time required to transmit communications pertaining to the imposition of nonjudicial punishment and the appeal therefrom through the mails. The appeal period commences to run from the date of the imposition of the punishment, even though all or any part of the punishment imposed is suspended.

(2) If it appears that good cause may exist which would make it impracticable or extremely difficult for the accused to prepare and submit the appeal within the 5-day period, the accused should immediately advise the officer who imposed the punishment why good cause exists and request an appropriate extension of time within which to submit the appeal. Upon receipt of such a request, the officer who imposed the nonjudicial punishment shall determine whether good cause was shown and shall advise the offender that an extension of time is or is not granted. Absent such a request for extension, the officer acting on the appeal shall determine whether good cause was shown in an appeal submitted more than 5

days after the imposition of the nonjudicial punishment.

b. Procedures

(1) When the officer who imposed the punishment is not the accused's immediate commanding officer, the latter may forward the appeal directly to the officer who imposed the punishment for forwarding under section 0117. Similarly, the action of the superior on appeal may be forwarded by the officer who imposed the punishment directly to the offender's commanding officer for delivery. Copies of the correspondence should be provided for intermediate authorities in the chain of command.

(2) In any case where nonjudicial punishment is imposed on the basis of information contained in the record of a court of inquiry or fact-finding body, a copy of the record, including the findings, opinions, and recommendations, together with copies of endorsements thereon, shall, except where the interests of national security may be adversely affected, be made available to the accused for examination in connection with the preparation of an appeal. In case of doubt, the matter shall be referred to the Judge Advocate General for advice.

c. Contents of forwarding endorsement. The contents of the forwarding endorsement of the officer who imposed the punishment should normally include:

(1) Comment on any assertions of fact contained in the letter of appeal which the officer who imposed the punishment considers to be inaccurate or erroneous.

(2) Recitation of any facts concerning the offenses which are not otherwise included in the appeal papers. If such factual information was brought out at the captain's mast/office hours hearing of the case, the endorsement should so state and include any comment in regard thereto made by the appellant at the captain's mast/office hours. Any other adverse factual information set forth in the endorsement, unless it recites matters already set forth in official service record entries, should be referred to appellant for comment, if practicable, and he should be given an opportunity to submit a statement in regard thereto or state that he does not wish to make any statement.

(3) As an enclosure, a copy of the completed mast report form–NAVPERS 1626/7 (Rev. 8-81) or Unit Punishment Book–NAVMC 10132 (Rev. 10-81 or NAVMC 10132 Rev. 8-75).

(4) As enclosures, copies of all documents and signed statements which were considered as evidence at the captain's mast/office hours hearing or, if the nonjudicial punishment was imposed on the basis of the record of a court of inquiry or other fact-finding body, a copy of that record, including the findings of fact, opinions and recommendations, together with copies of any endorsements thereon.

(5) As an enclosure, a copy of the appellant's record of performance as set forth on service record page 9 (Navy) or Record of Service and NAVMC 118(3) (Marine).

0117 AUTHORITY TO ACT ON NON-JUDICIAL PUNISHMENT APPEALS

a. When the officer who imposed punishment is in a Navy chain of command. Any appeal from nonjudicial punishment in accordance with paragraph 7 of Part V, MCM shall, in the absence of specific direction to the contrary by an officer authorized to convene general courts-martial and superior in the chain of command to the officer who imposed the punishment, be forwarded to the area coordinator or to a subordinate commander authorized to convene general courts-martial and designated by the area coordinator for this purpose. When the cognizant area coordinator or a designated subordinate commander is not superior in rank or command to the officer who imposed the punishment or when the punishment is imposed by a commanding officer who is an area coordinator or a designated subordinate commander, the appeal shall be forwarded to the officer authorized to convene general courts-martial and next superior in the chain of command to the officer who imposed the punishment. For mobile units, the

area coordinator or designated subordinate commander for the above purpose is the area coordinator or designated subordinate commander most accessible to the unit at the time of the forwarding of the appeal.

b. When the officer who imposed punishment is in the chain of command of the Commandant of the Marine Corps. Any appeal from nonjudicial punishment in accordance with paragraph 7 of Part V, MCM shall, in the absence of specific direction to the contrary by an officer authorized to convene general courts-martial and superior in the chain of command to the officer who imposed the punishment, be made to the officer who is next superior in the operational chain of command to the officer who imposed the punishment. When such review is impracticable due to operational commitments, as determined by the officer who imposed punishment, appeal from nonjudicial punishment shall be made to the Marine officer authorized to convene general courts-martial geographically nearest and senior to the officer who imposed the punishment. That officer may delegate appellate authority to any commanding officer in his organization who is senior in grade and in level of command to the officer who imposed punishment. In no case, however, shall an officer not authorized to convene general courts-martial act on an appeal which, absent the impracticable circumstances, would have been acted on by an officer authorized to convene general courts-martial. The appellant need not be, at the time of his appeal, a member of an organization within the chain of command of the officer acting on the appeal. In those cases in which the Commandant of the Marine Corps is the next superior in the chain of command and in which the officer who imposed punishment is not a general officer in command, the appeal shall, in the absence of specific direction to the contrary by the Commandant, be made to the Marine Corps general officer in command geographically nearest the officer who imposed the punishment.

c. When punishment is imposed within a multiservice command or unit

(1) An appeal from nonjudicial punishment imposed by a multiservice commander or officer in charge shall, in the case of Navy personnel, be made to the nearest area coordinator or to a subordinate commander authorized to convene general courts-martial designated by the area coordinator for this purpose. However, when such area coordinator or designated subordinate commander is not superior in rank to the officer who imposed the punishment, the appeal shall, in the absence of specific direction to the contrary by the Chief of Naval Operations, be made to the naval officer exercising general court-martial jurisdiction geographically nearest and superior in rank to the officer who imposed the punishment. If directed, or in the event that an officer cannot be found who is superior in rank to the officer who imposed the punishment, the appeal shall be made to the Chief of Naval Operations. In the case of Marine Corps personnel, an appeal from nonjudicial punishment shall, in the absence of specific direction to the contrary by the Commandant, be made to the Marine Corps general officer in command geographically nearest and superior in rank to the officer who imposed the punishment. If directed, or in the event that an officer cannot be found who is superior in rank to the officer who imposed the punishment, the appeal shall be made to the Commandant.

(2) An appeal from nonjudicial punishment imposed by an officer of the Marine Corps or Navy designated as a commanding officer pursuant to section 0106d shall be made to the commander of the multiservice command who made the designation if such commander specifically so directs. In the absence of such direction, an appeal from nonjudicial punishment imposed by an officer of the Marine Corps shall be made to the Marine Corps general officer in command geographically nearest and superior in rank to the officer who imposed the punishment unless otherwise directed by the Commandant of the Marine Corps. Absent direction to the contrary from the multiservice commander, an appeal from nonjudicial punishment imposed by an officer of the Navy shall be made to the nearest area coordinator or to a subordinate commander authorized to convene general courts-martial designated by the area coordinator for this purpose. However, when such area coordinator or designated subordinate commander is not superior in rank to the officer who imposed the punishment, the appeal shall be to the naval officer exercising general court-martial jurisdiction

geographically nearest and superior in rank to the officer who imposed the punishment.

d. Delegation of authority to act on appeals. Such authority may be delegated in accordance with the provisions of section 0106c. An officer who has delegated his nonjudicial punishment powers to a principal assistant under section 0106c may not act on an appeal from punishment imposed by such principal assistant. In such cases and in other cases where it may be inappropriate for the officer designated by subsection a or b to act on the appeal (as where an identity of persons or staff may exist with the command which imposed the punishment), such fact should be noted in forwarding the appeal.

e. Rehearing after appeal. A superior authority, in acting on an appeal, may set aside a nonjudicial punishment due to procedural error that materially prejudiced a substantial right of the member on whom punishment was imposed, not amounting to a finding of insufficient evidence to impose nonjudicial punishment. In such event, if the superior authority specifically authorizes such in his other action on the appeal, additional proceedings under article 15, UCMJ, may be conducted by the officer who imposed the original nonjudicial punishment, or his other successor in command, with regard to those offenses for which the appellant received nonjudicial punishment in the original proceeding. Any punishment imposed during such additional proceedings may be no more severe than that awarded during the original proceedings unless other offenses, which occurred subsequent to the date of the nonjudicial punishment set aside, are included in the offenses charged and for which punishment is imposed. An individual, whether or not attached to or embarked in a vessel, has no right to demand trial by court-martial for those offenses for which the rehearing was authorized (unless the appeal was granted on a claim pertaining to the validity of the accused's prior waiver of the right to demand trial by court-martial), but an individual who is not attached to or embarked in a vessel retains the right to demand trial by court-martial for any added offense which occurred subsequent to the date of the nonjudicial punishment which was set aside.

0118 SUSPENSION, MITIGATION, REMISSION, SETTING ASIDE, AND VACATION OF SUSPENSION

a. Definition of "successor in command." For purposes of Article 15, UCMJ, and this chapter, the term "successor in command" refers to an officer succeeding to the command by being detailed or succeeding thereto as described in U.S. Navy Regulations, 1990. The term is not limited to the officer next succeeding.

b. Authority to suspend, mitigate, remit, set aside; new commander. When a person upon whom nonjudicial punishment has been imposed is thereafter, by competent transfer orders (including temporary additional duty orders), assigned to another command, unit, or activity, or returns to the parent activity after temporary additional duty elsewhere, the receiving commanding officer (or officer in charge) and his successor in command may, under article 15(d), UCMJ, and the conditions set forth in paragraph 6 of Part V, MCM, exercise the same powers with respect to the punishment imposed as may be exercised by the officer who imposed the punishment, provided that the punishment so affected and, in the case of mitigation, the punishment to which such punishment is mitigated, is one within the authority of such new commander to impose.

c. Interruption of probationary period. The running of the period of suspension of the punishment is interrupted by the unauthorized and unexcused absence of the probationer or by commencement of proceedings to vacate suspension of the punishment. The running of the period of suspension of punishment resumes as of the date the probationer's unauthorized absence ends, or as of the date of the interruption due to initiation of vacation proceedings if proceedings to vacate suspension of the punishment are concluded without vacation of the punishment. Similarly, the running of the period of suspension resumes as of the date of the interruption due to initiation of vacation proceedings as to any portion of the punishment not vacated as a result of the proceedings.

d. Vacation of suspension. A commander (or officer in charge) may only vacate a suspension of punishment if a violation of the conditions of suspension occurs within the period of suspension. Before vacating a suspension, a commander (or officer in charge) ordinarily shall notify the service member and give that member the opportunity to respond. Although a hearing is not required to vacate a suspension, if the punishment is of the kind set forth in article 15(e)(1)-(7), MCM, the service member should, unless impracticable, be given an opportunity to appear before the officer authorized to vacate suspension of the punishment to present any matters in defense, extenuation, or mitigation of the violations on which the vacation action is to be based. The order vacating a suspension must be issued within 10 working days of the commencement of the vacation proceedings. The decision to vacate suspension of nonjudicial punishment is not appealable under paragraph 7 of Part V, MCM.

0119 RECORDS OF NONJUDICIAL PUNISHMENT

a. Records. The records of nonjudicial punishment shall be maintained and disposed of in accordance with paragraph 8 of Part V, MCM, and implementing regulations issued by the Chief of Naval Personnel and the Commandant of the Marine Corps. The forms used for the Unit Punishment Book are NAVPERS 1626/7 (Rev. 8-81), S/N 0106-LF-016-2636 and NAVMC 10132 (Rev. 10-81) or NAVMC 10132 (Rev. 8-75), S/N 0000-00-002-1305. See section 0148 for procurement information of these forms.

b. Report of officer nonjudicial punishment

(1) Report of misconduct. All Navy officer misconduct must be reported to Bureau of Naval Personnel (PERS-82). Marine officer misconduct must be reported per MCO 5800.8 (LEGADMIN). Navy officer misconduct shall be reported if:

(a) the suspect is in the grade of captain or above;

(b) the suspect is a commander with special court-martial convening authority; or

(c) in the judgment of the superior commander:

1. the incident in question may generate significant adverse publicity;

2. formal disciplinary action or a recommendation for administrative separation processing may result; or

3. other special circumstances warrant notification.

(2) After nonjudicial punishment. Once the results of the nonjudicial punishment are final (i.e., the appeal process is completed or waived), a final report will be sent to Bureau of Naval Personnel (PERS 82) or Commandant Marine Corps (JAM), as appropriate. (See SECNAVINST 1920.6A, change 2; the Military Personnel Manual; or the Marine LEGADMIN manual.) If the officer imposing the nonjudicial punishment is not a flag officer, the letter report will be submitted via the first flag officer in the administrative chain of command. Fleet or Type commanders may require the letter report be forwarded through command channels. These required reports are separate and distinct from any reported nonjudicial punishment which may be contained in investigations or other correspondence. See Appendix A-1-q for a sample letter with endorsement.

0120 DESIGNATION OF ADDITIONAL CONVENING AUTHORITIES

a. General courts-martial. The Secretary of the Navy, acting under article 22(a)(8), UCMJ, has authorized the following officers, when in an active duty or inactive duty training status, to convene general courts-martial. This list is in addition to those officers authorized to convene general courts-martial by articles 22(a)(5) through (7) and 22(a)(9), UCMJ:

(1) All flag or general officers, or their immediate temporary successors, in command of units or activities of the Navy or Marine Corps.

(2) The following officers or their successors in command:

Chief of Naval Operations
Commandant of the Marine Corps
Vice Chief of Naval Operations
Deputy Commander-in-Chief, U.S. Naval Forces, Europe
Deputy Chief of Naval Personnel
Commander, Service Group ONE
Commander, Service Force, Sixth Fleet
Commanders, Fleet Air Commands
Commander, Naval Reserve Force
Commander, Naval Surface Reserve Force
Commander, Naval Air Reserve Force
Commanders, Naval Bases
Commander, U.S. Naval Activities, Spain
Commander, U.S. Naval Activities, United Kingdom
Commanding Officer, U.S. Naval Support Activity, Naples
Commander, Naval Weapons Center, China Lake
Commander, Naval Education and Training Center, Newport
Commander, Naval Training Center, Great Lakes
Commander, Naval Training Center, San Diego
Commander, Naval Training Center, Orlando
Commanding Officer, Naval Air Station, Key West
Commander, U.S. Naval Forces, Marianas
Commanding Officer, Marine Corps Logistics Base, Barstow
Commander, Naval Surface Group, Long Beach
Commanding Officer, Naval Air Station, Sigonella
Commanding Officer, Naval Air Station, Whidbey Island
Commanding Officer, Naval Aviation Activities, Brunswick
Commanding Officer, U.S. Naval Station, Roosevelt Roads
Commander, Naval Coordinator Mid-South, Millington
Commanding Officer, Naval Air Station, Lemoore
Commandant, Naval District Washington

(3) The Secretary of the Navy has designated and empowered the Commanding Officer, Naval Station, Norfolk, VA, and the Commanding Officer, Marine Detachment, U.S. Disciplinary Barracks, Fort Leavenworth, KS, to exercise limited general court-martial jurisdiction for the purpose of performing the functions described in R.C.M. 1114, 1203(d), and 1204(b)(1), MCM. See section 0159d concerning the clemency powers of the Commanding Officer, Naval Station, Norfolk, VA, and the Commanding Officer, Marine Detachment, U.S. Disciplinary Barracks, Fort Leavenworth, KS.

(4) Any officer whose nomination for promotion to flag or general officer rank has been confirmed by the Senate and who is serving in a flag or general officer billet and in command of a naval service unit or activity, or is the immediate temporary successor in command of such an officer.

b. Special courts-martial. The Secretary of the Navy, acting under article 23(a)(7), UCMJ, has authorized the following officers, when in an active duty or inactive duty training status, to convene special courts-martial. This list is in addition to those officers authorized to convene special courts-martial by article 23(a)(5) and (6), UCMJ:

(1) Commanding officers of all battalions and squadrons, including both regular and reserve Marine Corps commands.

(2) Any commander whose subordinates in the operational or administrative chain of command have authority to convene special courts-martial.

(3) All commanders and commanding officers of units and activities of the Navy, including precommissioning units commanded by lieutenant commanders (0-4) or above, but not including inactive duty training Naval Reserve units.

(4) All directors, Marine Corps Districts.

(5) All administrative officers, U.S. Naval Shipyards.

(6) All inspector-instructors and site commanding officers, Marine Corps Reserve organizations.

(7) Commanding officers and officers in charge of organic combat service support organizations providing combat service support to Marine Expeditionary Brigades, Marine Expeditionary Units, or comparable Marine Air-Ground Task Forces.

(8) Commanding officers of Marine Expeditionary Units and Marine Expeditionary Unit Service Support Groups.

c. Summary courts-martial. Those officers who are empowered to convene general and special courts-martial may convene summary courts-martial. In addition, the Secretary of the Navy has empowered all commanders, commanding officers, and officers in charge (if authorized) of inactive duty training Naval and Marine Corps Reserve units and activities of the Navy and Marine Corps, who are in a duty status, to convene summary courts-martial.

0121 REQUESTS FOR AUTHORITY TO CONVENE COURTS-MARTIAL

a. General courts-martial. If authority to convene general courts-martial is desired for an officer who is not empowered by statute or regulation to convene such courts-martial, a letter shall be forwarded to the Judge Advocate General (Code 20), via the Chief of Naval Operations or the Commandant of the Marine Corps (JAM), as appropriate, with the request that authorization be obtained from the Secretary of the Navy pursuant to article 22(a)(8), UCMJ.

b. Special and summary courts-martial. If authority to convene special or summary courts-martial is desired for commanding officers other than those listed in subsections 0120b and 0120c, and such commanding officers are not empowered by statute or regulation to convene such courts, a letter shall be forwarded to the Judge Advocate General (Code 20), via the Chief of Naval Operations or the Commandant of the Marine Corps (JAM), as appropriate, with the request that authorization be obtained from the Secretary of the Navy pursuant to article 23(a)(7), UCMJ, or article 24(a)(4), UCMJ, as appropriate.

c. Separate and detached units. The officer designating an organization as separate or detached pursuant to U.S. Navy Regulations, 1990, may request that the Judge Advocate General obtain from the Secretary of the Navy the authority for that organization's commanding officer or officer in charge to convene special or summary courts-martial. The request shall state that the organization has been designated as separate or detached and shall reference article 23 (a)(7), UCMJ. No request is required for commands empowered under subsection 0120b(1).

d. Commanding officers of staff enlisted personnel. If authority to convene special or summary courts-martial is desired for an officer designated as the commanding officer of staff enlisted personnel under the provisions of U.S. Navy Regulations, 1990, the designating commander shall request the Judge Advocate General to

obtain authorization from the Secretary of the Navy pursuant to article 23(a)(7), UCMJ.

e. Authority limited to summary courts-martial. Requests for authority to convene summary courts-martial are processed by the Judge Advocate General with other requests for authority to convene special courts-martial. A single letter of authorization, signed by the Secretary, will empower all addressees to convene special courts-martial. Upon receipt of the Secretary's letter, therefore, a superior commander who originally requested only summary court-martial authorization for his subordinate commander shall, pursuant to section 0122(a)(1), issue a letter to that subordinate commander restricting the authority granted to the convening of summary courts-martial. Copies of such letters of restriction shall be forwarded to the Judge Advocate General (Code 20).

f. Requests for courts-martial convening authority shall contain the following information, if applicable:

(1) The number of cases referred to the type of court-martial for which the convening authority is being sought.

(2) If reorganization or downgrading of a command billet is the reason for such a request, state same and how the change affects the current and prospective convening authority.

(3) State who would handle military justice matters if the requested convening authority is not approved.

(4) The number of commands and tenant commands the prospective convening authority is responsible for, both operationally and administratively.

(5) The number of personnel, officer and enlisted, the prospective convening authority is responsible for, both operationally and administratively.

(6) If applicable, the geographical reasons that necessitate the appointment of such authority.

g. Record maintenance. Copies of all Secretarial letters of authorization are maintained in the Criminal Law Division, Office of the Judge Advocate General.

0122 GENERAL RESTRICTIONS ON EXERCISE OF COURT-MARTIAL JURISDICTION

a. Special and summary courts-martial

(1) The exercise of authority to convene summary and special courts-martial may be restricted by a competent superior commander. A summary court-martial convening authority is authorized to direct a pretrial investigation under article 32, UCMJ.

(2) A special court-martial convening authority may not refer a capital offense to trial without the prior consent of the officer exercising general court-martial jurisdiction over the command.

b. Units attached to ships. The commanding officer or officer in charge of a unit attached to a ship of the Navy for duty therein should, as a matter of policy while the unit is embarked therein, refrain from exercising any power he might possess to convene and order trial by special or summary court-martial, referring all such matters to the commanding officer of the ship for disposition. The foregoing policy does not apply to Military Sealift Command vessels operating under a master, nor is it applicable where an organized unit is embarked for transportation only. When an organized unit is embarked for transportation only in a ship of the Navy, the officer in command of such organized unit shall retain the authority possessed over such unit prior to embarkation, including disciplinary authority. Under ordinary circumstances, the internal control and discipline of a unit embarked for transportation only shall be left to the commanding officer of that unit. Nothing in the foregoing shall be construed as impairing the paramount authority of the commanding officer of the ship, including disciplinary authority, over all personnel of the naval service embarked. In the case of units embarked for transportation only, however, the commanding officer of the

ship should take disciplinary action under the UCMJ over members of such embarked units only in unusual cases concerning incidents occurring on board the ship.

0123 EXERCISE OF COURT-MARTIAL JURISDICTION OVER RETIRED, RESERVE, FLEET RESERVE, FLEET MARINE CORPS RESERVE, AND DISCHARGED PERSONNEL

a. Policy. In all cases in which jurisdiction is dependent upon the provisions of article 2(a)(4), (5), or (6), and article 3(a), (b), or (c), UCMJ, the following policies apply:

(1) No case of a retired member of the regular component of the Navy or Marine Corps not on active duty but entitled to receive pay, a retired member of the Naval Reserve or Marine Corps Reserve not on active duty who is receiving hospitalization from an armed force, or a member of the Fleet Reserve or Fleet Marine Corps Reserve not on active duty will be referred for trial by court-martial without the prior authorization of the Secretary of the Navy. This rule applies to offenses allegedly committed by such persons regardless of whether they were on active duty either at the time of the alleged offense or at the time they were accused or suspected of the offense. Members described in this subsection may not be recalled to active duty solely for trial by court-martial. Such members are amenable to court-martial jurisdiction at all times and, if referred to court-martial, are directed to appear.

(2) No case in which jurisdiction is based on article 3(a), (b), or (c), UCMJ, will be referred for trial by court-martial without the prior authorization of the Secretary of the Navy.

(3) If authorization is withheld under subsections (1) or (2), the Judge Advocate General shall indicate alternative action or actions, if any, to the convening authority.

b. Request for authorization. Requests for authorization in cases in which jurisdiction is based on article 3(a), (b), or (c), UCMJ, should contain the following information:

(1) the nature of the offense or offenses charged;

(2) a summary of the evidence in the case;

(3) the facts showing amenability of the accused or suspected person to trial by court-martial;

(4) whether civil jurisdiction exists;

(5) the military status of the accused or suspected person at the present and at the time of the alleged offense; and

(6) the reasons which make trial by court-martial advisable.

Requests shall be addressed to the Secretary of the Navy, via the Judge Advocate General (Code 20) or Commandant of the Marine Corps (JAM), as appropriate, and shall be forwarded by air mail or other expeditious means. If considered necessary, authorization may be requested directly by message or telephone.

c. Apprehension and restraint. Specific authorization of the Secretary of the Navy is required prior to apprehension, arrest, or confinement of any person who is amenable to trial by court-martial solely by reason of the provisions of article 2(a)(4), (5), or (6) or article 3(a), (b), or (c), UCMJ.

d. Jurisdiction over reserve component personnel under article 3(d), UCMJ. A member of a reserve component subject to the UCMJ is not, by virtue of termination of a period of active duty or inactive duty training, relieved from amenability to jurisdiction of the UCMJ for an offense against the UCMJ committed during such period of active duty or inactive duty training.

e. Order to active duty in the case of reserve component personnel not on active duty

(1) When jurisdiction is based upon article 3(d), UCMJ, members of a reserve component not on active duty may be ordered to active duty involuntarily only by an officer described in subsection (4) for the purpose of investigation under article 32, UCMJ, trial by court-martial, or

imposition of nonjudicial punishment for offenses committed while subject to the UCMJ without regard to any change between active and reserve service or within different categories of reserve service subsequent to commission of the offense.

(2) Requests for an order to active duty under this subsection may be submitted only by officers empowered to convene courts-martial.

(3) Requests for an order to active duty under this subsection shall:

(a) contain the complete identity of the accused (grade, full name, Social Security number, designator);

(b) include a detailed summary of the contemplated charges and specifications or a copy of the charge sheet, if available (care should be exercised to avoid triggering the speedy trial provisions of R.C.M. 707, MCM;

(c) provide a summary of evidence in the case;

(d) state facts showing amenability to trial by court-martial or imposition of nonjudicial punishment;

(e) indicate the military status, unit to which assigned and its location, and home address of the accused at the time of submission and at the time of commission of the alleged offenses; and

(f) indicate where the accused should be ordered to active duty and why the order to active duty is advisable.

(4) The request should be addressed to an officer empowered to convene a general court-martial in the chain of command of the accused at the time of its submission, as designated in section 0120a, and who is superior in grade to the submitting officer, or to the Secretary of the Navy, if confinement authority is requested. See sections 0127d and 0134. If necessary, the request to order an accused to active duty under this subsection may be made directly by message or telephone.

(5) Unless the order to active duty was approved by the Secretary, Under Secretary, or Assistant Secretary of the Navy, the accused may not be sentenced to confinement or be required to serve a punishment of any restraint on liberty during a period other than a period of inactive duty training or active duty.

f. Release from active duty of reserve component personnel described in subsection e

(1) Reserve component personnel ordered to active duty without Secretarial approval must be released from active duty no later than the close of business 1 full work day after completion of disciplinary proceedings, i.e., announcement of the sentence by a court-martial or imposition of punishment under article 15, UCMJ.

(2) Reserve component personnel ordered to active duty with Secretarial approval may be retained on active duty to serve a punishment of confinement or other restraint on liberty, the execution of which is not precluded by the terms of a pretrial agreement. Unless retention on active duty is authorized by other authority, such persons must be released from active duty no later than the close of business 1 full work day after completion of disciplinary proceedings or service of the sentence to confinement or other restraint on liberty. See R.C.M. 202(c), MCM and section 0134.

g. Tolling statute of limitations. The foregoing rules shall not impede the preferral and processing of sworn charges under article 30, UCMJ, when such preferral and processing are necessary to prevent barring of trial by the statute of limitations. See article 43, UCMJ.

0124 EXERCISE OF COURT-MARTIAL JURISDICTION IN CASES TRIED IN DOMESTIC OR FOREIGN CRIMINAL COURTS

a. Policy. When a person in the naval service has been tried in a state or foreign court, whether convicted or acquitted, or when a member's case has been "diverted" out of the regular criminal process for a probationary period, or has been

adjudicated by juvenile court authorities, military charges shall not be referred to a court-martial or be the subject of nonjudicial punishment proceedings for the same act or acts, except in those unusual cases where trial by court-martial or the imposition of nonjudicial punishment is considered essential in the interests of justice, discipline, and proper administration within the naval service. Such unusual cases shall not be referred to trial by court-martial or be the subject of nonjudicial punishment proceedings without specific permission as provided below. This policy is based on comity between the Federal Government and state/foreign governments and is not intended to confer additional rights upon the accused.

b. Criteria. Referral for trial or the imposition of nonjudicial punishment within the terms of this policy shall be limited to cases that meet one or more of the following criteria:

(1) Cases in which punishment by civil authorities consists solely of probation, and local practice, or the actual terms of probation, do not provide rigid supervision of probationers, or the military duties of the probationer make supervision impractical.

(2) Cases in which civilian proceedings concluded without conviction for any reason other than acquittal after trial on the merits.

(3) Other cases in which the interests of justice and discipline are considered to require further action under the UCMJ (e.g., where conduct leading to trial before a state or foreign court has reflected adversely upon the naval service or when a particular and unique military interest was not or could not be adequately vindicated in the civilian tribunal).

c. Procedure

(1) General and special courts-martial. No case described in subsection b shall be referred for trial by general or special court-martial without the prior permission of the Judge Advocate General. For purposes of this rule, permission of the Judge Advocate General to refer charges to a court-martial includes permission for trial itself; accordingly, once permission for referral has been obtained, no additional permission is required. Requests for such permission shall be forwarded by the general court-martial authority concerned (or by the special court-martial authority concerned via the general court-martial authority) to the Judge Advocate General (Code 20) (via the Commandant of the Marine Corps (JAM) or copy to the Chief of Naval Personnel, as appropriate). Permission of the Judge Advocate General is not required for court-martial proceedings if the civilian adjudication or diversion occurs after the military charges have been referred to a court-martial.

(2) Summary courts-martial and nonjudicial punishment proceedings. No case described in subsection b shall be referred for trial by summary court-martial, or be the subject of nonjudicial punishment proceedings without the prior permission of the officer exercising general court-martial jurisdiction over the command. Grants of such permission shall be reported by the general court-martial authority concerned by means of a letter addressed to the Judge Advocate General (Code 20) in which he shall describe the offense alleged, the action taken by civil authorities, and the circumstances bringing the case within one or more of the exceptions to the general policy. Permission of the officer exercising general court-martial jurisdiction over the command is not required for summary court-martial proceedings if the civilian adjudication or diversion occurs after the military charges have been referred to a court-martial.

(3) Reporting requirements. The provisions of this section do not affect the reporting requirements or other actions required under other regulations in cases of convictions of service personnel by domestic or foreign courts and adjudications by juvenile court authorities.

d. Limitations. Personnel who have been tried by courts that derive their authority from the United States, such as U.S. District Courts, shall not be tried by court-martial or be the subject of nonjudicial punishment for the same act or acts.

0125 EXERCISE OF COURT-MARTIAL JURISDICTION OVER MAJOR FEDERAL OFFENSES

a. Background. The Federal civil authorities have concurrent jurisdiction with military authorities over offenses committed by military personnel which violate both the Federal criminal law and the UCMJ. The Attorney General and the Secretary of Defense have agreed on guidelines for determining which authorities shall have jurisdiction to investigate and prosecute major crimes in particular cases. See Appendix 3, MCM. The administration of this program on behalf of the naval service has been assigned to the Naval Criminal Investigative Service Command (NCIS). Guidelines are set forth in SECNAVINST 5520.3 series.

b. Limitation on court-martial jurisdiction. In order to ensure that actions under the UCMJ do not preclude appropriate action by civilian Federal authorities in cases likely to be prosecuted in U.S. District Courts, convening authorities shall ensure that appropriate consultation under the Memorandum of Understanding between the Departments of Defense and Justice has taken place prior to issuance of a grant of immunity, approval of a pretrial agreement, or trial by court-martial. See Appendix 3, MCM. Accordingly, commanding officers receiving information indicating that naval personnel have committed a major Federal offense (including any major criminal offense, as defined in SECNAVINST 5520.3 series, committed on a naval installation) shall refrain from taking action with a view to trial by court-martial, but shall refer the matter to the senior resident agent of the cognizant NCIS office for a determination in accordance with SEC- NAVINST 5520.3 series. In the event that the investigation of any such case is referred to a Federal civilian investigative agency, any resulting prosecution normally will be conducted by the cognizant United States Attorney, subject to the exceptions set forth below.

c. Exceptions

(1) Where it appears that naval personnel have committed several offenses, including both major Federal offenses and serious but purely military offenses, naval authorities are authorized to investigate all of the suspected military offenses, and such of the civil offenses as may be practicable, and to retain the accused for prosecution. Any such action shall be reported immediately to the Judge Advocate General and to the cognizant officer exercising general court-martial jurisdiction.

(2) When, following referral of a case to a civilian Federal investigative agency for investigation, the cognizant United States Attorney declines prosecution, the investigation normally will be resumed by the NCIS and the command may then commence court-martial proceedings as soon as the circumstances warrant.

(3) If, while investigation by a Federal civilian investigative agency is pending, existing conditions require immediate prosecution by naval authorities, the officer exercising general court-martial jurisdiction will contact the cognizant United States Attorney to seek approval for trial by court-martial. If agreement cannot be reached at the local level, the matter shall be referred to the Judge Advocate General for disposition.

d. Related matters. See chapter VI concerning the interview of naval personnel by Federal investigative agencies and the delivery of personnel to Federal authorities. See sections 0126 and 0138 through 0140 regarding grants of immunity in cases involving civilian witnesses or national security.

0126 EXERCISE OF COURT-MARTIAL JURISDICTION IN CASES INVOLVING NATIONAL SECURITY

a. Referral to the Naval Criminal Investigative Service. Within the Department of the Navy, NCIS is responsible for the investigation of actual, suspected, or alleged national security incidents including, but not limited to, those offenses enumerated in section 0159a. Commanders shall immediately refer any such incident to NCIS for investigation. See SECNAVINST 5520.3 series. Upon the initiation of any investigation into any such incident, NCIS shall notify the appropriate Department of Justice investigative agency in compliance with the Memorandum of Understanding.

b. Notice to the Judge Advocate General. If any investigation described in subsection a indicates that a suspect may have committed any of the offenses enumerated in subsection 0159a or 18 U.S.C. section 794 (gathering or delivering defense information to aid foreign government), whether or not such violation might also be chargeable under the UCMJ, NCIS shall promptly notify the Judge Advocate General (Code 11) for compliance with paragraph A of the Department of Defense Supplemental Guidance, Prosecution of Cases and Grants of Immunity, at page 1-8 of enclosure (1) of DODDIR 5525.7 of 22 January 1985. The Judge Advocate General will ensure that the Secretary of the Navy, the Chief of Naval Operations, or Commandant of the Marine Corps, as appropriate, and the General Counsel are kept fully advised of the status of these cases. See also subsection 0137c concerning pretrial agreements and subsection 0138d concerning grants of immunity.

c. Limitations on convening authority. Under R.C.M. 306(a) and 401(a), MCM, authority to initially dispose of cases involving national security, as defined in section 0159a, is withheld from all officers of the naval service except those listed below. This provision is to be construed as having been promulgated for the exclusive benefit of the Government, and is not intended to confer any benefit upon an accused. It should not be construed to support a jurisdictional challenge to a court-martial, convened by an officer not listed below, or to afford an accused in such court-martial any other relief. All officers otherwise empowered to dispose of offenses who receive reports or charges of offenses involving national security shall, after taking action prescribed in subsection 0126a, forward such reports or charges for disposition directly and without delay to an appropriate officer listed below. Those officers listed below may dispose of such reports or charges by any means authorized under R.C.M. 306(c) or 401(c), MCM, to include returning the case, for disposition, to such convening authority as they may designate:

(1) Chief of Naval Operations;

(2) Commandant of the Marine Corps;

(3) Vice Chief of Naval Operations;

(4) Commanders in Chief, U.S. Atlantic and Pacific Fleets, and U.S. Naval Forces, Europe;

(5) Commander, U.S. Naval Forces Central Command;

(6) Commanding Generals, Fleet Marine Forces, Atlantic and Pacific;

(7) Commanders, Sixth and Seventh Fleets and Eastern Atlantic;

(8) Commanders, Naval Air, Submarine, and Surface Forces, U.S. Atlantic and Pacific Fleets;

(9) Chief of Naval Education and Training;

(10) Commanding General, Marine Corps Combat Development Command, Quantico, VA;

(11) Commanding General, Marine Corps Bases, Japan; and

(12) Commanding Generals, Marine Corps Bases, Camp Lejeune and Camp Pendleton.

d. Policy guidance. Offenses described in section 0159a generally involve incidents which have the potential for serious and irreparable damage to the national security of the United States, and, therefore, should ordinarily be referred to trial by general court-martial if referral of charges is warranted at all. This guidance is not intended to impose any limitations on the full and free exercise of discretion by the convening authority in determining the appropriate disposition of any particular case.

e. Cases involving classified information. See OPNAVINST 5510.1H for procedures relating to trial of cases involving classified information.

f. Reporting requirements. In support of the reporting requirements described in subparagraph 0126b, the responsible command, convening authority, or judge advocate will notify the Judge Advocate General (Code 11) of any case involving classified information, whether or not designated a national security case:

(1) as soon as the command, convening authority, or judge advocate first becomes aware

of the incident (Office of the Judge Advocate General notification does not take precedence over, or substitute for, NCIS notification required by section 0126a);

(2) whenever a major development occurs in the case or investigation (e.g., designation as a national security case, apprehension, involvement of other federal agencies); or

(3) at least once every 60 days, whether or not there has been a major development.

0127 PRETRIAL RESTRAINT OF ACCUSED

a. Custody and restraint of accused before or during trial. See R.C.M. 304, 305, and 804(c)(2), MCM.

b. Counsel. Counsel shall be provided, if requested, to an accused in pretrial confinement prior to the initial review of the confinement; however, the accused has no right to an individual military counsel.

c. Preliminary (probable cause) review: Within 48 hours of the imposition of pretrial confinement under military control, a neutral and detached official must review the adequacy of the probable cause to believe the confinee has committed an offense and of the necessity for pretrial confinement.

(1) This review does not require a hearing.

(2) This determination need not be in writing, however, it is highly recommended that a written record be maintained.

(3) The reviewing official must be a neutral and detached officer. The official may be the confinee's commanding officer, but this is not required. Additionally, nothing in this amendment prohibits the commander initially ordering an accused into pretrial confinement from conducting the 48-hour probable cause review.

(4) The requirement for probable cause review is met, and therefore a separate determination of probable cause is not required, in the following circumstances:

(a) the commanding officer, complying with R.C.M. 305(d), personally orders the accused into confinement;

(b) the 72-hour letter report, as required by R.C.M. 305(h)(2), is signed by the commanding officer within 48 hours of the imposition of confinement; or

(c) the 7-day review of pretrial confinement, as required by R.C.M. 305(i) and conducted by a neutral and detached initial reviewing officer, occurs within 48 hours of the imposition of confinement.

d. Initial review officer. The officer exercising general court-martial jurisdiction at the location of the confinement facility shall designate one or more officers of the grade of 0-4 or higher (primary and alternate) to act as the initial review officer for purposes of R.C.M. 305(i)(2). The initial review officer shall maintain a copy of the documents considered and memorandum prepared under R.C.M. 305(i)(6) in each case until completion of appellate review and shall forward a copy of the documents considered and the memorandum prepared to the officer exercising general court-martial jurisdiction from whom he derives the authority as initial review officer. The officers designated as initial review officers should be neutral and detached, should be selected for their maturity and experience, and, if practicable, should have command experience.

e. Reserve component personnel. Except as provided in section 0134b(2), reserve component personnel on inactive duty training shall not be placed in pretrial confinement unless ordered to active duty with the approval of the Secretary, Under Secretary, or Assistant Secretary of the Navy. See section 0123e(5).

0128 FORWARDING OF CHARGES

a. Forwarding of charges by an officer in a Navy chain of command

(1) General court-martial cases. When a commanding officer, in taking action on charges, deems trial by general court-martial to be appropriate, but is not authorized to convene such court or finds the convening of such court impracticable, the charges and necessary allied papers will, in the absence of specific direction to the contrary by an officer authorized to convene general courts-martial and superior in the chain of command to such commanding officer, be forwarded to the area coordinator or to the subordinate commander authorized to convene general courts-martial and designated by the area coordinator for this purpose. For mobile units, the area coordinator or designated subordinate commander for this purpose is the area coordinator or designated subordinate commander most accessible to the mobile unit at the time of forwarding of the charges. See section 0129a for additional provisions in cases in which the forwarding officer is an accuser.

(2) Special and summary courts-martial cases. When an officer in command or in charge, in taking action on charges, deems trial by special or summary court-martial to be appropriate, but is not authorized to convene such courts-martial, the charges and necessary allied papers will be forwarded to the superior in the chain of command authorized to convene the type of court-martial deemed appropriate. The officer authorized to convene general courts-martial and superior in the chain of command to such officer in command or charge, may, however, on the basis of a local arrangement with the area coordinator or the designated subordinate commander, direct that such cases be forwarded to the area coordinator or the subordinate commander authorized to convene the type of court-martial deemed appropriate and designated by the area coordinator for this purpose. For mobile units, the area coordinator or designated subordinate commander for this purpose is the area coordinator or designated subordinate commander most accessible to the mobile unit at the time of the forwarding of the charges. See section 0129a for additional provisions in cases in which the forwarding officer is an accuser. Subject to the terms of the local arrangement, forwarding to the area coordinator or designated subordinate commander may also be resorted to even though the immediate or superior commanding officer of the accused is authorized to convene the type of court-martial deemed appropriate but finds such action impracticable.

b. Forwarding of charges by an officer in the chain of command of the Commandant of the Marine Corps. When an officer in command or in charge, in taking action on charges, deems trial by general, special, or summary court-martial to be appropriate, but is not empowered to convene a court as deemed appropriate for the trial of the case, the officer will, in the absence of specific direction to the contrary by an officer authorized to convene general courts-martial and superior in the chain of command to such officer, forward the charges and necessary allied papers through the chain of command to an officer exercising the kind of court-martial jurisdiction deemed appropriate. See R.C.M. 401(c)(2), MCM. See also section 0129b for additional provisions in cases in which the forwarding officer is an accuser.

0129 SUPERIOR COMPETENT AUTHORITY DEFINED

a. Accuser in a Navy chain of command. Whenever a commanding officer comes within the purview of articles 22(b) and 23(b), UCMJ, the "superior competent authority" as used in those articles is, in the absence of specific direction to the contrary by an officer authorized to convene general courts-martial and superior in the chain of command to such accuser, the area coordinator or the subordinate commander authorized to convene general or special courts-martial, as appropriate, and designated by the area coordinator for this purpose. For mobile units, the area coordinator or designated subordinate commander for this purpose is the area coordinator or designated subordinate commander most accessible to the mobile unit at the time of forwarding of the charges. When the cognizant area coordinator or designated subordinate commander is not superior in rank or command to the accuser, or when the accuser is an area coordinator or designated subordinate commander, or if it is otherwise impossible or impracticable to forward the charges as specified above, they shall be forwarded to any superior officer exercising the appropriate court-martial jurisdiction. See R.C.M. 401 and 601(c), MCM.

b. Accuser in the chain of command of the Commandant of the Marine Corps. Whenever a commanding officer comes within the purview of articles 22(b) and 23(b), UCMJ, the "superior competent authority" as used in those Articles is defined as any superior officer in the chain of command authorized to convene a special or general court-martial, as appropriate. If such an officer is not reasonably available, or if it is otherwise impossible or impracticable to so forward the charges, they shall be forwarded to any superior officer exercising the appropriate court-martial jurisdiction. See R.C.M. 401 and 601(c), MCM.

0130 PERSONNEL OF COURTS-MARTIAL

a. Military judges

(1) Detailing

(a) General court-martial judges. General court-martial judges may be detailed for trial of general and special courts-martial by the Chief Judge, the circuit military judge, or the circuit military judge's designee.

(b) Special court-martial judges. Special court-martial judges may be detailed for trial of special courts-martial by the Chief Judge, the circuit military judge, or the circuit military judge's designee.

(2) Qualifications and additional duties. The qualifications of military judges and additional duties to which military judges may be assigned are set forth in JAGINST 5813.4 series.

(3) Oaths. A military judge, certified in accordance with article 26(b), UCMJ, may take a one-time oath to perform his duties faithfully and impartially in all cases to which detailed. The oath may be taken at any time and may be administered by any officer authorized by article 136, UCMJ, and section 0902 of this manual to administer oaths. Once such an oath is taken, the military judge need not be resworn at any court-martial to which subsequently detailed.

b. Counsel

(1) Detailing. Navy and Marine Corps judge advocates may be detailed as trial and defense counsel by the judge advocate's commanding officer, officer in charge, or his designee. See section 0131 and 0132 for procedures relating to requests for individual military counsel.

(2) Oaths. Any military counsel, certified in accordance with article 27(b), UCMJ, may be given a one-time oath. Such oath will customarily be administered when military counsel is certified. The oath may be given at any time and by any officer authorized by article 136, UCMJ, and section 0902 of this manual to administer oaths. An officer certified under article 27(b) who has taken such an oath need not be resworn when detailed as counsel or serving as individual military counsel in any subsequent court-martial.

(3) Individual counsel, military (not certified) or civilian, requested by the accused must be sworn in each case. Detailed counsel who are not certified in accordance with article 27(b), UCMJ, must be sworn in each case. Counsel who have taken one-time oaths administered by the Army, Air Force, or Coast Guard need not again be sworn in courts-martial convened in the naval service. The oaths used for counsel not administered a one-time oath will be those prescribed in R.C.M. 807(b)(2) Dissuccion, MCM.

(4) The following oath may be used in administering a one-time oath to military counsel:

> I, _____, do swear (or affirm) that I will faithfully perform the duties of counsel in any court-martial to which I am detailed as counsel or in which I participate as individual military counsel. [So help me God.]

c. Members

(1) Detailing. See R.C.M. 503(a), MCM.

(2) Oaths. Court members may be given one oath for all cases which are referred to the

court in accordance with the convening order which detailed them as members. In the event the convening order is amended, a new member may be sworn when he or she arrives. This oath may be administered by any officer authorized by article 136, UCMJ, and section 0902 of this manual to administer oaths. When court members are not sworn at trial, the fact that they have previously been sworn will be recorded in the transcript or record of trial. The oaths used for court members will be those prescribed in R.C.M. 807(b)(2) Dissussion, MCM.

d. Reporters, interpreters, escorts, bailiffs, clerks, and guards

(1) Qualifications of court reporters. Civilian and military court reporters shall be proficient in recording in shorthand or by mechanical, voice, or other means the proceedings of, and the testimony taken before, the court or commission, and shall be able to transcribe accurately the testimony taken.

(2) Appointment of reporters and interpreters

(a) Reporters. In each case before a general court-martial or before a military commission, a court reporter or reporters shall be detailed. In a special court-martial, a court reporter or reporters may be detailed; however, if no reporter is detailed and sworn, the special court-martial may not adjudge a bad-conduct discharge. Detailed reporters shall be proficient in recording in shorthand or by mechanical, voice, or other means the proceedings of, and the testimony taken before, the court or commission. A reporter may be detailed by the convening authority of a summary court-martial, by the officer who orders an investigation under article 32, UCMJ, or by the officer who directs the taking of a deposition. As directed by the trial counsel of a general or special court-martial or by the summary court, the reporter shall prepare either a verbatim or a summarized record and shall preserve the complete shorthand notes or mechanical or voice record of the proceedings as provided in section 0150b. Additional clerical assistants may be detailed when necessary. See R.C.M. 501(c), MCM.

(b) Interpreters. In each case before a court-martial or military commission, in each investigation conducted under Article 32, UCMJ, and in each instance of the taking of a deposition, the convening authority or the officer directing such proceeding shall appoint, when necessary, an interpreter for the court, commission, investigation, or officer taking the deposition.

(c) Manner of appointment. Appointment of reporters and interpreters by the convening authority or authority directing the proceedings may be effected personally by him, or, at his discretion, by any other person. Such appointment may be oral or in writing.

(3) Oaths

(a) Reporters. Any court reporter, military or civilian, may be given a one-time oath. The oath normally will be administered by trial counsel in the first court-martial to which the court reporter is assigned. Once such oath is taken, the court reporter need not be resworn at any trial or other proceeding to which assigned. The following oath may be used in administering a one-time oath to court reporters:

> I, _____ do swear (or affirm) that I will faithfully perform the duties of reporter in any court-martial to which I am assigned as reporter. [So help me God.]

(b) Interpreters. Interpreters will be sworn by the trial counsel as provided in R.C.M. 807(b)(2) Dissussion, MCM.

(4) Disqualification. Reporters, interpreters, escorts, bailiffs, clerks, and guards shall be disqualified as provided in R.C.M. 502(e)(2), MCM.

(5) Duties. The duties of reporters, interpreters, escorts, bailiffs, clerks, and guards shall be as prescribed in R.C.M. 502(e)(3), MCM, NAVMARTRIJUDICINST 5810.5, and by the military judge or trial counsel. A bailiff should be present at every trial by court-martial unless his presence is excused by the military judge.

(6) Source and expenses of court reporters and interpreters. Whenever possible, reporters, interpreters, and clerical assistants shall be detailed from either naval or civilian personnel serving under the convening authority or officer directing the proceeding, or placed at his disposal by another officer or by other Federal agencies. When necessary, the convening authority or officer directing the proceeding may employ or authorize the employment of a reporter or interpreter, at the prevailing wage scale, for duty with a general or special court-martial, a military commission, an investigation under article 32, UCMJ, or at the taking of a deposition. No expense to the Government shall be incurred by the employment of a reporter, interpreter, or other person to assist in a court-martial, military commission, article 32 investigation, or the taking of a deposition, except when authorized by the convening authority or officer directing the proceeding. When required reporters or interpreters are not available locally, the convening authority or officer directing the proceeding shall communicate with the Chief of Naval Personnel or Commandant of the Marine Corps, as appropriate, requesting that such assistance be provided or authorized.

e. Oaths of court-martial personnel. Where no form of oath is specified in this section, the oaths set out in R.C.M. 807(b)(2) Discussion, MCM, may be used.

0131 STANDARDS FOR DETERMINING AVAILABILITY OF REQUESTED INDIVIDUAL MILITARY COUNSEL

a. General. Article 38(b)(3)(B), UCMJ, provides that an accused has the right to be represented before a general or special court-martial or at an investigation under article 32, UCMJ, by military counsel of his own selection if that counsel is reasonably available. Article 38(b)(7), UCMJ, provides that the Secretary concerned shall, by regulation, define "reasonably available" for purposes of paragraph (3)(B) and establish procedures for determining whether the military counsel requested by an accused under that paragraph is "reasonably available." Pursuant to the provisions of article 38(b)(3) and (7), UCMJ, and in accordance with R.C.M. 506, MCM, the term "reasonably available" is hereafter defined, and the procedures for determining whether a military counsel requested by an accused is "reasonably available" are established. Counsel serving in the Army, Air Force, or Coast Guard, are "reasonably available" to represent a Navy or Marine Corps accused if not otherwise unavailable within the meaning of R.C.M. 506, MCM, or under regulations of the Secretary concerned for the Department in which such counsel are members. Since an accused has the right to civilian counsel in addition to detailed counsel or individual military counsel, retention of, or representation by, civilian counsel does not extinguish the right to representation by individual military counsel. It is the policy of the Secretary of the Navy that the right to individual military counsel shall be administered so as not to interfere with orderly and efficient trials by court-martial.

b. Definitions

(1) "Proceeding." As used in this section, "proceeding" means a trial-level proceeding by general or special court-martial or an investigation under article 32, UCMJ.

(2) "Commander." For counsel assigned to a Naval Legal Service Office, Detachment, or Branch Office, the commander of the requested counsel is defined as the commanding officer of the cognizant Naval Legal Service Office; for counsel assigned to the Naval Civil Law Support Activity, the Commanding Officer, Naval Civil Law Support Activity; for counsel assigned to the Navy-Marine Corps Appellate Review Activity, the Officer in Charge, Navy-Marine Corps Appellate Review Activity; for all other counsel assigned to the Office of the Judge Advocate General, the Assistant Judge Advocate General for Military Justice (Code 02). For all other counsel, the commander is defined as the commanding officer or head of the organization, activity, or agency with which requested military counsel will be serving at the time of the proceeding. The commander is not disqualified from acting as the commander under this rule solely because the commander is also the convening authority.

(3) "Attorney-client relationship." For purposes of this section, an attorney-client relationship exists between the accused and requested counsel when counsel and the accused have had a privileged conversation relating to a charge pending before the proceeding, and counsel has engaged in active pretrial preparation and strategy with regard to that charge. A counsel will be deemed to have engaged in active pretrial preparation and strategy if that counsel has taken action on the case which materially limits the range of options available to the accused at the proceeding.

(a) Actions by counsel deemed to constitute active pretrial preparation and strategy which materially limit the range of options available to the accused include, but are not limited to: advising the accused to waive or assert a legal right, other than simply asserting the right to remain silent, where the accused has followed such advice by waiving or asserting that right; representing the accused at a pretrial investigation under article 32, UCMJ, dealing with the same subject matter as any charge pending before the proceeding; submitting evidence for testing or analysis; advising the accused to submit to a polygraph examination where the accused has followed such advice by so submitting; offering a pretrial agreement on behalf of the accused; submitting a request for an administrative discharge in lieu of trial on behalf of the accused; or interviewing witnesses relative to any charge pending before the proceeding.

(b) Actions that, in and of themselves, will *not be deemed to constitute "active pretrial* preparation and strategy" include, but are not limited to: discussing the legal and factual issues in the case with the accused; discussing the legal and factual issues in the case with another person under the protection of the attorney-client privilege, such as another defense counsel; performing legal research dealing with the subject matter of the case; representing the accused in the review of pretrial confinement under R.C.M. 305, MCM; representing the accused in appellate review proceedings under article 70, UCMJ; or providing counseling to the accused concerning article 15, UCMJ. These actions should be appraised under a totality of the circumstances test to determine if they constitute "active pretrial preparation and strategy."

(4) "Reasonably available." All counsel serving on active duty in the Navy or Marine Corps, certified in accordance with article 27(b), UCMJ, and not excluded by subsections b(4)(a) through (d), below, may be determined to be "reasonably available" by the commander of requested counsel. In making this determination, the commander will assess the impact upon the command should the requested counsel be made available. In so doing, the commander may consider, among others, the following factors: the anticipated duties and workload of requested counsel, including authorized leave; the estimated duration of requested counsel's absence from the command, including time for travel, preparation, and participation in the proceeding; any unique or special qualifications relevant to the proceeding possessed by requested counsel; the ability of other counsel to assume the duties of requested counsel; the nature and complexity of the charges or the legal issues involved in the proceeding; the experience level and any special or unique qualifications of the detailed defense counsel; and the information or comments of the accused and the convening authority. Counsel described in subsections b((4)(a) through (d), below, are not "reasonably available:"

(a) Counsel who are flag or general officers;

(b) Counsel who are performing duties as trial counsel; trial or appellate military judge; *appellate defense or government counsel; court* commissioner; principal legal advisor to a command, organization or agency having general court-martial convening authority, or the principal assistant to such legal advisor; instructor or student at a college, university, service school, or academy; or assigned as a commanding officer, executive officer or officer in charge;

(c) Counsel who are assigned to any of the following commands, activities, organizations, or agencies; Executive Office of the President; Office of the Secretary of Defense; Office of the Secretary of the Navy; Office of the Joint Chiefs of Staff; Office of the Chief of Naval Operations; Headquarters, U.S. Marine Corps; National

Security Agency; Defense Intelligence Agency; Office of the Judge Advocate General; Navy-Marine Corps Appellate Review Activity; Naval Civil Law Support Activity; Office of Legislative Affairs; Office of the Defense Department or Navy Department Inspectors General; or any agency or department outside the Department of Defense; and

(d) Counsel neither assigned to a command or activity located within the Navy-Marine Corps Trial Judiciary Circuit where the proceeding is to be held, nor within 100 miles of where the proceeding is to be held (determined in accordance with the official Tables of Distances). The foregoing geographical limitations shall not apply in cases in which an article 32, UCMJ, pretrial investigation is ordered for a preferred charge of a capital offense for which the sentence of death is expressly authorized under articles 106, 106a, 118(1) or (4), of the Uniform Code of Military Justice.

c. Submission and forwarding of requests

(1) Submission. A request for individual military counsel shall be made in writing by the accused, or by counsel for the accused on the accused's behalf, and shall be submitted to the convening authority via the trial counsel. The burden is on the counsel for the accused to state in the request the specific location and duties of requested counsel, if known, and to state clearly whether the accused claims to have an attorney-client relationship with requested counsel regarding one or more charges pending before the proceeding, and the factual basis underlying that assertion. The request shall also state any special qualifications of requested counsel that are relevant to the case.

(2) Action by the convening authority.

(a) If requested counsel is not on active duty in the armed forces, the convening authority shall promptly deny the request and so inform the accused, in writing, citing this provision.

(b) If the requested counsel is on active duty in the Armed Forces and the request does not claim an attorney-client relationship regarding any charge pending before the proceeding and the requested counsel is not "reasonably available" as defined in subsection b(4)(a) through (d), above, the convening authority shall promptly deny the request and so inform the accused, in writing, citing this provision.

(c) In all other cases, the convening authority shall forward the request to the commander of the requested counsel (i.e., the commander responsible for the counsel's daily supervision), providing the following in the forwarding endorsement: the nature of the charges; the convening authority's estimate of the duration of requested counsel's involvement in the proceeding, including time for travel, preparation and participation in the proceeding; and any other information or comments deemed appropriate.

d. Action by the commander of requested counsel

(1) Determining whether an attorney-client relationship exists. Applying the criteria enumerated in subsection b(3), above, the commander shall determine whether requested counsel has an attorney-client relationship with the accused regarding any charge pending before the proceeding.

(2) When there is an attorney-client relationship. If the commander determines that there is an attorney-client relationship regarding any charge pending before the proceeding, then the requested counsel should ordinarily be made available to act as individual military counsel without regard to whether he or she would otherwise be deemed "reasonably available" as defined in subsection b(4), above, unless there is "good cause" to sever that relationship, and provided that requested counsel is certified in accordance with article 27(b), UCMJ. "Good cause" to sever an attorney-client relationship includes, but is not limited to, requested counsel's release from active duty or terminal leave. If requested counsel is not certified in accordance with article 27(b), UCMJ, the commander shall promptly deny the request and so inform the accused, in writing, citing this provision. If there is "good cause" to sever an attorney-client relationship, the commander shall apply the criteria and procedures in subsection d(3), below.

(3) When there is no attorney-client relationship. If the commander determines that there is no attorney-client relationship regarding any charge pending before the proceeding, the following procedures apply:

(a) If the commander determines that requested counsel is not "reasonably available" as defined in subsection b(4), above, the commander shall promptly deny the request and so inform the accused, in writing, citing this provision.

(b) If the commander determines that requested counsel is "reasonably available," the requested counsel shall be made available to represent the accused at the proceeding, and the commander shall promptly inform the convening authority and the accused of this determination.

e. Administrative review. The decision whether requested counsel will be made available to act as individual military counsel is an administrative determination within the sole discretion of the commander, except as specifically provided below. If the commander declines to make requested counsel available, the accused may appeal that decision via the commander to the commander's immediate superior in command, but appeals may not be made which require action at the departmental or higher level. The basis for appeal will normally be abuse of discretion, but if the accused claims that the commander making the determination did not have authority to do so, or did so on the basis of inaccurate or incomplete information, the reviewing authority shall consider those allegations and, if warranted, direct corrective action. The appeal shall be promptly reviewed, and the commander of requested counsel, the convening authority and the accused shall be promptly informed of the decision.

f. Approval of associate defense counsel. If individual military counsel has been made available to defend an accused at a proceeding, the detailed defense counsel normally shall be excused from further participation in the case unless the authority who detailed the defense counsel, in his or her sole discretion, approves a request from the accused that detailed defense counsel act as associate defense counsel. The seriousness of the charges, the retention of civilian defense counsel, the complexity of legal or factual issues, and the detailing of additional trial counsel are among the factors that may be considered in the exercise of this discretion. This decision is not subject to administrative review.

0132 [Reserved]

0133 ADDITIONAL MATTERS IN CONVENING ORDERS

Each convening order shall be assigned a court-martial convening order number. The order shall be personally subscribed by the convening authority and shall show his name, grade, and title, including organization or unit. A copy of the convening order shall be furnished to each person named in such order.

0134 ADDITIONAL MATTERS IN THE CASE OF CERTAIN RESERVE COMPONENT PERSONNEL

a. Holdover of reserve component personnel on active duty. Reserve component personnel on active duty may be extended involuntarily beyond their normal release date from active duty as a result of apprehension, arrest, confinement, investigation, or filing of charges that may result in trial by court-martial and execution of any sentence of a court-martial. See R.C.M. 202(c).

b. Holdover of reserve component personnel on inactive duty training

(1) Reserve component personnel on inactive duty training may be retained in that status by an officer empowered to convene courts-martial for not more than 2 full working days past the end of inactive duty training if:

(a) There is probable cause to believe the accused committed an offense for which the maximum punishment authorized is confinement for more than 10 years or death;

(b) Approval, either oral or written, for holdover is obtained prior to expiration of inactive duty training from the officer empowered to convene a general court-martial in the chain of command of the accused, as designated in section 0120a and superior in grade to the requesting officer; and

(c) Immediate action is taken to order the member to active duty for trial by court-martial.

(2) An accused held over under this subsection may be placed in pretrial confinement as circumstances warrant. See R.C.M. 304 and 305. The order to active duty in such a case,

however, must be approved by the Secretary, Under Secretary, or Assistant Secretary of the Navy, no later than 2 full working days past the end of inactive duty training. The request for an order to active duty under this subsection shall state the reasons why pretrial confinement is deemed necessary. See section 0123e.

(3) If necessary, the request to order an accused to active duty may be made directly by message or telephone.

c. Sentences to forfeiture or fine

(1) Forfeiture. Pay subject to forfeiture refers to the basic pay of the person plus any sea or foreign duty pay. If punishment includes reduction in grade, forfeiture shall be based on the grade to which the accused is reduced. For inactive duty reserve component personnel ordered to active duty for punishment and released from active duty prior to collection of the total amounts to be forfeited, see DODPM, Pt. 7, ch. 5 and 6.

(2) Fine. Fines in the case of reserve component personnel permanently assigned to an inactive duty training unit shall be based on the total amount subject to forfeiture at the time adjudged.

d. Sentence involving restraint on liberty

(1) Personnel on inactive duty training. If the sentence pertains to reserve component personnel on inactive duty training, restraint on liberty shall not extend beyond the normal inactive duty training period but may be carried over to subsequent periods of inactive duty training or active duty. A reserve component member on inactive duty may not be ordered to active duty for the sole purpose of serving such punishment unless the order to active duty receives Secretarial approval. See section 0123e.

(2) Personnel on active duty. If the sentence pertains to reserve component personnel who have been ordered to active duty for disciplinary proceedings, the period of active duty may not be extended for the purpose of serving such punishment, nor may a sentence to confinement be adjudged, unless the order to active duty received Secretarial approval. See section 0123e.

0135 ARTICLE 39(a), UCMJ, SESSIONS

Article 39(a), UCMJ, sessions will be called by order of the military judge. Either counsel, however, may make a request to the military judge that such a session be called. The military judge of a general or special court-martial may, at an article 39(a) session, arraign the accused, hear arguments and rule upon motions, and receive the pleas of the accused. If the accused pleads guilty, the military judge may at that time make the appropriate inquiry into the providence of the accused's plea. The military judge may also at that time accept the plea of the accused. Upon acceptance of a plea of guilty, the military judge is authorized to enter a finding of guilty immediately except when the plea is to a lesser included offense and the prosecution intends to proceed to trial on a greater offense.

0136 DELEGATION OF AUTHORITY TO EXCUSE MEMBERS

A general court-martial or special court-martial convening authority may delegate authority to excuse members under R.C.M. 505(c)(1), MCM, to the staff judge advocate or to a principal assistant. Before the court-martial is assembled, the convening authority's delegate may excuse members without cause shown; however, no more than one-third of the total number of members detailed by the convening authority may be excused by the convening authority's delegate in any one court-martial. After assembly, the convening authority's delegate may not excuse members.

0137 PRETRIAL AGREEMENTS

a. General. The procedures and limitations set forth in R.C.M. 705, MCM, shall be followed for the negotiation and entry into a pretrial agreement between an accused and the convening authority. Appendix A-1-h, a suggested form for such agreements, must be modified as appropriate to include all of the agreements made between the accused and the convening authority. No matters "understood" between the parties should be omitted from the written agreement.

b. Major Federal offenses. The authority of court-martial convening authorities to refer cases to trial and to approve pretrial agreements extends only to trials by courts-martial. In order to ensure that such actions do not preclude appropriate action by Federal civilian authorities in cases likely to be prosecuted in the U.S. District Courts, court-martial convening authorities shall ensure that appropriate consultation under the Memorandum of Understanding between the Departments of Defense and Justice has taken place prior to trial by court-martial or approval of a pretrial agreement in cases where such consultation is required. See Appendix 3, MCM.

c. Limitations in national security cases. No official of the Department of the Navy is authorized to enter into a pretrial agreement in any national security case, as defined in section 0159a, without first obtaining permission to do so from the Secretary of the Navy. If an offer to plead guilty is received from the accused or the accused's counsel, the convening authority may enter into pretrial agreement discussions. If discussions result in terms which are mutually agreeable to the convening authority and the accused, the convening authority shall request, by priority message (with information copies to the Chief of Naval Operations or Commandant of the Marine Corps, as appropriate, and the Judge Advocate General), permission from the Secretary of the Navy to enter into a written pretrial agreement embodying those terms. The message request shall include the following:

(1) The exact text of the proposed pretrial agreement;

(2) A statement of the factual background of the offense(s);

(3) Information pertaining to the identity of the accused;

(4) A summary of the evidence which would be available for introduction at trial before findings or during any sentencing portion of trial by the Government or the accused; and

(5) A summary of the factors which warrant entry into a pretrial agreement.

0138 AUTHORITY TO GRANT IMMUNITY FROM PROSECUTION

a. General. See R.C.M. 704, MCM. In certain cases involving more than one participant, the interests of justice may make it advisable to grant immunity, either transactional or testimonial, to one or more of the participants in the offense in consideration for their testifying for the Government or the defense in the investigation and/or the trial of the principal offender. Transactional immunity, as that term is used in this section, shall mean immunity from prosecution for any offense or offenses to which the compelled testimony relates. Testimonial immunity, as that term is used in this section, shall mean immunity from the use, in aid of future prosecution, of testimony or other information compelled under an order to testify (or any information directly or indirectly derived from such testimony or other information). The authority to grant either transactional or testimonial immunity to a witness is reserved to officers exercising general court-martial jurisdiction. This authority may be exercised in any case, whether or not formal charges have been preferred, and whether or not the matter has been referred for trial. The approval of the Attorney General of the United States on certain orders to testify may be required, as outlined below.

b. Procedure. The written recommendation that a certain witness be granted either transactional or testimonial immunity in consideration for testimony deemed essential to the Government or to the defense shall be forwarded to an officer competent to convene a general court-martial for the witness for whom immunity is requested, i.e., any officer exercising general court-martial jurisdiction. Such recommendation will be forwarded by the trial counsel or defense counsel in cases referred for trial, the pretrial investigating officer conducting an investigation upon preferred charges, the counsel or recorder of any other fact-finding body, or the investigator when no charges have yet been preferred. The recommendation shall state in detail why the testimony of the witness is deemed so essential or material that the interests of justice cannot be served without the grant of immunity. The officer exercising general court-martial jurisdiction shall act upon such request after referring it to his staff judge advocate for consideration and advice. If approved, a copy of the written grant of immunity must be served upon the accused or his defense counsel within a reasonable time before the witness testifies. Additionally, if any witness is expected to testify in response to a promise of leniency, the terms of the promise of leniency must be reduced to writing and served upon the accused or his defense counsel in the same manner as a grant of immunity.

c. Civilian witnesses. Pursuant to 18 U.S.C. sections 6002 and 6004, if the testimony or other information of a civilian witness at a court-martial may be necessary in the public interest, and if the civilian witness has refused or is likely to refuse to testify or provide other information on the basis of a privilege against self-incrimination, then the approval of the Attorney General of the United States, or his designee, must be obtained prior to the execution or issuance of an order to testify to such civilian witness. The cognizant officer exercising general court-martial jurisdiction may obtain the approval of the Attorney General in such a circumstance by directing a message or letter requesting the assistance of the Judge Advocate General (Code 20, via Code 11 in national security cases) in the form prescribed in section 0139.

d. Cases involving national security. In all cases involving national security or foreign relations of the United States, the cognizant officer exercising general court-martial jurisdiction shall forward, in the form prescribed in subsection section 0139, any proposed grant of immunity to the Judge Advocate General for the purpose of consultation with the Department of Justice. Such cases include, but are not limited to, those enumerated in section 0159a. See section 0125 regarding investigations, limitations on dispositional authority, and relations between the Departments of Defense and Justice. See section 0137c regarding pretrial agreements. See

section 0159 regarding remission and suspension of sentences in national security cases.

e. Review. Under some circumstances, the officer granting immunity to a witness may be disqualified from taking reviewing action on the record of the trial before which the witness granted immunity testified. See U.S. v. Newman, 14 M.J. 474 (CMA 1983). A successor in command not participating in the grant of immunity would not be so disqualified under those circumstances.

f. Form of grant. In any case in which a military witness is granted transactional immunity, the general court-martial convening authority should execute a written grant substantially in the form set forth in Appendix A-1-i(1). In any case in which a military witness is granted testimonial immunity, the general court-martial convening authority should execute a written grant substantially in the form set forth in Appendix A-1-i(2).

0139 CONTENT OF IMMUNITY REQUESTS WHEN APPROVAL OF THE ATTORNEY GENERAL IS REQUIRED

a. Approval. In all cases in which approval of the Attorney General of the United States is required prior to the issuance of a grant of immunity, whether under section 0138c or 0138d, the cognizant officer exercising general court-martial jurisdiction shall forward by message or letter the proposed order to testify and grant of immunity to the Judge Advocate General (Code 20, via Code 11 in national security cases).

b. Order to testify. The order to testify should be substantially in the form set forth in Appendix A-1-i(3). Requests for assistance shall be in writing, should allow at least 3 weeks for consideration, and must contain the following information:

(1) Name, citation, or other identifying information of the proceeding in which the order is to be used.

(2) Name and social security number, where possible, of the witness for whom the immunity is requested (see Appendix A-1-i-(4)).

(3) Name of the employer or company with which a witness is associated or the military unit or organization to which a witness is assigned.

(4) Date and place of birth, if known, of the witness.

(5) FBI or local police file number, if any, and if known.

(6) Whether any state or Federal charges are pending against the witness and the nature of any such charges.

(7) Whether the witness is currently incarcerated, under what conditions, and for what length of time.

(8) A brief resume of the background of the investigation or proceeding before the agency or department.

(9) A concise statement of the reasons for the request, including:

(a) what testimony the witness is expected to give;

(b) how this testimony will serve the public interest;

(c) whether the witness:

1 Has invoked the privilege against self-incrimination; or

2 Is likely to invoke the privilege;

(d) If (9)(c)2 is applicable, then why it is anticipated that the prospective witness will invoke the privilege.

(10) An estimate as to whether the witness is likely to testify in the event immunity is granted.

(11) A statement reflecting whether or not the local district or state attorney and the U.S. Attorney have any intention of prosecuting the witness. The names and telephone numbers of those attorneys should also be provided.

0140 POST-TESTIMONY PROCEDURE WHEN AUTHORITY TO GRANT IMMUNITY WAS OBTAINED FROM THE ATTORNEY GENERAL

a. Information. After a witness immunized in accordance with section 0138c or 0138d has testified, the following information shall be provided to the United States Department of Justice, Criminal Division, Immunity Unit, Washington, DC 20530, via the Judge Advocate General (Code 20):

(1) Name, citation, or other identifying information, of the proceeding in which the order was requested.

(2) Date of the examination of the witness.

(3) Name and residence address of the witness.

(4) Whether the witness invoked the privilege.

(5) Whether the immunity order was used.

(6) Whether the witness testified pursuant to the order.

(7) If the witness refused to comply with the order, whether contempt proceedings were instituted, or are contemplated, and the result of the contempt proceeding, if concluded.

b. Verbatim transcript. A verbatim transcript of the witness' testimony, authenticated by the military judge, should be provided to the Judge Advocate General at the conclusion of the trial. No testimony or other information given by a civilian witness pursuant to such an order to testify (or any information directly or indirectly derived from such testimony or other information) may be used against him in any criminal case, except a prosecution for perjury, giving a false statement, or otherwise failing to comply with the order.

0141 PERSONAL DATA AND CHARACTER OF PRIOR SERVICE OF THE ACCUSED

If otherwise admissible, trial counsel are authorized to present, and summary court-martial officers are authorized to obtain and introduce into evidence, matters set out in R.C.M. 1001(b)(2), MCM. Records of nonjudicial punishment must relate to offenses committed prior to trial and during the current enlistment or period of service of the accused, provided such records shall not extend to offenses committed more than 2 years prior to the commission of any offense of which the accused stands convicted. In computing the 2-year period, periods of unauthorized absence as shown by the personnel records of the accused should be excluded.

0142 RELEASE OF INFORMATION PERTAINING TO ACCUSED PERSONS

a. General. There are valid reasons for making information available to the public concerning the administration of military justice. The task of striking a fair balance among the protection of individuals accused of offenses, improper or unwarranted publicity pertaining to their cases, public understanding of the problems of controlling misconduct in the military service, and the workings of military justice, requires the exercise of sound judgment by those responsible for administering military justice and by representatives of the press and other news media. At the heart of all guidelines pertaining to the furnishing of information concerning an accused or the allegations against him is the mandate that no statements or other information shall be furnished to news media for the purpose of prejudicing the outcome of an accused's trial, or which could reasonably be expected to have such an effect.

b. Applicability of regulations

(1) Except as provided in subsection (2) below, these regulations apply to all persons who may obtain information as the result of duties performed in connection with the processing of accused persons, the investigation of suspected offenses, the imposition of nonjudicial punishment, or the trial of persons by court-martial. These regulations are applicable from the time of apprehension, the preferral of charges, or

the commencement of an investigation directed to make recommendations concerning disciplinary action, until the imposition of nonjudicial punishment, completion of trial (court-martial sessions), or disposition of the case without trial. These regulations also prescribe guidelines for the release or dissemination of information to public news agencies, to other public news media, or to other persons or agencies for unofficial purposes.

(2) Judge advocates assigned by competent authority to represent an individual client other than the Government shall comply with the applicable provisions of JAGINST 5803.1 series, (Rules of Professional Responsibility for Attorneys Practicing Under the Supervision of the Judge Advocate General) when making any statements concerning the subject matter of that representation. See, e.g., Rules 1.6 (Confidentiality of Information), 3.6 (Extra-Tribunal Statements), and 4.1 (Truthfulness in Statements to Others).

c. Release of information

(1) As a general matter, release of information pertaining to accused persons should not be initiated by persons in the naval service. Information of this nature should be released only upon specific request and, subject to the following guidelines, should not exceed the scope of the inquiry concerned.

(2) Except in unusual circumstances, information subject to release under this regulation should be released by the cognizant public affairs officer; requests for information received from representatives of news media should be referred to the public affairs officer for action. When an individual is suspected or accused of an offense, care should be taken to indicate that the individual is alleged to have committed or is suspected or accused of having committed an offense, as distinguished from stating or implying that the accused has committed the offense or offenses.

d. Information subject to release. On inquiry, the following information concerning a person accused or suspected of an offense or offenses may generally be released, without elaboration, except as provided in subsection f:

(1) The accused's name, grade, age, unit, regularly assigned duties, duty station, and sex.

(2) The general nature of the offense(s) of which the individual is accused or suspected. The fact that an accused has been charged with an offense may be released, but a statement explaining that the charge is merely an accusation and that the accused is presumed innocent until proven guilty must also be included.

(3) The identity of the victim of any alleged or suspected offense, except the victim of a sexual offense.

(4) The identity of the apprehending and investigating agency, and the identity of the accused's counsel, if any.

(5) The fact, time, and place of the apprehension of the accused.

(6) The type and place of custody, if any.

(7) Information which has become a part of the record of proceedings of the court-martial in open session.

(8) The scheduling or result of any stage in the judicial process.

(9) The denial by the accused of any offense or offenses of which he may be accused or suspected (when release of such information is approved by the counsel of the accused).

e. Prohibited information. The following information concerning a person accused or suspected of an offense or offenses generally may not be released, except as provided in subsection f:

(1) Subjective opinions, observations, or comments concerning the accused's character, demeanor, credibility, or expected testimony at any time (except as authorized in subsection d(5)), or guilt of the offense or offenses involved.

(2) The prior criminal record (including other apprehensions, charges, or trials) or the character or reputation of the accused.

(3) The existence or contents of any confession, admission, statement, or alibi given by the accused, or the refusal or failure of the accused to make any statement.

(4) The performance of any examination or test, such as polygraph examinations, chemical tests, ballistics tests, etc., or the refusal or failure of the accused to submit to an examination or test.

(5) The identity or nature of physical evidence expected to be presented, or the identity, testimony, or credibility of possible witnesses, except as authorized in subsection d(3). Particularly objectionable are statements or comments concerning information or evidence which is known, or which reasonably should be known, to be inadmissible before the tribunal.

(6) The possibility of a plea of guilty to any offense charged or to a lesser offense and any negotiation or any offer to negotiate respecting a plea of guilty.

(7) References to confidential sources or investigative techniques or procedures.

(8) Statements or opinions regarding the credibility, reputation, motives, or character of Department of Defense military or civilian officials.

(9) Any other matter when there is a reasonable likelihood that the dissemination of such matter will affect the deliberations of an investigative body or the findings or sentence of a court-martial, or otherwise prejudice the due administration of military justice either before, during, or after trial.

f. Exceptional cases. The provisions of this section are not intended to restrict the release of information designed to enlist public assistance in apprehending an accused or suspect who is a fugitive from justice or to warn the public of any danger that a fugitive accused or suspect may present. Further, since the purpose of this section is to prescribe generally applicable guidelines, there may be exceptional circumstances which warrant the release of information prohibited under subsection e, or the nonrelease of information permitted under subsection d. Attention should be given to the SECNAV instructions implementing the Freedom of Information Act (5720.42E) and the Privacy Act (5211.5C). Consultation with the command judge advocate, if one is assigned, or with the cognizant trial services office concerning interpretation and application of these instructions is encouraged.

0143 SPECTATORS AT PROCEEDINGS

a. At sessions of courts-martial. See R.C.M. 806, MCM.

b. At pretrial hearings. In any preliminary hearing, including a hearing conducted pursuant to article 32, UCMJ, or a court of inquiry or investigation conducted pursuant to this manual, the presiding officer, upon motion of the Government or the defense or upon his own motion, may direct that all or part of the hearing be held in closed session and that all persons not connected with the hearing be excluded therefrom. The decision to exclude spectators shall be based on the ground that dissemination of evidence, information, or argument presented at the hearing may disclose matters that will be inadmissible in evidence at a subsequent trial by court-martial and is, therefore, likely to interfere with the right of the accused to a fair trial by an impartial tribunal.

0144 SECURITY OF CLASSIFIED MATTER IN JUDICIAL PROCEEDINGS

a. General. Every precaution shall be taken by convening authorities, military judges, presidents of special courts-martial, summary courts, and trial counsel to protect the security of classified matter involved in judicial proceedings. If a trial of a case involves classified information, the convening authority, military judge, president of a special court-martial, summary court, and trial counsel, as appropriate, are charged with the responsibility of ensuring compliance with applicable provisions of the Department of the Navy Information and Personnel Security Program Regulation, OPNAVINST 5510.1H, and R.C.M. 401(d) and 407(b) and M.R.E. 505, MCM.

b. Security clearance of personnel. If classified matter is to be used for prosecution, appropriate personnel security clearances in accordance with OPNAVINST 5510.1H must be granted to all members of the court, members of the prosecution and defense, court reporters, and interpreters, and all other persons whose presence is required when classified matter is introduced before the court. If the accused is represented by civilian defense counsel, such counsel must likewise be cleared before classified matter may be disclosed to him. The necessity for clearing the accused and the practicability of obtaining such clearance rests in the sound discretion of the convening authority and may be one of the considerations in the determination to try a particular case. If it appears during the course of a trial that classified matter will be disclosed, and if the provisions of this subsection have not been complied with, the military judge or president of a special court-martial or summary court shall adjourn the court and refer the matter to the convening authority.

c. Procedures concerning spectators. See R.C.M. 806, MCM, which prescribes procedures necessary to prevent the dissemination of classified information to other than authorized persons.

0145 FINANCIAL RESPONSIBILITY FOR COSTS INCURRED IN SUPPORT OF COURTS-MARTIAL

a. Travel, per diem, fees, and mileage

(1) The costs of travel and per diem of military personnel and civilian employees of the Department of the Navy, but excluding those of personnel attached to the Navy-Marine Corps Trial Judiciary when acting as military judges of courts-martial, will be charged to the operation and maintenance allotment which supports temporary additional duty travel for the convening authority of the court-martial. Such costs incurred by personnel attached to the Navy-Marine Corps Trial Judiciary when acting as military judges of courts-martial will be charged to the operation and maintenance allotment of the Judge Advocate General.

(2) The costs of fees and mileage of civilians other than employees of the Department of the Navy will be charged to the operating budget which supports the temporary additional duty travel funds of the appropriate Navy or Marine Corps convening authority. See the Navy Comptroller Manual, Volume VII, paragraph 075133.

b. Services and supplies

(1) The following costs of services and supplies provided by an activity in support of courts-martial will be charged to the operation and maintenance allotment of the convening authority:

(a) In-house costs which are direct, out-of-pocket, identifiable, and which total $100.00 or more in a calendar month; and

(b) Costs which arise under contracts which were entered into in support of courts-martial.

(2) All other costs of services and supplies will be absorbed by the operation and maintenance allotment of the activity which provides the services or supplies.

0146 FEES OF CIVILIAN WITNESSES

a. Method of payment. The fees and mileage of civilian witnesses shall be paid by the disbursing officer of the command of a convening authority or appointing authority, or by the disbursing officer at or near the place where the tribunal sits or where a deposition is taken, when such disbursing officer is presented a properly completed public voucher for such fees and mileage signed by the witness and certified by one of the following:

(1) Trial counsel or assistant trial counsel of the court-martial;

(2) Summary court officer;

(3) Counsel for the court in a court of inquiry;

(4) Recorder or junior member of a board to redress injuries to property; or

(5) Military or civil officer before whom a deposition is taken.

b. Public voucher. The public voucher must be accompanied by a subpoena or invitational orders (see the Joint Travel Regulations, Vol. 2, Chap. 6), and by a certified copy of the order appointing the court-martial, court of inquiry, or investigation. If, however, a deposition is taken before charges are referred for trial, the fees and mileage of the witness concerned shall be paid by the disbursing office at or near the place where the deposition is taken upon presentation of a public voucher, properly completed as prescribed above, and accompanied by an order from the officer who authorized the taking of the deposition, subscribed by him and directing the disbursing officer to pay to the witness the fees and mileage supported by the public voucher. When the civilian witness testifies outside the United States, its Territories and possessions, the public voucher must be accompanied by a certified copy of the order appointing the court-martial, court of inquiry, or investigation, and by an order from the convening authority or appointing authority, subscribed by him and directing the disbursing officer to pay to the witness the fees and mileage supported by the public voucher.

c. Obtaining money for advance tender or payment. Upon written request by one of the officers listed in subsection a, the disbursing officer under the command of the convening or appointing authority, or the disbursing officer nearest the place where the witness is found, will, at once, provide any of the persons listed in subsection a, or any other officer or person designated for the purpose, the required amount of money to be tendered or paid to the witness for mileage and fees for one day of attendance. The person so receiving the money for the purpose named shall furnish the disbursing officer concerned with a proper receipt.

d. Reimbursement. If an officer charged with serving a subpoena pays from his personal funds the necessary fees and mileage to a witness, taking a receipt therefor, he is entitled to reimbursement upon submitting to the disbursing officer such receipt, together with a certificate of the appropriate person named in subsection a to the effect that the payment was necessary.

e. Certificate of person before whom deposition is taken. The certificate of the person named in subsection a before whom the witness gave his deposition will be evidence of the fact and period of attendance of the witness and the place from which summoned.

f. Payment of accrued fees. The witness may be paid accrued fees at his request at any time during the period of attendance. The disbursing officer will make such interim payment(s) upon receipt of properly executed certificate(s). Upon his discharge from attendance, the witness will be paid, upon the execution of a certificate, a final amount covering unpaid fees and travel, including an amount for return travel. Payment for return travel will be made upon the basis of the actual fees and mileage allowed for travel to the court, or place designated for taking a deposition.

g. Computation. Travel expenses shall be determined on the basis of the shortest usually traveled route in accordance with official schedules. Reasonable allowance will be made for unavoidable detention.

h. Non-transferability of accounts. Accounts of civilian witnesses may not be transferred or assigned.

i. Signatures. Signatures of witnesses signed by mark must be witnessed by two persons.

j. Rates for civilian witnesses prescribed by law:

(1) Civilian witnesses not in Government employ. A civilian not in Government employ, who is compelled or required to testify as a witness before a naval tribunal at a specified place, or to appear at a place where his deposition is to be taken for use before a court or fact-finding body, will receive fees, subsistence, and mileage as provided in 28 U.S.C. section 1821. Witness and subsistence fees are not prorated. Instead, any fractional part of a calendar day expended in

attendance or qualifying for subsistence entitles the witness to payment for a full day. Further, nothing in this subsection shall be construed as authorizing the payment of attendance fees, mileage allowances, or subsistence fees to witnesses for:

(a) Attendance or travel which is not performed either as a direct result of being compelled to testify pursuant to a subpoena or as a direct result of invitational orders; or

(b) Travel which is performed prior to being duly summoned as a witness; or

(c) Travel returning to their places of residence if the travel from their places of residence does not qualify for payment under this subsection.

(2) Civilian witnesses in Government employ. When summoned as a witness, a civilian in the employ of the Government shall be paid as authorized by Joint Travel Regulations.

k. Supplemental construction of section. Nothing in this section shall be construed as permitting or requiring the payment of fees to those witnesses not requested, or whose testimony is determined not to meet the standards of relevancy and materiality in accordance with R.C.M. 703, MCM.

l. Expert witnesses

(1) The convening authority will authorize the employment of an expert witness and will fix the limit of compensation to be paid such expert on the basis of the normal compensation paid by United States Attorneys for attendance of a witness of such standing in United States courts in the area involved. Information concerning such normal compensation may be obtained from the nearest officer exercising general court-martial jurisdiction having a judge advocate assigned in other than an additional duty, temporary duty, or temporary additional duty capacity. Convening authorities at overseas commands will adhere to fees paid such witnesses in the Hawaiian area and may obtain information as to the limit of such fees from the Commander, Naval Base, Pearl Harbor. See subsection m for fees payable to foreign nationals.

(2) The provisions of subsection j are applicable to expert witnesses. However, the expert witness fee prescribed by the convening authority will be paid in lieu of ordinary attendance fees on those days the witness is required to attend the court.

(3) An expert witness employed in strict accordance with R.C.M. 703(d), MCM, may be paid compensation at the rate prescribed in advance by the official empowered to authorize his employment (11 Comp. Gen. 504). In the absence of such authorization, no fees other than ordinary witness fees may be paid for the employment of an individual as an expert witness. After an expert witness has testified pursuant to such employment, the certificate of one of the officers listed in subsection a, when presented to the disbursing officer, shall also enclose a certified copy of the authorization of the convening authority.

m. Payment of witness fees to foreign nationals. Officers exercising general court-martial jurisdiction in areas other than a state of the United States shall establish rates of compensation for payment of foreign nationals who testify as witnesses, including expert witnesses, at courts-martial convened in such areas.

0147 WARRANTS OF ATTACHMENT

Warrants of attachment shall not be issued in any case without the prior approval of the Judge Advocate General acting for the Secretary of the Navy. See R.C.M. 703(e)(2)(G), MCM.

0148 COURT-MARTIAL FORMS

a. List. The forms listed below are used in courts-martial by the naval service:

SF 1156	Public Voucher for Fees and Mile-a-ge of Witnesses (9/73)
SF 1157	Claim for Fees and Mileage of Witness (9/73)
DD 453	Subpoena for Civilian Witness (84 AUG), S/N 0102-LF-000-4530
DD 453-1	Travel Order (84 AUG), S/N

	0102-LF-000-4535
DD 455	Report of Proceedings to Vacate Suspension (84 AUG), S/N 0102-LF-000-4550
DD 457	Investigating Officer's Report (84 AUG), S/N 0102-LF-000-4570
DD 458	Charge Sheet (84 AUG), S/N 0102-LF-000-4580
DD 490	Verbatim Record of Trial (1 Mar 70), S/N 0102-LF-005-1201
DD 491	Summarized Record of Trial (1 Apr 70), S/N 0102-LF-005-1601
DD 494	Court-Martial Data Sheet (Optional) (1 Jun 70), S/N 0102-LF-005-1901
DD 2329	Record of Trial by Summary Court-martial (84 AUG), S/N 0102-LF-002-3290
DD2330	Waiver/Withdrawal of Appellate Rights-Review by Court of Military Review (84 AUG), S/N 0102-LF-002-3300
DD2331	Waiver/Withdrawal of Appellate Rights-Review by Judge Advocate General (84 AUG), S/N 0102-LF-002-3310
NAV-JAG 5800/9	Criminal Activity, Disciplinary Infractions and Court-Martial Report (Rev. 6-85), S/N 0105-LF-105-8047, and 5800/9A Supplemental Report (Rev.6-85), S/N 0105-LF-105-8052

b. How to obtain forms. The DD and NAVJAG forms are available from the Forms and Publications Segment of the Navy Supply System as cognizance symbol "I" material and may be obtained in accordance with the instructions in Navy Stock List of Forms and Publications, NAVSUP Publication 2002. Marine Corps activities will requisition forms in accordance with instructions contained in Chapter 22 of Marine Corps Unified Material Management System Manual, Marine Corps Order P4400.84. The SF forms are available from GSA Stores and Forms Supply Depots. See NAVSO Publication 2345.

c. Forms prescribed by MCM. Where forms are prescribed by the Manual for Courts-Martial, but are not immediately available, convening authorities may improvise as necessary, using the MCM, and its appendices as guides.

0149 REPORT OF RESULTS OF TRIAL

After final adjournment of a court-martial, the trial counsel or summary court-martial, as appropriate, will promptly notify the convening authority and the accused's commanding officer of the results of the trial. If the sentence includes confinement, notification shall be in writing in the form prescribed in Appendix A-1-j, completed so as to contain all applicable information, and a copy forwarded to the commanding officer/ officer in charge of the brig or confinement facility in which the accused is confined. If the sentence includes forfeitures and/or reduction in grade, a report of results of trial must be forwarded to the appropriate Personnel Support Detachment/Unit Diary Clerk and include, if applicable, information regarding approved requests for deferments of adjudged and/or automatic forfeitures and adjudged reductions in grade. Appendix A-1-j may be used in all cases.

0150 RECORD OF TRIAL

a. Authentication of record of trial in special courts-martial not involving a bad-conduct discharge. The record of trial of a special court-martial in which a bad-conduct discharge was not adjudged shall be authenticated in the same manner as general courts-martial and special courts-martial adjudging a bad-conduct discharge. See R.C.M. 1104(a)(2)(A), MCM.

b. Retention of trial notes or recordings. The trial counsel in every general and special court-martial shall ensure that any notes (stenographic or otherwise) or any recordings (mechanical or voice) from which the record of trial was prepared are retained until such time as review of the case is final.

c. Security classification. Records of trial containing classified matter shall be properly classified in accordance with the provisions of R.C.M. 1103(h), MCM, and OPNAVINST 5510.1 series. Copies of such records for delivery to the accused shall be prepared and handled in accordance with R.C.M. 1104(b)(1)(D), MCM. Attention is directed to the fact that, while OPNAVINST 5510.1 series requires that matter bear the overall classification of its highest component, that degree of classification is not then imparted to other components. Rather it authorizes and requires that a component be marked with the classification it warrants (if any). Misunderstanding of these provisions may result in erroneously marking as classified each page of a voluminous record, rendering review for downgrading unnecessarily difficult, and excision for delivery to the accused or counsel impossible.

d. Summary court-martial record of trial. A report of summary court-martial shall be completed and attached to the record of trial for all summary courts-martial conducted, except for those which result in not guilty findings or dismissals to all charges and specifications. The form prescribed in Appendix A-1-p may be used to complete this requirement and attached to DD Form 2329. Use of DD Form 2329 is not required, but is strongly recommended because it fulfills the requirements of R.C.M. 1305.

(1) The following documents shall be attached to the report of summary court-martial:

(a) Convening order;

(b) Charge sheet;

(c) Acknowledgement of rights on DD Form 2329, if executed; and

(d) Waiver of right to refuse summary court-martial, if executed.

(2) A concise synopsis of the evidence considered by the summary court-martial on any charge and specification of which an accused has been convicted contrary to a plea of not guilty.

(3) A concise synopsis of all matters considered in aggravation and in extenuation and mitigation.

(4) All documentary and physical evidence offered at the summary court-martial, except that evidence which relates solely to an offense of

which the accused is found not guilty or is dismissed. This evidence shall be attached to the report of summary court-martial where practicable; copies, photographs, or descriptions should be substituted when it is not practicable to include the original.

0151 INITIAL REVIEW AND ACTION

a. Convening authority

(1) When action may be taken. The convening authority, or other person authorized to act under subsection b, may take action only after the applicable time periods under R.C.M. 1105(c), MCM, have expired or the accused has waived the right to present matters under R.C.M. 1105(d), MCM, whichever is earlier. In any case which results in an acquittal on all charges and specifications, the convening authority shall not take any action approving or disapproving the findings of not guilty or any ruling amounting to a finding of not guilty; however, a promulgating order is required in accordance with R.C.M. 1114, MCM, and section 0155.

(2) Companion cases tried separately. In court-martial cases where the separate trial of a companion case is ordered, the convening authority shall so indicate in his action on the record in each case.

(3) Suspension of sentences. Convening authorities are encouraged to suspend, for a probationary period, all or any part of a sentence, when such action would promote discipline, and when the accused's prospects for rehabilitation would more likely be enhanced by probation than by the execution of all or any part of the sentence adjudged.

(4) Matters to be considered. The convening authority shall follow the provisions of R.C.M. 1107(b)(3), MCM.

b. When impracticable for convening authority to act

(1) For commands in the Navy chain of command, if it is impracticable for the person who normally would take action as convening authority to do so, that person shall cause the record of trial to be forwarded, in the absence of specific direction to the contrary by an officer authorized to convene general courts-martial and superior in the chain of command to the convening authority, to the area coordinator or a subordinate commander authorized to convene general courts-martial and designated by the area coordinator for this purpose. For mobile units, the area coordinator or designated subordinate commander is the area coordinator or designated subordinate commander most convenient at the time of forwarding of the record. The letter or message which causes the record to be so forwarded shall contain a statement of the reasons why the normal convening authority could not act on the record, and any other matters deemed appropriate by the forwarding officer.

(2) For commands in the chain of command of the Commandant of the Marine Corps, unless specifically directed to the contrary by an officer exercising general court-martial convening authority and superior in the chain of command, if, in the discretion of the officer who would normally take action as convening authority, it is impracticable for him to do so, that person shall cause the record of trial to be forwarded to an officer exercising general court-martial jurisdiction. For summary and special courts-martial, this will normally be the officer exercising general court-martial jurisdiction who is superior in the chain of command unless, in the discretion of the officer who would normally take action as convening authority, it will also be impracticable for that officer exercising general court-martial jurisdiction to take the convening authority's action. The letter or message which causes the record to be so forwarded shall contain a statement of the reasons why the normal convening authority could not act on the record, and any other matters deemed appropriate by the forwarding officer.

c. Legal officer/staff judge advocate recommendation. In each general court-martial which results in a finding of guilty or each special court-martial which includes a bad-conduct discharge, the legal officer or staff judge advocate of the convening authority shall prepare a concise written recommendation to assist the convening authority in deciding what action to take on the

sentence. The matters to be included in the recommendation shall be as prescribed in R.C.M. 1106, MCM and may be submitted in a form similar to Appendix A-1-k. An award, for the purpose of R.C.M. 1106(d)(3)(C), is defined as one specified in the Precedence of Awards Table of the Navy and Marine Corps Awards Manual or other issuing Service's award regulations, and which is recorded in the accused's field service record under the authority of service record-keeping regulations. If the convening authority has a legal officer but no staff judge advocate, the convening authority may, as a matter of discretion, and absent alternative direction by the officer exercising general court-martial jurisdiction and superior in the chain of command to the convening authority, request the designation of a staff judge advocate to prepare the recommendation.

0152 ACTIONS ON SPECIFIC TYPES OF SENTENCE

a. Sentences including forfeiture

(1) Navy officer accused. Forfeitures adjudged by court-martial are not collected from Navy officer accused until the Defense Financing and Accounting Service/Cleveland Center (DFAS/CL), Special Claims Department (Code FMAA), 1240 E. 9th Street, Cleveland OH 44199 has been notified by the convening authority that the portion of the sentence extending to forfeiture has been approved and ordered executed. To effect notification and forfeiture of pay, a copy of the convening authority's action which approves and orders the forfeiture to be executed shall be forwarded to DFAS/CL (Code FMAA) through the convening authority's disbursing officer immediately after its preparation. See also section 0155f.

(2) Summary court-martial. The convening authority may apportion forfeitures of pay adjudged by a summary court-martial under Article 20, UCMJ, over 1 month, but as a matter of policy the period of apportionment should not exceed 3 months.

b. Sentences including reprimand

(1) General. Reprimands issued in execution of courts-martial sentences must be in writing. Except as otherwise prescribed in this section, sections 0114f(3)(a)-(c) apply to punitive letters issued in execution of a court-martial sentence. Punitive letters issued in execution of court-martial sentences need not be designated For Official Use Only.

(2) By whom issued. The convening authority may issue punitive letters in execution of summary courts-martial sentences. When a convening authority orders a special or general court-martial sentence imposing a punitive letter executed, the letter shall be issued as part of the action on the record under R.C.M. 1107(f)(4)(G), MCM. Otherwise, the letter shall be issued as part of the promulgating order of the officer who subsequently directs execution of the sentence.

(3) Contents. The punitive letter shall include the time and place of trial, type of court, and a statement of the charges and specifications of which convicted. It shall also contain the following:

> A copy of this letter will be placed in your official record in [the Bureau of Naval Personnel][Headquarters, U.S. Marine Corps]. You may forward within 15 days after receipt of this action a statement concerning this letter for inclusion in your record. If you elect not to submit a statement, you shall so state officially in writing within the time prescribed. In connection with your statement, any statement submitted shall be couched in temperate language and shall be confined to pertinent facts. Opinions shall not be expressed nor the motives of others impugned. Your statement shall not contain countercharges.

(4) Procedure for issuance. The original letter shall be delivered to the accused and a copy appended to the convening authority's action (or the promulgating order of the officer subsequently directing execution of the sentence). The action (or order) should refer to the letter as follows:

Pursuant to the sentence of the court as approved, a punitive letter is this date being served upon the accused and a copy is incorporated as part of this action.

(5) Forwarding copy to Department. Upon receipt of the accused's written statement or a written declaration that he does not desire to make a statement, an additional copy, with the statement or declaration, shall be forwarded to the Chief, Bureau of Naval Personnel (PERS-82 for officers and PERS-83 for enlisted) or the Commandant of the Marine Corps (Code JAM for officers and Code MMRB-20 for enlisted), as appropriate.

(6) Appeals. Review, including appellate review, of punitive letters issued as part of an approved court-martial sentence will be accomplished as provided for by the Uniform Code of Military Justice, the Manual for Courts-Martial, and this Manual. No separate appeal from these letters will be considered.

c. Automatic reduction of enlisted accused. Automatic reduction to the lowest enlisted pay grade under article 58a, UCMJ, shall be effected in the naval service only in accordance with this subsection, which is the regulation prescribed by the Secretary of the Navy pursuant to article 58a(a), UCMJ.

(1) Reduction to the lowest enlisted pay grade will be automatically effected only in a case in which the sentence, as approved by the convening authority, includes, whether or not suspended, either:

(a) A punitive discharge, or

(b) Confinement in excess of 90 days (if the sentence is awarded in days) or 3 months (if the sentence is awarded in other than days).

(2) In his sole discretion, the convening authority may remit the automatic reduction, or may retain the accused in the pay grade held at the time of sentence or in an intermediate pay grade and suspend the automatic reduction to pay grade E-1 that would otherwise be effected under article 58a, UCMJ, and this subsection, utilizing the forms in Appendix 16, MCM, as guides. The automatic reduction may be suspended without regard to whether any part of the approved sentence was suspended. If, however, the adjudged sentence includes a reduction in pay grade which is below the pay grade at which the convening authority desires to have the accused retained, the reduction adjudged in the sentence should be suspended for the same period as the automatic reduction is suspended. Additionally, the convening authority may direct that the accused serve in pay grade E-1 while in confinement but be returned to the pay grade held at the time of sentence or an intermediate pay grade upon release from confinement. Failure of the convening authority to address automatic reduction will result in the automatic reduction to pay grade E-1 on the date of the convening authority's action.

(3) The following forms may be used as guides for suspending automatic reduction without suspending any of the approved sentence (except reduction if included in the sentence) or reducing the accused to E-1 while in confinement and returning the accused to the pay grade held at the time of sentence or an intermediate pay grade upon release from confinement:

(a) In the foregoing case of _____, the sentence is approved [and will be duly executed] but [the execution of so much thereof as provides for reduction to pay grade ____ and] automatic reduction to pay grade E-1 is suspended until _____, at which time, unless the suspension is sooner vacated, the suspended portions will be remitted without further action. The accused will [continue to] serve in pay grade ____ unless the suspension of the [reduction to pay grade ____ and] automatic reduction is vacated, in which event the accused at that time will be reduced to the pay grade of E-1.

(b) In the foregoing case of _____, the sentence is approved [and will be duly executed]. The accused will serve in pay grade E-1 from this date until released from confinement at which time he will be returned to pay grade ____.

d. Sentences extending to dismissal. Pursuant to the authority of article 71(b), UCMJ, the

Under Secretary of the Navy and the Assistant Secretaries of the Navy have been designated by the Secretary as empowered to approve that part of a sentence providing for dismissal of an officer or a midshipman, and may commute, remit, or suspend the sentence, or any part of the sentence, as they see fit.

0153 DISPOSITION OF RECORDS FOLLOWING CONVENING AUTHORITY ACTION

a. Summary courts-martial and special courts-martial not involving a bad-conduct discharge

(1) Review by a judge advocate. Records of trial requiring review under R.C.M. 1112, MCM, shall be forwarded to the staff judge advocate of the officer exercising general court-martial jurisdiction designated in subsection (2). The staff judge advocate may review the record pursuant to R.C.M. 1112, MCM, or may cause another judge advocate to perform such review. Upon completion of the review, records requiring action under article 64(b), UCMJ, and R.C.M. 1112(e)(1) or (3), MCM, shall be forwarded to the authority designated in subsection 0154b.

(2) Designation of the authority who may take action under Article 64(b)

(a) For commands in a Navy chain of command, the authority who may take action pursuant to article 64(b), UCMJ, shall be, in the absence of specific direction to the contrary by an officer authorized to convene general courts-martial and superior in the chain of command to the convening authority, the area coordinator or a subordinate commander authorized to convene general courts-martial and designated for this purpose, and who could have exercised general court-martial jurisdiction over the accused at the time the court-martial was held.

(b) For commands in the chain of command of the Commandant of the Marine Corps, the authority who may take action pursuant to Article 64(b), UCMJ, shall be the officer exercising general court-martial jurisdiction over the accused at the time the court-martial was held.

(3) Identification of judge advocate to whom record is forwarded for review. In all cases, the action of the convening authority in forwarding the record for judge advocate review shall identify the judge advocate to whom the record is forwarded by stating the official title, such as "The record of trial is forwarded to the Staff Judge Advocate, Commander, Naval Base, Norfolk, for review under article 64(a), UCMJ."

b. General courts-martial and special courts-martial which include an unsuspended or suspended bad-conduct discharge

(1) Forwarding

(a) General courts-martial. Upon completion of the convening authority's action, which may include a review of a case in which the accused has waived appellate review under R.C.M. 1110, MCM, the record of trial shall be sent directly to the Navy-Marine Corps Appellate Review Activity, (Code 40.31), Office of the Judge Advocate General, Washington Navy Yard, Building 111, Washington DC 20374-1111.

(b) Special courts-martial. Upon completion of the convening authority's action, if the approved sentence includes a bad-conduct discharge, suspended or unsuspended, and the accused has not waived appellate review under R.C.M. 1110, MCM, the record of trial shall be forwarded as prescribed in subsection b(1)(a). If the accused has waived appellate review, the record of trial shall be forwarded as prescribed in subsection a(1).

(c) Records with "NMCM" numbers assigned. Any case which has been assigned an "NMCM" number shall be forwarded as prescribed in subsection b(1)(a) regardless of the final disposition of the case.

(2) Copy to the Naval Clemency and Parole Board. If the sentence, as approved by the convening authority, includes an unsuspended punitive discharge, dismissal, or confinement for 8 months or more, one of the copies of the record of trial prepared in accordance with R.C.M. 1103(g)(1), MCM, shall be forwarded to the President, Naval Clemency and Parole Board,

Suite 905, 801 North Randolph Street, Arlington, VA 22203.

0154 FILING AND SUPERVISION OF COURT-MARTIAL RECORDS

a. JAG supervision. Records of all trials by courts-martial in the naval service are under the supervision of the Judge Advocate General of the Navy.

b. Filing of courts-martial records

(1) General courts-martial. All records of trial by general court-martial shall, after completion of final action, be filed in the Office of the Judge Advocate General.

(2) Special courts-martial. Records of trial by special court-martial that involve an officer accused or that include a suspended or unsuspended bad-conduct discharge, or that have been returned for further action, shall, after completion of final action, be filed in the Office of the Judge Advocate General. All other special court-martial records shall be filed in the manner provided below for summary courts-martial.

(3) Summary courts-martial

(a) Shore activities where records of trial have been reviewed under article 64, UCMJ, and section 0153a shall retain original records of proceedings for a period of 2 years after final action. At the termination of such retention period, the original records of proceedings shall be transferred to the National Personnel Records Center (Military Personnel Records), General Services Administration, 9700 Page Boulevard, St. Louis, MO 63132.

(b) Fleet activities, including Fleet Air Wings and Fleet Marine Forces, where records of trial have been reviewed under article 64, UCMJ, and section 0153a shall retain original records of proceedings for a period of 3 months after final action. At the termination of such retention period, the original records of proceedings shall be transferred to the National Personnel Records Center (Military Personnel Records), General Services Administration, 9700 Page Boulevard, St. Louis, MO 63132.

c. Records containing classified information. The original of any record of trial that contains classified information shall be forwarded to the Judge Advocate General, Washington Navy Yard, Building 111, Washington DC 20374-1111, for filing and availability for inspection under section 0166.

0155 PROMULGATING ORDERS–GENERAL AND SPECIAL COURTS-MARTIAL

a. When promulgating orders required. Any action taken on the proceedings, findings, or sentence of a general or special court-martial by the convening authority or any other party empowered to take such action shall be promulgated as prescribed in R.C.M. 1114, MCM. The promulgating order and convening authority's action may be contained within the same document, when personally signed by the convening authority. Separate orders shall be issued for each accused in the case of a joint or common trial. In cases which result in an acquittal on all charges and specifications, a promulgating order is required in accordance with R.C.M. 1114(c)(3), MCM, which will indicate that the case resulted in an acquittal, and will include the charges and specifications, findings, and appropriate signatures.

b. When supplementary order is not required. Where the findings and sentence set forth in the initial promulgating order are affirmed without modification upon subsequent review of the case, no supplementary promulgating order is required except as necessary to order the execution of the sentence or to designate a place of confinement.

c. Supplementary orders in U.S. Navy-Marine Corps Court of Criminal Appeals (NMCCA) cases. If the sentence was ordered executed or suspended in its entirety by the convening or other authority, and the approved findings and sentence have been affirmed without modification by the NMCCA and, in appropriate cases, the U.S. Court of Criminal Appeals for the Armed Forces or the U.S. Supreme Court, no

supplementary court-martial order is necessary. A supplementary court-martial order shall be issued in all other cases. Such orders shall be published as follows:

(1) Supplementary orders in cases involving death sentences and dismissals are issued by the Judge Advocate General by direction of the Secretary of the Navy.

(2) Other supplementary orders shall be issued by the cognizant general court-martial authority. In cases not reviewed by the U.S. Court of Criminal Appeals for the Armed Forces (by petition or certification), orders should be issued immediately following the accused's execution of a "Request for Immediate Execution of Discharge" (See section 0165) or upon expiration of 60 days from the date of service of the NMCCA decision upon the accused. In cases considered by the U.S. Court of Criminal Appeals for the Armed Forces or the U.S. Supreme Court, supplementary orders should be issued upon notification of completion of review by the court.

(3) All supplementary orders in NMCCA cases shall bear the "NMCM" number appearing on the NMCCA decision.

d. Form. The form of a promulgating order is prescribed in Appendix 17, MCM. In copying and including the action of the convening authority in the promulgating order, any synopsis of the accused's record and/or circumstances of the offense contained in the convening authority's action pursuant to section 0151a(4) and/or section 0152b shall also be copied and included in the promulgating order. The order shall be subscribed by the officer issuing the order or by a subordinate officer designated by him. In either case, the name, grade, and title of the subscribing officer, including the organization or unit, shall be given. Where a subordinate officer signs by direction, his name, title, and organization shall be followed by the words: By direction of (name, grade, title, and organization of issuing officer). A duplicate original of a promulgating order is a carbon copy as complete as the original in all respects, including the signature of the officer who signed the original, or an identical copy made by photographic or other duplicating process. A certified copy of a promulgating order is a copy bearing the statement "Certified to be a true copy" over the signature, grade, and title of an officer, or of an enlisted person in the legalman rating (Navy), or in the legal occupational field (Marine Corps), of grade E-6 or above, who has been designated in writing by the officer issuing the promulgating order.

e. Number and distribution. All initial and supplementary promulgating orders must be legible and shall be distributed as follows:

(1) Original to be attached to original record of trial. If the original record of trial has been forwarded, the original order, along with the appropriate copies as described below, shall be sent to the command or activity to which the original record of trial was forwarded.

(2) Duplicate original to be placed in the service record of the accused, unless the court-martial proceedings resulted in acquittal of all charges, disapproval of all findings of guilty, or disapproval of the sentence by the convening authority when no findings have been expressly approved by him. In cases involving Navy personnel, if applicable, forward to the Personnel Support Activity Detachment maintaining the accused's service record.

(3) Duplicate originals or certified copies:

(a) Three to be attached to the original record of trial. (Only one need be attached in those special courts-martial in which the approved sentence does not include an unsuspended or suspended bad-conduct discharge.)

(b) One to be attached to each copy of the record of trial.

(c) Two to the commanding officer of the accused if a brig or confinement facility is designated as the place of confinement; three if a disciplinary command is designated as the place of confinement. These copies should accompany the records of the accused to the place of confinement.

(d) One to the Chief, Bureau of Naval Personnel (PERS 82) in the case of officers, PERS-83 in the case of enlisted) or to the Commandant of the Marine Corps (Code JAM), as appropriate.

(e) One to the officer exercising general court-martial jurisdiction (OEGCMJ) over the accused at the time of trial, and one to the current OEGCMJ over the accused (if different). The OEGCMJ shall be identified by the command name.

(f) In Navy cases, one to the type commander of the accused at the time of trial, if appropriate. The type commander shall be identified by the command name.

(4) Duplicate originals, certified copies, or plain copies:

(a) One to the accused.

(b) One to the commanding officer of the naval legal service office at which the accused was tried.

(c) One each to the military judge, trial counsel, and defense counsel of the court-martial before which the case was tried.

(d) One to the convening authority and, if the accused was serving in a command other than that of the convening authority at the time of the alleged offense, one to the command in which he was then serving.

(e) One to each appropriate subordinate unit and any other local distribution desired.

f. Navy officer accused. In addition to the distribution requirements of subsection e, ensure the following distribution is made when the accused is a Navy officer:

(1) Copy to Officer in Charge, Personnel Support Activity Detachment, Building 29, Offutt AFB, Omaha, NB 68113 if U.S. Disciplinary Barracks, Fort Leavenworth, KS is designated as the place of confinement.

(2) Copy to Defense Financy and Accounting Service/Cleveland Center (DFAS/CL), Special Claims Department (Code FMAA), 1240 E. 9th Street, Cleveland, OH 44199 if the sentence includes forfeiture of pay which has been approved by the convening authority. Copies of all supplementary orders promulgating the results of subsequent action taken on that portion of the sentence extending to forfeiture must include DFAS/CL (Code FMAA) as a distributee. Copies of all court-martial orders extending to forfeiture of pay should be submitted through the convening authority's disbursing officer for forwarding to DFAS/CL with other non-scan documents. See also Art. 3410100 MILPERSMAN, Para. 70505 PAYPERSMAN.

0156 PROMULGATING ORDERS–SUMMARY COURTS-MARTIAL

In accordance with R.C.M. 1114(a)(3), MCM, the results of a trial by summary court-martial need be promulgated only to the accused. The results of any review or action on a summary court-martial under section 0153, after the initial action of the convening authority, shall be forwarded to the convening authority and to the commanding officer of the accused for notation in the service record or service record book of the accused.

0157 SERVICE AND EXECUTION OF SENTENCES

a. General. Any part of a court-martial sentence except death, disn.issal, or a dishonorable or bad-conduct discharge may be ordered executed by the convening authority or other person acting on the case when initial action is taken under R.C.M. 1107, MCM, and sections 0151 and 0152. If the accused waives appellate review or has withdrawn the appeal, the officer taking action under R.C.M. 1112(f), MCM, and section 0153a(2) may order a dishonorable or a bad-conduct discharge executed as part of the action approving the sentence. In cases reviewed by the NMCCA, the officer exercising general court-martial jurisdiction over the accused may order a dishonorable or a bad-conduct discharge executed only after appellate review is completed and the judgment is final within the meaning of R.C.M. 1209, MCM.

Dismissal of a commissioned officer or a midshipman may only be ordered executed by the Secretary of the Navy or his designate. See section 0152d. Only the President may order the punishment of death to be executed.

b. Place and nature of confinement

(1) Designation of places of confinement. The convening authority or other person taking the initial action on a court-martial which sentenced an accused to confinement is a competent authority to designate the place of confinement of naval prisoners. See section 0169 series.

(2) Nature of confinement. See SECNAVINST 1640.9 series.

c. Confinement on bread and water or diminished rations. Confinement on bread and water or diminished rations may be adjudged only in cases of enlisted members attached to or embarked in a vessel; however, these punishments may be served at approved brigs or confinement facilities ashore. The punishments shall not be adjudged on persons in pay grade E-4 and above.

d. Punitive discharge–Naval Clemency and Parole Board action

(1) In general. Notwithstanding the fact that a sentence may have been duly ordered executed, a punitive discharge may not in fact be executed until the provisions of SECNAVINST 5815.3 series have been complied with.

(2) Required documents. A complete copy of the record of trial, including the promulgating order and the legal officer's or staff judge advocate's recommendation, shall be forwarded in those cases in which the approved sentence includes an unsuspended punitive discharge, dismissal, or confinement for 8 months or more. See section 0153b(2).

e. Execution of death penalty. The manner in which a sentence to death is to be carried out shall be determined by the Secretary of the Navy.

0158 REMISSION AND SUSPENSION

a. Authority to remit or suspend sentences in general courts-martial, and special courts-martial in which the sentence includes a bad-conduct discharge. Pursuant to article 74(a), UCMJ, and subject to the limitations in section 0159a, the Under Secretary of the Navy, the Assistant Secretaries of the Navy, the Judge Advocate General, and all officers exercising general court-martial jurisdiction over the command to which the accused is attached are designated as empowered to remit or suspend any part or amount of the unexecuted portion of any sentence, including all uncollected forfeitures, other than a sentence approved by the President. A sentence to death may not be suspended.

b. Authority to remit or suspend sentences in summary courts-martial, and special courts-martial in which the sentence does not include a bad-conduct discharge. Notwithstanding the limitations in section 0159a, if the accused's commander has authority to convene a court-martial of the kind which adjudged the sentence, that commander may suspend or remit any part of the unexecuted part of any sentence by summary court-martial or of any sentence by special court-martial which does not include a bad-conduct discharge. R.C.M. 1108(b), MCM.

c. Probationary period. Suspensions shall conform to the conditions, limitations, and termination requirements of R.C.M. 1108(c)-1108(e), MCM. See also R.C.M. 1109(b)(4), MCM, which governs interruptions of a period of suspension due to unauthorized absence of the probationer or the commencement of proceedings to vacate suspension. For instructions concerning voluntary extension of enlistment for the purpose of serving probation, see SECNAVINST 5815.3 series.

d. Liaison with Naval Clemency and Parole Board. Officers taking clemency action pursuant to the authority of this section on any sentence including a punitive discharge or confinement for 8 months or more shall coordinate such action with the Naval Clemency and Parole Board under the provisions of SECNAVINST 5815.3 series.

This obligation to coordinate, however, does not limit the authority any officer otherwise has to take clemency action.

0159 LIMITATIONS ON AUTHORITY TO REMIT AND SUSPEND SENTENCES

a. Cases involving national security. No official of the Department of the Navy, other than the Secretary of the Navy, may remit or suspend, pursuant to article 74(a), UCMJ, any part or amount of the approved sentence in any case involving national security. "National security" is defined at R.C.M. 305(h)(2)(B), MCM. For these purposes, a case involves national security, unless determined otherwise by one of the officers listed in subsection 0126c, if it is a case which to any serious degree, in the opinion of that officer, involves the compromise of a military or defense advantage over any foreign nation; involves an allegation of willful compromise of classified information; or affects our military or defense capability to successfully resist hostile or destructive action, overt or covert. Such cases, therefore, would usually involve offenses within the purview of:

(1) article 81, UCMJ, (conspiracy), when the conspiracy is to commit an offense within the purview of a punitive Article of the UCMJ or any other United States Code section specified in subsections (2) to (13);

(2) article 92, UCMJ, (failure to obey order or regulation), when the conduct violates a general order or regulation relating to deliberate compromise (possible or confirmed) or willful disclosure of national defense information, including, but not limited to, violations of Article 1121(2), U.S. Navy Regulations, 1990, (disclosure and publication of information), and OPNAVINST 5510.1 series (information security program regulation);

(3) article 104, UCMJ, (aiding the enemy), article 106, UCMJ, (spies), or article 106a, UCMJ, (espionage);

(4) article 107, UCMJ, (false official statements), where the false official statement concerns the actual or prospective commission of, or knowledge of any person's actual or prospective commission of, an act which constitutes an offense within the purview of a punitive article of the UCMJ or any other United States Code section specified in subsections (1) to (13), or concerns an attempt to commit such an act;

(5) article 131, UCMJ, (perjury), where the perjury concerns the actual or prospective commission of, or knowledge of another individual's actual or prospective commission of, an act which constitutes an offense within the purview of a punitive article of the UCMJ or any other United States Code section specified in subsections (1) to (13), or concerns an attempt to commit such an act;

(6) article 134, UCMJ, (general Article), when the conduct charged is:

(a) a violation of a United States Code section specified in subsections (7) to (13);

(b) solicitation to commit an act which constitutes an offense within the purview of a punitive Article of the UCMJ or any other United States Code section specified in subsections (1) to (13);

(c) false swearing concerning the actual or prospective commission of, or knowledge of any person's actual or prospective commission of, an act which constitutes an offense within the purview of a punitive article of the UCMJ or any other United States Code section specified in subsections (1) to (13), or concerning an attempt to commit such an act; and

(d) subornation of perjury committed in connection with the false testimony of any person concerning the actual or prospective commission of an act which constitutes an offense within the purview of a punitive article of the UCMJ or any other United States Code section specified in subsections (1) to (13), or concerning an attempt to commit such an act.

(7) section 1001 (statements generally), title 18, United States Code, when the falsification or concealment concerns the actual or prospective

commission of, or knowledge of any person's actual or prospective commission of, an act which constitutes an offense within the purview of a punitive article of the UCMJ or any other United States Code section specified in subsections (1) to (13), or concerns an attempt to commit such an act;

(8) sections 792 (harboring or concealing persons), 793 (gathering, transmitting, or losing defense information), or 798 (disclosure of classified information), title 18, United States Code;

(9) chapter 105 (relating to sabotage), of title 18, United States Code;

(10) sections 2381 (treason), 2382 (misprision of treason), 2383 (rebellion or insurrection), 2384 (seditious conspiracy), 2385 (advocating overthrow of Government), 2388 (activities affecting armed forces during war), 2389 (recruiting for service against the United States), or 2390 (enlistment to serve against the United States), of title 18, United States Code;

(11) sections 2272 (violation of specific sections), 2273 (violation of sections generally), 2274 (communication of restricted data), 2275 (receipt of restricted data), 2276 (tampering with restricted data), or 2277 (disclosure of restricted data), of title 42, United States Code, insofar as the offense is committed with intent to injure the United States or with the intent to secure an advantage to a foreign nation;

(12) section 783 (conspiracy and communication or receipt of classified information), of title 50, United States Code; and

(13) an earlier statute or article on which a punitive Article of the UCMJ or any other United States Code section specified in subsections (1) to (12) is based.

b. Flag and general officers. Notwithstanding subsection 0158a, the Judge Advocate General may not remit or suspend, pursuant to article 74(a), UCMJ, any part or amount of the sentence in any case involving a flag or general officer.

c. Officers and warrant officers. Notwithstanding subsection 0158a, officers exercising general court-martial jurisdiction may not remit or suspend, pursuant to article 74(a), UCMJ, any part or amount of the sentence in any case involving an officer or warrant officer.

d. Authority of the Commanding Officer, Naval Station Norfolk, VA, and the Commanding Officer, Marine Detachment, U.S. Disciplinary Barracks, Fort Leavenworth, KS. The Commanding Officer, Naval Station, Norfolk, VA, and the Commanding Officer, Marine Detachment, U.S. Disciplinary Barracks, Fort Leavenworth, KS (or its successor command), may:

(1) effect actions directed by the Secretary following clemency review;

(2) remit uncollected forfeitures of court-martial prisoners returning to duty;

(3) remit confinement, not in excess of 5 days, to facilitate administration, by adjusting dates of transfer upon completion of confinement. Early releases in excess of 5 days may be granted when specifically authorized by the Chief of Naval Personnel for Navy prisoners, or the Commandant of the Marine Corps for Marine Corps prisoners; and

(4) Exercise other authority specifically delegated in writing by the Secretary.

0160 VACATION OF SUSPENSION OF SENTENCE

a. Review of confinement of probationer pending vacation proceedings. The officers appointed under section 0127d shall also conduct reviews of confinement under R.C.M. 1109(c)(4), MCM.

b. Notice of proceedings. In the case of courts-martial under review, immediate notice of the vacation of any punishment shall be made to the command or activity conducting the review. In the case of courts-martial in which the approved sentence includes a punitive discharge, dismissal, death, or confinement of 1 year or more, and appellate review has not been waived, notice shall

be made to both the Navy-Marine Corps Appellate Review Activity (Office of the Judge Advocate General (Code 40)) and the NMCCA.

c. Filing of report of proceedings. The original record of any proceedings in connection with vacation of suspension under R.C.M. 1109, MCM, shall be included in the record of trial. See R.C.M. 1103(b)(3)(M). If the authority ordering the vacation is not in possession of the record of trial, that authority shall transmit the record of the vacation proceedings to the command or activity to which the original record of trial was forwarded for inclusion in the record of trial. In the case of vacation of a suspended general court-martial sentence or of a suspended special court-martial sentence including a bad-conduct discharge, two copies of the record of any vacation proceedings shall be forwarded with the original of such vacation proceedings.

d. Execution of vacated punishments. The execution of a vacated punishment is subject to the restrictions of section 0157 and R.C.M. 1113(c), MCM.

0161 REQUEST FOR WITHDRAWAL OF APPELLATE REVIEW

a. Article 66 cases. A request for withdrawal from appellate review of a case forwarded for review under article 66, UCMJ, will ordinarily be granted if the case is not yet pending before the NMCCA. Requests, including a copy of the charge sheet, shall be forwarded to Officer in Charge, Navy-Marine Corps Appellate Review Activity, Office of the Judge Advocate General (Code 40), Washington Navy Yard, Building 111, Washington, DC 20374-1111.

b. Article 69(a) cases. A request for withdrawal from appellate review of a case forwarded for examination under article 69(a), UCMJ, will ordinarily be granted, unless the examination in the Office of the Judge Advocate General has reached the point where it would be impracticable to return the case to the field for review under article 64, UCMJ, and R.C.M. 1112, MCM. Requests, including a copy of the charge sheet, shall be forwarded to Officer in Charge, Navy-Marine Corps Appellate Review Activity, Office of the Judge Advocate General, (Code 40) Washington Navy Yard, Building 111, Washington, DC 20374-1111.

0162 APPLICATION FOR RELIEF–ARTICLE 69(b)

a. General. Article 69(b), UCMJ, provides that "The findings or sentence, or both, in a court-martial case not reviewed under subsection (a) or under section 866 of this title (article 66) may be modified or set aside, in whole or in part, by the Judge Advocate General on the ground of newly discovered evidence, fraud on the court, lack of jurisdiction over the accused or the offense, error prejudicial to the substantial rights of the accused, or the appropriateness of the sentence." An application by the accused for such a review must be filed in the Office of the Judge Advocate General within 2 years of the convening authority's action on the sentence, unless the accused establishes good cause for failure to file within that time.

b. Time limitations. In order to be considered by the Judge Advocate General, an application for relief must be placed in military channels if the applicant is on active duty, or be deposited in the mail if the applicant is no longer on active duty, on or before the last day of the 2-year period beginning on the date the sentence is approved by the convening authority. An application not filed in compliance with these time limits may be considered if the Judge Advocate General determines, in his sole discretion, that "good cause" for failure to file within the time limits has been established by the applicant.

c. Submission procedures. Applications for relief may be submitted to the Judge Advocate General by letter. If the accused is on active duty, the application shall be submitted via the applicant's commanding officer, the command that convened the court, and the command that reviewed the case under article 64(a) or (b), UCMJ. If the original record of trial is held by the command that reviewed the case under article 64(a) or (b), UCMJ, it shall be forwarded as an enclosure to the endorsement. If the original record of trial has been filed in the National Personnel Records Center (see section 0154b), the

endorsement will include all necessary retrieval data (accession number, box number, and shelf location) obtained from the receipt returned from the National Personnel Records Center to the sending activity. This endorsement shall also include information and specific comment on the grounds for relief asserted in the application, and an opinion on the merits of the application. If the applicant is no longer on active duty, the application may be submitted directly to the Judge Advocate General.

d. Contents of application. All applications for relief shall contain:

(1) full name of the applicant;

(2) social security number and branch of service, if any;

(3) present grade if on active duty or retired, or "civilian" or "deceased," as applicable;

(4) sddress at time the application is forwarded;

(5) date of trial;

(6) place of trial;

(7) command title of the organization at which the court-martial was convened (convening authority);

(8) command title of the officer exercising article 64 review authority over the applicant at the time of trial (if applicable);

(9) type of court-martial which convicted the applicant, and sentence adjudged;

(10) general grounds for relief, which must be one or more of the following:

(a) newly discovered evidence;

(b) fraud on the court;

(c) lack of jurisdiction over the accused or the offense;

(d) error prejudicial to the substantial rights of the accused;

(e) appropriateness of the sentence.

(11) an elaboration of the specific prejudice resulting from any error cited. Legal authorities to support the applicant's contentions may be included, and the format used may take the form of a legal brief if the applicant so desires;

(12) any other matter which the applicant desires to submit;

(13) relief requested;

(14) facts and circumstances to establish "good cause" for a failure to file the application within the time limits prescribed in subsection b, if applicable; and

(15) if the application is signed by a person other than the applicant pursuant to subsection e, an explanation of the circumstances rendering the applicant incapable of making application.

(16) the applicant's copy of the record of trial will not be forwarded with the application for relief, unless specifically requested by the Judge Advocate General.

e. Signatures on application. Unless incapable of making application, the applicant shall personally sign the application under oath before an official authorized to administer oaths. If the applicant is incapable of making application, the application may be signed under oath and submitted by the applicant's spouse, next of kin, executor, guardian, or other person with a proper interest in the matter. In this regard, one is considered incapable of making application for purposes of this section when unable to sign the application under oath due to physical or mental incapacity.

0163 PETITION FOR NEW TRIAL-ARTICLE 73

Petitions for a new trial under article 73, UCMJ, shall comply with the form and procedures set forth in R.C.M. 1210, MCM, and shall be sent

directly to the Judge Advocate General, (Code 45) Washington Navy Yard, Building 111, Washington DC 20374-1111.

0164 NOTIFICATION TO ACCUSED OF COURT OF CRIMINAL APPEALS DECISION

a. Current address of accused. Upon receipt of the decision of the NMCCA, and when in accordance with the provisions of R.C.M. 1203(d)(1), MCM, the Judge Advocate General elects not to certify the case to the U.S. Court of Criminal Appeals for the Armed Forces, the Office of the Judge Advocate General will use the address provided by the accused if the accused is on appellate leave, or, if the accused has not provided an address and is on appellate leave or is on active duty, will request from the officer exercising general court-martial jurisdiction over the command to which the accused is attached the current address of the accused. The officer exercising general court-martial jurisdiction will provide the current military address of the accused if the accused is on active duty, or the latest address listed for the accused in the accused's official service record or service record book. If requested, the address shall be provided to the Office of the Judge Advocate General by the most expeditious means.

b. Promulgation package. Using the address obtained as detailed above, a "promulgation package" consisting of the accused's copy of the NMCCA decision containing the endorsement notifying the accused of his right to petition for review by the U.S. Court of Criminal Appeals for the Armed Forces, and a form petition with instructions, will be forwarded directly to the accused by first-class certified mail. If the accused is in a military confinement facility, the package will be forwarded to the commanding officer or officer in charge of the confinement facility for delivery to the accused. The commanding officer/officer in charge of such facility should ensure that the certificate of personal service is completed and returned to the Office of the Judge Advocate General.

c. Copies of decision. Copies of the NMCCA decision will be forwarded to the officer exercising general court-martial jurisdiction over the accused. Additionally, copies of the NMCCA decision will be forwarded to the original general court-martial convening authority and the convening authority, as applicable, for information and appropriate distribution, as a matter of courtesy, to the military judge, trial counsel, and defense counsel.

d. Change in address. Notice of any change in address of the accused due to transfer, appellate leave, or any reason shall be immediately given to the Judge Advocate General.

e. Completion of appellate review. Notification of the completion of appellate review, i.e., expiration of the 60-day appeal period if no petition for review is filed, or final review by the U.S. Court of Criminal Appeals for the Armed Forces or the U.S. Supreme Court, will be forwarded by the Office of the Judge Advocate General to the cognizant general court-martial convening authority for compliance with sections 0157 and 0165, if applicable.

0165 REQUEST FOR IMMEDIATE EXECUTION OF DISCHARGE

a. General. Prior to completion of appellate review, an accused may request immediate execution of the unexecuted portion of his sentence, following completion of the confinement portion thereof, if any, in those cases in which the sentence as affirmed by the NMCCA:

(1) includes an unsuspended punitive discharge; and

(2) either does not include confinement, or the confinement portion thereof has been or will be completed prior to 60 days from the date the accused is served with a copy of the NMCCA decision.

b. Conditions of approval. Such requests may be approved by the officer exercising general court-martial jurisdiction subject to the following conditions:

(1) that the accused has received a copy of the decision of the NMCCA in his case;

(2) that the accused has had fully explained to him the right to petition the U.S. Court of Criminal Appeals for the Armed Forces for grant of review;

(3) that the accused does not have an appeal pending before the U.S. Court of Criminal Appeals for the Armed Forces;

(4) that the accused does not intend to appeal to the U.S. Court of Criminal Appeals for the Armed Forces but, nevertheless, understands that the request for immediate release does not affect the right seasonably to petition the U.S. Court of Criminal Appeals for the Armed Forces;

(5) that the accused has consulted counsel of his own choice; and

(6) that Naval Clemency and Parole Board review, under the provisions of SECNAVINST 5815.3H, if applicable, has been completed.

c. Execution of unexecuted portion of sentence. Upon approval of such requests, the officer exercising general court-martial jurisdiction shall order the unexecuted portion of the sentence to be duly executed.

d. Form of request for immediate execution of discharge. The prescribed form is set forth in Appendix A-1-l. Three signed copies of the request shall be transmitted to the Judge Advocate General.

0166 INSPECTION OF RECORD OF TRIAL CONTAINING CLASSIFIED INFORMATION

In any court-martial where classified information has been deleted or withdrawn from the accused's copy of the record of trial, the accused may personally inspect the original record of trial in the Office of the Judge Advocate General after final review in the case has been completed, subject to the requirements of OPNAVINST 5510.1H. Applications for such inspections may be submitted to the Judge Advocate General (Code 40), Washington Navy Yard, Building 111, Washington DC 20374-1111.

0167 SETOFF OF INDEBTEDNESS OF A PERSON AGAINST PAY

a. Court-martial decisions. When the United States has suffered loss of money or property through the offenses of selling or otherwise disposing of, or willfully damaging or losing military property, willfully and wrongfully hazarding a vessel, larceny, wrongful appropriation, robbery, forgery, arson, or fraud for which persons, other than accountable officers as defined in NAVCOMPTMAN 041501-041503, have been convicted by court-martial, the amount of such loss constitutes an indebtedness to the United States which will be set off against the final pay and allowances due such persons at the time of dismissal, discharge, or release from active duty.

b. Administrative determinations. In addition, when the Government suffers a loss of money and competent authority has administratively determined that the loss occurred through the fraud, forgery, or other unlawful acts of such persons as described in subsection a, the amount of such loss shall be set off as described in subsection a. "Competent authority," as used herein, shall be the commanding officer of such persons and the administrative determination shall be made through an investigation pursuant to the JAG Manual and approved on review by a general court-martial authority.

c. Army and Air Force property. When the money or property involved belongs to the Army or the Air Force, and such service determines liability through the procedures provided by the authority of 37 U.S.C. section 1007 and demands setoff against the final pay and allowances of any naval service personnel, setoff shall be effected in accordance with subsection a.

d. Voluntary restitution. Immediate recovery action may be instituted on the basis of a voluntary offer of the member to make restitution of all or part of any indebtedness to the Government. The voluntary offer constitutes assumption of pecuniary responsibility for the loss and, as such, is sufficient to authorize checkage of current pay, if required, to collect the amount of the indebtedness. See also 10 U.S.C. section 6161 and SECNAVINST 7220.38 series concerning the

possibility of remission or cancellation of an enlisted member's indebtedness. Nothing herein shall be construed as precluding setoff against final pay in other cases when such action is directed by competent authority.

PART D - MISCELLANEOUS

0168 APPREHENSION BY CIVILIAN AGENTS OF THE NAVAL CRIMINAL INVESTIGATIVE SERVICE

Pursuant to the provisions of R.C.M. 302(b)(1), MCM, and under the authority of article 7(b), UCMJ, any civilian agent of the Naval Investigative Service who is duly accredited by the Commander, Naval Criminal Investigative Service Command, and who is engaged in conducting an investigation within the investigative jurisdiction of the Naval Investigative Service as established in departmental directives, which investigation has been duly requested by, or is at the direction of, competent U.S. Navy or U.S. Marine Corps authority, may apprehend, if necessary, persons subject to the UCMJ or to trial thereunder, upon reasonable belief that an offense has been committed and that the person apprehended committed it. A person so apprehended must be taken promptly before his commanding officer or other appropriate military authority. Such a civilian agent may apprehend a commissioned officer or a warrant officer only pursuant to specific orders of a commissioned officer except where such an apprehension is necessary to prevent disgrace to the service, the commission of a serious offense, or the escape of one who has committed a serious offense. Such a civilian agent, even though not conducting an investigation relating to the person apprehended, may also apprehend a person subject to the UCMJ upon observation of the commission of a felony or a misdemeanor amounting to a breach of the peace occurring in the agent's presence. A person so apprehended must be delivered promptly to his commanding officer or other appropriate military authority.

0169 AUTHORITY TO PRESCRIBE REGULATIONS RELATING TO THE DESIGNATION AND CHANGING OF PLACES OF CONFINEMENT

The Chief of Naval Personnel and the Commandant of the Marine Corps are authorized to issue joint regulations as required relating to the designation and the changing of places of confinement of naval prisoners, the transfer of naval prisoners among military confinement facilities, and transfers from military facilities, to civilian confinement facilities. See BUPERSINST 1640.17 series and MCO 1640.3.

0170 FORMS SUPPLEMENTING THE MILITARY RULES OF EVIDENCE

a. Interrogations. See M.R.E. 301-305. Appendix A-1-m contains a suggested format which may be utilized by investigative personnel in cases in which criminal suspects desire to waive their rights concerning self-incrimination, and to make statements. This format is designed as a guide and its use is not mandatory.

b. Search and seizure. See M.R.E. 311-316. Appendices A-1-n and A-1-o contain suggested formats for recording information pertaining to authorization for searches (with instructions), and the granting of consent to search. These formats are designed as guides in processing problems which may arise in connection with cases involving searches and seizures. Use of these formats, even as guides, is not mandatory, but rests within the discretion of local commanders.

0171 CROSS-REFERENCE TO SECRETARIAL OR JAG REGULATIONS IMPLEMENTING THE MCM

The following section provides a cross-reference of those provisions contained in the MCM,and the sections in this Chapter or other instructions which implement those provisions.

R.C.M.	Implementation
104(b)(2)(B)	JAGINST 5803.1
106	Chapter VI
108	JAGINST 5810.2
109	JAGINST 5803.1
201(d)(2)	0108b, 0124
201(f)(2)(C) (iii)	0122a
204(a)	0107b, 0123
304(f)	SECNAVINST 1640.9A
305(f)	0127b
305(i)(2) and (6)	0127c
306(c)(2)	0102-0105
403(b)(5)	0122a
404(e)	0122a
405(c)	0122a
407(a)(5)	0122a
407(b)	0126
501(c)	Discussion 0130c
502(c)	0130a
502(d)(2)	No implementation
502(e)	0130c
503(b)	0130a(1)
503(c)	0130b
504(b)(1)and(2)	0120, 0121
504(d)(3)	0133
505(c)(1)(B)(i)	0136
506(b)(1)and(2)	0131, 0132
703(e)(2)(D)	0146
703(e)(2)(G)	0147
704(c)	0138-0140
705(a)	0137
803 Discussion	0135
804(c)(2)	0127a
807(b)(1)(A)	Discussion 0130
901(e)	0135
904 Discussion	0135
908(b)(2)and(6)	JAGINST 5810.2
910(a)(2)	No implementation
910(g)(1)	0135
1001(b)(2)	0141
1003(b)(9)	0157c
1103(b)(1)(B)	0150b
1103(g)(1)	0153b(2)
1103(j)	No implementation
1104(a)(2)(A)	0150a
1104(b)(l)(D) (iii)(a)	0166
1107(a)	0151b
1107(b)(2)	0145a(1)
1107(f)(4)(C)	0157b, 0169
1108(b)and(d)	0158a and b
1109(c)(4)	0160a
1110(g)(3)	0161
1111(a)and(b)	0153-0155
1112(a)	0153a
1112(e)(3)	0153
1112(g)(3)	0154
1113(c)(1) and (2)	0157a and d
1113(d)(1)(A)	0157e
1113(d)(2)(C)	0157b, 0169
1114(a)(1)	0155
1114(b)(2)(A)	0155
1114(f)	0155
1201(b)(3)(B)	0162
1201(c)	0158, 0159
1203(d)(1)	0164
1206(a)	0152e
1206(b)(1)	0158, 0159
1206(b)(2)	JAGINST 5810.2
1301(a)	No implementation
1301(g)	0122a, 0133
1302(a)(4)	0120c, 0121b
1305(a)	0150
1305(e)(3)	0153
1306(c)	0153a
M.R.E.	
305(d)(2)	No implementation
312(g)	No implementation
315(d)(1)	No implementation
315(d)(2)	No implementation
315(f)(2)	No implementation
315(h)(2)	No implementation
317(c)(2),(3)	SECNAVINST 5520.2A
Part V--NJP	
1f(5)	0108b
2a, b, and c	0106
3	0108c
5a	0111, 0112
5c(1)	0114
5c(4) and (5)	0111, 0112
5c(6)	No implementation
5g	0113
7b	0117
7f(5)	0117d
8	0119, 0141

NONPUNITIVE LETTER OF CAUTION

Date_____

From: Commander Service Force, U.S. Atlantic Fleet
To: Ensign _____ L. R _____, SC, U.S. Navy/3100

Subj: **NONPUNITIVE LETTER OF CAUTION**

Ref: (a) Report of investigation into discrepancies in the ship's store returns for the first quarter of fiscal year 19__, in USS _____ (____)
(b) R.C.M. 306, MCM 1984
(c) JAGMAN 0105

1. Reference (a) is the record of an investigation by _____ to inquire into certain discrepancies in the ship's store returns for the first fiscal year 19__ in USS _____.

2. [Here insert a precise statement of the relevant events and circumstances for which the letter of caution is issued.] From the foregoing, it is apparent that you performed your duties in a careless manner. Such carelessness contributed to the improper operation of the ship's store in USS _____. Accordingly, you are hereby administratively cautioned pursuant to references (b) and (c).

3. This letter, being nonpunitive, is addressed to you as a corrective measure. It does not become a part of your official record. You are advised, however, that in the future you will be expected to exercise greater care in the performance of your duties in order to measure up to the high standard of performance of duty required of all officers in the Service Force. Commander, Service Force, U.S. Atlantic Fleet, trusts that the instructional benefit which you will receive from the experience will cause you to become a more proficient naval officer.

[Signature]

(CAPTAIN'S MAST) (OFFICE HOURS)
ACCUSED'S NOTIFICATION AND ELECTION OF RIGHTS
ACCUSED ATTACHED TO OR EMBARKED IN A VESSEL
(See JAGMAN 0109)

Notification and election of rights concerning the contemplated imposition of nonjudicial punishment in the case of _____, SSN _____, assigned or attached to _____.

NOTIFICATION

1. In accordance with the requirements of paragraph 4 of Part V, MCM, 1984, you are hereby notified that the commanding officer is considering imposing nonjudicial punishment on you because of the following alleged offenses:

(Note: Here describe the offenses, including the UCMJ article(s) allegedly violated.)

2. The allegations against you are based on the following information:

(Note: Here provide a brief summary of that information.)

3. You may request a personal appearance before the commanding officer or you may waive this right.

a. Personal appearance waived. If you waive your right to appear personally before the commanding officer, you will have the right to submit any written matters you desire for the commanding officer's consideration in determining whether or not you committed the offenses alleged, and, if so, in determining an appropriate punishment. You are hereby informed that you have the right to remain silent and that anything you do submit for consideration may be used against you in a trial by court-martial.

b. Personal appearance requested. If you exercise your right to appear personally before the commanding officer, you shall be entitled to the following rights at the proceeding:

(1) To be informed of your rights under Article 31(b), UCMJ;

(2) To be informed of the information against you relating to the offenses alleged;

(3) To be accompanied by a spokesperson provided or arranged for by you. A spokeskperson is not entitled to travel or similar expenses, and the proceedings will not be delayed to permit the presence of a spokesperson. The spokesperson may speak on your behalf, but may not question witnesses except as the commanding officer may permit as a matter of discretion. The spokesperson need not be a lawyer;

(4) To be permitted to examine documents or physical objects against you that the commanding officer has examined in the case and on which the commanding officer intends to rely in deciding whether and how much nonjudicial punishment to impose;

(5) To present matters in defense, extenuation, and mitigation orally, in writing, or both;

(6) To have witnesses attend the proceeding, including those that may be against you, if their statements will be relevant and they are reasonably available. A witness is not reasonably

available if the witness requires reimbursement by the United States for any cost incurred in appearing, cannot appear without unduly delaying the proceedings, or if a military witness, cannot be excused from other important duties; and

(7) To have the proceedings open to the public unless the commanding officer determines that the proceedings should be closed for good cause. However, this does not require that special arrangements be made to facilitate access to the proceeding.

ELECTION OF RIGHTS

4. Knowing and understanding all of my rights as set forth in paragraphs 1 through 3 above, my desires are as follows:

a. Personal appearance. (Check one)

_____ I request a personal appearance before the commanding officer.

_____ I waive a personal appearance. (Check one)

_____ I do not desire to submit any written matters for consideration.

_____ Written matters are attached.

(Note: The accused's waiver of personal appearance does not preclude the commanding officer from notifying the accused, in person, of the punishment imposed.)

b. Elections at personal appearance. (Check one or more)

_____ I request that the following witnesses be present at my nonjudicial punishment proceeding:

_____

_____

_____

_____

_____

_____ I request that my nonjudicial punishment proceeding be open to the public.

_____	_____
(Signature of witness)	(Signature of accused)
_____	_____
Name of witness)	(Name of accused)

(CAPTAIN'S MAST) (OFFICE HOURS)
ACCUSED'S NOTIFICATION AND ELECTION OF RIGHTS
ACCUSED NOT ATTACHED TO OR EMBARKED IN A VESSEL
RECORD CANNOT BE USED IN AGGRAVATION IN EVENT OF LATER
COURT-MARTIAL UNLESS LAWYER SERVES AS PERSONAL REPRESENTATIVE
(See JAGMAN 0109)

Notification and election of rights concerning the contemplated *imposition of nonjudicial punishment* in the case of _____, SSN _____, assigned or attached to _____.

NOTIFICATION

1. In accordance with the requirements of paragraph 4 of Part V, MCM, 1984, you are hereby notified that the commanding officer is considering imposing nonjudicial punishment on you because of the following alleged *offenses:*

(Note: Here describe the offenses, including the UCMJ article(s) allegedly violated.)

2. The allegations against you are based on the following information:

(Note: Here provide a brief summary of that information.)

3. You have the right to refuse imposition of nonjudicial punishment. If you refuse nonjudicial punishment, charges could be referred for trial by court-martial by summary, special, or general court-martial. If charges are referred to trial by summary court-martial, you may not be tried by summary court-martial over your objection. If charges are referred to a special or general court-martial you will have the right to be represented by counsel. The maximum punishment that could be imposed if you accept nonjudicial punishment is:

_____

4. If you decide to accept nonjudicial punishment, you may request a personal appearance before the commanding officer or you may waive this right.

a. Personal appearance waived. If you waive your right to appear personally before the commanding officer, you will have the right to submit any written matters you desire for the commanding officer's consideration in determining whether or not you committed the offenses alleged, and, if so, in determining an appropriate punishment. You are hereby informed that you have the right to remain silent and that anything you do submit for consideration may be used against you in a trial by court-martial.

b. Personal appearance requested. If you exercise your right to appear personally before the commanding officer, you shall be entitled to the following rights at the proceeding:

(1) To be informed of your rights under Article 31(b), UCMJ;

(2) To be informed of the information against you relating to the offenses alleged;

(3) To be accompanied by a spokesperson provided or arranged for by you. A spokesperson is not entitled to travel or similar expenses, and the proceedings will not be delayed to permit the presence of a spokesperson. The spokesperson may speak on your behalf, but may not question witnesses except as the commanding officer may permit as a matter of discretion. The spokesperson need not be a lawyer;

(4) To be permitted to examine documents or physical objects against you that the commanding officer has examined in the case and on which the commanding officer intends to rely in deciding whether and how much nonjudicial punishment to impose;

(5) To present matters in defense, extenuation, and mitigation orally, in writing, or both;

(6) To have witnesses attend the proceeding, including those that may be against you, if their statements will be relevant and they are reasonably available. A witness is not reasonably available if the witness requires reimbursement by the United States for any cost incurred in appearing, cannot appear without unduly delaying the proceedings, or if a military witness, cannot be excused from other important duties; and

(7) To have the proceedings open to the public unless the commanding officer determines that the proceedings should be closed for good cause. However, this does not require that special arrangements be made to facilitate access to the proceeding.

ELECTION OF RIGHTS

5. Knowing and understanding all of my rights as set forth in paragraphs 1 through 3 above, my desires are as follows

a. Right to refuse nonjudicial punishment. (Check one)

_____ I refuse nonjudicial punishment.

_____ I accept nonjudicial punishment. I am advised that acceptance of nonjudicial punishment does not preclude further administrative action against me. This may include being processed for an administrative discharge which could result in an other than honorable discharge.

(Note: If the accused does not accept nonjudicial punishment, the matter should be submitted to the commanding officer for disposition.)

b. Personal appearance. (Check one)

_____ I request a personal appearance before the commanding officer.

_____ I waive a personal appearance. (Check one)

_____ *I do not desire to submit any written matters for consideration*

_____ Written matters are attached.

(Note: The accused's waiver of personal appearance does not preclude the commanding officer from notifying the accused, in person, of the punishment imposed.)

c. Elections at personal appearance. (Check one or more)

_____ I request that the following witnesses be present at my nonjudicial punishment proceeding:

_____

_____

_____

_____

_____

_____ I request that my nonjudicial punishment proceeding be open to the public.

_____	_____
(Signature of witness)	(Signature of accused)
_____	_____
(Name of witness)	(Name of accused)

(CAPTAIN'S MAST) (OFFICE HOURS)
ACCUSED'S NOTIFICATION AND ELECTION OF RIGHTS
ACCUSED NOT ATTACHED TO OR EMBARKED IN A VESSEL
RECORD MAY BE USED IN AGGRAVATION IN EVENT OF LATER COURT-MARTIAL
(See JAGMAN 0109)

Notification and election of rights concerning the contemplated imposition of nonjudicial punishment in the case of _____, SSN _____, assigned or attached to _____.

NOTIFICATION

1. In accordance with the requirements of paragraph 4 of Part V, MCM, 1984, you are hereby notified that the commanding officer is considering imposing nonjudicial punishment on you because of the following alleged offenses:

(Note: Here describe the offenses, including the UCMJ article(s) allegedly violated.)

2. The allegations against you are based on the following information:

(Note: Here provide a brief summary of that information.)

3. You have the right to refuse imposition of nonjudicial punishment. If you refuse nonjudicial punishment, charges could be referred for trial by court-martial by summary, special, or general court-martial. If charges are referred to trial by summary court-martial, you may not be tried by summary court-martial over your objection. If charges are referred to a special or general court-martial you will have the right to be represented by counsel. The maximum punishment that could be imposed if you accept nonjudicial punishment is:

_____

4. If you decide to accept nonjudicial punishment, you may request a personal appearance before the commanding officer or you may waive this right.

a. Personal appearance waived. If you waive your right to appear personally before the commanding officer, you will have the right to submit any written matters you desire for the commanding officer's consideration in determining whether or not you committed the offenses alleged, and, if so, in determining an appropriate punishment. You are hereby informed that you have the right to remain silent and that anything you do submit for consideration may be used against you in a trial by court-martial.

b. Personal appearance requested. If you exercise your right to appear personally before the commanding officer, you shall be entitled to the following rights at the proceeding:

(1) To be informed of your rights under Article 31(b), UCMJ;

(2) To be informed of the information against you relating to the offenses alleged;

(3) To be accompanied by a spokesperson provided or arranged for by you. A spokesperson is not entitled to travel or similar expenses, and the proceedings will not be delayed to permit the presence of a spokesperson. The spokesperson may speak on your behalf, but may not question witnesses except as the commanding officer may permit as a matter of discretion. The spokesperson need not be a lawyer;

(4) To be permitted to examine documents or physical objects against you that the commanding officer has examined in the case and on which the commanding officer intends to rely in deciding whether and how much nonjudicial punishment to impose;

(5) To present matters in defense, extenuation, and mitigation orally, in writing, or both;

(6) To have witnesses attend the proceeding, including those that may be against you, if their statements will be relevant and they are reasonably available. A witness is not reasonably available if the witness requires reimbursement by the United States for any cost incurred in appearing, cannot appear without unduly delaying the proceedings, or if a military witness, cannot be excused from other important duties; and

(7) To have the proceedings open to the public unless the commanding officer determines that the proceedings should be closed for good cause. However, this does not require that special arrangements be made to facilitate access to the proceeding.

5. In order to help you decide whether or not to demand trial by court-martial or to exercise any of the rights explained above should you decide to accept nonjudicial punishment, you may obtain the advice of a lawyer prior to any decision. If you wish to talk to a lawyer, a military lawyer will be made available to you, either in person or by telephone, free of charge, or you may obtain advice from a civilian lawyer at your own expense.

ELECTION OF RIGHTS

6. Knowing and understanding all of my rights as set forth in paragraphs 1 through 5 above, my desires are as follows:

a. Lawyer. (Check one or more, as applicable)

_____ I wish to talk to a military lawyer before completing the remainder of this form.

_____ I wish to talk to a civilian lawyer before completing the remainder of this form.

_____ I hereby voluntarily, knowingly, and intelligently give up my right to talk to a lawyer.

_____ (Signature of witness)

_____ (Signature of accused)

_____ (Date)

(Note: If the accused wishes to talk to a lawyer, the remainder of this form shall not be completed until the accused has been given a reasonable opportunity to do so.)

_____ I talked to _____, a lawyer, on _____.

_____ (Signature of witness)

_____ (Signature of accused)

_____ (Date)

b. Right to refuse nonjudicial punishment. (Check one)

_____ I refuse nonjudicial punishment.

_____ I accept nonjudicial punishment. I understand that acceptance of nonjudicial punishment does not preclude further administrative action against me. This may include being processed for an administrative discharge which could result in an other than honorable discharge.

(Note: If the accused does not accept nonjudicial punishment, the matter should be submitted to the commanding officer for disposition.)

c. Personal appearance. (Check one)

_____ I request a personal appearance before the commanding officer.

_____ I waive a personal appearance. (Check one)

_____ I do not desire to submit any written matters for consideration.

_____ Written matters are attached.

(Note: The accused's waiver of personal appearance does not preclude the commanding officer from notifying the accused, in person, of the punishment imposed.)

d. Elections at personal appearance. (Check one or more)

_____ I request that the following witnesses be present at my nonjudicial punishment proceeding:

_____

_____

_____

_____

_____

_____ I request that my nonjudicial punishment proceeding be open to the public.

_____	_____
(Signature of witness)	(Signature of accused)
_____	_____
(Name of witness)	(Name of accused)

CAPTAIN'S MAST/OFFICE HOURS GUIDE

(NOTE: The formalities prior to and at the termination of the captain's mast or office hours normally are determined by custom and tradition in the Navy and Marine Corps.)

CO: You are suspected of committing the following violation(s) of the Uniform Code of Military Justice:

_____

_____

_____

You do not have to make any statement regarding the offense(s) of which you are accused or suspected and any statement made by you may be used as evidence against you.

(Note: If it is reasonably foreseeable that the accused's statements during the captain's mast/office hours proceedings may be considered for introduction in evidence in a later court-martial, an explanation of rights and a waiver, in the format of Appendix A-1-m of the JAG Manual, will have to be obtained from the accused, during the hearing, before proceeding further.)

CO: You are advised that a captain's mast/office hours is not a trial and that a determination of misconduct on your part is not a conviction by a court. Further, you are advised that the formal rules of evidence used in trials by court-martial do not apply at captain's mast/office hours.

CO: I have a statement signed by you acknowledging that you were fully advised of your legal rights pertaining at this hearing. (Note: This statement will be either JAGMAN Appendix A-1-b, A-1-c, or A-1-d.)

CO: Do you understand this statement and do you understand the rights explained therein?

ACC: _____.

CO: Do you have any questions about them or do you wish to make and requests?

ACC: _____.

_____.

CO: [To witness (if any are present)] What can you tell me about the accused's involvement in (these) (this) offense(s)?

WIT: _____.

OR

CO: [To witness(es) who has/have previously provided written statement(s) when accused and CO both have copies of the statement(s).] Do you adopt your statement(s) as your testimony here today?

WIT: _____.

CO: Do you have anything to add to or change in your statement?

WIT: _____

_____

CO: (To accused) Would you like me to ask any further questions of this witness?

ACC: _____.

CO: (After all witnesses are questioned) I have before me the following (documents) (statements) (other physical evidence) that will be considered by me. Have you been given the opportunity to examine them?

ACC: _____.

CO: (If the answer is "no," offer the accused the opportunity to examine the evidence.)

CO: Is there anything that you wish to offer? (If the answer is "yes," permit the accused the opportunity to call his witnesses, make a personal statement in defense, and present other evidence.)

ACC: _____.

CO: Are there any other witnesses you would like to call or any other evidence you would like to present?

ACC: _____.

CO: Is there anything that you wish to offer that would lessen the seriousness of (this) (these) offense(s) or mitigate them?

ACC: _____.

CO: (To witness) What can you tell me about (accused's name) performance of duty?

WIT: _____.

CO: (To accused) Is there anything else you would like to present?

ACC: _____.

CO: I impose the following punishment:

_____.

My decision to impose this punishment was based on my determination that you committed the minor offenses of:

_____.

You are advised that you have the right to appeal this punishment to (identify the superior authority by name and organizational title). Your appeal must be made within a reasonable time--which is normally 5 days. Following this hearing, _____ will advise you more fully of this right to appeal. Do you understand?

ACC: _____.

CO: You are dismissed.

(CAPTAIN'S MAST) (OFFICE HOURS)
ACCUSED'S ACKNOWLEDGEMENT OF APPEAL RIGHTS

(CAPTAIN'S MAST) (OFFICE HOURS) ACCUSED'S ACKNOWLEDGEMENT OF APPEAL RIGHTS

I, _____, SSN _____,
(Name and grade of accused)

assigned or attached to _____, have been informed of the following facts concerning my rights of appeal as a result of (captain's mast) (office hours) held on _____:

a. I have the right to appeal to (specify to whom the appeal should be addressed).

b. My appeal must be submitted within a reasonable time. Five working days, excluding weekends and holidays, after the punishment is imposed is normally considered a reasonable time, in the absence of unusual circumstances. Any appeal submitted thereafter may be rejected as not timely. If there are unusual circumstances which I believe will make it extremely difficult or not practical to submit an appeal within 5 working days, I should immediately advise the officer imposing punishment of such circumstances, and request an appropriate extension of time which to file my appeal.

c. The appeal must be in writing.

d. There are only two grounds for appeal; that is:

(1) The punishment was unjust, or

(2) The punishment was disproportionate to the offense(s) for which it was imposed.

e. If the punishment imposed included reduction from the pay grade of E-4 or above, or was <u>in excess of</u>: arrest in quarters for 7 days, correctional custody for 7 days, forfeiture of 7 days' pay, extra duties for 14 days, restriction for 14 days, or detention of 14 days' pay, then the appeal must be referred to a military lawyer for consideration and advice before action is taken on my appeal.

_____ _____
(Signature of Accused and Date) (Signature of Witness and Date)

PUNITIVE LETTER OF REPRIMAND

Date _____

From: Commander Cruiser-Destroyer Force, U.S. Atlantic Fleet
To: Lieutenant J_____ T.V_____, U.S. Navy, _____/1100
Via: (1)
(2)

Subj: PUNITIVE LETTER OF REPRIMAND

Ref: (a) Report of investigation of collision between USS _____ (_____), and SS _____ which occurred on _____ April 19___
(b) UCMJ Art. 15
(c) Para. 5 of Part V, MCM 1984
(d) JAGMAN 0114

1. Reference (a) is the record of an investigation convened by Commander Cruiser-Destroyer Force, U.S. Atlantic Fleet, to inquire into the collision between USS _____ (____) and SS _____ on _____ April 19____. The collision occurred in the Atlantic Ocean about 60 miles east of Norfolk, Virginia. You were a party to the investigation and were accorded your rights as such. [As applicable, except in the case of a member attached to or embarked in a vessel, add: You have been advised that you have the right to refuse imposition of nonjudicial punishment and you have elected to accept nonjudicial punishment.]

2. [Here insert a precise statement of all relevant events and circumstances of the offense or offenses in violation of an article or articles of the Uniform Code of Military Justice for which the letter of reprimand is issued.]

3. Your actions clearly show that you were derelict in the performance of your duties as Officer of the Deck, USS _____, on the morning of _____ April 19___ in that you negligently failed to:

a. Maintain USS _____ on a safe course as required by U.S. Navy Regulations, 1990.

b. Employ all means and devices available to you for detecting and avoiding danger from collision as required by USS _____ Standing Night Orders and U.S. Navy Regulations, 1990.

c. Inform your commanding officer when you made a course and speed change at about 6 minutes before the collision as required by U.S. Navy Regulations, 1990.

4. Pursuant to references (b), (c), and (d) you are hereby reprimanded for your negligence in the performance of duty as set forth above.

[Here insert final paragraphs prescribed by 0114f(3)(d).]

[Signature]

MEMORANDUM OF PRETRIAL AGREEMENT
GENERAL AND SPECIAL COURTS-MARTIAL
(See JAGMAN 0137)

MEMORANDUM OF PRETRIAL AGREEMENT

UNITED STATES Place_____

v. Date_____

_____ _____ _____
Name Rate/Grade SSN

I, _____, the accused in a _____ court-martial, do hereby certify:

That, for good consideration and after consultation with my counsel, I do agree to enter a voluntary plea of GUILTY to the charges and specifications listed below, provided the sentence as approved by the convening authority will not exceed the sentence hereinafter indicated by me;

That it is expressly understood that, for the purpose of this agreement, the sentence is considered to be in these parts, namely: the punitive discharge, period of confinement or restraint, amount of forfeiture or fine, and reduction in rate or grade;

That should the court award a sentence which is less, or a part thereof is less, than that set forth and approved in the agreement, then the convening authority, according to law, will only approve the lesser sentence;

That I am satisfied with my defense counsel in all respects and consider him qualified to represent me in this court-martial;

That this offer to plead guilty originated with me and my counsel; that no person or persons whomsoever have made any attempt to force or coerce me into making this offer or pleading guilty;

That my counsel has fully advised me of the meaning and effect of my guilty plea and that I fully understand and comprehend the meaning thereof and all of its attendant effects and consequences, including the possibility that I may be processed for an administrative discharge, even if part of all of the sentence, including a punitive discharge, is suspended or disapproved pursuant to this agreement;

That I understand that I may ask permission to withdraw my plea of guilty at any time before sentence is announced, and that the military judge may, at his discretion, permit me to do so; and

That I understand this offer and agreement and have been advised that it cannot be used against me in the determination of my guilt on any matters arising from the charges and specifications made against me in this court-martial.

That it is expressly understood that the pretrial agreement will become null and void in the event: (1) I fail to plead guilty to each of the charges and specifications set forth below, (2) the court refuses to accept my plea of guilty to any of the charges and specifications set forth

below, (3) the court accepts each of my pleas but, prior to the time sentence is announced, I ask permission to withdraw any of my pleas, and the court permits me to do so, and (4) the court initially accepts my plea of guilty to each of the charges and specifications set forth below but, prior to the time the sentence is adjudged, the court sets aside any of my guilty pleas and enters a plea of not guilty on my behalf.

CHARGES PREFERRED:		GUILTY PLEA BY ACCUSED TO:	
Article #	Description	Article #	Description
1.			
2.			
3.			

MAXIMUM SENTENCE TO BE APPROVED BY CONVENING AUTHORITY

See maximum sentence appendix to memorandum of pretrial agreement.

Signed:_____

Name of accused/Date and Place

Witness: _____ [Defense counsel, date, and place;

_____ Statement of qualification where

_____ appropriate]

Witness: _____ [Name, date, and place; statement of

_____ qualification of additional defense

_____ counsel, when used]

The foregoing agreement is [approved] [disapproved].

_____

Signature, grade, and title of convening authority

MAXIMUM SENTENCE APPENDIX TO
MEMORANDUM OF PRETRIAL AGREEMENT

UNITED STATES

v.

Place_____

Date_____

_____ Name

_____ Rate/Grade

_____ SSN

Maximum Sentence to be approved by Convening Authority:

1. Punitive Discharge [character of and, if on probation, term thereof]
2. Confinement or Restraint [amount and kind]
3. Forfeiture or fine [amount and duration]
4. Reduction to [rate or grade]

Signed: _____
Name of accused, date, and place

Witness: _____ [Defense counsel, date, and place]

Witness: _____ [Name, date, and place]

ORDER TO TESTIFY (See JAGMAN 0138)

IN THE MATTER OF

_____ (Accused's Name)	GRANT OF TRANSACTIONAL IMMUNITY
_____ (Rate) (Unit)	
_____ (Armed Force)	

To: (Witness to whom immunity is to be granted)

1. It appears that you are a material witness for the Government in the matter of [set forth a full identification of the accused and, if charges have been preferred, the substance of all specifications preferred.]

2. In consideration of your testimony as a witness in the matter described in paragraph (1), you are hereby granted immunity from prosecution for any offense connected with the offenses(s) described in paragraph (1) about which you testify under oath.

3. It is understood that this grant of immunity from prosecution is effective only upon the condition that you actually testify as a witness. It is further understood that this grant of immunity from prosecution extends only to the offense or offenses described in paragraph (1) in which you were implicated and about which you testify under oath, and does not extend to prosecution for perjury, giving a false statement, or otherwise failing to comply with an order to testify in this matter.

4. This grant of immunity is made under the authority granted me under Rule for Courts-Martial 704, Manual for Courts-Martial, 1984, as a General Courts-Martial Convening Authority.

_____
Signature

_____
Grade, title

IN THE MATTER OF

_____ (Accused's Name)	GRANT OF TESTIMONIAL IMMUNITY
_____ (Rate) (Unit)	
_____ (Armed Force)	

To: (Witness to whom immunity is to be granted)

1. It appears that you are a material witness for the Government in the matter of [set forth a full identification of the accused and, if charges have been preferred, the substance of all specifications preferred.]

2. In consideration of your testimony as a witness in the matter described in paragraph (1), you are hereby granted immunity from the use of your testimony or other information given by you (including any evidence directly or indirectly derived from your testimony or from the other information you provide) against you in any criminal case, except a prosecution for perjury, giving a false statement, or otherwise failing to comply with an order to testify in this matter.

3. It is understood that this grant of immunity from the use of your testimony or other information given by you (including any evidence directly or indirectly derived from your testimony or from the other information you provide) against you in any criminal case is effective only upon the condition that you testify under oath as a witness in the matter described in paragraph (1).

4. This grant of immunity is made under the authority granted me under Rule for Courts-Martial 704, Manual for Courts-Martial, 1984, as a General Courts-Martial Convening Authority.

_____
Signature

_____
Grade, title

ORDER TO TESTIFY

IN THE MATTER OF_____)

_____) ORDER TO TESTIFY

_____)

_____)

_____

_____

_____

To: (Witness to whom immunity is to be granted)

1. As an officer empowered to convene general courts-martial and pursuant to the provision of sections 6002 and 6004, title 18, United States Code, I hereby make the following findings:

a. That (name of witness) possesses information relevant to the pending trial by general court-martial of _____, and that the presentation of his testimony at this trial necessary to the public interest; and

b. That it is likely that (Name of witness) would refuse to testify on the basis of his privilege against self-incrimination if subpoenaed to appear as a witness.

2. On the basis of these facts, and pursuant to section 6004, title 18, United States Code, I hereby order (Name of witness) to appear and testify before the general court-martial convened for the trial of _____. In accordance with section 6002, title 18, United States Code, *no testimony or other information given by (Name of witness) (or* any information directly or indirectly derived from such testimony or other information) can be used against him in any criminal case, except a prosecution for perjury, giving a false statement, or otherwise failing to comply with this order.

3. This order is issued with the approval of the Attorney General of the United States set forth in enclosure 1 annexed hereto.

_____
Signature

_____
Grade, title

PRIVACY ACT NOTIFICATION

Authority: 18 U.S.C. § 6004, Executive Order 12473, R.C.M. 704, Manual for Courts-Martial, 1984

Principal Purpose: The requested information will be provided to law enforcement agencies in order to expedite review of this request for immunity, and is requested for the purpose of allowing those agencies the opportunity to review the propriety of granting immunity to you in this case.

Routine Use: This information will be provided to law enforcement agencies, both State and Federal, in the performance of their duties under law to review this request for immunity.

Disclosure is Voluntary: Your provision of this information is voluntary, however, your failure to provide the requested information may result in delay or denial of the granting of immunity to you in this case.

_____ _____

Signature Date

_____

Witness

8. Terms of pretrial agreement concerning sentence, if any:

_____

_____

_____

_____

_____
Trial Counsel/Summary Court-Martial

Distribution:
Convening Authority
Commanding officer of accused
CO/OIC of brig (if confinement adjudged)
PDS/Unit Diary Clerk
Disbursing Office
Record of trial
Officer exercising general court-martial jurisdiction

[Note: Each day of pretrial confinement shall be counted as a day of pretrial confinement, except that, if the sentence includes confinement, the day on which sentence is announced shall not be counted as a day of pretrial confinement. Notwithstanding the foregoing, authorities responsible for sentence computation will count the day of sentencing as a day of pretrial confinement, when the accused was in pretrial confinement on the day that a sentence including confinement was announced and, for any reason (e.g., immediate deferment), that day does not count towards service of the sentence to confinement.]

REPORT OF RESULTS OF TRIAL

From:

Subj: REPORT OF RESULTS OF TRIAL

1. Pursuant to R.C.M. 1101(a) and 1304(b)(2)(f)(v), MCM, notification is hereby given in the case of United States v. _____, a trial by _____ court-martial occurring at _____, convened by _____.

2. Offenses, pleas, and findings:

Charges & Specifications (with description of offense(s))	Pleas	Findings

3. Forum:

Judge alone _____ Members _____ Enlisted members _____

4. Sentence adjudged:

5. Date sentence adjudged: _____. Adjudged forfeitures, adjudged reduction in grade, and automatic forfeitures, if any, become effective _____ (14 days after date sentence was announced) unless indicated otherwise in paragraph 8, below, or unless written notice of deferment by the convening authority is received by authorities with responsibility for the accused's service and pay records. Absent pertinent direction to the contrary in paragraph 8, below, or such written notice of deferment, action by those authorities in this case giving effect to the adjudged and automatic sentence, when applicable, must occur by the second date in this paragraph. Trial counsel must be provided the originals of such written approved deferments for inclusion in the record of trial (R.C.M. 1103).

6. *Automatic forfeitures apply:* Yes _____ No _____

See paragraph 8, below, for the specific sentence to be given effect in this case, consistent with paragraph 5, above.

a. GCM _____ (forfeiture of all pay and allowances while confined)

b. SPCM _____ (2/3 pay while confined)

7. Credits to be applied to confinement, if any:

a. Pretrial Confinement: _____ days (see note)

b. Judicially-ordered credits: _____ days

Total credits: _____ days

CONVENING AUTHORITY ACTION RECOMMENDATION

From: Legal Officer/Staff Judge Advocate
To: Commanding Officer, _____

Subj: RECOMMENDATION IN THE SPECIAL/GENERAL COURT-MARTIAL CASE OF _____

Ref: (a) R.C.M. 1106, MCM, 1984
(b) JAGMAN 0151c

Encl: (1) As appropriate

1. Pursuant to references (a) and (b) the following information is provided:

a. Offenses, pleas, and findings:

Charges and specifications	Pleas	Findings

b. Sentence adjudged:

c. Clemency recommendation by court or military judge:

d. Summary of accused's service record:

(1) Length of service;

(2) Character of service (average pros and cons, average of evaluation traits);

(3) Awards and decorations;

(4) Records of prior nonjudicial punishment;

(5) Previous convictions; and

(6) Other matters of significance.

e. Nature and duration of pretrial restraint:

f. Judicially-ordered credit to be applied to confinement, if any:

g. Terms and conditions of pretrial agreement (if any) which the convening authority is obligated to honor or reasons why the convening authority is not obligated to take specific action under the agreement:

h. Optional information--any recommendations for clemency (from division officer, company commander, immediate supervisor, etc.) or any other matters which are deemed

appropriate. (Note: If any matters adverse to the accused are presented to the CA from outside the record of trial, with knowledge of which the accused is not chargeable, the accused shall be notified and be given an opportunity to rebut.)

2. For staff judge advocate only: State whether corrective action on the findings or sentence is appropriate base upon allegations of error raised by the accused after sentence is adjudged, or when otherwise deemed appropriate by the staff judge advocate. See R.C.M. 1106(d)(4), MCM, 1984.

3. A specific recommendation as to the action to be taken by the convening authority on the sentence.

REQUEST FOR IMMEDIATE EXECUTION OF DISCHARGE (See JAGMAN 0165)

UNITED STATES	)	[SPCM [GCM] NCM _____
	)	REQUEST FOR IMMEDIATE EXECUTION
v.	)	OF [BAD CONDUCT][DISHONORABLE]
	)	DISCHARGE ADJUDGED ON _____
[Name, SSN, grade or	)	BY [SPECIAL] [GENERAL] COURT-MARTIAL
rate and armed service]	)	CONVENED BY _____
	)	[AT] [ON BOARD] _____

_____

To: [Officer exercising general court-martial jurisdiction]

1. I, the undersigned, the accused in the above-captioned case, hereby request the immediate execution of the above-described _____ discharge and [dishonorable] [bad conduct] my release from the naval service.

2. Naval Clemency and Parole Board review pursuant to SECNAV Instruction 5815.3G [has been completed] [is not required].

3. I received a copy of the decision of the U.S. Navy-Marine Corps Court of Military Review in my case on _____.

4. I have had fully explained to me and I understand my right, under Article 67(c), Uniform Code of Military Justice, to petition the U.S. Court of Military Appeals for grant of review within 60 days from the date I received my copy of the decision of the U.S. Navy-Marine Corps Court of Military Review.

5. I do not have an appeal pending before the U.S. Court of Military Appeals at this time, nor do I now intend to appeal; however, I understand that, if this request is granted, it will not affect my right to appeal if I later change my mind and decide to appeal.

6. I have discussed this matter with _____ (Name, grade, SSN) counsel of my own choice.

_____
Signature of Accused

CERTIFICATE

I, the undersigned officer of the grade, Social Security number, and branch of service below stated, certify that the above-named accused personally appeared before me this _____ day of _____, 19__, at _____; I explained to him his
(Place)
right, under Article 67(c), Uniform Code of Military Justice, to petition the U.S. Court of Military Appeals for grant of review; I read aloud to him the foregoing request; and he thereafter signed the same in my presence and acknowledged that he did so as his free and voluntary act.

_____
Signature

_____
Name, grade, SSN

SUSPECT'S RIGHTS ACKNOWLEDGEMENT/STATEMENT (See JAGMAN 0170)

SUSPECT'S RIGHTS AND ACKNOWLEDGEMENT/STATEMENT

FULL NAME (ACCUSED/ SUSPECT)	SSN	RATE/RANK	SERVICE(BRANCH)
ACTIVITY/UNIT			DATE OF BIRTH
NAME (INTERVIEWER)	SSN	RATE/RANK	SERVICE(BRANCH)
ORGANIZATION		BILLET	
LOCATION OF INTERVIEW		TIME	DATE

RIGHTS

I certify and acknowledge by my signature and initials set forth below that, before the interviewer requested a statement from me, he warned me that:

(1) I am suspected of having committed the following offense(s):_____

_____ ☐

_____ ☐

(2) I have the right to remain silent; ---------- ☐

(3) Any statement I do make may be used as evidence against me in trial by court-martial; ---------- ☐

(4) I have the right to consult with lawyer counsel prior to any questioning. This lawyer counsel may be a civilian lawyer retained by me at my own expense, a military lawyer appointed to act as my counsel without cost to me, or both; and- ☐

(5) I have the right to have such retained civilian lawyer and/or appointed military lawyer present during this interview,- ---------- ☐

WAIVER OF RIGHTS

I further certify and acknowledge that I have read the above statement of my rights and fully understand them, and that, ---------- ☐

(1) I expressly desire to waive my right to remain silent; ---------- ☐

(2) I expressly desire to make a statement; ------ ☐

(3) I expressly do not desire to consult with either a civilian lawyer retained by me or a military lawyer appointed as my counsel without cost to me prior to any questioning; ---------- ☐

(4) I expressly do not desire to have such a lawyer present with me during this interview; and ---------- ☐

(5) This acknowledgement and waiver of rights is made freely and voluntarily by me, and without any promises or threats having been made to me or pressure or coercion of any kind having been used against me. ---------- ☐

SIGNATURE (ACCUSED/SUSPECT)	TIME	DATE
SIGNATURE (INTERVIEWER)	TIME	DATE
SIGNATURE (WITNESS)	TIME	DATE

The statement which appears on this page (and the following _____ page(s), all of which are signed by me), is made freely and voluntarily by me, and without any promises or threats having been made to me or pressure or coercion of any kind having been used against me.

_____
SIGNATURE (ACCUSED/SUSPECT)

_____

_____

_____

RECORD OF AUTHORIZATION FOR SEARCH (see JAGMAN 0170)

RECORD OF AUTHORIZATION FOR SEARCH

1. At _____ on _____ I was approached by _____
Time Date Name
in his capacity as _____ who having been first duly sworn,
Duty
advised me that he suspected _____ of _____
Name Offense
and requested permission to search his _____ for _____.
Object or Place Items

2. The reasons given to me for suspecting the above named person were:

_____

_____

_____

_____

_____

_____

_____

3. After carefully weighing the foregoing information, I was of the belief that the crime of _____ [had been] [was being] [was about to be] committed, that _____ was the likely perpetrator thereof, that a search of the object or area stated above would probably produce the items stated and that such items were [the fruits of crime] [the instrumentalities of a crime] [contraband] [evidence].

4. I have therefore authorized _____ to search the place named for the property specified, and if the property be found there, to seize it.

_____
Grade Signature Title

_____
Date and Time

INSTRUCTIONS

1. Although the person bringing the information to the attention of the individual empowered to authorize the search will normally be one in the execution of investigative or police duties, such need not be the case. The information may come from one as a private individual.

2. Other than his own prior knowledge of facts relevant thereto, all information considered by the individual empowered to authorize a search on the issue of probable cause must be provided

under oath or affirmation. Accordingly, prior to receiving the information which purports to establish the requisite probable cause, the individual empowered to authorize the search will administer an oath to the person(s) providing the information. An example of an oath is as follows: Do you solemnly swear (or affirm) that the information you are about to provide is true to the best of your knowledge and belief, so help you God? (This requirement does not apply when all information considered by the individual empowered to authorize the search, other than his prior personal knowledge, consists of affidavits or other statements previously duly sworn to before another official empowered to administer oaths.)

3. The area or place to be searched must be specific, such as wall locker, wall locker and locker box, residence, or automobile.

4. A search may be authorized only for the seizure of certain classes of items: (1) fruits of a crime (the results of a crime such as stolen objects); (2) instrumentalities of a crime (example: search of an automobile for a crowbar used to force entrance into a building which was burglarized); (3) contraband (items, the mere possession of which is against the law--marijuana, etc.); or (4) evidence of crime (example: bloodstained clothing of an assault suspect).

5. Before authorizing a search, probable cause must exist. This means reliable information that would lead a reasonably prudent and cautious man to a natural belief that:

a. An offense probably is about to be, or has been committed;

b. Specific fruits or instrumentalities of the crime, contraband or evidence of the crime exist; and

c. Such fruits, instrumentalities, contraband, or evidence are probably in a certain place.

In arriving at the above determination it is generally permissible to rely on hearsay information, particularly if it is reasonably corroborated or has been verified in some substantial part by other facts or circumstances. However, unreliable hearsay cannot alone constitute probable cause, such as where the hearsay is several times removed from its source or the information is received from an anonymous telephone call. Hearsay information from an <u>informant</u> may be considered if the information is reasonably corroborated or has been verified in some substantial part by other facts, circumstances, or events. The mere opinion of another that probable cause exists is not sufficient; however, along with the pertinent facts, it may be considered in reaching the conclusion as to whether or not probable cause exists. If the information available does not satisfy the foregoing, additional investigation to produce the necessary information may be ordered.

CONSENT TO SEARCH (See JAGMAN 0170)

CONSENT TO SEARCH

I, _____, have been advised that inquiry is being made in connection with _____ _____. I have been advised of my right not to consent to a search of [my person] [the premises mentioned below]. I hereby authorize _____ and _____, who [has] [have been] identified to me as _____ _____ to conduct a complete

Position(s)

search of my [person] [residence] [automobile] [wall locker] [_____] [_____] located at _____ _____.

I authorize the above listed personnel to take from the area searched any letters, papers, materials, or other property which they may desire. This search may be conducted on _____.

Date

This written permission is being given by me to the above named personnel voluntarily and without threats or promises of any kind.

_____

Signature

WITNESSES

_____

_____

REPORT OF SUMMARY COURT-MARTIAL

Instruction: The following information shall be attached to the SCM record of trial (use of DD Form 2329 is not required, but is strongly recommended because it fulfills the requirements of R.C.M. 1305).

1. Location, date(s) conducted, persons present (with title and role, e.g., witness, accused, Summary Court-Martial, etc.) and findings.

2. List of documents attached to report of summary court-martial. Including:

a. Convening order

b. Charge sheet

c. Documents and physical evidence, where practicable

d. Acknowledgement of rights advisory, including waiver of right to refuse summary court-martial.

3. Summary of evidence on the merits (required for each charge and specification of which the accused is found guilty contrary to his/her plea):

a. Pleas

b. Offense of which convicted

c. Evidence supporting guilt

(1) Witness testimony

(2) Documents presented (notation as to whether admitted or denied, description if not attached)

(3) Other physical evidence (notation as to whether admitted or denied, description if not attached)

(4) Stipulations

(5) Other

d. Evidence supporting defense:

(1) Testimony of accused

(2) Witness testimony

(3) Documents presented (notation as to whether admitted or denied, description if not attached).

(4) Other physical evidence (notation as to whether admitted or denied, description if not attached)

(5) Stipulations

(6) Any other matters submitted by the defense.

4. Matters submitted in aggravation, and extenuation and mitigation:

a. Matters in aggravation

(1) Documents presented (notation as to whether admitted or denied, description if not attached)

(2) Witness(es) testimony

(3) Any other matters

b. Matters in extenuation and mitigation:

(1) Statement of accused

(2) Documents presented (notation as to whether admitted or denied, description if not attached)

(3) Witness(es) testimony

(4) Any other matter submitted by the defense.

5. Sentence adjudged.

6. Clemency or suspension recommendation.

OFFICER NJP REPORT
(see JAGMAN 0119)
LETTERHEAD

1621
17
[Date]

From: Commanding General, 1st Marine Aircraft Wing
To: Commandant of the Marine Corps (JAM)
Via: (1) Commanding General, III Marine Expeditionary Force
(2) Commanding General, Fleet Marine Force Pacific

Subj: REPORT OF NONJUDICIAL PUNISHMENT IN THE CASE OF FIRST LIEUTENANT JOHN J. JONES 123 45 6789/1369 USMC

Ref: (a) MCO P5800.8B (LEGADMINMAN)
(b) FMFPAC2O 5810.1L
(c) Art. 15 UCMJ
(d) Part V, MCM, 1984
(e) Chp. 1, Part B, JAG Manual
(f) Article 1122, U.S. Navy Regulations, (1990)

Encl: (1) Record of Hearing under Article 15, UCMJ
(2) Punitive Letter of Reprimand
(3) 1stLT Jones' ltr 1621 17 of [date]
(4) 1stLT Jones' statement regarding adverse matter

1. This report is forwarded for inclusion on 1stLt Jones' official records per paragraph 4003 of reference (a) via intermediate commanders, as directed by paragraph 3d(2) of reference (b).

2. On 4 December 1990, in accordance with references (c), (d), and (e), nonjudicial punishment was imposed on 1stLt Jones for conduct unbecoming an officer. As a result, he was awarded a punitive letter of reprimand and a forfeiture of $400.00 pay per month for two months.

3. Details of the hearing and the circumstances of the offenses are set forth in enclosure (1). A copy of the punitive letter of reprimand is attached as enclosure (2).

4. As reflected in enclosure (3), 1stLt Jones did not appeal the punishment. Accordingly, the NJP is now final and will be reflected in the fitness report that includes the date it was imposed, 4 December 1990.

Subj: REPORT OF NONJUDICIAL PUNISHMENT IN THE CASE OF FIRST LIEUTENANT JOHN J. JONES 123 45 6789/1369 USMC

5. I recommend that 1stLt Jones be retained on active duty until the expiration of his obligated active service.

6. By copy hereof, 1stLT Jones is notified of his right, per reference (f), to submit his comments, within 15 days of receipt, concerning this report of nonjudicial punishment and the letter of reprimand which will be included as adverse matter in his official records. His comments, if any, will be attached as enclosure (4).

Copy to:
CO, MAG-32
CO, MALS-32
1stLT Jones

SAMPLE FIRST ENDORSEMENT

FIRST ENDORSEMENT on CG, 1stMAW ltr 1621 17 of [DATE}

From: Commanding Office, Marine Wing Aircraft Squadron 1
To: First Lieutenant John J. Jones 123 45 5678/1369 USMC

Subj: PUNITIVE LETTER OF REPRIMAND

1. Delivered.

By direction

CHAPTER II
ADMINISTRATIVE INVESTIGATIONS

PART A -- OVERVIEW & SCOPE

0201 CONSTRUCTION

0202 SCOPE

a. General
b. Relation to UCMJ investigations
c. Relation to other investigations
d. Access to reports of investigations

0203 FOLLOW-UP ACTION

PART B -- PRELIMINARY CONSIDERATIONS

0204 PRELIMINARY INQUIRY

a. Requirement
b. Purpose
c. Coordination with law enforcement investigations
d. Responsibility
e. Method
f. Time limitations
g. Major incidents
h. Action
i. Review

0205 COMMAND OPTIONS

a. Options
b. Analyzing the options

0206 SEEKING COUNSEL

0207 NO FURTHER ACTION

PART C -- THE THREE TYPES OF ADMINISTRATIVE INVESTIGATIONS

0208 COMMONALITIES

0209 TYPE ONE: COMMAND INVESTIGATIONS

a. Purpose
b. Use Limitations
c. Responsibilities
d. Convening Order
e. Method
f. Time Limitations
g. Action
h. Review

0210 TYPE TWO: LITIGATION-REPORT INVESTIGATIONS

a. Purpose
b. Comparison with Command Investigations
c. Responsibilities
d. Convening Order
e. Method
f. Time Limitations
g. Action
h. Review

0211 TYPE THREE: COURTS AND BOARDS OF INQUIRY

a. Overview
b. Courts of Inquiry characteristics
c. Boards of Inquiry characteristics
d. Advisors
e. Responsibilities
f. Convening order
g. Method
h. Participation by non-parties
i. Time limitations
j. Action
k. Review
l. Advance copies of investigations

PART D -- PRINCIPLES APPLICABLE TO ALL TYPES OF ADMINISTRATIVE INVESTIGATIONS

0212 CONVENING ORDERS

a. General form
b. Amendments

0213 PERSONNEL AND COSTS

a. Member and investigating officer qualifications
b. Assistance and technical support
c. Costs

0214 OATHS

a. General
b. Administration of oaths

0215 PROOF OF FACTS -- STANDARDS OF PROOF

a. General
b. Standards of proof
c. Evidence
d. Witnesses and warnings

0216 PRIVACY ACT COMPLIANCE

a. Advice required
b. Social security numbers
c. Procedure and contents
d. Reviewing authorities
e. Records of disclosure

0217 INVESTIGATION REPORTS

a. General
b. Classification
c. Preliminary statement
d. Findings of fact
e. Opinions
f. Recommendations
g. Signing and authentication
h. Enclosures

0218 DISCIPLINARY ACTION

0219 ROUTING COPIES

0220 RELEASE OF INVESTIGATIONS

PART E -- LINE OF DUTY/MISCONDUCT

0221 WHEN LINE OF DUTY/MISCONDUCT DETERMINATIONS ARE REQUIRED

a. General
b. Warning required

0222 WHY LINE OF DUTY/MISCONDUCT DETERMINATIONS ARE REQUIRED

a. General
b. Disability retirement and severance pay

0223 WHAT CONSTITUTES LINE OF DUTY

a. General
b. Active service defined
c. Unauthorized absence

0224 WHAT CONSTITUTES MISCONDUCT

a. Generally
b. Presumption
c. Examples

0225 RELATIONSHIP BETWEEN MISCONDUCT AND LINE OF DUTY

a. General
b. Possible findings

0226 MENTAL RESPONSIBILITY

a. General rule
b. Presumption
c. Suicide attempts

0227 INTOXICATION AND DRUG ABUSE

a. Intoxication
b. Presumption
c. Alcohol and drug-induced disease

0228 REFUSAL OF MEDICAL AND DENTAL TREATMENT

0229 RELATIONSHIP TO DISCIPLINARY ACTION

0230 HOW LINE OF DUTY/MISCONDUCT DETERMINATIONS ARE RECORDED

a. General
b. Reporting
c. Entry in health or dental records
d. Command investigations

0231 ACTION BY REVIEWING AUTHORITIES

a. Action by convening authority
b. Action by general court-martial convening authority
c. Follow-up actions

0232 SPECIAL CONSIDERATIONS IN RESERVE COMPONENT CASES

0233 CHECKLIST FOR LINE OF DUTY/MISCONDUCT INVESTIGATIONS

a. Identifying information
b. Facts
c. Records
d. Site of incident
e. Duty status
f. Reserves
g. Injuries
h. Impairment
i. Mental competence
j. Privacy Act
k. Warnings about injury or disease

PART F – SPECIAL CONSIDERATIONS IN DEATH CASES

0234 GENERAL

a. Special considerations
b. NCIS notification
c. Time limitations
d. Release of death investigations

0235 WHEN INVESTIGATIONS OF DEATH CASES ARE REQUIRED

a. No investigation required
b. Investigation required
c. Limited investigation required

0236 AUTOPSIES

a. General
b. Unavailability of documents

0237 DETERMINATIONS CONCERNING LINE OF DUTY/MISCONDUCT IN DEATH CASES

0238 MAJOR INCIDENTS AND OTHER CASES INVOLVING DEATH WHERE A COURT OF INQUIRY MAY BE APPROPRIATE

0239 INDEPENDENT REVIEW

a. General
b. Qualifications of reviewer
c. Duties of reviewer
d. Action

0240 STANDARD OF PROOF

0241 SPECIAL ROUTING

PART G – INVESTIGATIONS OF SPECIFIC TYPES OF INCIDENTS

0242 AIRCRAFT ACCIDENTS

0243 MOTOR VEHICLE ACCIDENTS

0244 ACCIDENTS ABOARD SHIPS OR SUBMARINES (GENERALLY)

0245 EXPLOSIONS

0246 STRANDING OF A SHIP OF THE NAVY

0247 COLLISIONS

0248 ACCIDENTAL OR INTENTIONAL FLOODING OF A SHIP

0249 FIRES

0250 LOSS OR EXCESS OF GOVERNMENT FUNDS OR PROPERTY

0251 CLAIMS FOR OR AGAINST THE GOVERNMENT

0252 HEALTH CARE INCIDENTS

0253 RESERVISTS

0254 FIREARM ACCIDENTS

0255 OTHER INCIDENTS

a. Pollution incidents
b. Combined investigations of maritime incidents
c. Security violations
d. Postal violations

APPENDICES

a. Definitions
b. Parties: Definitions and Rights
c. Sample Command Investigation Convening Order and Report
d. Sample Litigation-Report Investigation Appointing Order and Report
e. Sample Privacy Act Statement Format -- JAG Manual Investigations
f. Sample Privacy Act Record of Disclosure
g. Sample warning advisement about statements regarding origin of disease or injury
h. Sample Documentation of Preliminary *Inquiry*

0201 CONSTRUCTION

a. This chapter shall be construed to accomplish its goals of --

(1) improving the substantive quality and usefulness of DON administrative investigations;

(2) preserving, to the extent permitted by law, DON's ability to facilitate access to its investigative reports; and

(3) minimizing related costs.

b. Guidance on interpreting this chapter may be obtained from judge advocates or from the Deputy Assistant Judge Advocate General (Claims, Investigations, and Tort Litigation) at DSN 221-9880 or (703) 325-9880.

0202 SCOPE

a. General. This chapter sets forth principles governing the convening, conduct, review, and storage of administrative investigations conducted in or by the Department of the Navy under the authority of this Manual.

b. Relation to UCMJ investigations. In some circumstances, other regulations may require an investigation when this Manual does not. For example, if the only basis for an investigation is disciplinary action, a preliminary inquiry under Rule for Courts-Martial (R.C.M.) 303, Manual for Courts-Martial (MCM), or a pretrial investigation under R.C.M. 405, MCM, and article 32, UCMJ, should be conducted without a separate investigation under this Manual.

c. Relation to other investigations. In addition to the investigations governed by this Manual, investigations may be required by other regulations. These investigations have different purposes and both may be appropriate. For example, investigations are required by other regulations, such as:

(1) situation reports prescribed by articles 0831 and 0851, U.S. Navy Regulations, 1990, and by OPNAVINST 3100.6 series, or other situation reports prescribed by bureau manuals or departmental regulations;

(2) investigations conducted by an inspector general under SECNAVINST 5430.57 series;

(3) investigations of aircraft accidents under OPNAVINST 3750.6 series;

(4) reports concerning security violations prescribed by OPNAVINST 5510.1 series;

(5) safety and mishap investigation reports required by Chapter A6 of OPNAVINST 5100.19 series or by MCO P5102.1;

(6) investigations conducted by the Naval Criminal Investigative Service under SECNAVINST 5520.3 series;

(7) investigations of allegations against senior DON officials conducted pursuant to SECNAVINST 5800.12 series.

d. Access to reports of investigation. Release of administrative investigation reports outside DON is governed by SECNAVINST 5720.42 series (FOIA) and SECNAVINST 5211.5 series (Privacy Act). (See section 0220 and Chapter V for additional information.)

0203 FOLLOW-UP ACTION

a. One of the primary purposes of conducting investigations of any type is to identify ways to improve the effectiveness and efficiency of the Department or of its components. Investigations alone, however, do not achieve that purpose. Put differently, investigations are means, not ends. Thus, if investigations are to serve their purpose, tenacious follow-up action is required.

b. Each level of command involved in the investigative process is responsible for taking such action. Merely recommending improvements is not enough; follow-through, feedback, and commitment are essential. Superior commanders must ask their subordinates how they implemented the lessons

learned, whether economies can be achieved by adopting corrective measures at higher levels, whether other commands may benefit, and so forth. If follow-up action is not completed, then valuable time and resources will have been wasted in conducting the investigation.

PART B -- PRELIMINARY CONSIDERATIONS

0204 PRELIMINARY INQUIRY

a. Requirement. A preliminary inquiry is advised for all incidents potentially warranting an investigation.

b. Purpose. A preliminary inquiry serves as an analytical tool to determine whether additional investigation is warranted and, if so, how it is to be conducted. The preliminary inquiry is the foundation for the subsequent exercise of the convening authority's (CA) discretion and is not intended to develop facts extensively or to serve as a medium for analyzing facts.

c. Coordination with law enforcement investigations

(1) To avoid interfering with law enforcement and to minimize duplication of effort, prior to convening a preliminary inquiry/investigation a CA shall:

(a) ascertain if the same incident is under investigation by NCIS, the FBI, or local civilian law enforcement agencies through liaison with the local NCIS agent-in-charge.

(b) coordinate any investigation with NCIS, security personnel, or other civilian investigative agencies (through NCIS), to maximize cooperation and the efficient completion of both investigations, if applicable.

(c) direct JAGMAN investigators to communicate and coordinate investigations with NCIS, security personnel, or other investigative agencies (through NCIS). This may be accomplished by adding appropriate language in the convening order (see section 0209d).

(d) refer any conflicts between the CA and NCIS to the area coordinator or designee, or, in the case of the Marine Corps, to the officer exercising general court-martial convening authority, via the chain-of-command, for resolution. If NCIS objects to the conduct of a JAGMAN investigation, or to a particular aspect of the investigation, then the CA will suspend the contested action pending resolution.

(e) determine whether any criminal investigation being conducted for the same incident may serve to appropriately document the matter without further investigation under this chapter. (See section 0217h(2) and Part G.)

d. Responsibility

(1) Generally, an officer in command (including an officer-in-charge) is responsible for initiating preliminary inquiries into incidents occurring within, or involving personnel of, the command. (The reporting command of a member who is injured or dies during PCS transfer shall ensure that appropriate inquiries are conducted.)

(2) In the event of a major incident, however, the officer exercising general court-martial convening authority over the command involved, if a flag or general officer, or the first flag or general officer in the chain-of-command, or any superior flag or general officer in the chain-of-command, will immediately take cognizance over the case as the CA.

e. Method. A CA may conduct a preliminary inquiry personally or through designees. The preliminary inquiry may be accomplished in any manner considered sufficient by the CA. No particular format is required, but the CA may choose

to document the outcome in writing. (See appendix A-2-h for an example.) If the CA initiates an investigation, evidence gathered during the preliminary proceedings shall be preserved and submitted to the investigating officer.

f. Time limitations. Generally, the preliminary inquiry should be completed within three working days of the CA's learning of the incident in question. If much more time is required, then either the official conducting the inquiry is attempting to gather too much information or the tasking order was not well defined. The CA may grant extensions as necessary on a case-by-case basis and with the limited nature of the preliminary inquiry in mind. A preliminary inquiry into a major incident will usually take longer (see subsection g below).

g. Major incidents

(1) Investigation of major incidents (see appendix A-2-a for definition) is sometimes complicated by premature appointment of a court of inquiry. Failure to ascertain first the sequence of events and identify essential witnesses can unnecessarily prolong and complicate subsequent proceedings.

(2) A convening authority will normally find it valuable to appoint an officer immediately to conduct a preliminary inquiry. This officer should begin to locate and preserve evidence and to identify and interview witnesses. The CA may direct this officer to submit an interim oral report. The CA could then decide how to complete the investigation. The CA could detail this officer as an assistant to the counsel for the court of inquiry if one is convened.

h. Action

(1) Major incidents. If the convening authority concludes that an incident initially considered major does not fit within the definition of that term (see Appendix A-2-a), or concludes that a court of inquiry is not warranted by the circumstances, then the CA shall, prior to convening another type of investigation, report such conclusion and the reasons therefor to the next superior officer in the chain-of-command.

(2) All other incidents. When the CA determines which of the options listed in section 0205 will be exercised, a report of that decision will be made to the immediate superior in the chain-of-command. (Superior commanders may modify this reporting requirement by limiting the categories of incidents that should or should not be reported.) This report, however, should be completed in the context of existing situational reporting systems. No stand-alone report is required. (See, e.g., MILPERSMAN 4210100 for the requirement to submit Personnel Casualty Reports.)

i. Review. A superior in the chain-of-command may direct a subordinate CA to reconsider or to take a particular course of action. For example, a superior may direct a subordinate to convene a litigation-report investigation after being informed that the subordinate intends to conduct a command investigation.

0205 COMMAND OPTIONS

a. Options

(1) Major incidents. When an apparent major incident occurs, the CA shall convene a court of inquiry, unless --

(a) the preliminary inquiry reveals that the incident does not come within the purview of that term as defined in Appendix A-2-a, or

(b) the CA determines that a court of inquiry is otherwise unwarranted; and

(c) the next superior officer in the chain-of-command concurs in the decision not to convene a court of inquiry.

(2) Other incidents. After considering the results of a preliminary inquiry, the CA may consult a cognizant judge advocate (see Appendix A-2-a for definition) for the purpose of obtaining legal advice on how to proceed and shall exercise one of the following options --

(a) in the case of a death of a military member, if no nexus to military service exists, conduct a limited investigation (See Part F);

(b) take no further action;

(c) conduct a command investigation;

(d) convene a litigation-report investigation to

be conducted under the direction and supervision of a judge advocate; or

(e) if authorized to do so (see section 0211), convene a board of inquiry. (If not authorized to do so, then the CA may request, via the chain-of-command, an officer with such authority to convene the board.)

b. Analyzing the options. Subject to the principles set forth below, determining which option to exercise is, in the first instance, a matter of command discretion. Superiors in the chain-of-command may, however, direct a CA to reconsider or to take a different course. A CA may, but is not required to, consult a judge advocate about the propriety of exercising a particular option.

(1) Purpose of the investigation. Generally, the primary manner in which the investigation will be used will determine which option should be exercised. If, for example, an investigation will be used primarily to defend against a civil lawsuit, then a litigation-report investigation, under the direction of a judge advocate, should be conducted to ensure that the Department's legal interests are protected. If, by way of further example, an investigation is of little interest outside the immediate command, then the commanding officer may wish merely to document the results of the preliminary inquiry and take no further action.

(2) Powers of the investigation. In choosing an option, a CA should consider the powers that an investigative body will require to do its job.

(a) Courts and boards of inquiry provide hearings, which are especially effective at resolving significant disputed issues of fact.

(b) Individuals whose conduct or performance of official duty is being questioned can best protect their interests by being given the rights of a party at a court or board of inquiry.

(c) If subpoena power will be required, a court of inquiry is the only option.

(3) Resource and time concerns

(a) Generally, the more formal the investigation, the more resources and time required. Nonetheless, conducting a command investigation when a court or board of inquiry is indicated is likely to be a false economy, since the less formal format will often fail to address the issues adequately.

(b) Under circumstances where a court-martial might arise from the incident, a court of inquiry may prove to be efficient because it is a valid substitute for the article 32, UCMJ, investigation.

0206 SEEKING COUNSEL

a. Although the natural instinct of an involved commander is to seek out and document facts quickly, doing so without attorney involvement may not only be counterproductive but may actually work against the interests of the commander, the command, and the Department.

b. Whenever a question exists about how a particular incident or event should be investigated, a commander should discuss the matter with a cognizant judge advocate.

0207 NO FURTHER ACTION

a. Not every incident or event warrants an investigation. A CA who concludes that further investigation would serve no useful purpose may decide not to conduct one unless superior authority directs otherwise or unless an investigation is required by the following sections. This option is appropriate if the preliminary inquiry reveals that the event is likely to be of little interest to anyone outside the immediate command or that the event will be investigated adequately under some other procedure, such as a mishap investigation or NCIS investigation (see, e.g., references cited in section 0202). In such cases, a CA may, but is not required to, document the results of the preliminary inquiry. (See Appendix A-2-h for a sample format.)

b. For example, if the preliminary inquiry into the circumstances surrounding the manner in which a military member sustained a permanently disabling injury reveals no systemic contributing causes, no evidence of misconduct, and adequate medical record documentation, then the command need do nothing further. (See Part E regarding line of duty/ misconduct determinations.)

0208 COMMONALITIES. Principles applicable to all types of administrative investigations conducted under the authority of this Manual are discussed in part D.

0209 TYPE ONE: COMMAND INVESTIGATIONS

a. Purpose. A command investigation functions to gather, analyze, and record relevant information about an incident or event of primary interest to command authorities. Most investigations be will of this nature. Command investigations may, for example, be used to inquire into --

(1) significant property losses (minor property losses may be adequately documented through other means in most cases), other than damage to or destruction of public quarters since such incidents are likely to result in claims against or for the Government and, consequently, require a litigation-report investigation;

(2) incidents in which a member of the naval service, as a result of possible misconduct, incurs a disease or injury that may result in a permanent disability or a physical inability to perform duty for a period exceeding 24 hours (distinguished from a period of hospitalization for evaluation or observation) (see Part E);

(3) deaths of military personnel, or of civilian personnel occurring aboard an activity under military control, apparently caused by suicide or under other unusual circumstances (see part F for special considerations in death cases); and

(4) aircraft incidents, groundings, floodings, fires, and collisions not determined to be major incidents (see part G).

b. Use limitations. This type of investigation may not be used to inquire into --

(1) major incidents (see section 0211, but also see section 0205a(1)(b) and (c));

(2) incidents that have resulted or are likely to result in claims or litigation against or for DON or the United States if the primary purpose of the investigation is to prepare to defend the legal interests of the Department and the United States (see section 0210); and

(3) incidents which have the potential for causing significant damage to the environment, for which a litigation-report investigation should be conducted. (See OPNAVINST 5090.1 series, Environmental and Natural Resources Program Manual, for spill reporting requirements.)

c. Responsibilities

(1) Generally, an officer in command (including an officer-in-charge) is responsible for initiating command investigations into incidents occurring within, or involving personnel of, the command.

(2) If a commander believes that the investigation of an incident is impractical or inappropriate for the command to investigate, another command may be requested to conduct the investigation. When circumstances such as pending deployments, geographical separation, or military exigencies prevent the command from conducting or completing a thorough investigation, requests for assistance may be directed to superiors in the chain-of-command. Such requests should contain all available information, such as time, place, and nature of the incident; full names, grades, and leave status of members; names and addresses of all known witnesses; and copies of all relevant statements, written evidence, or reports.

(3) Whenever more than one command is involved in an incident requiring investigation, a single investigation should be conducted. Such an investigation may be convened by the officer in command of any of the activities concerned, and all the activities shall cooperate in the investigation. If difficulty arises in determining the appropriate CA, then the matter shall be referred to the area coordinator or common superior. If the conduct or performance of duty of one of the officers in command may be subject to inquiry, then the area coordinator or common superior shall convene the investigation.

(4) Whenever an incident or event involves only members of the other Military Departments, the nearest command of the member's parent service shall be notified and requested to contact the cognizant authority. If requested to do so by the other Department, then an investigation shall be convened and the report forwarded per the direction of the parent service. No further action need be taken within DON.

(5) Incidents involving Marine Corps personnel.

(a) When an investigation of a training or operational incident causing serious injury or death (other than a major incident or aviation accident) is required, the senior commander in the chain-of-command to the organization involved will consider convening the investigation and appointing the investigating officer at that level. No member of the organization suffering the incident, nor any member of the staff of a range or other training facility involved in the incident, shall be appointed to conduct the investigation without the concurrence of the next senior commander. (For special routing instructions for training and operations incidents causing serious injury or death, see section 0241 and Part F.)

(b) If Marine Corps personnel are involved in a non-major incident requiring an investigation while in an area geographically removed from the parent command, the commanding officer shall request investigative assistance from a Marine commander authorized to convene general courts-martial in the immediate area where the incident occurred or, in the absence of such an officer, from the Commanding General, Marine Forces Reserve.

d. Convening order. The convening order --

(1) may direct the investigating officer to seek the assistance of a judge advocate;

(2) may direct the investigating officer to provide opinions or recommendations in addition to finding facts;

(3) shall specify when the investigative report is due;

(4) may not designate parties;

(5) shall direct, in applicable cases (see section 0204c), investigators to coordinate the JAGMAN investigation with NCIS/Security personnel who may be conducting criminal investigations, requiring the report of any conflict to the CA for resolution; and

(6) should identify potential witnesses and sources of information, and otherwise provide such direction as the CA determines necessary or proper including specifying the format in which the report will be submitted. (Normally, a letter report supported by enclosures will be specified. See appendix A-2-c for a sample convening order and report.)

e. Method

(1) A command investigation --

(a) is convened in writing;

(b) is conducted by one or more persons in the Department;

(c) collects evidence by personal interviews, telephone inquiries, or written correspondence;

(d) is documented in writing in the manner prescribed by the CA in the convening order;

(e) does not involve hearings; and

(f) may contain sworn statements signed by witnesses.

(2) A command investigation may assign certain issues, witnesses, or specific matters to individual members for investigation if more than one investigating officer is appointed, and hold later meetings to review the information collected for completeness. Additionally, the investigation may proceed by calling witnesses to present testimony or by obtaining information through personal interview, correspondence, telephone inquiry, or other means.

f. Time limitations. The CA will prescribe when the report is due, normally 30 days from the date of the convening order (except in death cases, however, where the investigation is to be completed 20 days from the date of the death, or its discovery). The CA

may grant extensions as necessary. Requests and authorizations for extensions need not be in writing but must be memorialized in the preliminary statement and/or endorsement, as applicable.

g. Action. A CA may determine that the investigation is of no interest to anyone outside the command, and, unless otherwise directed by superior authority, may choose to treat it as an internal report. (See section h(5) below for retention guidance.) If the CA intends to forward the report of investigation:

(1) Upon receiving a command investigation report from the investigating officer(s), the CA shall review or have the report reviewed, and either endorse the report in writing or return it to the investigating officer for further investigation. In the endorsement, the CA may approve, disapprove, modify, or add to the findings of fact, opinions, and recommendations. The CA may also concur in or disagree with recommendations which the CA cannot implement at the CA's level. If the CA did not require opinions and recommendations in the convening order, then the CA shall state such opinions and make such recommendations as deemed appropriate. The CA shall also indicate what corrective action, if any, is warranted and has been or will be taken. The CA shall also state in the endorsement where any original evidence is preserved and provide the name and telephone number of the responsible official (see section 0215c for further information on the safekeeping of evidence).

(2) The CA shall retain a copy of the report and forward the original, through the chain-of-command (including area coordinators when appropriate), to the officer who exercises general court-martial convening authority (GCMCA) over the CA. The subject matter and facts found will dictate the routing of the report for further review. (Note: The GCMCA may, by regulation, specify forwarding requirements for investigations into certain categories or types of incidents for subordinate commands.) The CA shall also provide copies of the report to other commands which may have an interest, such as the Naval Safety Center, the local legal service office, or the Office of the Judge Advocate General. The CA shall maintain copies of all command investigations for a minimum of 2 years.

(a) Copies of investigations in which the adequacy of medical care is reasonably in issue and which involve significant potential claims, permanent disability, or death shall be provided to the Naval Inspector General; Chief, Bureau of Medicine and Surgery; and the local legal service office (Note: Most incidents of this nature involving potential claims should be the subject of a litigation-report investigation.)

(b) If an investigation involves a claim or redress of injuries to property under article 139, UCMJ, see Chapter IV. (Note: Most incidents of this nature should be the subject of a litigation-report investigation.)

(c) See section 0219 for additional information on routing copies of the investigative report.

(d) See section 0241 for special routing requirements in death cases.

(3) The CA's action on the report should be completed within 30 days of receiving the report (except in death cases, where section 0234c requires CA review in 20 days).

h. Review

(1) A GCMCA superior to the CA must review any command investigation which has been forwarded. Thus if the first reviewer is not a GCMCA, the investigation will require additional review. (Note: Superior commanders may, by regulation or on an *ad hoc* basis, provide direction concerning review and forwarding of investigations consistent with this chapter.) The subject matter and facts found will dictate the routing of the report for additional review. As a general rule, intermediate reviewing authorities should complete their review and forward the investigation within 30 days. In death cases, endorsers shall complete this review within 20 days (see section 0234c). Command investigations are not routinely forwarded to JAG (copies may be provided to JAG, Code 35, if the matter is of potential interest to JAG). All investigations are considered final when the last reviewing authority determines that further endorsement is not necessary.

(2) Investigations that involve loss, compromise, or possible compromise of classified information shall

be routed per OPNAVINST 5510.1 series to the Chief of Naval Operations (N09N), Washington, DC 20350-2000.

(3) See section 0241 for special routing requirements in death cases.

(4) Copies of the report should be made available to all superior commanders who have a direct official interest in the recorded facts. Area coordinators or designated subordinate commanders have a direct official interest in incidents that affect their command responsibility or occur in their geographic area. Generally, copies need not be provided to the Chief of Naval Operations or to the Commandant of the Marine Corps but copies of investigations into the following types of incidents shall be forwarded to the codes indicated:

(a) incidents that may result in extensive media exposure (N09C or CMC (JA));

(b) training incidents causing death or serious injury (N7 or CMC (JA));

(c) operational incidents causing death or serious injury (N3/5 or CMC (JA));

(d) incidents involving significant fraud, waste, abuse, or significant shortages of public property or funds (N09G or CMC (LL));

(e) incidents involving lost, missing, damaged, or destroyed property of significant value (N09G or CMC (LL));

(f) incidents involving officer misconduct (N1 or CMC (JAM));

(g) incidents that are required to be reported to Headquarters by other directives or regulations (as appropriate);

(h) incidents or investigations that may require action by CNO or CMC (as appropriate); and

(i) cases involving significant postal losses or offenses (N4 or CMC (MHP-50)).

(5) Reports shall be retained by the CA, GCMCA, or by the last commander to whom they are routed for a period of 2 years from the time that they are received. After 2 years, investigative reports should not be destroyed but should be stored, in accordance with SECNAVINST 5212.5 series. (See section 0215c on storing and protecting original evidence.)

0210 TYPE TWO: LITIGATION-REPORT INVESTIGATIONS

a. Purpose. Investigations serve many purposes but when an incident or event is likely to result in claims or civil litigation against or for DON or the United States (see chapter VIII of the Manual for more information on claims), the primary purpose of the resulting investigation is often to prepare to defend the legal interests of the Department and the United States. A command should contact a judge advocate at the earliest opportunity prior to commencing a litigation-report investigation to determine if a litigation-report investigation is the appropriate type of investigation to be conducted under the circumstances. Investigations into such incidents must be conducted under the direction and supervision of a judge advocate, and protected from disclosure to anyone who does not have an official need to know. When investigations are conducted in anticipation of litigation, but are not conducted under the direction and supervision of a judge advocate or are handled carelessly, legally they cannot be protected from disclosure to parties whose litigation interests may be adverse to the interests of the United States. In such an event, the materials gathered during the investigation become evidence even if subsequently proven incorrect or inaccurate. It is imperative, therefore, that litigation-report investigations be conducted in accordance with the rules that follow.

b. Comparison with command investigations

(1) Unlike a command investigation, a litigation-report investigation must be --

(a) convened only after consultation with a cognizant judge advocate;

(b) conducted under the direction and supervision of that judge advocate;

(c) conducted primarily in anticipation of claims or litigation; and

(d) forwarded to the Judge Advocate General.

(2) Like a command investigation, a litigation-report investigation --

(a) may not be used to investigate a major incident;

(b) may not have designated parties; and

(c) does not involve hearings.

c. Responsibilities

(1) After consulting a judge advocate, an officer in command is responsible for initiating litigation-report investigations into incidents involving the command or its personnel. The cognizant judge advocate, however, is responsible for supervising the conduct of the investigation. This does not mean that the judge advocate is the investigating officer, but it does mean that the investigating officer works under the direction and supervision of the judge advocate while conducting the investigation.

(2) The cognizant judge advocate may request the assistance of the CA or ask the CA to request help from superiors in the CA's chain-of-command when circumstances such as pending deployments, geographic separation, or military exigencies prevent a thorough investigation from being conducted or completed. Such requests should contain all relevant information and indicate that the investigation is being conducted in contemplation of litigation (see section 0210d(2)), and should be processed accordingly.

(3) Whenever more than one command is involved in an incident requiring a litigation-report investigation, a single investigation under the supervision of a single judge advocate should be conducted. All concerned activities shall cooperate in the investigation. If difficulty arises in determining the appropriate CA, then the matter shall be referred for resolution to the common superior having a judge advocate on staff.

(4) When service members or their family members are injured by third parties and admitted to a naval medical treatment facility, the facility commanding officer shall report such incidents, not under known investigation. Such incidents shall be reported to the member's command, to the area coordinator, or to the designated subordinate commander, and to the legal service office in whose geographic area of responsibility the incident occurred, so that any necessary investigation may be made. (See Chapter VIII.)

d. Convening order

(1) The convening order shall identify the judge advocate under whose direction and supervision the investigation is to be conducted. The convening order shall direct the investigating officer to report to that judge advocate before beginning to collect evidence, and to comply with the judge advocate's direction and supervision thereafter. Opinions or recommendations will not be requested in the convening order. (To protect their confidentiality, opinions and recommendations should be requested or written by the supervising judge advocate.) The order shall specify when the investigative report is due.

(2) The order shall state specifically that: "This investigation is being convened and your report is being prepared in contemplation of litigation and for the express purpose of assisting attorneys representing the interests of the United States in this matter."

(3) The order shall caution the investigating officer that the investigation's conduct and results may be discussed only with personnel having an official need to know. The order may identify potential witnesses and other sources of information. Parties may not be designated.

(4) A sample convening order is shown in appendix A-2-d.

e. Method

(1) A litigation-report investigation shall --

(a) be convened in writing;

(b) be conducted by one or more persons in DON under the direction and supervision of the cognizant judge advocate;

(c) collect evidence by personal interviews, telephone inquiries, written correspondence, or other means;

(d) be documented in writing in the manner prescribed by the cognizant judge advocate (see appendix A-2-d for a sample); and

(e) shall not contain statements signed by witnesses. (Signed statements are subject to discovery and release to opposing parties in civil litigation even if provided to an attorney.)

(2) During the course of a litigation-report investigation, the investigating officer shall be guided by the cognizant judge advocate and shall consult frequently as the investigation progresses. When it is necessary to obtain evidence such as expert analyses, outside consultant reports, and so forth, the judge advocate should sign the necessary requests. The investigating officer shall present the preliminary findings to the judge advocate for review. The judge advocate may direct the investigating officer to provide opinions and recommendations or the judge advocate may write the opinions and recommendations.

(3) When the report is compiled, it shall be marked "FOR OFFICIAL USE ONLY: LITIGATION/ATTORNEY WORK PRODUCT" and be signed by both the investigating officer and the cognizant judge advocate.

f. Time limitations. The CA will prescribe when the report is due, normally 30 days from the date of the convening order. The CA may grant extensions at the request of the cognizant judge advocate. Requests and authorizations need not be in writing but should be memorialized in the preliminary statement.

g. Action

(1) Upon receiving a litigation-report investigation report, the CA shall review the report or cause it to be reviewed, and either endorse the report in writing or return it to the cognizant judge advocate for further inquiry. In the CA's endorsement, comment may be provided on those aspects of the report that bear on the administration or management of the command. The CA should, for example, indicate what corrective action, if any, is warranted and has been or will be taken. The CA shall not normally approve or disapprove the findings of fact. If the CA is dissatisfied with the findings, the CA may return the report to the cognizant judge advocate for additional information. The CA shall state in the endorsement where the original evidence is preserved and provide the name and telephone number of the responsible official (see section 0215 for further information on the safekeeping of evidence). The CA's endorsement shall be marked: "FOR OFFICIAL USE ONLY: LITIGATION/ATTORNEY WORK PRODUCT."

(2) The CA shall retain a copy of the report and forward the original to the Judge Advocate General (Code 35), Department of the Navy, 200 Stovall Street, Alexandria, VA 22332-2400, via the staff judge advocate of the GCMCA in the chain-of-command. The copy must be kept in a file marked "FOR OFFICIAL USE ONLY: LITIGATION/ATTORNEY WORK PRODUCT" and be safeguarded against improper disclosure. The CA will provide superiors in the chain-of-command and other commands which have a direct official need to know the results of the investigation, such as the local legal service office, with a copy of the report but shall not otherwise disseminate the report without consulting a judge advocate.

(a) Copies of investigations of incidents, other than "Health Care Incidents" (see section 0252), in which the adequacy of medical care is reasonably at issue and which involve significant potential claims, permanent disability, or death shall be provided to the Naval Inspector General and to Chief, Bureau of Medicine and Surgery.

(b) If an investigation involves a claims matter or redress of injuries to property under article 135, UCMJ, see Chapter IV.

(c) See section 0219 for additional information on routing copies.

(3) The CA's action on the report should be completed within 20 days of receiving the report.

h. Review

(1) Superiors in the chain-of-command who receive a copy of a litigation-report investigation may, but are not required to, comment on the report. They should, however, take such action as may be warranted. They will not normally approve or disapprove the findings of fact. Copies must be kept in files marked "FOR OFFICIAL USE ONLY: LITIGATION/ ATTORNEY WORK PRODUCT" and safeguarded against improper disclosure. Copies may be provided to other commands which have an official need to know the results of the investigation

but the report shall not be otherwise disseminated without consulting a judge advocate.

(2) Staff judge advocates through whom litigation-report investigations are routed shall review the report for accuracy and thoroughness, coordinate any further investigation with the cognizant judge advocate or JAG, and forward the report not later than 30 days after it is received. The report need not be forwarded to JAG via formal endorsement.

0211 TYPE THREE: COURTS AND BOARDS OF INQUIRY

a. Overview. Courts and boards of inquiry use a hearing procedure and should be reserved for the investigation of major incidents (as that term is defined in Appendix A-2-a) or serious or significant events. Additional information on the characteristics and conduct of courts and boards of inquiry is set forth in JAGINST 5830.1 series. It there is a conflict with that instruction, this Manual controls.

b. Court of inquiry characteristics

(1) Convened by persons authorized to convene general courts-martial or so designated by the Secretary of the Navy. (See article 135, UCMJ.)

(2) Consists of at least three commissioned officers as members and also has appointed legal counsel for the court. It may also include advisors appointed to assist the members. (See subsection d below for additional information on advisors.)

(3) Convened by written appointing order.

(4) Uses a hearing procedure. Takes all testimony under oath and records all open proceedings verbatim, except arguments of counsel, whether or not directed to do so in the appointing order.

(5) Designates as parties persons subject to the UCMJ whose conduct is subject to inquiry (see Appendix A-2-b).

(6) Designates as parties persons subject to the UCMJ or employed by the Department of Defense who have a direct interest in the subject under inquiry and request to be so designated.

(7) Has the power to order military personnel to appear, testify, and produce evidence, and the power to subpoena civilian witnesses to appear, testify, and produce evidence. (Article 47, UCMJ, provides for prosecution of civilian witnesses in U.S. district court for failing to appear, testify, or produce evidence.)

c. Board of inquiry characteristics

(1) Convened by persons authorized to convene general courts-martial.

(2) Consists of one or more commissioned officers, and should have appointed legal counsel for the board. It may also include advisors appointed to assist the members. (See subsection d below for additional information on advisors.)

(3) Convened by written appointing order, which should direct that all testimony be taken under oath and all open proceedings, except counsel's argument, recorded verbatim. Persons whose conduct is subject to inquiry or who have a direct interest in the subject of the inquiry may be designated parties by the convening authority in the appointing order. The CA may also authorize the board to designate parties during the proceedings (see Appendix A-2-b).

(4) Uses a hearing.

(5) Does not possess power to subpoena civilian witnesses unless convened under article 135, UCMJ, and Chapter IV, but can order naval personnel to appear, testify, and produce evidence.

d. Advisors. The convening authority may appoint to a court or board of inquiry full-time Federal personnel (military or civilian) to participate in the proceedings and advise the members. Such advisors may be selected because of their subject-matter expertise or because of their background, training, or experience. Advisors may be present at all board or court sessions, are subject to challenge to the same extent as members, and may suggest courses of inquiry or recommend such other action to the board or court as they consider appropriate. Moreover, persons with technical knowledge may be appointed for either full participation or the limited purpose of utilizing their special expertise. If appointed for a limited purpose, they need not participate in any aspect of the inquiry not concerning their expertise. The investigative report must clarify any limited participation by advisors.

e. Responsibilities

(1) The officer exercising general court-martial convening authority over the command most involved in a major or serious incident, if a flag or general officer, or the first flag or general officer in the chain-of-command, or any superior flag officer in the chain- of-command, will immediately take cognizance over the case as the convening authority.

(2) Whenever more than one command is involved in a major or serious incident requiring formal investigation, a single investigation shall be conducted. The common superior commander shall convene the investigation in such cases, unless that officer's conduct or performance of duty may be subject to inquiry, in which case the next superior in the chain-of-command shall convene the investigation.

f. Convening order. See JAGINST 5830.1 series for the requirements for convening orders for courts and boards of inquiry.

g. Method. See JAGINST 5830.1 series for information on how courts and boards of inquiry are conducted.

h. Participation by non-parties. Other than the official members, counsel, advisors, and administrative support personnel, only parties may, as a general rule, participate in the proceedings of a court or board of inquiry. The CA, or the president in the case of a court of inquiry, may, however, permit the participation of an individual or organization that has an interest in the subject under inquiry. For example, the Federal Aviation Administration may be permitted to participate in an investigation inquiring into the circumstances surrounding an aircraft crash. Appropriate limits on the degree to which such participation may be conditioned should be specified in advance.

i. Time limitations. The CA shall prescribe when the report is due according to the complexity and gravity of the incident under investigation. The CA may grant extensions in writing. Requests and authorizations for extensions must be included in the report as enclosures.

j. Action

(1) Upon receiving a report from a court or board of inquiry, the CA shall review it or cause it to be reviewed, and either endorse the report in writing or return it for further investigation. In the endorsement, the CA may approve, disapprove, modify, or add to the findings of fact, opinions, and recommendations. The CA shall also indicate what corrective action, if any, is warranted and has been or will be taken. The CA shall state in the endorsement where the original evidence is preserved and provide the name and telephone number of the responsible official (see section 0215 for further information on the safekeeping of evidence).

(2) The CA, if not an Echelon II Commander, shall retain a copy of the report and forward the original, via all superior commanders who have a direct official interest in the recorded facts, to the appropriate Echelon II Commander. The subject matter and facts found will dictate the routing of the report for review. Area coordinators or designated subordinate commanders have a direct official interest in incidents that affect their command responsibility or occur in their geographic area. Reports involving Marine Corps matters shall be forwarded to the Commandant of the Marine Corps. The CA shall provide a copy to other commands which may have an interest in the report, such as the Naval Safety Center. (See section 0219 for additional information on routing copies.)

(3) If a court or board of inquiry is to be used as a pretrial investigation under article 32(c), UCMJ, and the original report of investigation is desired in connection with trial by general court-martial, it may be retained for such purpose. A complete certified copy shall be forwarded to the Echelon II Commander via appropriate authorities.

(4) The CA's action on the report should be completed within 30 days of receiving the report.

k. Review. Superiors who receive a report from a court or board of inquiry shall have it reviewed, and shall forward it to the cognizant Echelon II Commander, via the chain-of-command. In their endorsements, intermediate reviewing authorities shall comment on the report and state their concurrence or disagreement with the findings of fact, opinions, and recommendations. They shall also state what action is considered warranted or has been taken. Reports, as a general rule, should be forwarded within 30 days of receipt.

l. Advance copies of investigations

(1) In all cases where it is appropriate to forward an advance copy of an investigation, the advance copy shall be forwarded by the CA and shall include that officer's endorsement.

(2) All advance copies of Marine Corps investigations shall be forwarded to the Commandant of the Marine Corps after endorsement by the convening authority.

PART D – PRINCIPLES APPLICABLE TO ALL TYPES OF ADMINISTRATIVE INVESTIGATIONS

0212 CONVENING ORDERS

a. General form. Convening orders must be in official letter form addressed from the convening authority to the senior member of a board or court, or to the investigating officer(s) of a command or litigation-report investigation. When circumstances warrant, an investigation may be convened by oral or message order. Signed, written confirmation of oral or message orders must be issued in each case and included in the investigative report. Convening orders must: recite the specific purposes of the inquiry and contain explicit instructions about its scope; require findings of fact (it may, unless a litigation-report investigation is being convened, also require opinions and recommendations); and contain directions for complying with the Privacy Act, article 31, UCMJ, section 0204c (coordinating with law enforcement authorities), and section 0221b (concerning statements about origin of disease or injury), as necessary.

b. Amendments. A convening authority may amend a convening order at any time to change membership, limit or increase the scope of the inquiry, or provide additional instructions. During the investigation, if it appears to the fact-finders, or to the cognizant judge advocate in the case of a litigation-report investigation, that the convening authority might consider it advisable to enlarge, restrict, or modify the scope of the inquiry or to change in any material respect an instruction provided in the convening order, a report shall be made to the convening authority. The convening authority may take any action on this report deemed appropriate.

0213 PERSONNEL AND COSTS

a. Member and investigating officer qualifications. Personnel detailed to conduct an investigation shall be individuals who, in the opinion of the convening authority, are best qualified by reason of their age, education, training, experience, length of service, and temperament. Most command or litigation-report investigations will be conducted by a commissioned officer, but a warrant officer, senior enlisted person, or civilian employee may also be used when the convening authority considers it appropriate. Whenever practical, an investigating officer should be senior in rank to any individual whose conduct is subject to inquiry. See section 0242c for statutory membership qualifications in conducting Class A aircraft accident JAGMAN investigations.

b. Assistance and technical support. For timely completion of an investigation, a convening authority may appoint reporters and interpreters and authorize other assistance. Experts, reporters, interpreters, and so forth should be provided or appointed to a litigation-report investigation only upon the request of the cognizant judge advocate. (See section 0211d regarding appointment of advisors to boards and courts of inquiry.)

c. Costs. The costs of travel, per diem, consulting fees, or other related expenses of conducting or participating in an administrative investigation conducted under the authority of this Manual, will be charged to the operation and maintenance budget of the convening authority. (See section 0146 regarding fees of civilian witnesses.)

0214 OATHS

a. General. Personnel conducting a preliminary inquiry, a command investigation, or a litigation-report investigation need not be sworn.

b. Administration of oaths. Although normally not required, a person on active duty appointed to perform investigative functions for a JAGMAN investigation is empowered to administer the following oaths in the performance of duties:

(1) For reporters--"Do you swear (or affirm) that you will faithfully perform the duties of reporter for this proceeding (so help you God)?";

(2) For interpreters--"Do you swear (or affirm) that you will faithfully perform the duties of interpreter for this proceeding (so help you God)?"; and

(3) For witnesses--"Do you swear (or affirm) that the evidence you shall give in the matter now under investigation shall be the truth, the whole truth, and nothing but the truth (so help you God)?".

0215 PROOF OF FACTS -- STANDARDS OF PROOF

a. General. An administrative investigation need not be conducted in accordance with the formal rules of evidence applicable to courts-martial. It may use the most effective methods for collecting, analyzing, and recording all relevant information and may include in its investigative report any relevant matter that a reasonable person would consider to be believable or authentic.

b. Standards of proof

(1) Preponderance of evidence. Except for facts of which a court may take judicial notice (see Military Rules of Evidence 201 and 201a, MCM), an administrative investigation shall arrive at findings of fact only if supported by a preponderance of the evidence unless a higher standard is required as set forth below.

(2) Clear and convincing. Findings of fact relating to the following issues must be established by clear and convincing evidence:

(a) to rebut the presumption that an injury or disease has been incurred in the line of duty;

(b) to rebut the presumption of mental responsibility when the question of a member's mental responsibility has been raised by the facts or by the nature of the incident;

(c) to rebut the presumption that an unauthorized absence period of less than 24 hours did not materially interfere with the performance of the member's military duties in line of duty/misconduct cases; or

(d) to find that the acts of a deceased servicemember may have caused harm or loss of life, including the member's own, through intentional acts.

(3) Inferences. An investigation may not speculate on the causes of an incident. Inferences drawn from evidentiary enclosures or personal observations, however, are permissible. For example, an investigation may determine, through tangible evidence, the likely chain of events relative to the subject of investigation. However, it is, in most cases, irrelevant and improper for an investigative body to theorize about the thought processes of an individual that resulted in certain courses of conduct.

c. Evidence

(1) Safekeeping

(a) To the extent consistent with mission requirements, the investigating officer and the convening authority will ensure that all evidence is properly preserved and safeguarded until the investigation is complete and all relevant actions have been taken. Perishable or unstable items of evidence (such as tire tracks) should be promptly photographed or otherwise preserved, preferably by trained personnel. Evidence should not be handled by untrained personnel unless absolutely necessary to preserve its integrity.

(b) Original items with evidentiary value must be retained or adequate steps taken to ensure their safe storage. Operational commands are encouraged to make satisfactory storage arrangements with supporting elements ashore in this regard. The CA's forwarding endorsement must indicate where the evidence is maintained, what arrangements have been

made for its safekeeping, and report the name and telephone number of the responsible official.

(c) For fungible items, chain-of-custody documents must also be preserved together with the evidence to which they relate. Consult a judge advocate for assistance. (See OPNAVINST 5580.1 series for further information; OPNAV Form 5527/11 is the "Evidence/Property Custody Receipt" form and includes space for chain-of-custody documentation.)

(d) Failure to properly safeguard and account for evidence may result in its inadmissibility in subsequent legal proceedings and in prejudice to the interests of the Government.

(2) Tangible evidence. Whenever the condition, location, or other characteristic of an item of tangible evidence has probative value, include the item or a photograph, description, chart, map, or suitable reproduction in the investigative report. Discretion, however, must be exercised in enclosing graphic photographs since doing so has significant potential for shocking the sensitivities of relatives and others to whom the investigation may ultimately be released. When including such materials, place them in a separate envelope marked: "CAUTION, CONTAINS GRAPHIC PHOTOGRAPHS. VIEWER DISCRETION WARRANTED." If an investigator or board member observes an item and gains relevant sense impressions, e.g., noise, texture, smells, or any other impression not adequately portrayed by a photograph, chart, map, or other representation, the impressions should be recorded and included as an enclosure to the report.

(3) Documentary evidence. Documentary evidence includes records, logs, documents, letters, diaries, reports, and statements. Documents should indicate their source and specify any special restrictions on their disclosure to third parties. Originals or authenticated copies should be obtained when possible. Completion and forwarding of investigations will not be delayed to await final reports, originals, or similar documents unless their inclusion is absolutely essential to the completion of the investigative report. Instead, the unavailability of such items should be noted and the investigation completed and forwarded. Documents subsequently obtained shall be forwarded by separate correspondence via the review chain, with appropriate reference to the report of investigation.

(4) Photographs. When photographs are included as part of the investigation, the following information should be included on the reverse side: The hour and date they were taken; a brief description of the location or area photographed; the full name and rank or rate of the photographer; and full names and addresses of persons present when the photographs were taken. If available, the photographer should be asked to provide details surrounding the taking of the photographs such as type of camera, distance from object, and so forth. Similar information should be on a label affixed to any videotape included in the investigation.

(5) Requests for preservation of aircraft wreckage following a crash. Immediately upon receipt, all requests for the preservation of aircraft wreckage will be forwarded to NAVAIR (Air 412). If available, the original request with any attachments should be forwarded. Copies of the forwarding letter and the original request with all attachments shall be forwarded separately to JAG (Codes 34 and 35).

d. Witnesses and warnings

(1) Witnesses not suspected of misconduct or improper performance of duty

(a) Command investigations. Ordinarily, witnesses should provide statements in informal interviews. They may be required, however, to provide recorded testimony under oath. Probing questions as to "who," "what," "where," "when," "how," and "why" should be pursued. To avoid irrelevant material or omission of important facts, an investigator may assist a witness in preparing a written statement. When an investigator takes an oral statement, it should be reduced to writing and signed by the witness or certified by the investigator to be an accurate summary or verbatim transcript. Care should be taken to ensure that any statement is phrased in the actual language of the witness.

(b) Litigation-report investigations. Witnesses will be asked probing questions but they will not, in most cases, be asked to make a written statement or to sign a statement that the investigator has prepared. Rather, the investigator should summarize the results of the interview, using care to be as accurate and complete as possible, and authenticate the summary with the investigator's own signature. If, for any reason, the investigating officer believes that a witness should be asked to submit a signed statement, the

cognizant judge advocate should be consulted first. For example, if a witness with interests clearly adverse to the Government's is willing to provide a signed statement that is clearly beneficial to the Government, then the cognizant judge advocate should direct the investigating officer to obtain the signed (and sworn, if possible) statement.

(c) Boards and courts of inquiry. Generally, all testimony is taken under oath in open session.

(2) Witnesses suspected of an offense, misconduct, or improper performance of duty. Ordinarily, an investigation should collect relevant information from all other sources before interviewing persons suspected of an offense, misconduct, or improper performance of duty. Also, prior liaison with the appropriate staff judge advocate is advised, to ensure investigators have coordinated with law enforcement officials and will not impede any criminal investigations into the same incident (see section 0204c). Before the interview, military suspects must be advised of article 31, UCMJ, warnings. (See Appendix A-1-m.) Civilian personnel offices should be consulted about applicable collective bargaining requirements before interviewing civilian employees suspected of misconduct.

(3) Cautioning witnesses. To reduce the possibility that disclosure of witnesses' testimony may influence the testimony of future witnesses, an investigating officer may direct witnesses subject to naval authority not to discuss their testimony. Witnesses not subject to naval authority may be requested not to discuss their testimony.

(4) Statements regarding origin of disease or injury. Prior to being asked to provide any statement relating to the origin, incidence, or aggravation of a disease or injury, the affected member shall be warned of the right not to make such a statement. Without this warning, the statement is invalid. See 10 U.S.C. § 1219 and section 0221 of this Manual. Where a statement relating to the origin, incidence, or aggravation of a disease or injury is invalid, the member may be provided the warning, advised that the prior statement is invalid and cannot be used in any way, and then asked to reiterate the statement. If the member then elects to provide another statement, it may be included in the investigation.

0216 PRIVACY ACT COMPLIANCE

Per the Privacy Act of 1974 (5 U.S.C. § 552a) and SECNAVINST 5211.5 series (see Chapter V), the following procedures apply to administrative investigations conducted under this Manual:

a. Advice required. When the Government requests an individual to supply personal information (see appendix A-2-a for the definition of "personal information") about himself in a statement to be maintained in a system of records retrievable by the individual's name or personal identifier, the individual shall be provided in duplicate a Privacy Act statement containing the particular information prescribed in SECNAVINST 5211.5 series. The requirement for a Privacy Act statement is separate from other applicable warnings or advisement. Requests for information about what a Government officer, employee, or member did, observed, or thought while performing official duties does not require a Privacy Act statement.

b. Social security numbers. A Privacy Act statement must be used if a member or employee is asked to voluntarily provide his or her Social Security number for an investigation. If Social Security numbers are obtained from other sources (e.g., service records), the individual need not be provided a Privacy Act statement. If Social Security numbers are obtained from other sources, this should be noted in the preliminary statement of the investigation. Social Security numbers should not be included in investigation reports unless they are necessary to identify precisely the individuals in question, such as in cases involving serious injury or death.

c. Procedure and contents. The original Privacy Act statement should be signed by the individual and appended to the record of the investigation. The individual retains the duplicate. If the information is requested in an interview or hearing, the Privacy Act statement should be orally summarized and explained to ensure that the individual fully understands it. Appendix A-2-e contains proposed language that includes information required for a Privacy Act statement. Locally prepared forms in the format of Appendix A-2-e are authorized.

d. Reviewing authorities. Prior to forwarding an investigative report, the CA will ensure compliance with the Privacy Act.

e. Records of disclosure. Appendix A-2-f is recommended for use in recording and accounting for disclosures of information about identifiable individuals from records that are collected, used, or maintained under the authority of this Manual. Local reproduction is authorized.

0217 INVESTIGATIVE REPORTS

a. General. Investigative reports shall be submitted in the format prescribed by the CA or, in the case of a litigation-report investigation, by the cognizant judge advocate. Normally, a letter format will be specified. (Appendices A-2-c and A-2-d are sample investigative reports.)

b. Classification. Since investigative reports may be circulated widely, classified information should be omitted unless inclusion is absolutely essential. If unclassified information is important to the report's accuracy but is contained in a classified document, then the unclassified information should, if possible, be extracted from the classified document and included in the investigative report. When classified matter must be included, the report shall be classified at the highest level of any classified matter contained therein. Encrypted versions of messages shall not be included or attached to investigative reports where the content or substance of such message is divulged elsewhere in the report.

c. Preliminary statement

(1) A preliminary statement informs convening and reviewing authorities that all reasonably available evidence was collected or is forthcoming and each directive of the convening authority has been met. After setting forth the nature of the investigation, the preliminary statement details difficulties encountered, extensions requested and granted, limited participation by any member or advisor, and any other information necessary for a complete understanding of the case. The itinerary of an investigator or board in obtaining information is not required.

(2) The preliminary statement in a litigation-report investigation shall state expressly that the report was prepared under the supervision of a judge advocate in contemplation of litigation by or against the United States.

(3) A preliminary statement does not eliminate the necessity for findings of fact. For example, notwithstanding statements in both the subject line and the preliminary statement that the investigation involves an aircraft accident and death of the pilot, the findings of fact must describe the aircraft, time, and place of the accident, identify the pilot, and provide other relevant information.

d. Findings of fact. Findings of fact must be as specific as possible as to times, places, persons, and events. Make each fact a separate finding, and cite the enclosure supporting each finding.

e. Opinions. Opinions are reasonable evaluations, inferences, or conclusions based on the facts found. Each opinion must cite the findings of fact upon which it is based. Opinions shall not be expressed unless requested by the CA, or by the cognizant judge advocate in the case of a litigation-report investigation.

f. Recommendations. Recommendations depend on the nature of the facts found and opinions expressed. Recommendations shall not be offered unless requested by the CA, or by the cognizant judge advocate in the case of a litigation-report investigation. The CA or cognizant judge advocate may require recommendations in general or limited subject areas. Unless directed by proper authority, an investigator shall not prefer charges (preferral of charges starts the "speedy trial clock" running) or notify an accused of recommended charges. (For recommendations pertaining to the issuance of punitive and nonpunitive letters, see section 0218.)

g. Signing and authentication

(1) Command investigations and boards and courts of inquiry. The investigating officer or senior member (or in the senior member's absence, the next senior member), respectively, must sign the investigative report. Dissents may be written and, if written, must be attached to the report.

(2) Litigation-report investigations. The investigating officer and the cognizant judge advocate should both sign the investigative report. If, however, they cannot agree on a particular portion of the report, then the judge advocate alone shall sign the report. The investigating officer may, but is not required to, separately document the basis for any disagreement.

h. Enclosures

(1) General. The first enclosure is the signed, written appointing order or signed, written confirmation of an oral or message appointing order. Subsequent enclosures should contain all evidence developed by the investigation. Each statement, affidavit, transcript or summary of testimony, photograph, map, chart, document, or other exhibit should be a separate enclosure. Enclosures should be listed in the order in which they are cited in the body of the investigation.

(2) NCIS investigations. NCIS investigations consist of the report of investigation (ROI) (the narrative summary portion) and enclosures. ROI's shall not be included in administrative investigative reports. Unless a local NCIS office indicates to the contrary, clearance is not required for inclusion of enclosures to the ROI in an administrative investigative report. Neither polygraph reports nor their results should be included; however, their location may be cross-referenced. If necessary for a full understanding of the incident, the location of the ROI should be cross-referenced in the administrative investigative report.

(3) Authentication. Signatures of board members or of the investigating officer(s) on an investigative report shall be sufficient to authenticate all enclosures. (See the next section on photographs.)

(4) Photographs. Convening authorities shall ensure compliance with sections 0215 and 0233d when photographs are included as part of the investigation. In addition, convening authorities shall ensure that the negatives of the photographs are placed in a sealed envelope and forwarded with the original investigation in all cases except those investigations conducted as a result of an admiralty incident. In those cases, section 1207c shall apply.

0218 DISCIPLINARY ACTION. Whenever punitive or nonpunitive action is contemplated or taken as the result of the incident under inquiry, the action shall be noted in the endorsement of the convening or reviewing authority. (For example, the endorsement could read: "Punitive action is not warranted; however, appropriate corrective measures were taken in the case of ENS Smith.") Punitive letters, or copies of recommended drafts thereof, shall be included in the investigative report as enclosures. Nonpunitive letters (or recommended drafts) are private in nature and shall not be specifically mentioned in endorsements or included as enclosures in the investigative report. Drafts shall be separately forwarded to the appropriate commander for issuance. Except where an individual was afforded the rights of a party, nonjudicial punishment may not be predicated exclusively upon the findings of an investigation conducted under this chapter, nor may the report of such an investigation be used in lieu of a pretrial investigation under article 32(c), UCMJ.

0219 ROUTING COPIES

a. One complete copy of the investigation shall be forwarded with the original for each intermediate reviewing authority. In cases involving death or injury of members, the original shall be forwarded with sufficient copies so that the ultimate addressee receives the original and two copies. If one command conducted an investigation upon the request of another, then a copy of the report should be sent to the requesting command.

b. The convening authority shall forward an advance copy of the record or report of investigation as soon as practical in cases involving injuries and deaths of naval personnel or material damage to a ship, submarine, or Government property (except aircraft) to: Commander, Naval Safety Center, Naval Air Station, Norfolk, VA 23511-5796. Commanders subsequently reviewing such a record or report shall forward advance copies of their endorsements as above. In cases of aircraft accidents, advance copies of investigations and endorsements thereon will be forwarded to Commander, Naval Safety Center only upon request. Advance copies will be provided to servicing legal service offices in cases involving potential claims or civil lawsuits.

c. Two copies of investigative reports into potential medical malpractice cases should be provided to Chief, Bureau of Medicine and Surgery, Navy Department, Washington, DC, 20350-2000.

d. Commands receiving copies of investigative reports may provide all or some of the commands concerned with their comments and recommendations; these comments do not become part of the investigative report unless a reviewing authority expressly incorporates them.

0220 RELEASE OF INVESTIGATIONS

Release of administrative investigation reports outside DON is governed by SECNAVINST 5720.4 series (FOIA) and SECNAVINST 5211.5 series (Privacy Act). (Also see Chapter V of this Manual.)

a. As a general rule, no investigative report, evidence, or documents compiled by investigating officials may be released until the report is final (see sections 0209h(1) and 0235c). In the case of aircraft accidents investigated under the provisions of this Manual, only the Secretary of the Navy may release unclassified tapes, scientific reports, and other factual information pertinent to an aircraft accident investigation before the release of the final accident report. Requests for the release of evidence in aircraft investigations shall be forwarded expeditiously via the chain-of-command and the Judge Advocate General to the Secretary of the Navy, per 10 U.S.C. § 2254. (In death investigations see section 0234d for next-of-kin release considerations.)

b. The Chief of Naval Operations (N09N) is the release authority for investigations involving actual or possible loss or compromise of classified information.

c. For all litigation-report investigations, the Judge Advocate General is the release authority. Convening and reviewing commands are not authorized to release litigation-report investigations or their contents. (See Chapter V.)

d. For command investigations, other than those dealing with possible compromise of classified information, the GCMCA to whom the report is forwarded ultimately is the release authority.

e. For courts and boards of inquiry, the cognizant Echelon II Commander is the release authority.

PART E – LINE OF DUTY/MISCONDUCT

0221 WHEN LINE OF DUTY/MISCONDUCT DETERMINATIONS ARE REQUIRED

a. General. If a member incurs a disease or injury that may result in a permanent disability or that results in the member's physical inability to perform duty for a period exceeding 24 hours (as distinguished from a period of hospitalization for evaluation or observation), then determining whether the disease or injury was incurred in the line of duty or as the result of misconduct is very important. An injury or disease suffered by a member of the naval service

will, however, be presumed to have been incurred in the line of duty and not as a result of misconduct unless contrary findings are made.

b. Warning required. Any person in the Armed Forces, prior to being asked to sign any statement relating to the origin, incidence, or aggravation of any disease or injury that he or she has suffered, shall be advised of the right not to sign such a statement. See 10 U.S.C. § 1219. The spirit of this section will be violated if a person, in the course of an investigation, obtains the member's oral statements and reduces them to writing, unless the above advice was given first. Compliance with this section must be documented. (See appendix A-2-g for a sample.)

0222 WHY LINE OF DUTY/MISCONDUCT DETERMINATIONS ARE REQUIRED

a. General. Line of duty/misconduct determinations are extremely important since they control several personnel actions, the most important of which is the awarding of disability retirement and severance pay. These determinations will also effect extensions of enlistment; changes in longevity, severance, and retirement pay multipliers; forfeitures of pay; Reserve incapacitation pay and medical care entitlement; and benefits administered by the Department of Veterans Affairs.

b. Disability retirement and severance pay. To be eligible to receive certain retirement and severance pay benefits, members of the naval service on active duty who sustain injuries resulting in permanent disability must have received those injuries in the line of duty and not due to their own misconduct. 10 U.S.C. §§ 1201, 1203, 1204, 1206, and 1207 require a determination that "the disability is not the result of the member's intentional misconduct or willful neglect, and was not incurred during a period of unauthorized absence." Although the degree and permanent nature of the disability will be determined pursuant to SECNAVINST 1850.4 series, the determination regarding line of duty/misconduct will be made by the line commander in accordance with the provisions of this chapter. The line of duty/misconduct determination made pursuant to this chapter will be binding on the Physical Evaluation Board, subject to limitations set forth in SECNAVINST 1850.4 series.

0223 WHAT CONSTITUTES LINE OF DUTY

a. General. For purposes of these regulations only (the award of disability retirement and severance pay are bound by separate standards regarding injuries incurred during a period of unauthorized absence, see subsection c(2) below), injury or disease incurred by naval personnel while in active service will be considered to have been incurred "in line of duty" except when incurred under one or more of the following circumstances:

(1) as a result of the member's own misconduct as determined under the regulations contained in this chapter;

(2) while avoiding duty by deserting;

(3) while absent without leave and such absence materially interfered with the performance of required military duties (see subsection c below);

(4) while confined under sentence of a court-martial that included an unremitted dishonorable discharge; or

(5) while confined under sentence of a civil court following conviction of an offense that is defined as a felony by the law of the jurisdiction where convicted.

b. Active service defined. "Active service" as used in this section includes full-time duty in the naval service, extended active duty, active duty for training, leave or liberty from any of the foregoing, and inactive duty training. Inactive duty training is duty prescribed for reservists by the Secretary of the Navy and special additional duties authorized for reserves, performed voluntarily in connection with prescribed training or maintenance activities at their units. (See SECNAVINST 1770.3 series.)

c. Unauthorized absence

(1) Whether absence without leave materially interferes with the performance of required military duties necessarily depends upon the facts of each situation, applying a standard of reality and common sense. No definite rule can be formulated as to what constitutes "material interference." Generally speaking, absence in excess of 24 hours constitutes a material interference unless evidence to the contrary

exists. Similarly, an absence of shorter duration will not be considered a material interference unless there is clear and convincing evidence to establish the contrary. A statement of the individual's commanding officer, division officer, or other responsible official, and any other available evidence to indicate whether the absence constituted a material interference with the performance of required military duties, should be included in the record whenever appropriate.

(2) Under chapter 61 of title 10, United States Code, (10 U.S.C. § 1207), a member is ineligible for physical disability retirement or physical disability severance benefits from the Armed Forces if the disability was incurred during a period of unauthorized absence, regardless of the length of such absence and regardless of whether such absence constituted a material interference with the performance of required military duties. Therefore, any injury incurred during a period of unauthorized absence requiring a line of duty/misconduct determination pursuant to the provisions of section 0221, must be the subject of a command investigation.

0224 WHAT CONSTITUTES MISCONDUCT

a. Generally. "Misconduct," as used in this chapter, is a term of art. It is more than just inappropriate behavior. An injury or disease is the result of a member's misconduct if it is either intentionally incurred or is the result of willful neglect which demonstrates a reckless disregard for the foreseeable and likely consequences of the conduct involved. Simple or ordinary negligence, or carelessness, standing alone, does not constitute misconduct. The fact that the conduct violates law, regulation, or order, or is engaged in while intoxicated, does not, of itself, constitute a basis for a misconduct determination.

b. Presumption. An injury or disease suffered by a member of the naval service is presumed to have been incurred in the line of duty and not to be the result of misconduct. Clear and convincing evidence (see section 0215) is required to overcome this presumption.

c. Examples. If an individual deliberately shoots off a toe to avoid duty, the injury is due to misconduct since it was intentionally incurred. If an individual shoots off a toe while playing Russian roulette, the injury is due to misconduct since such conduct demonstrates a reckless disregard for the foreseeable and likely consequences. If an individual shoots off a toe while holstering a pistol with the safety off, the injury is not due to misconduct; rather, it is the result of the negligent failure to observe a safety precaution.

0225 RELATIONSHIP BETWEEN MISCONDUCT AND LINE OF DUTY

a. General. For purposes of these regulations, "misconduct" can never be "in line of duty." Hence, a finding or determination that an injury was incurred as a result of the member's own misconduct must be accompanied by a finding or determination that the member's injury was incurred "not in line of duty." It is permissible, however, to find that an injury was incurred "not as a result of misconduct" and "not in line of duty." As an example, a member who is absent without authority may be injured by a felonious assault or struck by a vehicle driven by a drunken driver. Obviously, the injury was incurred through no fault of the member, but if the absence materially interfered with the performance of his required military duties a finding of "not in line of duty" must result.

b. Possible findings. The only possible combinations of findings are:

(1) "In line of duty" and "not due to the member's own misconduct;"

(2) "Not in line of duty" and "not due to the member's own misconduct;" and

(3) "Not in line of duty" and "due to the member's own misconduct."

0226 MENTAL RESPONSIBILITY

a. General rule. A member may not be held responsible for particular actions and their foreseeable consequences if, as the result of mental defect, disease, or derangement, the member was unable to comprehend the nature of such acts or to control his or her actions.

b. Presumption. In the absence of evidence to the contrary, all members are presumed to be mentally responsible for their acts. If a question of the mental

responsibility of a member is raised by the facts or by the nature of the incident, this presumption ceases and the investigation must clearly and convincingly establish the member's mental responsibility before an adverse determination can be made.

c. Suicide attempts. In view of the strong human instinct for self-preservation, a bona fide suicide attempt, as distinguished from a suicidal gesture, creates a strong inference of lack of mental responsibility. Self-inflicted injury, not prompted by a serious suicidal intent, is at most a suicidal gesture, and such injury, unless lack of mental responsibility *is otherwise shown, is deemed to be incurred as the* result of the member's own misconduct.

0227 INTOXICATION AND DRUG ABUSE

a. Intoxication. In order for intoxication alone to be the basis for a misconduct determination, clear and convincing evidence must show that the member was intoxicated sufficiently to impair the rational and full exercise of his or her mental or physical faculties at the time of the injury and that the impairment was the proximate cause of the injury. Intoxication or impairment may be produced by alcohol, a drug, or inhalation of fumes, gas, or vapor.

b. Presumption

(1) In cases involving alcohol, it may be presumed that when a member has a blood-alcohol content of .10 percent by volume or greater, the member was then intoxicated sufficiently to impair the rational and full exercise of his or her mental or physical faculties. This presumption is rebuttable but, if not rebutted, is of sufficient strength to provide clear and convincing evidence of the member's impairment. The presumption alone, however, does not establish anything about the proximate cause of the injury.

(2) For example, if a sailor is injured while driving with a voluntarily induced blood-alcohol content of .10 percent by volume, then it may be presumed that the sailor was impaired due to intoxication to the extent that he could not fully exercise his mental or physical faculties at the time of the wreck. To find misconduct, however, it still must be shown that the resulting impairment was the proximate cause of the injury. Thus, if the accident were caused solely by the wrongdoing of another driver, then the sailor's impairment was not the proximate cause of the injury.

(3) Intoxication, as described in section 0227a, may also be found when there is no blood-alcohol content measurement available or when it measures less than .10 percent by volume. In such cases, all relevant information concerning the member's condition at the time of the injury or incident should be considered.

c. Alcohol and drug-induced disease. Inability to perform duty resulting from disease directly attributable to a specific, prior, proximate, and related intemperate use of alcohol or habit-forming drugs is the result of misconduct. See 37 U.S.C. § 802. Time spent in evaluating habituation without specific inability to perform duty shall not be charged as time lost due to misconduct.

0228 REFUSAL OF MEDICAL AND DENTAL TREATMENT

If a member unreasonably refuses to submit to medical, surgical, or dental treatment, any disability that proximately results from such refusal shall be deemed to have been incurred as a result of the member's own misconduct. See chapter 18, Manual of the Medical Department.

0229 RELATIONSHIP TO DISCIPLINARY ACTION

An adverse line of duty/misconduct determination is not a punitive measure. If warranted, commanders should take independent disciplinary action. Similarly, a favorable line of duty/misconduct determination does not preclude separate disciplinary action. Nor is such a favorable determination relevant or binding on the issue of guilt or innocence of the member in a separate disciplinary proceeding.

0230 HOW LINE OF DUTY/MISCONDUCT DETERMINATIONS ARE RECORDED

a. General. As noted above, injuries or disease suffered by naval personnel are presumed to have been incurred in the line of duty and not as a result of a member's misconduct. Each injury or disease requiring line of duty/ misconduct determinations (see 0221) must be the subject of a preliminary inquiry.

If, however, following a preliminary inquiry the conditions set forth in subparagraph c below are met, then the member's command need not convene an investigation and need not report the line of duty/misconduct determinations separately. Thus, if appropriate entries in the member's health or dental records are made, and the command does not convene an investigation, then the presumption that the member's injuries or disease were incurred in the line of duty and were not a result of the member's misconduct will not be rebutted.

b. Reporting. If the command completing the preliminary inquiry is not a GCMCA, the command will report the circumstances surrounding the injury and results of the preliminary inquiry to its GCMCA using the Personnel Casualty Report system (see MILPERSMAN 4210100). Unless the GCMCA directs otherwise, the command will provide a copy of this preliminary inquiry report to the appropriate medical department for inclusion in the health or dental record as part of the entry described in subparagraph c. Of course, the GCMCA may review the preliminary inquiry and order an investigation.

c. Entry in health or dental record. An investigation need not be convened and a report need not be forwarded concerning misconduct and line of duty when, in the opinion of the medical officer (or senior representative of a medical department), with the concurrence of the commanding officer, the injury or disease was incurred "in line of duty" and "not as a result of the member's own misconduct" and appropriate entries to this effect have been made in the member's health or dental record. (See chapter 16, Manual of the Medical Department.)

d. Command investigations. A command must convene an investigation and make findings concerning misconduct and line of duty when --

(1) the injury was incurred under circumstances which suggest a finding of "misconduct" might result. These circumstances include, but are not limited to, all cases in which a qualifying injury was incurred --

(a) while the member was using illegal drugs;

(b) while the member's blood alcohol content was of .10 percent by volume or greater. This does not preclude the convening of an investigation if the blood-alcohol percentage is lower than .10, if the circumstances so indicate; and

(c) as a result of a bona fide suicide attempt;

(2) the injury was incurred under circumstances that suggest a finding of "not in line of duty" might result;

(3) there is a reasonable chance of permanent disability and the commanding officer considers the convening of an investigation essential to ensure an adequate official record is made concerning the circumstances surrounding the incident; or

(4) the injured member is in the Naval Reserve or the Marine Corps Reserve and the commanding officer considers an investigation essential to ensure an adequate official record is made concerning the circumstances surrounding the incident. (See SECNAVINST 1770.3 series for additional information on Reserve Component Incapacitation Benefits and their relationship to line of duty/misconduct findings.)

0231 ACTION BY REVIEWING AUTHORITIES

a. Action by convening authority. Unless the report is returned for further inquiry, the convening authority will make a line of duty/misconduct determination by taking one of the following actions:

(1) If the CA concludes that an injury or disease was incurred "in line of duty" and "not due to the member's own misconduct" (or that clear and convincing evidence is not available to rebut the presumption of in line of duty/not due to misconduct), this conclusion shall be expressed in the action on the record of proceeding. This action may be taken regardless of whether it differs from or concurs with an opinion expressed by the investigating officer.

(2) If, upon review of the report, the convening (or higher) authority believes that the injury or disease of the member was incurred not in line of duty or due to the member's own misconduct, then prior to taking action that authority must afford the member (or the member's representative if the member is mentally incompetent to understand the nature of the action) notice of the preliminary determination and an opportunity, not exceeding 10 calendar days, to submit any desired information for the CA's consideration. Additional time may be

granted by the CA for good cause.

(a) The member will be advised that he or she does not have to make any statement relating to the origin, incidence, or aggravation of any injury or disease. If any information is obtained from the member, a statement attesting that the above warning was given must be attached. (See section 0221 and appendix A-2-g.)

(b) If the member is also suspected or accused of any offense under the UCMJ, then the member should also be advised in accordance with article 31, UCMJ, and of rights to counsel. Suspect's *Rights Acknowledgement/Statement forms* should be used for such advice. (See appendix A-1-m of this Manual.)

(c) Upon request, the member may be permitted to review the investigative report but not to copy it. (After the report is final, the member may have a right under the Privacy Act to a copy of the report. See Chapter V of this Manual for further information.)

(d) If the member elects to provide any information, it shall be considered by the CA and attached to the record.

(e) If the member elects not to provide any information, or fails to respond within 10 calendar days, that election or failure shall be noted in the CA's endorsement.

b. Action by general court-martial convening authority.

(1) Unless the CA is empowered to convene general courts-martial, the report shall be forwarded via the chain-of-command to an officer empowered to convene general courts-martial with an assigned judge advocate. This officer may take any action on the report that could have been taken by the CA. With respect to conclusions concerning misconduct and line of duty, the GCMCA shall indicate approval, disapproval, or modification of such conclusions unless the record is returned for further inquiry. A copy of this action shall be forwarded to the commanding officer of the member concerned, so that appropriate entries may be made in the member's service and medical records (see below). Reviewing authorities subsequent to the officer exercising general court-martial jurisdiction, if any, need neither comment nor record approval or disapproval of the prior actions concerning line of duty and misconduct.

(2) The investigation should not normally be forwarded to the Judge Advocate General.

(3) Copies of the report shall be provided to --

(a) the Naval Safety Center when the report reveals systemic safety problems;

(b) the local legal service office if potential claims by or against the Government may be involved (this is of special concern where medical care has been furnished and the Government may be entitled to recover third party medical claims); and

(c) other commands having a direct official interest in the matter.

(4) The GCMCA shall keep the original investigation for a period of 2 years.

c. Follow-up actions. As noted above, after the GCMCA reviews and approves the line of duty/misconduct findings, the commanding officer of the concerned member must cause appropriate service and health record entries to be made to include the GCMCA action. A copy of the GCMCA action will be made an enclosure to all line of duty/misconduct health record entries resulting from command investigations. In this regard, the following information is provided:

(1) Extension of enlistment. An enlisted member of the naval service, unable to perform duties for more than 1 day because of intemperate use of drugs or alcohol or because of disease or injury resulting from the member's misconduct, must, after returning to full duty, serve for a period that, when added to the period previously served, amounts to the term for which the member enlisted or was inducted. See 10 U.S.C. § 972.

(2) *Longevity and retirement multiplier*. Eligibility for increases in pay because of longevity and the amount of retirement pay to which a member may be entitled is dependent upon cumulative years of "creditable service." An enlisted member who is unable to perform duties for more than 1 day because

of intemperate use of drugs or alcohol or because of disease or injury resulting from misconduct is not entitled to include such periods in computing "creditable service." Paragraph 10104, Department of Defense Military Pay and Allowances Entitlement Manual (DODPM).

(3) Forfeiture of pay. A member of the naval service on active duty who is absent from regular duties for a continuous period of more than 1 day because of disease that is directly caused by and immediately follows intemperate use of alcohol or habit-forming drugs is not entitled to pay for the period of that absence. If pay is forfeited for more than 1 month, however, the member is entitled to $5.00 for personal expenses for each month that his pay is forfeited. Paragraph 10315c, DODPM. Pay is not forfeited for absence from duty caused by injuries. Pay is not forfeited for diseases not directly caused by and immediately following intemperate use of liquor or habit-forming drugs. Paragraph 10315b, DODPM.

(4) Disability retirement and severance pay. As noted in section 0222, to be eligible for disability retirement or severance pay, a member's injuries must meet the requirements established by applicable statutes. One of these requirements is that the injury/disability not have resulted from the member's "intentional misconduct or willful neglect" nor have been "incurred during a period of unauthorized absence." The Physical Evaluation Board in awarding any disability payment in accordance with SECNAVINST 1850.4 series is bound by line of duty/misconduct determinations made pursuant to this chapter.

(5) Benefits administered by the Department of Veterans Affairs. In determining whether a veteran or the veteran's survivors or dependents are eligible for certain benefits, the Department of Veterans Affairs makes its own determination with respect to misconduct and line of duty. As a practical matter, these determinations must rest upon the evidence available and generally this will be those facts that have been officially recorded and are on file within the Department of the Navy. Statutes governing these benefits generally require that disabling injury or death be "service connected," which means the disability was incurred or aggravated, or, that the death resulted from a disability incurred or aggravated, "in line of duty." 38 U.S.C. § 101. The statutory criteria for making such determinations are contained in 38 U.S.C. § 105.

0232 SPECIAL CONSIDERATIONS IN RESERVE COMPONENT CASES.

Per DODDIR 1241.1 of 3 December 1992, CA's must issue "interim" line of duty determinations within 7 days of being notified that a reservist not on the active duty list has an incapacitating injury or illness incurred or aggravated while on active duty (including leave and liberty therefrom), active duty for training, inactive duty training, or travel to or from such duty. This interim determination is intended to ensure that the reservist's incapacitation pay can be started without delay. If the final line of duty/misconduct determination is adverse to the member, immediate action must be taken to stop incapacitation benefits. (See SECNAVINST 1770.3 series for further information.)

0233 CHECKLIST FOR LINE OF DUTY/MISCONDUCT INVESTIGATIONS.

The following is a checklist of matters that should be included, as applicable, in any report of an investigation convened to inquire into and make recommendations concerning misconduct and line of duty under the provisions of this chapter.

a. Identifying information. The complete name, grade or title, service or occupation, and station or residence of all persons, military, and civilian, killed or injured incident to the event under investigation. (See section 0216 for advice required to be given by the Privacy Act if social security numbers are requested.)

b. Facts. All facts leading up to and connected with an injury, disease, or death.

c. Records. Military or civilian police accident reports, pertinent hospitalization or clinical records, death certificates, autopsy reports, records of coroners' inquests or medical examiners' reports, and pathological, histological, and toxicological studies. If originals cannot be included, then the report shall state where the originals are located and the name and telephone number of the official responsible for their safekeeping.

d. Site of incident. Complete information concerning the site and terrain where the incident in question occurred as well as photographs, videotapes, maps, charts, diagrams, or other exhibits that may be helpful to a complete understanding of the incident. When photographs are included as part of the investigation, the following information should be included on the reverse side: The hour and date they were taken; a brief description of the location or area photographed; the full name and rank or rate of the photographer; and full names and addresses of persons present when the photographs were taken. If available, the photographer should be asked to provide details surrounding the taking of the photographs such as type of camera, distance from object, and so forth. Similar information should be on a label affixed to any videotape included in the investigation.

e. Duty status. Include all pertinent facts with respect to the duty, leave, liberty, or unauthorized absence status of an individual at the time of the incident.

f. Reserves. When the person involved is a member of a Reserve component of the Navy or Marine Corps, complete information as to the member's status in relation to extended active duty, active duty for training, or inactive duty training (or travel to and from such duty) at the time of the incident must be stated.

g. Injuries. Complete information as to the nature and extent of all injuries to naval personnel and the place and extent of any hospitalization resulting therefrom. Include costs when civilian facilities are used. Also include the amount of "lost" time.

h. Impairment. (See section 0227 regarding applicable presumption.) When relevant, evidence regarding the state of intoxication and the extent of impairment of the physical or mental faculties of any person involved and connected with the incident. Evidence as to the individual's general appearance and behavior, rationality of speech, coordination of muscular effort, and all other facts, observations, and opinions of others bearing on the question of actual impairment shall be obtained and recorded. Efforts shall be made to determine the quantity and nature of the intoxicating agent used and the period of time over which used by the person. Results of any blood, breath, urine, or tissue tests for the intoxicating agent should also be obtained and submitted as exhibits.

i. Mental competence. When material, evidence regarding the mental competence or impairment of the deceased or injured person. In all cases of suicide or attempted suicide, evidence bearing on the mental condition of the deceased or injured person shall be obtained. This will include all available evidence as to social background, actions, and moods immediately prior to the suicide or the suicide attempt, any troubles that might have motivated the incident, and any relevant medical or counseling information.

j. Privacy Act. Document that each enclosure containing personal information solicited from an individual for inclusion in a record system retrievable by name or personal identifier complies with the Privacy Act. (See section 0216.)

k. Warnings about injury or disease. Document that statements solicited from an injured member respecting the incidence or aggravation of his disease or injury are in compliance with section 0221.

PART F -- SPECIAL CONSIDERATIONS IN DEATH CASES

0234 GENERAL

a. Special considerations. The circumstances surrounding the death of naval personnel, or of civilian personnel at places under military control, may be recorded in a variety of ways, such as autopsy reports, battlefield reports, and medical reports. Investigations conducted pursuant to this Manual may also focus on such deaths and may incorporate other official reports as enclosures. Since reports pertaining to deaths of military members are, by law (see 10 U.S.C. § 113 note; Pub. L. 102-484, Div. A, Title X § 1072, 23 Oct 92; 106 Stat. 2508) generally releasable to family members, and since the deceased cannot contribute to the investigation process, special considerations prevail in the investigation of death cases.

b. NCIS notification. NCIS must be notified, per SECNAVINST 5520.3 series, of any death occurring on a Navy vessel or Navy/Marine Corps aircraft or installation (except when the cause of death is medically attributable to disease or natural causes).

c. Time limitations. The period for completing the administrative investigation report/record into a death shall not normally exceed 20 days from the date of the death, or its discovery. For good cause, however, the convening authority may extend the period. Requests and authorizations for extensions must be coordinated with the next reviewing authority. The CA and subsequent reviewers have 20 days to review and endorse the investigation. Noncompliance with these time requirements must be explained in the endorsement of the deviating command and commented upon by subsequent endorsers. See MILPERSMAN 4210100 for the requirement to submit Status Investigation Reports.

d. Release of death investigations

(1) Policy for release to next of kin. As a normal rule, death investigations reports/records shall not be released to the public until they are final (see section 0220). In the interest of providing the decedent's next of kin with timely information, however, it is DON policy that upon completion of the review by the first flag officer in the chain of command, the reviewer shall release an advance copy of the investigation, per a request, to the next of kin. The release of an advance copy to requesting next of kin shall be made unless release would violate law (e.g., investigatioan classified), or the endorser can articulate how release would harm the command's mission, or would interfere with an ongoing criminal investigation, or why release should not be made for good cause. If an endorser does not wish to release an investigation to requesting next of kin, this decision shall be coordinated with OJAG, Code 35, at 703-325-9880/DSN 221-9880.

(2) Delivery to next of kin. In providing death investigations to the next of kin, consideration should be given to the potential impact of the report. Section 0241b directs that graphic photographs are to be separately wrapped and labelled. Similar procedures should be employed for autopsy reports and other written materials containing graphic details of injury, wounds, mutilation, etc. In order to assist those who may still be grieving to understand the meaning and significance of the report of investigation, releasing authorities should ensure, when reasonable, hand delivery of the report by someone who can discuss it with the family. Normally, the Casulty Assistance Calls Officer(s) would make the delivery, but there may be reasons (technical subject-matter, personal friendships, etc.) for another individual to be assigned this task.

0235 WHEN INVESTIGATIONS OF DEATH CASES ARE REQUIRED

A preliminary inquiry (see section 0204) shall, as in any other circumstance potentially warranting an investigation, be conducted into the death of a member of the naval service or into the death of a civilian aboard a place under naval control. At the conclusion of the preliminary inquiry, the CA must determine which of the options listed in section 0205 will be exercised, and report that decision to the next superior in the chain-of-command (see section 0204h(2)). Normally, a command investigation, or a limited investigation, will be appropriate to inquire into a death case that warrants investigation under the below guidelines. A court or board of inquiry is

appropriate in some cases, as discussed below. In deciding on the type (and necessity) of investigation, the convening authority shall consider the following:

a. No investigation required. An investigation under this Manual will normally not be conducted if the preliminary inquiry shows that the death:

(1) was the result of a previously known medical condition and the adequacy of military medical care is not reasonably in issue; or

(2) was the result of enemy action (but see subsection b(4) below).

b. Investigation required. An investigation under this Manual shall be conducted if the preliminary inquiry shows:

(1) the case involves civilian or other non-naval personnel found dead aboard an activity under military control, where the death was apparently caused by suicide or other unusual circumstances (see SECNAVINST 5520.3 series and section 0204(c));

(2) the circumstances surrounding the death place the adequacy of military medical care reasonably at issue;

(3) the case involves the death of a military member and a probable nexus exists to naval service, except where the death is as a result of enemy action (see sections b(4) and (c) below); or

(4) it is unclear if enemy action caused the death, such as in possible "friendly-fire" incidents.

c. Limited Investigation Required. If the preliminary inquiry shows that the death of a servicemember occurred at a location in the United States but not under military control, while the member was off-duty, and the circumstances of the death had no discernable nexus to the naval service, the command shall obtain the results of the investigation of the incident by civilian authorities and maintain the results as an internal report. The command shall document, in writing, the reasons for making the determination to conduct a limited investigation, attaching the enumerated reasons to the internal report. Completion of these actions shall follow the time constraints noted for the processing of command investigations and will constitute final action on the report.

0236 AUTOPSIES

a. General. When the death of a member of the uniformed services on active duty, or active duty for training, occurs under any of the circumstances set forth in chapter 17, Manual of the Medical Department, and when an autopsy is authorized by the commanding officer, and in other cases in which authorization from proper authority has been obtained, the preliminary inquiry officer shall provide the medical officer designated to conduct the autopsy with a preliminary report of the circumstances surrounding the death. In those cases in which authorization for autopsy has been granted by other than the commanding officer, the medical officer shall be responsible for advising command authority that such authorization has been granted in order to facilitate the preliminary investigation and report thereof to the medical officer conducting the autopsy. Upon completion of the autopsy, the medical officer conducting the autopsy shall provide the preliminary inquiry officer, or investigating officer, a copy of the preliminary autopsy findings as to the cause of death and, when completed, a copy of the final protocol. The medical officer conducting the autopsy should be provided with a copy of the final investigative report, if an investigation is convened. (DODDIR 6010.16 of March 1988 and NAVMED P5065 refer to issues of authorization of autopsies.)

b. Unavailability of documents. Notwithstanding the guidance above, completion of a death investigation and its forwarding will not be delayed to await final autopsy reports, death certificates, or similar documents unless their inclusion is absolutely essential to the completion of the investigative report. The unavailability of such documents should be noted and the investigation completed and forwarded. Documents subsequently obtained shall be forwarded by separate correspondence via the review chain, with appropriate reference to the report of investigation/forwarding endorsement.

0237 DETERMINATIONS CONCERNING LINE OF DUTY/MISCONDUCT IN DEATH CASES

a. Investigation reports shall not contain any opinions concerning line of duty in death cases.

Misconduct, as defined in section 0224, shall not be attributed to a deceased member, nor shall the convening authority or reviewing authorities enter any such opinions. If such an opinion has been recorded inadvertently or recorded after the injury but before death occurred, the record need not be returned for correction. The reviewing authorities and the convening authorities shall note the error and its lack of validity in the forwarding or final endorsement, as appropriate.

b. No survivors benefit statute administered by the Department of the Navy is conditioned upon a line of duty/misconduct determination. Opinions concerning line of duty/misconduct are not desired by the Department of Veterans Affairs, which makes its own. In any death case in which the record contains an adverse finding or opinion with respect to line of duty or misconduct that has been disapproved in accordance with subparagraph a above, the reviewing authorities or the convening authority may comment or enclose additional data that may tend to counter such finding or opinion.

0238 MAJOR INCIDENTS AND OTHER CASES INVOLVING DEATH WHERE A COURT OF INQUIRY MAY BE APPROPRIATE

a. For death cases that fall within the definition of major incident in appendix A-2-a, a court or board of inquiry should be convened. Additionally, and notwithstanding that a death case may not qualify as a major incident, a convening authority may conclude that a board or court of inquiry is the appropriate forum for conducting the investigation.

b. If, at any time during the course of a court or board of inquiry, it appears to the investigation that the intentional acts of a deceased servicemember were a contributing cause to the incident, it will notify the convening authority. The convening authority will then notify the Judge Advocate General of the preliminary findings regarding the deceased member. The Judge Advocate General will advise the convening authority what additional measures, if any, are necessary to ensure a fair hearing regarding the deceased member's actions.

0239 INDEPENDENT REVIEW

a. General. To enhance the investigation process, prior to taking action on an investigative report which calls into question the propriety of a deceased individual's conduct (including all apparent suicide cases), the CA may cause the report to be reviewed by an individual not previously connected with the investigation process and outside the CA's immediate chain-of-command.

b. Qualifications of reviewer. The individual selected pursuant to this section to review the *preliminary report* should, to the extent feasible, possess such training, experience, and background that he or she can critically analyze the salient circumstances surrounding the death as documented in the report. For example, if a pilot's death occurred as the result of an aircraft accident, then the individual selected should be a pilot. If, by way of further example, an enlisted Marine's death occurred as the result of an apparent suicide, then the individual selected should be a senior noncommissioned officer *or company commander. In all cases, the individual* selected should have no official or personal interest in the outcome of the investigation.

c. Duties of reviewer. The individual selected to review the investigative report shall not act as the deceased's representative, but should critically analyze the investigative report from the perspective of the deceased, tempered by the reviewer's own experience, training, and education. If, after conducting the *review, the reviewer believes comment on the* thoroughness of the investigation or the accuracy of its findings is warranted, then such comments shall be provided in writing to the CA. The review shall be completed within 10 working days of delivery of the report to the reviewer.

d. Action. The CA shall consider such comments as the reviewer may make and take such action as the CA deems warranted. The reviewer's comments, if any, shall be appended to the investigative report.

0240 STANDARD OF PROOF. To find that the acts of a deceased servicemember may have caused harm or loss of life, including the member's own, through intentional acts, findings of fact relating to those issues must be established by clear and convincing evidence. (See Appendix A-2-a for a definition of that term.)

0241 SPECIAL ROUTING.

a. Since most death cases are of interest to headquarters activities, an advance copy of all death investigations, other than those where only a preliminary inquiry or limited investigation is required, shall be provided to the cognizant Echelon II Commander after the first endorsement. The original report shall note the forwarding of the advance copy and each subsequent endorser shall provide an advance copy of their endorsement to the Echelon II Commander.

b. Per 10 U.S.C. § 113 note (Pub. L. 102-484, Div. A, Title X §1072, 23 Oct 92; 106 Stat. 2508), fatality reports and records pertaining to any member of the Armed Forces who dies in the line of duty shall, generally, be made available to family members of the service member. For this reason, discretion must be exercised in enclosing graphic photographs since doing so has significant potential for shocking the sensitivities of relatives and others to whom the investigation may be released. Such materials should be enclosed separately in an envelope marked: "CAUTION. THIS ENVELOPE CONTAINS GRAPHIC PHOTOGRAPHS. VIEWER DISCRETION WARRANTED."

PART G -- INVESTIGATIONS OF SPECIFIC TYPES OF INCIDENTS

0242 AIRCRAFT ACCIDENTS

a. General. Aircraft accidents are investigated by one or more investigative bodies under existing instructions and legal requirements.

(1) Mishap investigation reports. For the sole purpose of safety and accident prevention, the Chief of Naval Operations has issued special instructions for the conduct, analysis, and review of investigations of aircraft mishaps in OPNAVINST 3750.6 series. These investigations are known as "aircraft accident safety investigations" and are conducted by mishap investigation boards. The results of those investigations are documented in Mishap Investigation Reports.

(2) JAGMAN investigations. When an aircraft mishap results in death or serious injury, extensive damage to Government property, or the possibility of a claim exists for, or against, the Government, a JAGMAN investigation shall be ordered to determine the cause and responsibility for the mishap, nature and extent of any injuries, description of all damage to property, and any attendant circumstances. While in most cases a claim for, or against, the Government may reasonably be anticipated as a result of an aircraft mishap, a command investigation will normally be used because of the command interest in accountability for incidents which result in death or substantial property damage. In all investigations concerning potential claims for or against the Government, a copy of the investigation shall be forwarded to JAG via the servicing legal service

office upon completion of the convening authority's endorsement. These JAGMAN investigations are in addition to, and separate from, the aircraft accident safety investigations conducted under the authority of OPNAVINST 3750.6 series.

(3) Combat losses or damage. A JAGMAN investigation is not required for aircraft mishaps incident to direct enemy action. An aircraft mishap is incident to direct enemy action when it is due to hostile action or an unknown cause in a hostile area. Notwithstanding, a JAGMAN investigation is required when an aircraft accident or other aircraft mishap occurs in the course of a combat operation but not under hostile circumstances, such as an aircraft crash while taking off, or returning to, an airfield or aircraft carrier. JAGMAN investigations are not precluded when deemed appropriate by operational or administrative commanders. Commanders may convene investigations to gather, evaluate, or verify the facts of a combat engagement when enemy action has resulted in the loss or damage to naval aircraft, or to determine whether combat losses were sustained by "friendly fire."

(4) This subsection relates to JAGMAN investigations only and does not affect any other reporting requirement, such as casualty and damage reports required under article 0831, U.S. Navy Regulations, 1990.

b. Relationship between JAGMAN investigations and aircraft accident safety investigations

(1) A JAGMAN investigation of an aircraft accident or mishap is a collateral investigation, as referred to in the joint directive issued under OPNAVINST 3750.16 series, which implements section 702 of the Federal Aviation Act of 1958, 49 U.S.C. § 1442. OPNAVINST 3750.16 series provides specific direction concerning coordination of investigations of aircraft accidents between military authorities and the National Transportation Safety Board (NTSB) and the Federal Aviation Administration (FAA). Due to the separate purposes and procedures of JAGMAN investigations, military mishap investigations, and FAA or NTSB investigations, there are specific limitations and restrictions regarding the integration of these investigations, use of evidence obtained (including witness statements), and the use and disclosure of the respective reports. OPNAVINST 3750.16 series, OPNAVINST 3750.6 series, and Marine Corps Order (MCO) 3750.1 provide detailed guidance regarding the restrictions on the use of these investigations and the permissible extent of integration between JAGMAN investigations and aircraft mishap investigations. The relationship between the JAGMAN investigation and aircraft safety investigations should be thoroughly understood by all persons involved with investigating any aircraft accident or mishap.

(2) Statements gathered in the course of aircraft accident safety investigations are privileged. This means that when the source of that information has been given a promise of confidentiality, that statement, made before the promising safety board, cannot be used for any purpose other than accident prevention. OPNAVINST 3750.6 series also gives a promise of confidentiality to those conducting the aircraft accident safety investigation. This means that their opinions, analyses, and conclusions cannot be used for purposes other than accident prevention. In conducting the JAGMAN investigation, care shall be exercised to respect the privileged character of the aircraft accident safety investigation. No witness shall be questioned regarding participation in an aircraft safety investigation.

(3) Although membership on an aircraft safety investigation board does not bar an individual from being a witness for a JAGMAN investigation of the same incident, such dual participation is undesirable and should be avoided due to the possibility of undermining the promise of confidentiality crucial to the conduct of safety investigations.

(4) Investigating officers of the aircraft safety investigation and JAGMAN investigation shall have access to all real evidence and have separate opportunities to question and obtain statements from all witnesses. JAGMAN investigating officers shall not sit in on interviews conducted by the aircraft accident safety investigation.

(5) If a possibility exists that witnesses will testify before both investigative bodies, the JAGMAN investigating officer(s) shall explain to such witnesses the reasons for the apparent duplication of effort. This is particularly important with non-military witnesses. The explanation shall cover --

(a) the different objectives of the two investigations;

(b) the reasons why procedures vary;

(c) the need to preserve the privileged nature of the aircraft accident safety investigation; and

(d) the fact that since neither command nor administrative action may alter the privileged character of statements provided to the aircraft accident safety investigation, such statements will not be available to the JAGMAN investigation from any official source.

c. Class A aircraft accident JAGMAN investigations

(1) Designation of Class A Aircraft Accidents. As soon as practical, but in no case more than 60 days after the occurrence of an aircraft accident involving an aircraft of the Department of the Navy, the authority responsible for convening the investigation under this Manual shall determine whether the mishap is a Class A accident. (See Appendix A-2-a for the definition of "Class A aircraft accident.") If the accident meets the criteria for a Class A aircraft accident, the convening order for the investigation shall contain the following: "This [Command Investigation] [Litigation-Report Investigation] [Board of Inquiry] [Court of Inquiry] is convened to investigate the circumstances surrounding a Class A aircraft accident in compliance with 10 U.S.C. 2255."

(2) Member Qualifications for Class A Aircraft Accident JAGMAN Investigations. Federal law establishes specific qualifications for members conducting Class A aircraft accident investigations. These qualifications apply to any Class A aircraft accident investigation under sections 0209, 0210, or 0211 of this Manual, convened on or after March 24, 1997. See 10 U.S.C. § 2255 (1996).

(a) Multiple Member Investigations. A multiple member Class A aircraft accident JAGMAN investigation shall have:

1. A majority of its members selected from units other than the mishap unit or a unit subordinate to the mishap unit, as defined in Appendix A-2-a; and

2. at least one member who is a member of the armed forces or an officer or employee of the Department of Defense who possesses knowledge and expertise relevant to aircraft accident investigations, for example, a graduate of a Naval Aviation Safety Officer/Command course, or previous service on an aviation mishap safety or aircraft accident JAGMAN investigation, or previous assignment as a squadron Aviation Safety Officer.

(b) Single Member Investigations. A single member Class A aircraft accident JAGMAN investigation shall be:

1. selected from a unit other than the mishap unit or a unit subordinate to the mishap unit, as defined in Appendix A-2-a; and

2. Directed to consult with a member of the armed forces or an officer or employee of the Department of Defense who possesses knowledge and expertise relevant to aircraft mishap investigations, for example, a graduate of a Naval Aviation Safety Officer/Command course, or previous service on an aviation mishap safety or aircraft accident JAGMAN investigation, or previous assignment as a squadron Aviation Safety Officer.

(c) Exceptions to Statutory Qualifications

1. Waiver Criteria. The Secretary of the Navy may waive the statutory qualifications set forth in sections 0242c(2)(a) and (b), above, if the Secretary determines:

a. It is not practicable to meet the requirement because of

(1) the remote location of the aircraft mishap;

(2) an urgent need to promptly begin the investigation; or

(3) a lack of available personnel outside of the mishap unit who have adequate knowledge and expertise regarding the type of aircraft involved in the mishap; and

b. The objectivity and independence of the aircraft mishap investigation will not be compromised.

2. Procedure for Obtaining a Waiver. Requests for a waiver shall be addressed to the Secretary of the Navy, via the chain of command, and contain a detailed explanation of the particular criteria listed in subsection (a) justifying the need for a waiver.

3. Congressional Notification. The Secretary must notify Congress of a waiver granted under this section and the reasons therefor.

d. Required facts and opinions. The scope of the investigation function varies with the nature and circumstances of the particular incident. The report of the investigation should include, but not be limited to, data relevant to the purpose of the investigation on the following matters:

(1) Identity of the pilot(s), co-pilot(s)/naval flight officer(s) (NFO), air crew and any passengers, including the background, history, training, and experience of the pilot, co-pilot/NFO and air crew and their familiarity with the type of aircraft involved.

(2) The military or civilian status of all personnel aboard, e.g., Regular, Reserve, or retired; active duty, inactive duty, inactive duty training; Temporary Additional Duty (TAD), Temporary Duty (TDY), leave, liberty, and so forth.

(3) Type, model, and bureau number of the aircraft involved.

(4) Identification of the squadron, detachment, or unit authorizing the flight and the official who authorized the flight.

(5) If a privately-owned or rented aircraft was involved, identify the owner, authorization for the flight, existence of private insurance, and extent of coverage.

(6) The identity of all individuals who were killed, injured, or who suffered property damage as a result of the mishap, including name, age, address (home and work), telephone number, occupation, and a complete description of how their injuries occurred. (See Part F for special considerations in death cases.)

(7) Sociological, psychological, and human factors related to the accident, including potential stress factors, fatigue, use of medication, or intoxication.

(8) Type, duration, and purpose of the flight, briefing of the pilot, and other pertinent information regarding the particular flight, including the use of night vision goggles or other mission- specific factors relevant to aircraft or air crew equipment or performance.

(9) Weather conditions throughout the flight.

(10) Preflight history of the aircraft, compliance or noncompliance with pertinent technical directives, including flight hours since the last overhaul, discrepancies noted on recent "yellow sheets" (OPNAV Form 3760/2, OPNAVINST 3710.7 series), VIDS/MAF forms (OPNAV 4790/60, OPNAVINST 4790.2 series), and flight hours since the last intermediate check.

(11) Description of flight path and maneuvers of the aircraft during flight, including manner of descent and impact.

(12) Positions of external control surfaces, landing gear, canopy, and other relevant parts of the aircraft, during the flight.

(13) Presence, condition, and use of safety, communication, escape, and survival equipment.

(14) Post-accident assessment of the aircraft and detailed description of all damage to the aircraft, including wreckage diagrams, disassembly and inspection reports, wreckage photographs, and data on engine, fuselage, and control surfaces.

(15) Assessment of the scene of the accident including its precise location, a description of the terrain, and a complete listing and cost of damaged or destroyed Government and non-Government property.

(16) Description of rescue operations employed, their effectiveness, and any difficulties encountered.

(17) Instructions in effect at the time of the accident concerning procedures relating to the particular flight (including applicable local and regional flight rules governing the flight and copies of air charts in effect and in use).

(18) Performance data on the aircraft in question under prevailing wind, weather, and temperature.

(19) In the case of deaths caused by the accident, the precise medical cause of death (substantiated by medical records, autopsy, and death certificate).

(20) Cause, nature, and extent of any injuries suffered as a result of the accident as substantiated by medical records, including line of duty/misconduct determinations for injuries to naval personnel, if required.

(21) Involvement of other aircraft, if any.

(22) Roles of supervisory, support, and controlling personnel.

(23) When the evidence concerning the accident is sufficient to do so, an opinion or opinions as to the cause or causes of the accident.

(24) When the evidence is not sufficient to form an opinion or opinions as to the cause or causes of the accident, a description of those factors, if any, which in the opinion of the investigator(s) substantially contributed to the accident.

0243 MOTOR VEHICLE ACCIDENTS

a. General. All but the most minor of accidents involving Government vehicles and personally-owned vehicles must be investigated. Accidents involving $5,000 or less of property damage or minor personnel injuries can, however, be adequately documented by completion of Standard Form 91 (Police Accident Form) alone. More serious accidents may be investigated by either a command investigation or by a litigation-report investigation if a claim is expected for or against the Government. (See JAGINST 5890.1 series for further information on claims.) Chapter 6 of OPNAVINST 5102.1 series provides reporting procedures under the Navy's Mishap Investigation and Reporting System. That system may require an additional investigation.

b. Basic investigating requirements. When conducting an investigation into a motor vehicle accident, physically observe the damage to property and survey the accident scene whenever practical. Include photographs, if possible. Document injuries and damage by attaching the best available evidence including relevant medical records and actual bills or receipts. A copy of any investigation concerning potential claims for or against the Government must be forwarded to the cognizant legal service office upon completion of the CA's endorsement.

c. Required facts and opinions. The following facts and opinions shall be included in the report:

(1) Vehicle(s) completely identified, including vehicle identification number, license plate number, model, year, and color.

(2) Identity of driver(s) and owner(s), including name, age, addresses (home and work), and telephone numbers. For military members, indicate their military status at the time of the accident (e.g., active duty, TAD, leave, liberty, etc.), their grade/rank, and the name, address, location and Unit Identification Code (UIC) of their unit. If an individual died or is incapacitated as a result of the accident, provide similar identifying information for the next-of-kin or legal representative. See section 0253 regarding special findings of fact required when an accident involves reservists coming to or from periods of active duty or training. If a Government vehicle was involved, identify the unit to which the vehicle was assigned, the individual at that unit who authorized use of the vehicle, and its authorized purpose.

(3) Time of the accident, light and weather conditions, and their effect on driving conditions.

(4) The location of the accident (e.g., highway number, direction of travel, milepost number, street name, intersection), road and terrain factors, including road characteristics, obstructions to the driver's vision, traffic signals, and signs.

(5) Estimated speed of vehicle(s) involved as evidenced by witnesses, skid marks, condition of roads, and damages to the vehicles or other property.

(6) Actions of other vehicles involved in the accident, including any part played by them in creating the conditions that resulted in the accident.

(7) Traffic conditions at the scene and their effect on the accident.

(8) Traffic laws and regulations in force pertinent to the accident, including traffic safety devices, signs,

and markings (e.g., school zone, no passing zone, railroad crossing, reduced speed limit), and any requirement to use safety devices installed in the vehicles (e.g., seat belts, child carriers). A copy of the statute, ordinance, or regulation should be made an enclosure. Consult with the cognizant legal service office for assistance.

(9) Mechanical condition of the vehicles. If a mechanical defect or condition (e.g., faulty or worn brakes/tires) is determined to have contributed to the accident, include the relevant maintenance history of the vehicle.

(10) Physical condition of the driver, or drivers, including intoxication, fatigue, use of medications or drugs, or other medical condition. The factual portion of the report should include such matters as the number of hours of sleep prior to the accident, the number of hours worked, the amount of alcohol consumed, results of any blood alcohol or other test for intoxication, any medications or drugs taken prior to the accident and the time elapsed between their last use and the accident, and any unusual stress or abnormal condition that might have affected the driver's alertness. The opinion section should address any reasonable inferences that may be drawn from these facts relevant to the cause of the accident.

(11) Driving experience of the driver or drivers, both generally and in the type of vehicles being driven, including the state which licensed the driver(s) and any previous loss of driving privileges and driving-related convictions (e.g., reckless driving, drunk driving, driving without insurance).

(12) Safety devices installed and whether they were being used at the time of the accident.

(13) Conduct of passenger(s). Opinions may include reasonable inferences on the effect of any passenger's conduct on the driver(s).

(14) Facts and opinions relevant to knowledge by any passenger of any impairment of the driver at the time the passenger entered or had a reasonable opportunity to leave the vehicle.

(15) Damage to vehicles fully described (including photos, if available) and repair costs.

(16) Damage to other property (including photos, if available) and repair costs.

(17) Nature and extent of personal injuries and medical costs, documented by relevant medical records, bills, and receipts. If death resulted from the accident, indicate the cause of death and include a copy of the death certificate and any autopsy reports as enclosures. Include the facts and opinions required under section 0251e(5), Claims For Or Against the Government, relevant to personal injuries.

(18) Name, age, address, and telephone number of any witnesses to the accident, a description of their location in relation to the accident scene, their ability to observe from that location, and what they saw.

(19) The name, address, and telephone number of any law enforcement official who investigated the accident. A copy of any law enforcement or police report made concerning the accident should be included as an enclosure and the custodian of the original report should be indicated.

(20) Any civilian or military criminal charges brought as a result of the accident and the ultimate resolution of those charges. Do not delay the report of investigation solely to document the outcome of criminal charges. The CA should forward that information to subsequent endorsers and to the copy-to addressees as it becomes available.

(21) If a private vehicle is involved in the accident, the name, address, policy number, and telephone number of any insurer of the vehicle, including the amount and type of insurance carried and those categories of drivers who are covered by the policy.

(22) An opinion regarding the probable cause of the accident. If the evidence is insufficient to establish probable cause, those factors which in the opinion of the investigating officer contributed to the accident should be listed.

(23) An opinion regarding the contributory or comparative negligence of any party, if any. Consult the cognizant legal service office or SJA for guidance pertaining to the relevant standard and its application.

(24) If not included in the facts relevant to military or criminal charges filed, an opinion concerning any laws, articles of the UCMJ, or regulations violated.

(25) Whether or not the vehicles are economically repairable, and if not, their salvage value.

(26) Whether or not the driver (in case of Government vehicle) was acting within the scope of employment pursuant to state law, and whether injuries sustained by military members were incurred in the line of duty or as a result of misconduct. (See Part E.)

d. Motor vehicle accidents involving a Government vehicle almost always involve the potential for claims for or against the Government. In such cases, refer to section 0251 and include all the facts and opinions required by that section.

e. Recommendations

(1) Whether or not disciplinary action should be taken against any of the parties involved. If disciplinary action has been taken, indicate the result, documented by enclosure. Nonpunitive letters of caution are private in nature and the issuance of such letters should not be addressed in the investigation, nor should copies of such letters be made enclosures to the investigation. If disciplinary action is recommended, but has not been initiated, include as an enclosure a charge sheet with draft specifications. Draft specifications should not be preferred, however, since doing so starts the "speedy trial clock." Consult with the cognizant legal service office or SJA.

(2) If Government property has been damaged, a recommendation as to the disposition of the property as follows:

(a) Repaired and returned to service.

(b) Dropped from the records.

(3) Whether the Government should initiate a claim to recover losses suffered by the Government due to damage to property or injuries to personnel, if any.

(4) Pertinent recommendations on matters of safety procedures.

0244 ACCIDENTS ABOARD SHIPS OR SUBMARINES (GENERALLY)

a. General

(1) Command investigations are normally sufficient to document most shipboard accidents that require more than a preliminary inquiry. Major incidents involving greater losses of life, personal injuries, or property damage will normally be investigated by a court of inquiry. Accidents aboard ships, particularly those involving damage caused by other ships, watercraft, or cargo handling equipment, or injuries to dock workers, shipyard employees, longshoremen, or ship's visitors are likely to involve Admiralty Law aspects and should be the subject of a litigation-report investigation. Consult Chapter XII and the cognizant legal service office or SJA.

(2) Mishap investigation reports. For the sole purpose of safety and mishap prevention, the Chief of Naval Operations has issued special instructions in Chapter A6 of OPNAVINST 5100.19 series for the conduct, analysis, and review of investigations of mishaps that occur aboard ships or submarines. These investigations are conducted by mishap investigation boards appointed for that purpose and the results are documented in mishap investigation reports (MIRs).

(3) JAGMAN investigations. When an afloat mishap results in death or serious injury, extensive damage to Government property, or the possibility exists that a claim may be filed by or against the Government, a JAGMAN investigation shall be appointed to investigate and determine the cause and responsibility for the mishap, nature and extent of any injuries, description of all damage to property, and any and all attendant circumstances. These JAGMAN investigations are in addition to, and separate from, the mishap investigation boards appointed under the provisions of OPNAVINST 5100.19 series.

(4) Combat losses or damage. A JAGMAN investigation is not required for damages to property or injuries to personnel that are incident to direct enemy action. Damage to property or injuries to personnel are incident to enemy action when the

mishap results from hostile action or an unknown cause in a hostile area. Nonetheless, a JAGMAN investigation is required when the damage or injury occurs in the course of combat operations which are not subject to hostile circumstances, e.g., a collision at sea which occurs when the vessels involved are not engaged in action with enemy forces. Commanders or commanding officers may, in their discretion, convene JAGMAN investigations to gather, evaluate, or verify the facts of a combat engagement when enemy action has resulted in the loss or damage to naval ships or submarines, or to determine whether combat losses were sustained by "friendly fire." This subsection relates only to JAGMAN investigations and does not affect any other reporting requirements, such as reports required under article 0831, U.S. Navy Regulations, 1990.

b. Relationship between JAGMAN investigations and safety investigations

(1) The JAGMAN investigation of an afloat mishap is a collateral investigation and is conducted separately and independently from the afloat safety investigation. Due to the separate purposes and procedures of each of these investigations, there are specific limitations and restrictions regarding the integration of JAGMAN investigations with other safety investigations, use of the evidence gathered (including witness statements) by these other investigations, and use and disclosure of those reports. OPNAVINST 5100.19 series provides detailed guidance regarding restrictions on the use of these investigations and the permissible extent of integration between the JAGMAN investigation and safety investigations. The relationship between a JAGMAN investigation and a safety investigation should be thoroughly understood by all persons involved in investigating any afloat accident or mishap.

(2) Statements gathered in the course of an afloat safety investigation are privileged, meaning that when the source of that information has been given a promise of confidentiality, that statement, made before the mishap investigation board (MIB) which made the promise, cannot be used for any purpose other than mishap prevention. OPNAVINST 5100.19 series also gives a promise of confidentiality to those individuals appointed to conduct the afloat safety investigation, meaning that their opinions, analyses, and conclusions cannot be used for purposes other than mishap prevention. In conducting a JAGMAN investigation, care shall be exercised to respect the privileged character of the afloat safety investigation. No witness shall be questioned as to participation in an afloat safety investigation.

(3) Although membership on an afloat mishap investigation board does not bar an individual from being a witness for a JAGMAN investigation of the same incident, participation of mishap board members as witnesses for the JAGMAN investigation should be avoided due to the possibility of undermining the promise of confidentiality crucial to the conduct of safety investigations.

(4) Members of a mishap investigation board and JAGMAN investigating officer(s) shall have access to all real evidence and have separate opportunities to question and obtain statements from all witnesses. JAGMAN investigating officers shall not sit in on interviews conducted by the mishap investigation board.

(5) If a possibility exists that a witness or witnesses will provide information to the mishap investigation board and to the JAGMAN investigating officer(s), the JAGMAN investigating officer(s) shall explain to such witnesses why the apparent duplication of effort is necessary. The explanation shall cover:

(a) the different objectives of the two investigations;

(b) the reasons why the procedures for each investigation vary;

(c) the necessity for respecting and preserving the privileged character of the mishap investigating board; and

(d) the fact that statements obtained by the mishap investigation board will not be available to the JAGMAN investigating officer(s) from any official source because neither command nor administrative action may alter the privileged character of the statements provided to the mishap investigation board.

0245 EXPLOSIONS

a. Required facts and opinions. Criminal law enforcement investigations are required of any fire or explosion of unknown origin affecting DON property

or property under Navy/Marine Corps control. Any such investigation shall be coordinated with NCIS (section 0204c). An investigation involving an explosion should document the type of explosion, the cause of the explosion, the extent and nature of personnel injuries, the nature and extent of loss or damage to property, the estimated dollar amount of the loss or damage of the property, the estimated cost of medical treatment of non-military personnel injured by the explosion, the person(s) (if any) responsible for the explosion, and all other pertinent facts and circumstances. Command investigations are normally used to document nonlethal explosions, or where property damage is minor. If the explosion caused great loss of life or property damage associated with a major incident, a court of inquiry will normally be used.

(1) The following information shall be included in the report:

(a) Date, time, and location of the explosion (use compartment name or number if applicable);

(b) Type of explosion;

(c) Kind and quantity of the materials, gases, etc. that were involved;

(d) Measurable time intervals, if any, between explosions;

(e) Existence of barricades and protective gear and the effect of the explosion on them;

(f) Existence of any natural obstructions such as a hill, forest, or other object intervening between the site of the explosion and the areas affected;

(g) Description of any loss or damage to Government and private property and estimated dollar amount needed to replace or repair the loss or damage;

(h) Range and extent of damage as indicated by maps or photographs showing the following:

1. Radius of complete destruction;

2. Radius of structural damage beyond economical repair;

3. Radius of repairable structural damage;

4. Radius of general glass breakage;

5. Distances that significant missiles were projected, including kind and weight;

6. Distance between locations, if explosions occurred at more than one location; and

7. Distance between ships and other vessels or structures affected and distances to nearby ships or structures not affected.

(i) Approximate shape and dimensions of crater, if any, including depth and kind;

(j) Weather and atmospheric conditions and their effect on shock waves;

(k) Personnel involved and the extent of the involvement, their qualifications in terms of the Personnel Qualification Standards (PQS) System or other required safety qualifications, the level of training of the personnel involved, and whether the level of training met required standards;

(l) Identity of personnel injured or killed (with full description of injuries supported by medical records and autopsy reports, as required) (see Part F for special considerations in death cases);

(m) Description of the safety precautions or operating procedures that were in effect at the time of the explosion and whether they were observed or violated; and

(n) Opinions on the probable cause(s) of the explosion.

(2) An environmental assessment of the damage caused by the explosion may be necessary, particularly if there is evidence of chemical contamination of the surrounding area. Consult the cognizant legal service office or SJA.

b. Other reports. Ashore explosive mishaps involving conventional ordnance are also reported under the separate procedures established in Chapter 5 of OPNAVINST 5102.1 series. Afloat explosive mishaps are also reported under the separate procedures established in Chapter A6 of OPNAVINST 5100.19 series.

0246 STRANDING OF A SHIP OF THE NAVY

a. General. An investigation involving the stranding of a ship shall include all pertinent logs, charts, orders, regulations, condition of the sea and weather, rate and direction of the tidal stream, time of the tide, and other factors involving natural elements. Additionally, any mechanical or electronic deficiency or failure in the ship pertinent to the stranding shall be investigated and reported. The investigation shall ascertain the cause and responsibility for the stranding and resulting damage. The stranding of a Navy ship, unless only insignificant damage results, is usually a major incident. A court of inquiry will normally be convened unless the preliminary inquiry indicates that a command investigation will be sufficient to establish the facts. These incidents may also involve Admiralty Law aspects. Consult Chapter XII and the cognizant legal service office and SJA.

b. Determination of ship's position. The investigation shall determine whether the proper chart provided by the Department of the Navy was used, whether the position of the ship at the last favorable opportunity to avoid the casualty was accurately determined and, if not, when it was last accurately ascertained. To enable the investigative body to fix the true position of the ship at the time of her grounding, an officer not attached to the ship involved may be directed to ascertain the position of the ship from the data available.

c. Navigation in pilot waters. If land was sighted and the distance estimated before the ship struck, steps taken during the time land was in sight to correct the ship's course and speed will be reported. The extent to which applicable instructions (e.g., those contained in Coast Pilot or Sailing Directions) were observed should be noted.

d. Other reports. Strandings are also reported under the separate procedures in Chapter A6 of OPNAVINST 5100.19 series.

0247 COLLISIONS

a. General. If there is a collision involving a naval vessel or damage caused by a naval vessel to any shore structure, fish net or trap, buoy, or similar foreign object that results in property damage or personal injury, the appropriate officer in command shall ensure that an investigation is ordered to determine responsibility for the accident, the extent of injuries to personnel, the damage and probable cost to repair the vessel, and other attendant circumstances. The record of an investigator appointed to investigate a collision should contain the name, grade, class of service, permanent home address, length of service, and marine experience of each material witness to the collision. Consult Chapter XII and the cognizant legal service office or SJA regarding Admiralty Law aspects of collision investigations, including authorization for use of a letter report in cases that only involve minor admiralty claims. Collisions will normally be investigated by a court of inquiry due to the significant property damage and potential for loss of life involved. A command investigation may be used where the preliminary inquiry indicates it will be sufficient to establish the necessary facts.

b. Required facts and opinions. The following information shall be included in the report:

(1) Tactical situation at the time of collision;

(2) Personnel manning and qualifications of the Command Duty Officer, Officer of the Deck, Junior Officer of the Deck, Diving Officer, Helmsman, Lookouts, Combat Information Center watchstanders (including Sonar Team, Fire Control Tracking Party and Navigation Team), phone talkers, and location of Commanding Officer and Conning Officer;

(3) Material condition and performance characteristics at the time of the incident of installed radar, sonar, navigation, periscope, ballast, blow and vent, underway replenishment, and ship's control systems (including steering and engine controls), if the performance of such systems may have contributed to the collision;

(4) Communication systems performance including radio (hand held, bridge to bridge, and tactical circuits), telephone, oral (loudspeaker/hailer), signal flag, flashing light, and sound-powered phones, to the extent such performance may be relevant;

(5) Rules of the road pertaining to the circumstances, operating area factors, adherence to operational area boundaries, existence of safety lanes, depth constraints, type of bottom, depth separation and changes, when relevant;

(6) Weather, visibility, and any other relevant environmental factor;

(7) Role of pilot, tugs and line handlers, their experience and any difficulties encountered (language, lack of experience with type of vessel); and

(8) Use and accuracy of aides to navigation including charts (correct, up to date), sailing directions/coast pilot, fleet guide, tide and current conditions as calculated and as experienced, maintenance of required navigational standards (frequency of fixes, track laid out, estimated positions plotted, set and drift calculated and plotted, track projected), Notices to Mariners up to date and consulted, radar and visual points designated and logged, navigation team properly briefed.

c. Collisions with vessels or damage caused by naval vessels to property other than that of the Navy. Besides complying with the admiralty claims procedures in Chapter XII, the appropriate officer in command shall ensure that an appropriate investigation is ordered. If the collision is not a major incident, then a litigation-report investigation should be convened unless there are overriding reasons for using a command investigation. No officer, pilot, or agent of a nonnaval vessel involved in a collision with a naval vessel shall be designated a party or accorded the rights of a party without concurrence of the Secretary of the Navy.

d. Damage to naval vessels or property caused by nonnaval vessels. Incidents involving damage to naval vessels or property caused by nonnaval vessels or floating objects should be investigated per subsections a, b, or c above.

e. Other reports. Collisions are also reported under the separate provisions in Chapter A6 of OPNAVINST 5100.19 series.

0248 ACCIDENTAL OR INTENTIONAL FLOODING OF A SHIP

a. General. If the investigated mishap is a flooding, the first determination to be made is whether the flooding is significant enough to document. Generally, flooding is considered significant when one or more of the followings conditions exist: damage is caused to major/vital equipment; origin of the flooding is suspicious; flooding delays deployment, causes significant change in operating schedule, or degrades mission capability; naval personnel were responsible for the flooding; defective naval design, specifications, or installation may have caused the flooding; or unsound operating doctrine or procedures caused or contributed to the flooding. Command investigations are normally used to document flooding.

b. Required facts and opinions. The following information shall be included in the report of investigation into flooding:

(1) Date, time, and location of the flooding by compartment name or number;

(2) Source and type of flooding, e.g., (salt or fresh water, oil, JP-5);

(3) How the flooding was detected;

(4) Type of de-watering equipment that was used and its effectiveness;

(5) Draft forward and aft and list of ship, before and after damage. (Note: drafts may have to be estimated from drafts recorded on departure from last port and on arrival in port after damage.);

(6) General distribution and amount of variable weights, particularly fuel and water, before damage;

(7) Compartments flooded and the rate of flooding for each one, including time when:

(a) flooding started;

(b) flooding detected;

(c) time General Quarters sounded, or duty emergency repair party was called away;

(d) flooding was stopped or brought under control; and

(e) de-watering was completed;

(8) Description of the physical effects of the flooding and the extent of damage (hull, machinery, equipment, electronics, supplies, cargo, etc.), including photographs, or diagrams to document the range and extent of damage;

(9) Date of last inspection of the involved spaces with any noted discrepancies;

(10) Ship's location at sea or in port;

(11) Ship's condition of readiness;

(12) Effect on the ship's ability to carry out its mission;

(13) Summary of the steps taken to control damage and to correct the list, trim, or depth;

(14) Performance of installations such as flood control, automatic door, and hatch closures;

(15) Estimated dollar amount of damage or repairs required, including damage to personal property which may result in a claim against the Government;

(16) Opinion on the probable cause of the flooding, including the cause of progressive flooding of other compartments (e.g., material condition of readiness violated, failure of structure, deficiency of structure); and

(17) Opinion on whether the occurrence of a similar type of flooding is possible on another ship.

0249 FIRES

a. General. If the investigated mishap is a fire of unknown origin affecting DON personnel or property under Navy/Marine Corps control, any investigation shall be coordinated with NCIS (sections 0204c and 0234). The next, determination to be made is whether the fire is significant enough to document. Generally, a fire is considered significant when one or more of the following conditions exist: damage is caused to major/vital equipment; origin of the fire is suspicious; fire delays deployments, causes significant change in operating schedule, or degradation of mission capability; naval personnel were responsible for the fire; defective naval design, specifications, or installation may have caused the fire; or unsound operating doctrine or procedures caused or contributed to the fire. Command investigations are normally used to document fires, unless the damage to property or loss of life involved rises to the level of a major incident. Fires in quarters ashore should normally be investigated by a litigation-report investigation since claims are usually involved.

b. Required facts and opinions. The following information shall be included in the report of investigation of fires:

(1) Date, time, and location of the fire (use compartment name or number if applicable);

(2) Class of fire;

(3) Method by which fire was detected;

(4) Time when:

(a) fire started (detected);

(b) fire was reported;

(c) General Quarters sounded, or fire party was called away;

(d) fire located;

(e) fire-fighting started;

(f) reflash watch was set;

(g) boundaries were set; and

(h) fire was extinguished.

(5) Type of fire-fighting organization that was used, e.g., duty section fire party, Condition One fire and repair party, base firefighters, civilian fire department;

(6) Number of personnel who responded to the fire, their level of fire-fighting and damage control training;

(7) Effectiveness of fire/repair locker organization, maintenance of organization charts, and leadership;

(8) Effectiveness of installed damage control systems and equipment;

(9) Type of extinguishing agent used and its effectiveness;

(10) Availability and operability of extinguishing equipment;

(11) System of communications that was used and any difficulties in communication;

(12) Description of the physical effects of the fire (radii of losses and damage with respect to fire, smoke, and water, extent of the spread of the fire), including maps, photographs, or diagrams to document the range and extent of the damage;

(13) Date of last inspection of the involved spaces with any noted discrepancies;

(14) Ship's location at sea or in port;

(15) Ship's condition of readiness;

(16) Effect of the fire on the ship's ability to carry out its mission;

(17) Estimated dollar amount of damage or repairs required, including damage to personal property which may result in a claim against the Government;

(18) Identity of personnel that were injured or killed (with full description of injuries, medical records, autopsy reports, as required) (see Part F for special considerations in death cases);

(19) Opinion on the cause of fire and the factors that contributed to the spread of the fire; and

(20) Opinion on whether the occurrence of a similar type of fire is possible on another ship.

0250 LOSS OR EXCESS OF GOVERNMENT FUNDS OR PROPERTY

a. General. Article 0814, U.S. Navy Regulations, 1990, requires commanding officers to recommend or convene an investigation under the provisions of the JAG Manual into the circumstances of all deficits (losses) or excesses of public funds or property in the custody of persons under their command, unless properly excused by higher authority. A command investigation is usually sufficient for this purpose. The following general provisions are pertinent:

(1) To verify the existence and amount of a deficit or excess, a prompt audit (preliminary inquiry) of funds or property records normally should precede the decision to convene a JAGMAN investigation. Consultation with an appropriate assist team is encouraged prior to convening a JAGMAN investigation.

(2) A JAGMAN investigation may be required even if the custodian of funds or property is not an accountable person, as defined in Department of Defense Financial Management Regulation (DOD 7000.14-R), Volume 5, "Disbursing Policy and Procedures."

(3) A JAGMAN investigation may be a prerequisite, under section 0167, to setoff against pay, losses by nonaccountable personnel, and is the primary source of information in determining whether or not relief of liability may be granted to the custodian in cases of lost funds in amounts of $750.00 or more.

(4) Criminal law enforcement investigations are required if there is any indication that the loss or excess was caused by fraud, embezzlement, theft, or other criminal act. Any such investigation should be coordinated with the Naval Criminal Investigative Service. See section 0204c. Whether or not a criminal investigation is conducted, inventory records must be corrected with a supporting survey (Financial Liability Investigation of Property Loss (DD Form 200)). Losses or excesses of Government funds shall be investigated and reported either by JAGMAN investigation or by the procedures established in DOD 7000.14-R, Volume 5.

(5) Commanding officers or reviewing authorities should consider conducting a preliminary inquiry when recurring losses or excesses indicate carelessness in handling public funds or property, and regular management reviews and reports are not considered adequate to remedy the situation. A JAGMAN investigation may be appropriate even though each loss or excess, by itself, would not normally require one. Navy publications applicable to the type of funds or property involved (e.g., including, but not limited to, NAVSUP P-486 for provisions afloat, or P-487 for ships' stores) should be consulted for those amounts of losses or excesses that are considered normal for the volume of business conducted, and for those amounts that warrant further investigation.

(6) For losses or excesses of property (not funds), the procedures for Financial Liability Investigation of Property Loss (DD Form 200) meet the requirements for an investigation in most situations. The original report will be forwarded in accordance with survey regulations, and a duplicate original will be forwarded as set out in subsection h.

(7) When the cause of loss or excess in the funds or property of a financially accountable custodian cannot be determined, negligence on the part of the custodian is normally presumed by the relief authority when considering requests for relief of liability.

(8) Other than section 0167, there is no authorization to collect the value of lost public property from nonaccountable personnel, even when caused by fault or negligence. Disciplinary action, however, may be taken, if appropriate, based on investigation findings of culpability.

b. Specific guidance

(1) Public funds. JAGMAN investigations are required for all losses or excesses of public funds, except as follows:

(a) When a loss of disbursing funds is voluntarily liquidated by the custodian under applicable provisions;

(b) When the loss or excess is less than $750.00 in a single incident or related series of incidents; or

(c) When routine accounting adjustments to accounts are appropriate to reflect a discrepancy in money on hand.

(2) Public property. A Financial Liability Officer (formerly called a Survey Officer) or Financial Liability Board (formerly a Survey Board) must inquire into, and report on, all losses or excesses of public property, unless an adjustment to accountable records is otherwise authorized by Naval Supply System Command regulations.

(a) JAGMAN investigations are not generally required for those losses or excesses for which a Financial Liability Investigation of Property Loss (survey) is not mandated by Naval Supply Systems Command regulations. This includes such actions as food service "losses without survey," ship's store "non-disproportionate losses or gains," supply stock or other property book material losses or excesses which are below survey thresholds, or when other routine accounting adjustments to property accounts or inventories are appropriate to reflect a discrepancy in the property on hand. Repetitive minor losses, however, which are indicative of negligence may warrant an investigation as discussed in subsection a(5) above. Furthermore, a JAGMAN investigation may be directed by higher authority in the chain of command or by Commander, Naval Supply Systems Command.

(b) To ensure independent investigation, the officer having custody of the property lost or in excess should not be designated the Financial Liability Officer to conduct the survey.

(3) Postal funds or property. Postal funds are not public funds. Investigations into loss or excess of postal funds or property, therefore, are not required by article 0814, U.S. Navy Regulations, 1990. OPNAVINST 5112.6 series, however, requires a commanding officer to convene an investigation into any "postal offense" listed in volume I of the DOD Postal Manual. Even where no offense is involved, a commanding officer should consider convening an investigation into any postal loss in which an accountable naval postal clerk or officer has not made voluntary restitution. Such an investigation may be needed by the Postal Service for action on a request for relief of liability by the accountable individual.

(4) Nonappropriated funds or property. Nonappropriated funds are not public funds. Whether to convene an investigation under this Manual into losses or excesses of nonappropriated funds or nonappropriated fund property is in the discretion of the commanding officer or higher authority. In dealing with losses or excesses of "nonappropriated fund activities," however, it is important to note that some receive partial appropriated fund support. Losses or excesses of appropriated funds and appropriated fund property in the hands of nonappropriated fund activities must be investigated under subsections b(1) and b(2) above.

c. Primary references for processing losses or excesses of Government property. Primary references for processing losses or excesses of Government funds and property include:

(1) Department of Defense Financial Management Regulation (DOD 7000.14-R), Volume 5, "Disbursing Policy and Procedures."

(2) Department of Defense Manual (DOD 7200.10-M), "Accounting and Reporting for Government Property Lost, Damaged or Destroyed."

(3) Naval Supply Systems Command Manual, Volume II, "Supply Ashore."

(4) Naval Supply Systems Command Publication 485, "Afloat Supply Procedures."

(5) Naval Supply Systems Command Publication 486, Volume I, "Food Service Management - General Messes."

(6) Naval Supply Systems Command Publication 487, "Ships Store Afloat."

(7) Marine Corps Order (MCO) P4400.150 series, "Consumer Level Supply Policy Manual."

d. Type of investigation. At the conclusion of the preliminary inquiry, the CA must determine which of the options listed in section 0205 to exercise. Where disciplinary action may be a consideration, see section 0218. For losses of property, the CA may use a survey procedure under applicable Navy or Marine Corps regulations in lieu of an administrative investigation under this Manual. Original reports of survey generated by such bodies shall be forwarded as specified in the regulations under which they are convened. A duplicate original shall be forwarded in the same manner as reports of investigation under section 0219 and section 0250h below. This provision does not limit a CA's discretion to convene another type of investigation under this Manual in addition to a survey procedure. Regardless of the type of investigation convened, coordination with concurrent investigators from other Department of the Navy organizations or other Federal agencies may be required under section 0202.

e. Loss investigations: special notice to individuals affected. In any investigation into a loss of funds or property in the custody of an accountable individual, or for the purpose of making an administrative determination of accountability under section 0167b, the accountable individual(s) shall, in addition to other warnings and advisements required by law or regulation, be advised of the following:

(1) The investigation extends to all facts relating to the loss, its causes, its dollar value, and the kinds and degrees of individual responsibility for the loss.

(2) The findings of the investigation may be a basis for any of the following actions that are applicable to the loss:

(a) Determination of financial liability of the accountable individual for loss of property or funds derived from sale of property by the Commander, Naval Supply Systems Command, Chief, Bureau of Medicine and Surgery, or Deputy Chief of Staff for Installations and Logistics, U.S. Marine Corps, as appropriate, under 31 U.S.C. § 3531;

(b) Determination whether relief of liability will be granted for physical loss or improper payment of disbursing funds or documents, upon request of the accountable individual, by the Secretary of the Navy or the Comptroller General, under 31 U.S.C. § 3527;

(c) Determination by the commanding officer to hold a non-accountable individual liable for the loss under section 0167.

(3) In loss of funds cases, negligence of the accountable individual may be presumed by the Secretary of the Navy or the Comptroller General if the loss remains unexplained.

(4) The affected individual may present evidence for the consideration of the investigating officer(s). The investigating officer(s) may, however, refuse to accept evidence that is irrelevant, lacking in probative value, unduly voluminous, or whose inclusion would unduly delay the investigation.

(5) An accountable individual may request to liquidate voluntarily a loss of disbursing funds under the applicable provisions of Department of Defense Financial Management Regulation (DOD 7000.14-R), Volume 5, "Disbursing Policy and Procedures."

f. Required facts and opinions. Chapter 6, section 0607, Department of Defense Financial Management Regulation (DOD 7000.14-R), Volume 5, "Disbursing Policy and Procedures," provides specific procedures, findings and recommendations for investigation of

major losses of funds due to physical loss, or illegal, incorrect, or improper payment. Command investigations appointed under the JAGMAN are used in the case of major losses of funds, defined as those losses of $750.00 or more or any physical loss where there is evidence of fraud within the accounting function, regardless of the dollar amount. JAGMAN investigations are not required in the case of minor losses, defined as losses of less than $750.00 without any evidence of fraud internal to the accounting function. Chapter 6 of DOD 7000.14-R, Volume 5, provides the procedures for investigating and reporting minor losses. In addition to any specific requirements of the appointing order or DOD 7000.14-R, investigations into losses or excesses of public funds or property must include, at a minimum:

(1) What items were lost or found in excess and the exact dollar value of the loss or excess, e.g., property, vouchers, cash, and so forth.

(2) The nature of the loss or excess (inventory gain or loss, cash shortage, or overage, etc.) and, in case of loss of funds, whether the loss was a loss of proceeds of sale of Government property, a physical loss of funds, or the result of illegal or improper payment. (Losses due to embezzlement or fraudulent acts of subordinate finance personnel, acting alone or in collusion with others, are physical losses, while all other payments on forged checks or vouchers are improper payments.)

(3) How the loss or excess is being carried in the command's accounts.

(4) The facts and circumstances surrounding the loss or excess, and an opinion as to the cause of the irregularity or, if the cause cannot be determined, the most likely cause and the reasons it is so considered.

(5) The identity and position of the accountable officer, and the identity and position of any other person who had custody of the funds or property in question.

(6) The general reputation of the accountable individuals for honesty and care in the handling and safeguarding of funds or property entrusted to them.

(7) The experience and training of the accountable individual in the handling of funds or property, as appropriate, and the workload, including collateral duties, of the accountable individual at the time of the irregularity.

(8) A description, with diagrams where appropriate, of the physical working conditions of the accountable individual who incurred the loss or excess, including a description of physical security arrangements and devices, and security containers and persons with access to them, if applicable, and a statement of whether they were being used properly at the time of the irregularity.

(9) A description of the internal control procedures in effect in the division, department, or office where the irregularity occurred, and a statement whether they were being applied properly at the time of the irregularity. If relevant, include information on recent inspections, assist visits, management control reviews, or other evaluations of procedures.

(10) Identification of the regulations pertinent to the handling of the property or funds involved and a statement whether the regulations were followed.

(11) A description of remedial measures taken to prevent recurrence of the irregularity.

(12) An opinion whether the loss or excess was proximately caused by the fault or negligence of any accountable individual or by an act of a non-accountable individual that can be the basis for financial liability under section 0167.

g. Guidelines for determining fault or negligence

(1) "Fault" means conduct showing bad faith, gross mismanagement, or neglect of care and may be inferred from irregularities resulting from inattention, dereliction, or perversity.

(2) "Negligence" means failure to exercise care that a reasonable, prudent, accountable person would have exercised under the same or similar circumstances. Failure to know and follow regulations for the care and safeguarding of public funds or property normally is considered negligence, as is failure to follow normal and customary disbursing, collection, or safeguarding procedures or standards without sufficient reason.

(3) "Proximate cause" means the irregularity was the direct and foreseeable consequence of an act or omission, or that the act or omission created the conditions for occurrence of the irregularity. A proximate cause is a cause without which the irregularity would not have occurred.

(4) Burden of proof. There is no burden of proof on the Government to show fault or negligence on the part of an accountable individual. The individual is automatically accountable for the loss and has the burden of establishing that he was not at fault or negligent in order to avoid financial liability. Normally, however, investigators and reviewing authorities should not presume fault or negligence from the mere fact that an irregularity occurred, except that negligence may be presumed when a loss of public funds is entirely unexplained.

h. Distribution. Reports of investigation under this section should be forwarded as described in section 0219. In addition, reports should be provided as follows:

(1) For investigations of losses or excesses of disbursing funds or documents, a copy, as finally reviewed and acted upon per section 0209h, shall be forwarded to Director, Defense Finance and Accounting Service, Cleveland Center, Code FFA, 1240 E. 90th Street, Cleveland, OH 44199; and

(2) For investigations of losses or excesses of Government property or proceeds from the sale of Government property, the Commander, Naval Supply Systems Command, the Chief, Bureau of Medicine and Surgery, or the Commandant of the Marine Corps (Code LA), as appropriate.

0251 CLAIMS FOR OR AGAINST THE GOVERNMENT

a. General. An investigation ordered to inquire into an incident may, if a claim for or against the Government is involved from the same incident, be ordered to include those considerations required by Chapter VIII. In such cases, the separate investigation required by the claims regulations need not be made, but the "dual purpose" investigation must include the information necessary for claims adjudication. Combining a claims investigation with an inquiry or investigation ordered for other reasons is discretionary. Litigation-report investigations shall be used when documentation of the facts in anticipation of a claim is the primary purpose of the investigation. Claims often arise, however, from major incidents investigated by courts of inquiry, or from incidents documented by a command investigation. The type of investigation convened must take into account that a command investigation or court of inquiry, once begun, may not be protected from subsequent release to the public and use in litigation. CA's should consult the cognizant judge advocate regarding the type of investigation to convene in any case in which there is a substantial possibility of a claim for or against the Government. When a claim is likely to result from an incident giving rise to an investigation, a copy of the investigation must be provided to JAG and to the cognizant legal service office. Any investigation of an incident which may give rise to a claim should document the facts discussed in this section.

b. Procedures when claims matters are involved. When conducting an investigation into claims matters the investigator(s) shall be guided by Chapter VIII, and endorsements to the report of investigation shall include any matters required by that chapter. Additionally, JAGINST 5890.1 series provides detailed guidance regarding claims processing procedures.

c. Forwarding records. The investigation convened specifically to document matters that are expected to give rise to a claim for or against the Government shall normally be a litigation-report investigation conducted under the direction and supervision of a judge advocate. As discussed in section 0210, the CA of a litigation-report shall retain a copy of the report and forward the original to the Judge Advocate General (Code 35) via the staff judge advocate of the GCMCA in the chain-of-command. Copies shall be provided to the servicing legal service office upon completion of the CA's endorsement. The commanding officer of the cognizant naval legal service office is authorized to settle certain claims and will review claims in excess of his settlement authority prior to forwarding to JAG. The CA will also provide copies to his or her superiors in the chain-of-command and other commands which have a direct official need to know the results of the investigation. Chapter VIII and JAGINST 5890.1 provide guidance for reports that must be forwarded to higher authority.

d. Claims arising in foreign countries. Claims that arise in foreign countries shall normally be handled under Chapter VIII, applicable treaties, or international agreements. The appointing order shall reference these sources for guidance in conducting the investigation.

e. Required facts and opinions. Incidents giving rise to claims for or against the Government are investigated using all three JAGMAN investigative methods, i.e., command investigations, litigation-report investigations, and courts and boards of inquiry. While litigation-reports are used to document facts and gather evidence in cases in which the primary interest is adjudication of a claim or litigation, many incidents will be investigated by courts of inquiry or command investigations, particularly when the incident being investigated involves large scale property damage, loss of life, or raises issues concerning the management of naval activities. It is necessary, therefore, that the investigating officer consult and work closely with a judge advocate who will be able to assist with the specific requirements of each case. All investigations into incidents which may result in claims, however, must answer the following fundamental questions:

(1) The identity of those involved, including name, rank/grade, unit, age, address (home and work), telephone number, occupation, and how they were involved, e.g., deceased as a result of the incident (in which case, identifying information for the next-of-kin or legal representative must be provided, as well), injured party, owner of property damaged, military member whose acts or omissions are alleged to have caused the harm, or witness. The findings of fact should provide information on how those involved may be located. Moreover, every attempt should be made to obtain a permanent address that will be accurate for at least 5 years after the accident. Indicate for each individual their status as military (in which case indicate Regular or Reserve, on active duty, TAD, leave, liberty, and so forth at the time of the incident, after consulting section 0253 with regard to Reserves) or civilian (indicate whether they are a Federal employee, or are a personal services contractor employed by an independent contractor). If maintenance or training is involved, identify the individual responsible for the maintenance or training at issue;

(2) Date, time, and place of incident, including a full description of location, terrain, weather, light conditions, obstructions, and photographs of the site;

(3) Nature of the claim (e.g., wrongful death, personal injuries, property damage);

(4) A factual description of what happened, how the parties were injured, what equipment was being used, who was operating the equipment, who was supervising (or should have been supervising), whether equipment failed or was operated incorrectly, if equipment failure, the maintenance history of the equipment, if the injury occurred on Government property, the condition of the property, who was responsible for the property's upkeep, the authority for the injured party to be present on Government property;

(5) The nature and extent of personal injuries, if any:

(a) amount of medical, dental, and hospital expenses incurred, supported by itemized bills or receipts for payment;

(b) nature and extent of treatment, e.g., the number of days hospitalized, the name and address of all treating hospitals and medical facilities, the name(s) and addresses of all treating physicians or other care givers, extent and nature of all follow-on or outpatient care;

(c) prognosis;

(d) degree of disability, if any (e.g., total, partial permanent, partial nonpermanent, describe limits of use);

(e) diminished earning capacity, if any;

(f) Necessity for future treatment and estimated costs, if any;

(g) Salary/earnings lost due to time lost from employment (e.g., actual number of work days lost, estimated compensation for that period based on hourly wage or salary), indicate full time, part-time, or self-employed;

(h) If an individual died as a result of the incident under investigation and the estate or survivors file a claim against the Government, consult with a judge advocate regarding the wrongful death or survival statute applicable in the jurisdiction where the harm occurred. Document the time of death relative to the injury, intervening treatment and state of consciousness, cause of death as established by autopsy, pre-existing medical conditions, age, occupation, burial expenses, and heirs;

(6) Amount of property damage, including photographs before and after, if possible, and estimates or bills of repair and receipts, whether any pre-existing damage existed, original purchase price, date of purchase, salvage value of property, if any;

(7) Extent of damage to Government property, estimates or bills of repair and receipts, original purchase price, date of purchase, and salvage value of property, if any. If no damage, so state;

(8) Whether the claimant has insurance for this type of damage or injury, the insurance company, policy number, policy provisions relevant to this claim or incident, extent of coverage, limits on liability, whether a claim has been or will be made against the insurance carrier, the status of any such claim;

(9) Names and addresses of other owners, if claimant is not the sole owner of the property;

(10) Existence of any police or other investigative report, name and address of investigating officer and unit, custodian of original investigation (provide a copy of any police report as an enclosure);

(11) Whether civilian or military criminal charges were filed, the jurisdiction in which they were filed, and the status or final disposition of those charges;

(12) Existence of any law, regulation, or order relevant to the incident and whether it was violated;

(13) If a stray animal was involved, whether the jurisdiction has an "open range" law (attach a copy as an enclosure);

(14) An opinion whether any military personnel involved were acting in the scope of their employment at the time of the incident;

(15) An opinion regarding the cause(s) of the incident. If the facts are insufficient to form an opinion regarding the cause(s), indicate those factors which significantly contributed to the incident;

(16) An opinion regarding fault or negligence;

(17) An opinion whether a claim is likely to be filed, the amount likely to be claimed, and the names and addresses of any potential claimants and their legal representatives, if any; and

(18) Whether a claim should be filed by the Government for personal injuries to its employees or property damage.

f. Sonic booms/jet noise/artillery noise. The nearest Navy or Marine Corps aviation activity receiving notice that a sonic boom occurred within the United States, regardless of whether damage was reported, is responsible for an inquiry to determine whether a military aircraft caused the disturbance. The inquiry shall include queries to all Navy, Marine Corps, Air Force, Air National Guard, and other military facilities in the area where supersonic aircraft operate. All traffic, transient as well as local, shall be checked.

(1) The principal types of damage caused by a sonic boom are glass and plaster damage. Less frequently, claims are received for damage allegedly caused to brick walls, driveways, concrete foundations, and other major structural elements. Studies have shown that it is almost impossible for a sonic boom to generate over-pressures of sufficient intensity to cause such structural damage regardless of the aircraft's altitude. Whenever questionable items of damage are claimed, the services of a construction engineer or other professionally qualified person should be employed as investigator or as consultant to the investigator. The following information shall be included in any investigative report regarding sonic booms, jet noise, or artillery noise:

(a) detailed description of alleged damage;

(b) photographs of the allegedly damaged building or structure and of the specific area of damage;

(c) detailed description of the building or structure involved, including significant details of construction, size of rooms, age, and general state of repair;

(d) detailed examination and description of any alleged plaster damage;

(e) existence or absence of glass damage in the allegedly damaged building or structure and whether any other glass damage resulting from the incident was reported and verified;

(f) whether windows and doors were open or shut at the time of the boom;

(g) whether any loose objects, such as dishes, glassware, or trinkets inside the building or structure were moved as the result of the boom;

(h) existence or absence of similar damage to other buildings in the immediate neighborhood;

(i) type of surrounding community development, type of construction, and density of buildings or structures in the immediate area, and so forth;

(j) occurrence or absence of seismic disturbances registered in the locality at the time involved;

(k) other potential sources of damage, such as heavy truck or rail traffic, explosions or earthquakes, and their distance and direction in relation to claimant's building or structure;

(l) any unusual weather or climatic conditions that may have affected the building or structure;

(m) complete physical description of the aircraft alleged to have caused the damage, including markings, whether jet or propeller driven, and any other distinctive characteristics;

(n) full description of the approximate altitude, maneuvers, speed, direction of flight, time of day, date, formation and number of aircraft;

(o) any complaints of noise or sonic booms received by any duty office which coincides with the alleged damage; and

(p) authorization, description of flight, aircraft involved, applicable charts, and air controller transcripts or audiotapes of aircraft in the vicinity of the alleged damage.

(2) If, after investigation, it is considered that a sonic boom, jet noise, or artillery noise incident occurred and it resulted from Navy or Marine Corps operations, action shall be taken under Chapter VIII. If it is considered that the sonic boom, jet noise, or artillery noise was caused by activities of another U.S. military service, claims received, and any investigative material shall be forwarded to the appropriate command, and the claimant so informed. If the sonic boom or noise was caused by non-military activities (e.g., National Aeronautics and Space Administration, aircraft manufacturers) or if the source cannot be determined, action shall be taken under Chapter VIII. Opinions as to the cause of a sonic boom, jet noise, or artillery noise, shall not be expressed to a complaining party, except by a person authorized to negotiate the settlement of the claim.

0252 HEALTH CARE INCIDENTS

a. General

(1) Incidents arising out of the delivery of health care in a military treatment facility shall be investigated in accordance with this section. The purposes of the investigation are to gather all facts pertinent to the incident, to determine the cause and contributing factors to the incident, and to ascertain the nature and extent of injuries suffered as a proximate result of the incident. Investigations under this section are separate from any quality assurance investigation conducted by the staff of the military treatment facility solely for quality assurance purposes. See paragraph b below. Most health care incidents should be documented by a command investigation, or if a claim is anticipated, a litigation-report investigation.

(2) Health care investigations shall be convened in the following circumstances:

(a) when a claim has been filed against the United States, its officers, or its employees as a result of a health care incident. Incidents involving Government contractors and their employees should also be investigated if it is likely that the United States may be joined or impleaded as a party to a

lawsuit, or where a claim under a contract between the United States and the contractor is likely.

(b) in any case involving death, or a potentially compensable event, where the adequacy of health care rendered by Government employees or provided in a military treatment facility (MTF) is reasonably in issue. Potentially compensable events include:

1. unexplained death (including apparent suicide);

2. any complication in treatment which results in: corrective procedure; brain damage; motor weakness; sensory nerve injury; total or partial loss of limb; sensor organ loss or impairment; or reproductive organ loss or impairment;

3. inadvertent blood transfusion with HIV or hepatitis-virus contaminated blood;

4. procedure performed on wrong patient or body part (including extraction of the wrong tooth);

(c) When necessary to make administrative determinations, other than actions involving clinical privileges concerning health care personnel.

(d) When necessary to assist convening and reviewing authorities in making decisions concerning the delivery of health care. In this regard, the impact of the following should be taken into consideration:

1. training of health care personnel;

2. design or maintenance of material or equipment;

3. assignment and qualifications of personnel;

4. supervision of trainees; and

5. health care delivery policies (or the lack thereof);

b. Relationship to medical quality assuranc Program

(1) The Chief, Bureau of Medicine and Surgery, has issued guidance concerning the health care quality assurance program in NAVMEDCOMINST 6320.7 series. Records created as a part of the quality assurance program are privileged documents under 10 U.S.C. section 1102.

(2) Although health care investigations are not created as part of the quality assurance program, and therefore are not entitled to the confidentiality and privilege mentioned above, they may be used as input to the quality assurance review process.

(3) Inquiries into the circumstances surrounding a health care incident done exclusively for quality assurance purposes should be clearly labeled as such. Such inquiries are not subject to the requirements of this chapter.

c. Required facts and opinions. The scope of the health care investigation will vary depending upon the nature and circumstances of the incident under review. The following information shall be included in the report of investigation into a health care incident:

(1) a comprehensive chronology and description of all relevant facts;

(2) identification of all involved health care providers, including their credentials (education, training, and experience), status (trainee or staff; Government employee or contractor), and role (attending, consulting, or supervision). Of primary importance is the full identification of the staff physician responsible for the patient's care at the time of the incident. The findings of fact or enclosures should provide information on how those providers involved may be located. Every attempt should be made to obtain a permanent address. If maintenance of equipment or training of personnel is involved, identify the individual(s) responsible for the maintenance or training at issue;

(3) patient information, including medical history, condition immediately prior to incident under review, and current condition supported by all relevant medical records. Included in this information should be the following:

(a) the patient's name, date of birth, age, sex, address, phone number, marital status, occupation, and dependents;

(b) nature and extent of injuries alleged to have occurred, special damages, additional treatment required, prognosis, degree of disability, loss of chance of recovery, if any, and the names and addresses of subsequent treating physicians or health care providers, if any; and

(c) in instances where a claim has been received or the patient has verbally indicated an intent to file a claim, any interviews with the claimant or other family members should be summarized, and signed by the potential claimant, if possible. Prior to any contact with a claimant or potential claimant, the investigating officer shall clear such contact with the cognizant judge advocate.

(4) A copy of the claim and any other documents or correspondence which shed light on the claimant's or potential claimant's contentions concerning the matter;

(5) A statement indicating all of the medical records, inpatient, outpatient, and special studies (x-rays, tissue slides, EKG tapes, fetal monitoring strips, etc.) have been secured. The investigation must indicate the date and person who secured those items and the current location and custodian of each. Copies of the complete medical record must be included with the investigation. Entries must be reviewed to ensure handwriting is legible and, if illegible, typed transcripts should be attached to the investigation;

(6) All special studies must be retrospectively reviewed to assess whether the original interpretations were accurate. If possible, retrospective reviews must be structured as "blind" reviews, i.e., the reviewer should not be aware of the previous interpretation. A summary containing the name and credentials of the person conducting the retrospective review and that person's findings must be included with the investigation. The summary should not be signed by the reviewer;

(7) Copies of all relevant documents, including:

(a) the MTF staff bylaws;

(b) all relevant MTF policies, procedures, and protocols (clinical/surgical, nursing, and ancillary services such as the laboratory or pharmacy, and health care administrative policies) in effect at the time of the incident that might have a bearing on the issues;

(c) all relevant logbook entries pertaining to the patient maintained by labs/clinics/offices (i.e., emergency room logs reflecting arrival/departure times, ambulance log book/trip sheets/rescue service reports, and centralized appointment registers/print-outs or pharmacy history printouts); and

(d) all patient information pamphlets, brochures, or sheets which were provided to the patient.

(8) In cases involving contract providers, a copy of the contract. Notifying a contractor that a claim exists or a potentially compensable event has occurred must be coordinated with the contractor's representative and the legal advisor to the command. Attach a statement to the investigation indicating the action taken regarding notification to a contractor, and include a copy of any written notification that may have been provided;

(9) For incidents involving possible equipment/device failure, include the following:

(a) photographs of equipment/devices taken before the equipment/device is moved, used again, altered, tested, or repaired. Photographs must be annotated to reflect the time, date, and identity of the person who took the photograph;

(b) the date, location, and names of the persons involved in the evaluation of the equipment/device and the findings thereof. Equipment/devices must be removed from service and secured until examined by appropriate technical representatives. Equipment/devices must not be used, altered, tested, or repaired until properly evaluated; and

(c) copies of maintenance reports and any protocols for the maintenance and repair of the equipment/device in question at the time of the incident.

(10) Results of a review of the staffing levels (physician, nursing, corpsman, and ancillary) at the time of the incident. Include in the review the "currency" of the members to perform their duties at the time of the incident and their "orientation" to

perform the duties assigned at the time of the incident;

(11) A statement of the standard of care for any practices, procedures, policies, protocols, or systems involved in the incident and the basis which establishes that standard of care (provide a copy of relevant medical literature, texts, treatises, articles, policies, practices, or procedures). This refers to clinical/surgical procedures, nursing procedures, ancillary services such as the medical laboratory or pharmacy procedures, and health care administrative policies. The source and date of documents relevant to the standard of care must be provided;

(12) Summaries of expert reviews of the care documented by the investigation. The summary must:

(a) identify the reviewer and the reviewer's credentials, and contain an evaluation (i.e., expert opinion) describing the duty that was owed the patient (standard of care);

(b) indicate the manner in which the duty was either met or not met;

(c) in instances in which the duty was not met, provide an opinion on whether the act or omission resulted in harm to the patient and, if so, a description of the harm, including an explanation of how the harm may affect the patient in the future; and

(d) where there has been a deviation from the standard of care, the summary must contain an opinion regarding the cause(s) or contributing factors for any deviation from the standard, the name(s) of persons responsible for the deviation, and a description of corrective action, if required, in terms of personnel, equipment, or policy.

(13) Each provider whose actions are at issue must be provided an opportunity to make a statement for inclusion in the investigation. The investigating officer should summarize the results of the interview using care to be as accurate and complete as possible. Summaries of interviews with providers shall not be signed but authenticated by the investigating officer's signature.

0253 RESERVISTS

a. Statutory provisions. 10 U.S.C. section 1074a governs entitlement to medical and dental care administered by the Navy for persons in the Navy who incurred or aggravated an injury, illness, or disease while performing active duty or annual training for a period of 30 days or less, or inactive-duty training (or while traveling directly to or from such duty).

b. Annual training. The period of annual training extends from the time of reporting to the time of release, and, if the orders to active duty for training provide for travel, the time of travel to and from the duty station not in excess of the allowable constructive travel time as prescribed in paragraphs 10241 and 80211, DODPM.

c. Investigation. Incidents involving injury or death of reservists occurring during a period of annual training or inactive duty training (drill), as defined above, or that occur while traveling directly to or from places where members are performing or have performed such duty, or any case involving a question of whether a disease or injury was incurred during a period of annual training, inactive duty training (drill), or travel, as defined above, should be investigated. The area coordinator or designated subordinate commander in whose geographic area of responsibility the incident occurred has the responsibility to ensure that investigations are conducted into incidents involving naval reservists. The Commanding General, 4th Marine Division, and the Commanding General, 4th Marine Aircraft Wing, are responsible for ensuring that investigations are conducted into incidents involving reservists within their commands.

d. Required facts and opinions. An investigation involving Reserve personnel should include:

(1) Hour the reservist began travel directly to or from duty or training;

(2) Hour the reservist was scheduled to arrive for, or at which he ceased performing, that duty or training;

(3) Method of travel used;

(4) Actual itinerary and authorized itinerary;

(5) Authorized mode of travel and authorized travel time;

(6) Manner in which travel was performed; and

(7) Place, time, and circumstances of injury or death.

0254 FIREARM ACCIDENTS

a. General. A command investigation shall normally be used to document all relevant circumstances of incidents involving accidental or apparently self-inflicted gunshot wounds.

b. Required facts and opinions. An investigation involving firearm accidents shall include:

(1) Date, time of day, and names and addresses of witnesses present;

(2) Description of physical location of incident and light and weather conditions;

(3) Description of the firearm and its mechanical condition, especially safety mechanisms, and whether the safety mechanisms were used by the firearm handler;

(4) Authorization for possession of the firearm, including how, when, and where it was obtained;

(5) Description of firearm handler's formal training, experience, and familiarity with the firearm's condition, safety procedures, and proper use; and

(6) Discussion of any psychological problems, mental impairment due to drug or alcohol use, and mental responsibility of the firearm handler.

0255 OTHER INCIDENTS

a. Pollution Incidents. When pollution incidents are required to be investigated because of service regulations (other than the JAGMAN) or because of applicable Federal, State, or local laws or regulations, a copy of any report should be submitted directly to the Judge Advocate General and the geographic environmental coordinator as set out in OPNAVINST 5090.1 series. Further guidance concerning pollution incidents is contained in JAGMAN Chapter XIII. A litigation-report investigation should normally be convened, unless the event amounts to a major incident requiring a court of inquiry. The following information shall be included in the report of investigation of pollution incidents and spills:

(1) Location and circumstances of the spill, including the weather and conditions at the site (visibility, darkness, presence/phase of the moon, how, when, and by whom the spill was detected);

(2) Description of the activity occurring when the spill occurred (e.g., shifting fuel, taking on fuel, pumping bilges);

(3) Type of material (e.g., fuel, oil, other hazardous material);

(4) Estimated quantity of material spilled and the basis for the estimate;

(5) Source of the spill, e.g., tank, drum, or valve;

(6) Identity of personnel involved including name, rank/grade, unit, address (home and work), age, training and experience for task, and who was (or should have been) providing supervision;

(7) Whether required reports were made (e.g., reports required by OPNAVINST 5090.1 series, reports to the National Response Center, reports required by state and local law, reports to the Navy operational chain-of-command, and reports under the Emergency Planning and Community Right-To-Know Act (EPCRA);

(8) Whether local SOPA and command instructions were complied with;

(9) Description of cleanup, including membership of the quick response team, training, response time, actions taken, equipment used, effectiveness of equipment and personnel, availability and readiness of equipment and personnel;

(10) Nature and extent of damages to Government and private property;

(11) Personal injuries, if any, including name of injured parties and extent of injuries (see section 0251 regarding claims);

(12) Attach copies of relevant training documents (e.g., Personnel Qualification Standard (PQS) records), deck/watch logs, and engineering logs which support the facts; and

(13) An opinion regarding the cause of the spill, e.g., faulty equipment, container, fitting, valve, operator error/safety, or operational procedure error.

b. Combined investigations of maritime incidents. For maritime incidents involving two or more NATO countries, commands may conduct a single investigation under NATO Standardization Agreement 1179 (STANAG). This sets forth three alternative investigation procedures: (1) combined board of inquiry; (2) national inquiry, attended by witnesses or observers from other nations; and (3) independent inquiries coordinated by the presidents of those inquiries.

c. Security violations. For specific investigation requirements respecting investigations ordered to inquire into the loss, compromise, or possible compromise of classified information, see OPNAVINST 5510.1 series. Such reports are sent to CNO (N09N) as ultimate addressee. A command investigation shall normally be used.

d. Postal violations. For specific investigation requirements respecting investigations ordered to inquire into postal losses or offenses, see paragraph 601, Department of the Navy Postal Instructions, OPNAVINST 5112.6 series. In such cases, command investigations may be convened.

DEFINITIONS

1. Administrative Investigation. Administrative investigations collect and record information. Their reports are advisory. Their opinions, when expressed, do not constitute final determinations or legal judgments, and their recommendations, when made, are not binding upon convening or reviewing authorities.

2. Class A Aircraft Accident. A mishap involving an aircraft that results in

a. loss of life or permanent total disability which occurs with direct involvement of naval aircraft;

b. damages to the aircraft, other property, or a combination of both, in an amount in excess of the amount specified by the Secretary of Defense for purposes of determining Class A accidents (In 1996, this amount was set at $1,000,000. See DODINST 6055.7 series); or

c. the destruction of the aircraft.

3. Clear and Convincing Evidence. A degree of proof beyond a preponderance but less than the near certainty of beyond a reasonable doubt. It means that the truth of the facts asserted is highly probable. To be clear and convincing, evidence must leave no serious or substantial doubt as to the correctness of the conclusion in the mind of objective persons after considering all the facts.

4. Cognizant Judge Advocate. The judge advocate (see definition below) who, by regulation or practice, is responsible for providing legal advice to the concerned convening or reviewing authority. This often will be a station, staff, fleet, or force judge advocate but may also include the command services or claims officer at the servicing legal/trial service office.

5. Command Investigation. An administrative investigation conducted into an incident of primary interest to command authorities. It need not be forwarded to JAG.

6. Intoxication. A state of impairment of the mental or physical faculties that prevents their rational and full exercise. Whether the impairment is caused by ingesting liquor or drugs, or by inhaling fumes or vapors, is immaterial.

7. Judge Advocate. As used in this chapter, the term ordinarily refers to a military lawyer, but may include attorneys assigned to the Office of the Navy General Counsel.

8. Litigation-Report Investigation. An administrative investigation conducted under the direction and supervision of a judge advocate in anticipation of litigation or claims. All litigation-report investigations must be forwarded to JAG.

9. Major Incident. An extraordinary incident occurring during the course of official duties resulting in multiple deaths, substantial property loss, or substantial harm to the environment where the circumstances suggest a significant departure from the expected level of professionalism, leadership, judgment, communication, state of material readiness, or other relevant standard. Substantial property loss or other harm is that which greatly exceeds what is normally encountered in the course of day-to-day operations. These cases are often accompanied by national public and press interest and significant congressional attention. They may also have the potential of undermining public confidence in the naval service. That the case is a major incident may be apparent when it is first reported or as additional facts become known.

10. Mishap unit. The unit of the armed forces (at the squadron or battalion level or equivalent) to which was assigned the flight crew of the naval aircraft that was involved in the accident that is the subject of the investigation.

11. Person. For the purposes of this chapter, a person is an individual, not an organization or corporation.

12. Personal Information. In the context of Privacy Act requirements, personal information is information about an individual that is intimate or private to the individual, as distinguished from information related solely to the individual's official functions or public life. It includes information pertaining to an individual's financial, family, social, and recreational affairs; medical, educational, employment, or criminal history; and information that identifies, describes, or affords a basis for inferring personal characteristics, such as finger or voice prints or photographs. It ordinarily does not include information associated with an individual's actions or inactions that are directly related to the duties of Federal employment or military assignment.

13. Preponderance of Evidence. A preponderance is created when the greater weight of evidence, or evidence that is more credible and convincing to the mind, is offered in support of, rather than in opposition to, any given fact. Weight of evidence in favor of establishing a particular fact is not to be determined by the sheer number of witnesses or volume of evidentiary matter presented on either side, but by that evidence that best accords with reason and probability.

14. Proximate Cause. That which, in a natural and continuous sequence, unbroken by any significant intervening factor, causes an event, and without which the result would not have occurred. For example, if a sailor voluntarily becomes intoxicated and then wilfully exceeds the speed limit by 30 mph, loses control of his vehicle, crashes into a tree and, as a result, suffers severe injury, then his voluntary intoxication may be said to be the proximate cause of his injury. Conversely, if another sailor voluntarily becomes intoxicated, begins to drive home, is struck by another vehicle which failed to yield the right of way at an intersection and, as a result, suffers severe injury, then her voluntary intoxication cannot be said to be the proximate cause of her injury.

15. System of Records. In the context of the Privacy Act, a system of records is a group of records under the control of the Department of the Navy from which information is retrieved by an individual's name or some identifying number or symbol.

litigation involving the Government. Additionally, such investigations are sometimes furnished to agencies of the Department of Justice and to State or local law enforcement and court authorities for use in connection with civilian criminal and civil court proceedings. The records of investigations are provided to agents and authorized representatives of persons involved in the incident, for use in legal or administrative matters. The records are provided to contractors for use in connection with settlement, adjudication, or defense of claims by or against the Government, and for use in design and evaluation of products, services, and systems. The records are also furnished to agencies of the Federal, State, or local law enforcement authorities, court authorities, administrative authorities, and regulatory authorities, for use in connection with civilian and military criminal, civil, administrative, and regulatory proceedings and actions.

4. MANDATORY/VOLUNTARY DISCLOSURE, CONSEQUENCES OF REFUSING TO DISCLOSE:

a. Where disclosure is voluntary, as usually is the case, use one of the following statements, or a combination of the following statements, as applicable:

(1) Where an individual is a subject of an investigation for purpose a or b, above: Disclosure is voluntary. You are advised that you are initially presumed to be entitled to have the [personnel determinations] [disciplinary determinations] in paragraph 2, above, resolved in your favor, but the final determination will be based on all the evidence in the investigative record. If you do not provide the requested information, you will be entitled to a favorable determination if the record does not contain sufficient evidence to overcome the presumption in your favor. If the completed record does contain sufficient evidence to overcome the presumption in your favor, however, your election not to provide the requested information possibly could prevent the investigation from obtaining evidence which may be needed to support a favorable determination.

(2) Where an individual is a subject of an investigation for purpose 2c, above: Disclosure is voluntary, and if you do not provide the requested information, any determination as to whether you should be held pecuniarily liable for repayment of the Government's loss would be based on the other evidence in the investigative record, which possibly might not support a favorable determination.

(3) Where the individual is a claimant or potential claimant in an investigation for purpose 2e, above: Disclosure is voluntary, but refusal to disclose the requested information could prevent the investigation from obtaining sufficient information to substantiate any claim which you have made or may make against the Government as a result of the incident under investigation.

(4) Where the individual was treated at Government expense for injuries caused by third parties in connection with a matter being investigated for purpose 2e, above: Disclosure is voluntary, but refusal to disclose the requested information could result in a requirement for you to assign to the Government your medical care claims against third parties in connection with the incident, or authorize withholding of the records of your treatment in naval medical facilities.

(5) In any other case: Disclosure is voluntary, and if you do not provide the requested information, any determinations or evaluations made as a result of the investigation will be made on the basis of the evidence that is contained in the investigative record.

b. In the unusual situation where a specific statute, regulation, or lawful order of competent authority mandatorily directs an individual to disclose particular information for the Government's benefit in furtherance of a Government interest, policy, or objective, the following statement should be used: Disclosure of (specify the particular relevant information required) is mandatory

under (cite the statute, regulation, or order), and refusal to disclose that information will subject you to possible disciplinary or criminal proceedings. Disclosure of any other information requested is voluntary, (and there will be no adverse effects if you elect not to disclose it) (but election not to disclose the information could . . . ."

PARTIES--DEFINITIONS AND RIGHTS

a. Party. A "party" is an individual who has properly been so designated in connection with a court of inquiry or a board of inquiry required to conduct a hearing whose conduct is either the subject of the inquiry or has a direct interest in the inquiry. No individual has a right to demand a court of inquiry.

b. Subject to Inquiry. A person's conduct or performance of duty is "subject to inquiry" when the person is involved in the incident or event under investigation in such a way that disciplinary action may follow, the person's rights or privileges may be adversely affected, or the person's reputation or professional standing may be jeopardized.

c. Direct Interest. A person has a "direct interest" in the subject of inquiry:

(1) When the findings, opinions, or recommendations of the fact-finding body may, in view of the person's relation to the incident or circumstances under investigation, reflect questionable or unsatisfactory conduct or performance of duty; or

(2) When the findings, opinions, or recommendations may relate to a matter over which the person has a duty or right to exercise official control.

d. Rights. A person duly designated a party before a fact-finding body shall be advised of and accorded the following rights:

(1) To be given due notice of such designation.

(2) To be present during the proceedings, but not when the investigation is cleared for deliberations.

(3) To be represented by counsel.

(4) To examine and to object to the introduction of physical and documentary evidence and written statements.

(5) To object to the testimony of witnesses and to cross-examine adverse witnesses.

(6) To introduce evidence.

(7) To testify as a witness.

(8) To refuse to incriminate oneself; and, if accused or suspected of an offense, to be informed of the nature of the accusation and advised of the right not to make any statement regarding the offense of which accused or suspected; and that any statement made may be used as evidence in a trial by court-martial.

(9) To make a voluntary statement, oral or written, to be included in the record of proceedings.

(10) To make an argument at the conclusion of presentation of evidence.

(11) To be properly advised concerning the Privacy Act of 1974.

(12) To challenge members.

SAMPLE COMMAND INVESTIGATION CONVENING ORDER

Ser Info
Date

From: Commanding Officer, Headquarters Battalion, Marine Corps Base, Camp Pendleton, CA
To: Captain _____, USMC

Subj: COMMAND INVESTIGATION OF THE FIRE THAT OCCURRED AT _____ ON __ AUGUST 19____

Ref: (a) JAG Manual

1. This appoints you, per chapter II of reference (a), to inquire into the facts and circumstances surrounding the fire that occurred at _____ on __ August 19__.

2. Investigate the cause of the fire, resulting injuries and damages, and any fault, neglect, or responsibility therefor, and recommend appropriate administrative or disciplinary action. Report your findings of fact, opinions, and recommendations in letter form by __ September 19__, unless an extension of time is granted. If you have not previously done so, read chapter II of reference (a) in its entirety before beginning your investigation.

3. You may seek legal advice from _____ during the course of your investigation.

4. By copy of this appointing order, Commanding Officer, Headquarters Company, is directed to furnish necessary clerical assistance.

_____
Colonel, U.S. Marine Corps

Copy to:
CG, MCB CamPen, CA
CO, HQCo, HQBn, MCB, CamPen, CA

SAMPLE COMMAND INVESTIGATION REPORT

Ser Info
Date

From: Captain_____, USMC
To: Commanding Officer, Headquarters Battalion, Marine Corps Base, Camp Pendleton, CA

Subj: *SAME AS SUBJECT ON CONVENING ORDER*

Encl: (1) Appointing order and modifications thereto (if any were issued)
(2) Summary (or verbatim) of sworn (or unsworn) testimony of _____ (a witness)
(3) Summary (or verbatim) of sworn (or unsworn) testimony of_____ (a witness)
(4) Statement of_____, signed by witness
(5) Description of _____ (evidence found at scene of the accident)
(6) Photograph of _____ depicting _____

NOTE: Testimony of each witness, observations of the investigator, photographs, diagrams, and suitable reproductions of tangible evidence should be listed and attached as enclosures to the investigative report. The location of all original evidence, such as logs, charts, tangible items, and so forth, and the name and phone number of the official responsible for its safekeeping must be stated in the report, either on each enclosure or in the preliminary statement.

Preliminary Statement

1. Paragraph 1 of an investigative report must contain information in the form of a "preliminary statement." Contents may require continuation in one or more additional paragraphs. In general, see section 0217(c) for required contents. Where applicable, an investigating officer should indicate the name and organization of any judge advocate consulted. Extensions of time to complete the report should be noted here. Also state in appropriate cases that the matter was first referred to NCIS and NCIS expressed no objection to proceeding with the investigation.

Findings of Fact

1. _____ [encls ( ), ( )]

2. _____ [encls ( ), ( )]

3. _____ [encl ( )]

Note: Findings of fact constitute an investigating officer's description of details of events based on evidence. Findings must be as specific as possible about time, places, and persons involved. Each fact may be made a separate finding. An investigating officer may determine the most effective presentation for a particular case. Each fact must be supported by testimony of a witness, statement of the investigating officer, documentary evidence, or tangible (real) evidence attached to the investigative report as an enclosure. Each finding of fact should reference each enclosure that supports it.

Opinions

1. _____ [FF ( )]

2. _____ [FF ( )]

3. _____ [FF ( )]

Note: An opinion is a reasonable evaluation, reference, or conclusion based on facts found. Each opinion must be supported by findings of fact. Determination of line of duty and misconduct is properly stated as an opinion.

Recommendations

1. _____

2. _____

3. _____

Note: If an investigating officer recommends trial by court-martial, a charge sheet drafted by the investigating officer may be prepared and submitted to the convening authority with the investigative report. See R.C.M. 307, MCM, 1984. The charge sheet should not be signed; i.e., charges should not be preferred since preferral starts the "speedy trial clock" running. Before preferring charges, the local legal service office or staff judge advocate should be consulted. Unless specifically directed by proper authority, an investigating officer must not notify an accused of charges. Notification is the responsibility of the commanding officer of an accused. See R.C.M. 308 and 707, MCM, 1984. If a punitive letter of reprimand or admonition is recommended, a draft of the recommended letter must be prepared and forwarded with the investigative report. Proposed nonpunitive letters of caution must not be forwarded with the report. See section 0218.

_____
(SIGNATURE OF INVESTIGATING OFFICER)

SAMPLE LITIGATION-REPORT INVESTIGATION APPOINTING ORDER

Ser Info
Date

From: Commanding Officer, Naval Submarine Base New London
To: Lieutenant _____, USN

Subj: LITIGATION-REPORT INVESTIGATION OF THE FIRE THAT OCCURRED AT QUARTERS XYZ, NAVSUBBASE NLON, ON ___ AUGUST 19__

Ref: (a) JAG Manual

1. Per reference (a), you are hereby appointed to investigate the circumstances surrounding the fire that occurred at Quarters XYZ, Naval Submarine Base New London on __August 19__, and to prepare the related litigation-report. During the investigation, you will be under the direction and supervision of LCDR _____, JAGC, USN. Consult LCDR _____ before beginning your inquiry or collecting any evidence. If you have not already done so, you should also read chapter II of reference (a) in its entirety before consulting LCDR _____ .

2. This investigation is being convened and your report is being prepared in contemplation of litigation and for the express purpose of assisting attorneys representing interests of the United States in this matter. As such it is privileged and should be discussed only with personnel who have an official need to know of its progress or results. If you have any doubt about the propriety of discussing the investigation with any particular individual, then you should seek guidance from LCDR _____ before doing so.

3. Investigate all facts and circumstances surrounding the fire, including the cause of the fire, resulting injuries and damages, and any fault, neglect, or responsibility therefor. Report your findings to LCDR _____ by __ September 19__, unless an extension of time is granted. Do not express any opinions or recommendations unless LCDR _____ directs you to do so. Label your report "FOR OFFICIAL USE ONLY: ATTORNEY WORKPRODUCT," and take appropriate measures to safeguard it.

_____

Copy to:
COMSUBGRU TWO

SAMPLE LITIGATION-REPORT INVESTIGATION

FOR OFFICIAL USE ONLY: ATTORNEY WORKPRODUCT

Ser data
Date

From: LCDR_____, JAGC, USN
LT _____, USN

To: Commanding Officer, Naval Submarine Base New London

Subj: SAME AS SUBJECT ON CONVENING ORDER

Encl: (1) Appointing order and modifications thereto (if any were issued)
(2) Summary of statement of witness (Do not include signed statements)
(3) Summary of statement of witness
(4) Description of _____ (evidence found at scene of _____ the fire)
(5) Photograph of _____ depicting _____

NOTE: Summarized statement of each witness, observations of the investigator, photographs, diagrams, and suitable reproductions of tangible evidence should be listed and attached as enclosures to the investigative report. The location of all original evidence, such as logs, charts, tangible items, and so forth, and the name and phone number of the official responsible for its safekeeping must be stated in the report, either on each enclosure or in the preliminary statement.

Preliminary Statement

1. Paragraph 1 of a litigation report must contain information in the form a "preliminary statement." Contents may require continuation in one or more additional paragraphs. The name and organization of the supervisory judge advocate should be listed and the following language should be added: "This investigation is being conducted and this report is being prepared in contemplation of litigation and for the express purpose of assisting attorneys representing interests of the United States in this matter."

Findings of Fact

1. _____ [encl ( )]

2. _____ [encls ( ), ( )]

3. _____ [encl ( )]

Note: Findings of fact constitute an investigating officer's description of details of events based on evidence. Findings must be as specific as possible about time, places, and persons involved. Each fact may be made a separate finding. An investigating officer may determine the most effective presentation for a particular case. Each fact must be supported by the statement of a witness, statement of the investigating officer, documentary evidence, or tangible (real) evidence attached to the investigative report as an enclosure. Each finding of fact should reference each enclosure that supports it.

Opinions and Recommendations are not made by the investigating officer unless directed by the supervisory judge advocate. Before the report is submitted to the convening authority, however, the supervisory judge advocate should normally add appropriate opinions and recommendations and may request the assistance of the investigating officer in drafting them. Each opinion must be supported by findings of fact, and each recommendation must be supported by an opinion.

_____

(SIGNATURE OF INVESTIGATING OFFICER)

_____

(SIGNATURE OF SUPERVISORY JUDGE ADVOCATE)

SAMPLE PRIVACY ACT STATEMENT FORMAT--JAG MANUAL INVESTIGATION

1. **AUTHORITY**: 44 U.S.C. § 3101; 5 U.S.C. § 301. Specify, if possible, other statutory authority listed below that is peculiarly applicable to the matter under investigation.

Authorities applicable to various investigations:

a. Requirement that enlisted members make up time lost due to misconduct or abuse of drugs or alcohol. 10 U.S.C. § 972.

b. Retirement or separation for physical disability. 10 U.S.C. §§ 1201-1221.

c. Manual for Courts-Martial.

d. Uniform Code of Military Justice. 10 U.S.C. §§ 815, 832, 869, 873, 935, 936, and 938-940.

e. Military Claims Act. 10 U.S.C. § 2733.

f. Foreign Claims Act. 10 U.S.C. §§ 2734, 2734a, 2734b.

g. Emergency payment of claims. 10 U.S.C. § 2736.

h. Non-Scope claims. 10 U.S.C. § 2737.

i. Duties of Secretary of the Navy. 10 U.S.C. § 5013.

j. Duties of the Office Chief of Naval Operations. 10 U.S.C. §§ 5031-5033, 5035-5036.

k. Duties of the Bureaus and Offices of the Department of the Navy and duties of the Judge Advocate General. 10 U.S.C. §§ 5021-5024, 5131-5133, 5135, 5137-38, 5141-5142a, 5148-5150.

l. Duties of the Commandant of the Marine Corps. 10 U.S.C. § 5043.

m. Reservists' disability and death benefits. 10 U.S.C. § 1074.

n. Requirement of exemplary conduct. 10 U.S.C. § 5947.

o. Promotion of accident and occupational safety by Secretary of the Navy. 10 U.S.C. § 7205.

p. Admiralty claims. 10 U.S.C. § 7622-7623.

q. Federal Tort Claims Act. 28 U.S.C. §§ 1346, 2671-2680.

r. Financial liability of accountable officers. 31 U.S.C. §§ 3521, 3527, 3531.

s. Military Personnel and Civilian Employees' Claims Act of 1964. 31 U.S.C. §§ 240-243.

t. Federal Claim Collection Acts. 31 U.S.C. §§ 3521, 3526, 3529, 3701-3702, 3717-3718.

u. Forfeiture of pay for time lost due to incapacitation caused by alcohol or drug use. 37 U.S.C. § 802.

v. *Eligibility for certain veterans' benefits.* 38 U.S.C. § 105.

w. Postal claims. 39 U.S.C. §§ 406, 2601.

x. Medical Care Recovery Act. 42 U.S.C. §§ 2651-2653.

y. Public Vessels Act. 46 U.S.C. §§ 781-790.

z. Suits in Admiralty Act. 46 U.S.C. §§ 741-752.

aa. Admiralty Extension Act. 46 U.S.C. § 740.

bb. Transportation Safety Act. 49 U.S.C. § 1901.

2. **PRINCIPAL PURPOSE(S)**: The information which will be solicited is intended principally for the following purpose(s):

[Specify each purpose listed below for which the record of the particular investigation could reasonably be used:]

a. Determinations on the status of personnel regarding entitlements to pay during disability, disability benefits, severance pay, retirement pay, increases of pay for longevity, survivor's benefits, involuntary extensions of enlistments, dates of expiration of active obligated service, and accrual of annual leave.

b. Determinations on disciplinary or punitive action.

c. Determinations on liability of personnel for losses of, or damage to, public funds or property.

d. Evaluation of petitions, grievances, and complaints.

e. Adjudication, pursuit, or defense of claims for or against the Government or among private parties.

f. Other determinations, as required, in the course of naval administration.

g. Public information releases.

h. Evaluation of procedures, operations, material, and designs by the Navy and contractors, with a view to improving the efficiency and safety of the Department of the Navy.

3. **ROUTINE USES**: In addition to being used within the Departments of the Navy and Defense for the purpose(s) indicated above, records of investigations are routinely furnished, as appropriate, to the Department of Veterans Affairs for use in determinations concerning entitlement to veterans' and survivors' benefits; to Servicemen's Group Life Insurance administrators for determinations concerning payment of life insurance proceeds; to the U.S. General Accounting Office for purposes of determinations concerning relief of accountable personnel from liability for losses of public funds and related fiscal matters; and to the Department of Justice for use in litigation involving the Government. Additionally, such investigations are sometimes

furnished to agencies of the Department of Justice and to State or local law enforcement and court authorities for use in connection with civilian criminal and civil court proceedings. The records of investigations are provided to agents and authorized representatives of persons involved in the incident, for use in legal or administrative matters. The records are provided to contractors for use in connection with settlement, adjudication, or defense of claims by or against the Government, and for use in design and evaluation of products, services, and systems. The records are also furnished to agencies of the Federal, State, or local law enforcement authorities, court authorities, administrative authorities, and regulatory authorities, for use in connection with civilian and military criminal, civil, administrative, and regulatory proceedings and actions.

4. **MANDATORY/VOLUNTARY DISCLOSURE, CONSEQUENCES OF REFUSING TO DISCLOSE:**

a. Where disclosure is voluntary, as usually is the case, use one of the following statements, or a combination of the following statements, as applicable:

(1) Where an individual is a subject of an investigation for purpose 2a or 2b, above: Disclosure is voluntary. You are advised that you are initially presumed to be entitled to have the [personnel determinations] [disciplinary determinations] in paragraph 2, above, resolved in your favor, but the final determination will be based on all the evidence in the investigative record. If you do not provide the requested information, you will be entitled to a favorable determination if the record does not contain sufficient evidence to overcome the presumption in your favor. If the completed record does contain sufficient evidence to overcome the presumption in your favor, however, your election not to provide the requested information possibly could prevent the investigation from obtaining evidence which may be needed to support a favorable determination.

(2) Where an individual is a subject of an investigation for purpose 2c, above: Disclosure is voluntary, and if you do not provide the requested information, any determination as to whether you should be held pecuniarily liable for repayment of the Government's loss would be based on the other evidence in the investigative record, which possibly might not support a favorable determination.

(3) Where the individual is a claimant or potential claimant in an investigation for purpose 2e, above: Disclosure is voluntary, but refusal to disclose the requested information could prevent the investigation from obtaining sufficient information to substantiate any claim which you have made or may make against the Government as a result of the incident under investigation.

(4) Where the individual was treated at Government expense for injuries caused by third parties in connection with a matter being investigated for purpose 2e, above: Disclosure is voluntary, but refusal to disclose the requested information could result in a requirement for you to assign to the Government your medical care claims against third parties in connection with the incident, or authorize withholding of the records of your treatment in naval medical facilities.

(5) In any other case: Disclosure is voluntary, and if you do not provide the requested information, any determinations or evaluations made as a result of the investigation will be made on the basis of the evidence that is contained in the investigative record.

b. In the unusual situation where a specific statute, regulation, or lawful order of competent authority mandatorily directs an individual to disclose particular information for the Government's benefit in furtherance of a Government interest, policy, or objective, the following statement should be used: Disclosure of (specify the particular relevant information required) is mandatory under (cite the statute, regulation, or order), and refusal to disclose that information will subject you to possible disciplinary or criminal proceedings. Disclosure of any other information requested is voluntary, (and there will be no adverse effects if you elect not to disclose it) (but election not to disclose the information could . . . ."

NAVJAG 5800/36 (Rev.9-77)

SAMPLE PRIVACY ACT RECORD OF DISCLOSURE

THE ATTACHED RECORD CONTAINS PERSONAL INFORMATION CONCERNING AN INDIVIDUAL. USE AND DISCLOSURE THEREOF IS GOVERNED BY SECNAVINST 5211.5D. UNAUTHORIZED DISCLOSURE OF PERSONAL INFORMATION FROM THIS RECORD COULD SUBJECT THE DISCLOSER TO CRIMINAL PENALTIES.

INSTRUCTIONS: This sheet is to remain affixed as a permanent part of the record described below. An appropriate entry must be made below each time the record or any information from the record is viewed by, or furnished to, any person or agency, including the subject of the record, except: (1) disclosures to DOD personnel having a need to know in the performance of their official duties and (2) disclosure of items listed in subparagraph 7a(2) of SECNAVINST 5211.5D.

TITLE AND DESCRIPTION OF RECORD

NAME AND ADDRESS OF PERSON OR AGENCY TO WHOM DISCLOSED (AND SIGNATURE IF DISCLOSURE IS MADE IN PERSON)	PURPOSE OF DISCLOSURE	DATE

IMPORTANT - READ AND COMPLY WITH THIS PAGE

SAMPLE WARNING ADVISEMENT ABOUT STATEMENTS REGARDING ORIGIN OF DISEASE OR INJURY

COMPLIANCE WITH SECTION 0221 OF THE JAG MANUAL

I, _____, have been advised that:

-questions have arisen concerning whether or not my injury/disease, sustained or discovered on _____ _____ 19_____, was incurred in the line of duty or as a result of my own misconduct;

-in the event such injury/disease is determined to have been incurred not in the line of duty or as a result of my own misconduct, I will be required to serve for an additional period beyond my present enlistment to make up for the duty time lost;

-lost duty time will not count as creditable service for pay entitlement purposes;

-I may be required to forfeit some pay (where absence from duty in excess of one day immediately follows intemperate use of liquor or habit-forming drugs);

-if I am permanently disabled and that disability is determined to have been the result of misconduct or was incurred not in the line of duty, I may be barred from receiving disability pay or allowances, as well as veterans' benefits;

-I may <u>not</u> be required to give a statement relating to the origin, incidence, or aggravation of any disease/injury that I may have.

I do/do not desire to submit a statement.

_____
Date

_____
Signature

_____
Witness Signature

_____
Witness Name/Rate/Grade/Unit/Telephone Number

SAMPLE DOCUMENTATION OF PRELIMINARY INQUIRY

(Date)

From: (Name and rank of individual conducting preliminary inquiry)
To: (Title of authority ordering preliminary inquiry)

Subj: PRELIMINARY INQUIRY INTO (DESCRIPTION OF INCIDENT)

Ref: (a) JAGMAN Section 0204

1. This reports completion of the preliminary inquiry conducted in accordance with reference (a) into (description of incident).

2. Personnel contacted: (List individuals with name, rank, title, unit, and telephone number).

3. Materials reviewed: (List documents, objects, materials, tangibles reviewed and, if of probable evidentiary value where stored together with name of responsible individual together and that person's phone number).

4. Summary of findings: (summary should not extend beyond one paragraph and should summarize both what is known and unknown about the event in question).

5. Recommendation: (Choose one: consult a judge advocate; no further investigation warranted; command investigation; litigation-report investigation; board of inquiry; or court of inquiry).

_____
Name, rank, unit, telephone

FIRST ENDORSEMENT

_____Concur with recommendation

_____Other:_____

_____

_____
Name, rank, unit, telephone

(Note: attachments may be added to the report as desired.)

CHAPTER III
COMPLAINTS OF WRONGS

0301 PURPOSE

0302 AUTHORITY

a. Article 138, UCMJ
b. Article 1150, U.S. Navy Regulations (1990)

0303 DEFINITIONS OF TERMS AND PHRASES USED IN THIS CHAPTER

a. Complaint of wrongs
b. Commanding officer
c. Due application
d. Respondent
e. General court-martial authority
f. Wrong
g. Redress
h. Examination into a complaint
i. True statement of the complaint, with the proceedings had thereon

0304 COMPLAINTS NOT WITHIN THIS CHAPTER

a. Actions which may not be the subject of a complaint of wrongs
b. Improper Redress

0305 PARTICIPANTS TO A COMPLAINT OF WRONGS

a. Who may complain
b. Who may be the subject of a complaint
c. Who shall consider the complaint
d. Authority of intermediate superior officers

0306 PROCEDURE

a. Time limitations
b. Request to commanding officer for redress
c. Form of complaint
d. Forwarding the complaint
e. Endorsements
f. Withdrawal of complaint
g. Joinder
h. Waiver of requirements

0307 CONSIDERATION OF THE COMPLAINT BY THE OFFICER EXERCISING GENERAL COURT-MARTIAL AUTHORITY (GCMA)

a. Review of the complaint
b. Improper or defective complaints
c. Complaints alleging recommendations as wrongs
d. Inquiry
e. Copies of endorsements
f. Delay due to court-martial
g. Personal action by GCMA
h. Redress
i. Complaint without merit
j. Action in writing
k. Preparation and forwarding of GCMA's report

0308 ENDORSEMENTS BY OFFICERS SENIOR IN THE CHAIN OF COMMAND

0309 ACTION BY THE JUDGE ADVOCATE GENERAL

a. When complaint has been acted upon
b. When the Assistant Secretary of the Navy (M&RA) is GCMA
c. Referral to the General Counsel of the Navy

0310 REVIEW BY THE SECRETARY OF THE NAVY

a. Scope
b. Action where redress was granted
c. Action where redress was denied
d. Notification to complainant
e. Finality
f. Other remedies
g. Delegation

CHAPTER III
COMPLAINTS OF WRONGS

ARTICLE 138, UCMJ &
ARTICLE 1150, U.S. NAVY REGULATIONS (1990)

0301 PURPOSE

To establish procedures for preparing, submitting and processing complaints of wrongs against a complainant's commanding officer under article 138, Uniform Code of Military Justice (UCMJ), and complaints of wrongs against a military superior (who is not the complainant's commanding officer) under article 1150(4), U.S. Navy Regulations (1990).

0302 AUTHORITY

a. Article 138, UCMJ states: "Any member of the armed forces who believes himself wronged by his commanding officer, and who, upon due application to that commanding officer, is refused redress, may complain to any superior commissioned officer, who shall forward the complaint to the officer exercising general court-martial jurisdiction over the officer against whom it is made. The officer exercising general court-martial jurisdiction shall examine into the complaint and take proper measures for redressing the wrong complained of; and shall, as soon as possible, send to the Secretary concerned a true statement of that complaint, with the proceedings had thereon."

b. Article 1150, U.S. Navy Regulations (1990), states in part: "If any person in the naval service considers themself wronged by an act, omission, decision, or order of a person who is superior in rank, or command, that person shall not fail in maintaining a respectful bearing toward such superior, but may report the wrong to the proper authority for redress in the manner provided in this article." For purposes of this chapter:

(1) An article 1150 Complaint of Wrongs (which can only be filed against a superior who is not the complainant's commanding officer) shall be processed as follows:

(a) Where the respondent and complainant do not have the same commanding officer, an article 1150 complaint shall follow the same procedures enumerated in this chapter for an article 138 complaint.

(b) Where the respondent and complainant have the same commanding officer, that commanding officer shall take final action on the article 1150 complaint. It is neither desired nor required that the report be forwarded to the Secretary of the Navy in such a case. If the complainant is not satisfied with the resolution made by the commanding officer, an article 138 complaint may be filed against that commanding officer.

(2) An article 1150 Complaint of Wrongs shall be in the format specified in appendix A-3-a of this manual.

(3) For processing article 1150 complaints, substitute the words "superior" for the words "commanding officer" as they are used in this chapter.

0303 DEFINITIONS OF TERMS AND PHRASES USED IN THIS CHAPTER

a. Complaint of wrongs. A service member's formal request to superior authority for relief from a wrong committed against the member for which the member sought, and was denied, redress.

b. Commanding officer. For purposes of an article 138 complaint, "commanding officer," as used in this chapter, means a commissioned or warrant officer who, by virtue of rank and assignment, exercises primary command authority over a military organization, or prescribed territorial area, to which complainant is assigned, that under official directives is recognized as a "command." Para. 2a, part V, MCM. For complaints against a person filed under article 1150, U.S. Navy Regulations, references in this Chapter to a "commanding officer," respondent are to be read to refer equally to a respondent under article 1150 (a person who is superior in rank or command to the complainant but not his or her commanding officer).

c. Due application. A timely request to the "commanding officer" for redress of an alleged wrong committed or ratified by that person.

d. Respondent. The individual who committed the alleged wrong against complainant, and against whom the complaint of wrongs is made. A complaint is against a specific person.

e. General court-martial authority (GCMA). The officer (or successor in command) next superior in the chain of command exercising general court-martial jurisdiction over the respondent at the time of the alleged wrong, except in cases forwarded to the Assistant Secretary of the Navy (M&RA) under this subsection . When the Chief of Naval Operations (CNO) or the Commandant of the Marine Corps (CMC) is the next superior officer in the chain of command exercising general court-martial jurisdiction over the respondent at the time of the alleged wrong, the Vice Chief of Naval Operations or the Assistant Commandant of the Marine Corps, respectively, shall act on the complaint as the GCMA. In cases where the respondent is the CNO, the CMC, or a departmental level officer who does not report to either the CNO or CMC, the GCMA is the Assistant Secretary of the Navy (Manpower & Reserve Affairs).

f. Wrong. Any act, omission, decision or order, except those excluded by subsection 0304, taken, caused, or ratified by a "commanding officer," under color of that officer's military authority that:

(1) results in personal detriment, harm, or injury to a military subordinate;

(2) is without substantial basis, unauthorized, arbitrary and capricious, unjust, or discriminatory;

(3) is properly capable of redress in command channels.

g. Redress. Any lawful action taken by the "commanding officer," the GCMA, or any officer in the chain of command (see subsection 0305d) that restores to the complainant any rights, privileges, property or status he would have been entitled to had the wrong not occurred.

h. Examination into a complaint. An inquiry into all facts material to the complaint. This inquiry may take any form the GCMA deems appropriate. See subsection 0307d.

i. True Statement of the complaint, with the proceedings had thereon. A report to the Secretary of the Navy, signed personally by the GCMA. See subsection 0307k.

0304 COMPLAINTS NOT WITHIN THIS CHAPTER

a. Actions which may not be the subject of a complaint of wrongs. The following actions are not proper subjects of a complaint of wrongs:

(1) actions, omissions, decisions, or orders that are not within the definition of "wrongs" in subsection 0303f;

(2) acts, omissions, decisions and orders not taken, caused or ratified by respondent;

(3) acts that are not final. Most recommendations are not final acts. When the recommendation itself is controlling, such as a recommendation for advancement, it is a final act, and a proper subject of a complaint of wrongs. If a recommendation has been acted upon by another authority, the complaint of wrongs will be processed under subsection 0307c;

(4) general policies of the Department of Defense and the Department of the Navy, including the instructions and other documents promulgating such policies;

(5) the GCMA's decisions and procedures on complaints of wrongs, except for failure to forward the complaint;

(6) complaints which may be redressed under other Department of the Navy procedures that provide the complainant notice of the alleged wrongful act, a right to rebut or a hearing, as appropriate, and review by an authority superior to the officer taking the action. Such procedures include, but are not limited to:

(a) proceedings, findings, or final actions of boards convened under 10 USC sections 1181 (Board to Consider Separation of Regular Officers for

Substandard Performance), 1182 (Board of Inquiry), and 1183 (Board of Review);

(b) nonjudicial punishment, court-martial, and administrative discharge procedures and results. The vacation of suspended nonjudicial punishment is the proper subject of a complaint of wrongs as no other due process procedure exists to examine that action; and

(c) relief-for-cause proceedings and decisions.

b. Improper redress. The following actions may not be requested to redress a wrong:

(1) imposition of disciplinary action against another; or

(2) changes in final military records.

(a) Article 138 UCMJ may NOT be used to modify a military record unless the service member initiates a complaint within 90 days after he or she knows of the record's submission for entry into the appropriate record or 1 year after submission for entry into the appropriate record, whichever is earlier.

(b) In calculating these periods, the time from the date the complainant requested redress from the "commanding officer" to the day the complainant receives notice from the "commanding officer" of the disposition of the request for redress, is not counted.

0305 PARTICIPANTS TO A COMPLAINT OF WRONGS

a. Who may complain. At the time the complaint is submitted, the complainant must be:

(1) a member of the armed forces on active duty concerning a wrong which is alleged to have occurred while the complainant was on active duty;

(2) a drilling reservist concerning a wrong alleged to have occurred while the complainant was a drilling reservist; or

(3) any reservist alleging a wrong by a commanding officer, (or, in the case of complaints filed under article 1150, U.S. Navy Regulations, another military superior,) while the respondent was acting in an official capacity.

b. Who may be the subject of a complaint. Any "commanding officer," as defined in subsection 0303b, may be the respondent to a complaint of wrongs. Neither the Secretary of the Navy, nor any of the Secretary's assistants or deputies, may be the respondent to a complaint of wrongs.

c. Who shall consider the complaint.

(1) General rule. Complaints of wrong will be expeditiously resolved at the lowest possible level of command. The GCMA has the initial and primary responsibility to investigate the complaint of wrongs, take action thereon, and submit a report of the proceedings to the Secretary.

(2) Reassignment of complainant or respondent. If the respondent detaches before complainant submits a complaint of wrongs, the complaint will be forwarded to the officer who was the GCMA over the respondent at the time of the alleged wrong, or to that officer's successor in command. If the complainant detaches before submitting a complaint, it will be forwarded to the GCMA via the complainant's new commanding officer. If both the respondent and the complainant detach before complainant submits the complaint, the complaint will be forwarded to the officer who was the GCMA over the respondent at the time of the alleged wrong, or to that officer's successor in command, via the complainant's new commanding officer. In all cases, the complaint will be forwarded to the GCMA via the respondent.

(3) Review of complaints by area coordinators. An area coordinator will act as the GCMA when that officer is the GCMA over the respondent as defined in subsection 0303e, or if specifically requested and authorized in writing to do so by the original GCMA over the respondent.

(a) The area coordinator and the GCMA over the respondent will determine, on a case-by-case basis, whether it is appropriate for the area coordinator to act on a particular complaint of wrongs, considering such factors as: the geographic location of the respective commands; the effect of operational commitments on the GCMA's ability to investigate the complaint adequately; the relative burden of assuming investigative cognizance; the relative seniority of the respondent and the area coordinator; and familiarity with the subject matter of a specific complaint. The GCMA's letter requesting

an area coordinator to act upon a complaint should detail the reasons for the request. An area coordinator may decline for appropriate reasons to act on a complaint.

(b) Ultimate responsibility for processing the complaint remains with the original GCMA over the respondent. If the original GCMA forwards a complaint to the area coordinator, the original GCMA shall maintain a file on the complaint for 2 years. The file should include a copy of the GCMA's written request to the area coordinator to act as the GCMA, and a copy of the area coordinator's final action. Once the area coordinator assumes cognizance over the matter, that officer acts independently and in the place of the original GCMA, with the authority to grant any redress the original GCMA may have ordered.

d. Authority of intermediate superior officers. An intermediate superior officer, junior to the GCMA, to whom a complaint is forwarded, may comment on the merits of the complaint, add pertinent evidence, and, if empowered to do so, grant redress, noting such action on the record. In all cases, intermediate superior officers shall promptly forward the complaint to the GCMA, and provide a copy of the endorsement to the complainant. See subsection 0306e.

0306 PROCEDURE

a. Time limitations. A complaint must be submitted within a reasonable time after discovery of the alleged wrong. Absent unusual circumstances, a complaint submitted more than 90 days after the complainant discovers the alleged wrong is untimely. The period during which the commanding officer is considering complainant's written request for redress under subsection 0306b is not included in this 90-day period. The GCMA may deny relief solely because the complaint is untimely. See subsection 0307b(2). If, however, the GCMA determines that unusual circumstances justify the delay in submission, the GCMA may find that the complaint is timely and act on it.

b. Request to commanding officer for redress. Before a complainant may submit a complaint of wrongs under article 138, UCMJ, the complainant must request, in writing, that the commanding officer redress the wrong. The commanding officer must act upon this request for redress in a timely manner (ordinarily within 30 days) and notify the complainant in writing of the action taken.

c. Form of complaint. If the redress requested in 0306b is not granted, or if the complainant asserts that any grant or partial grant of redress is insufficient, then a complaint for redress of wrongs may be filed under this chapter. The complaint shall be submitted in the format provided at Appendix A-3-a. This form must be completed in its entirety, unless a particular subparagraph -- such as that providing for an explanation for untimely submission -- does not apply. A complainant should submit all relevant evidence, including affidavits, statements, and documents, with the complaint.

d. Forwarding the complaint. The complainant shall forward the complaint to the GCMA, via the chain of command, including the respondent. Immediately upon receipt, the GCMA shall send a copy of the complaint, without enclosures, to the Secretary of the Navy via the Judge Advocate General (Administrative Law Division) 200 Stovall Street, Alexandria, VA 22332-2400.

e. Endorsements. Intermediate endorsers, including the respondent, shall ordinarily forward the complaint within 10 working days after receipt. Endorsements not completed within 10 working days of receipt must contain an explanation for the delay. Subject to applicable security of classified material instructions, endorsers must provide to complainant copies of their endorsements, including enclosures.

f. Withdrawal of complaint. A complainant may withdraw a complaint at any time. The withdrawal must be in writing and signed by the complainant. After notifying the Secretary of the Navy via the Judge Advocate General, the GCMA shall file the complaint and the withdrawal letter without further action, and maintain the file for 2 years from the date of withdrawal.

g. Joinder. A complaint may not be joined with the complaints of other individuals. Similarly, each complaint may seek redress for the wrong(s) of only one respondent. If the complainant believes more than one respondent has committed a wrong, the complainant shall submit a separate complaint against each respondent.

h. Waiver of requirements. The GCMA may waive any requirement in this section, except those that afford a benefit to the complainant, such as the right to receive copies of all endorsements and to rebut any adverse matter submitted to or discovered by the GCMA or any intermediate endorsers. See subsection 0307e.

0307 CONSIDERATION OF THE COMPLAINT BY THE OFFICER EXERCISING GENERAL COURT-MARTIAL AUTHORITY (GCMA)

a. Review of the complaint. Upon receipt of the complaint, the GCMA shall review it to ensure that:

(1) the alleged wrong is a proper subject of a complaint of wrongs (see subsections 0303f and 0304a);

(2) the requested redress is proper (see subsection 0304b);

(3) the complaint is complete (see subsections 0306c and e);

(4) the complaint is timely (see subsection 0306a);

(5) the complainant has requested redress from the respondent (see subsection 0306b);

(6) the complaint has been properly forwarded (see subsection 0306d); and

(7) the complaint does not join more than one complainant or more than one respondent.
A checklist to assist in this review is provided at Appendix A-3-b.

b. Improper or defective complaints.

(1) If the complaint does not allege a wrong which is a proper subject of a complaint of wrongs, or requests improper relief, the GCMA shall return the complaint to the complainant with an explanation as to why it is outside the scope of this chapter. If appropriate, the GCMA should inform the complainant about other channels available to resolve the alleged wrong. The GCMA shall forward a copy of the complaint and the letter to the complainant to the Secretary of the Navy via the Judge Advocate General.

(2) If the complaint is incomplete or otherwise fails to satisfy the requirements of subsections 0306a, b, c, d, or g, unless the GCMA waives the deficiency under subsection 0306h, the GCMA shall return the complaint to the complainant with an explanation. The GCMA shall forward a copy of the complaint and the letter to the complainant to the Secretary of the Navy via the Judge Advocate General.

c. Complaints alleging recommendations as wrongs. If a complaint names a respondent who made a recommendation that was forwarded to another officer for final action (i.e., the Chief of Naval Personnel or the Commandant of the Marine Corps in the case of a change of designator or military occupational specialty), and that action has been completed, the officer who approved or acted on the recommendation in question shall be substituted as respondent in place of the original respondent. The complaint shall be forwarded, via the GCMA over the original respondent and via the substituted respondent, to the GCMA over that substituted respondent. That GCMA will review all actions taken and grant or deny redress in accordance with this chapter.

d. Inquiry. If the complaint is timely and complete, the GCMA shall inquire into its allegations.

(1) The extent and nature of such inquiry is within the GCMA's discretion, and depends upon the seriousness of the allegations, the available time, and the exigencies of operations. The GCMA may appoint an investigating officer to inquire into the complaint.

(2) The GCMA should review chapter II, chapter V and SECNAVINST 5211.5 series to determine whether Privacy Act statements are required.

(3) The GCMA may request a complainant submit explanatory statements or other relevant documents.

(4) Certain complaints may involve matters that are complex or technical and require expert evaluation. In such cases, the GCMA may seek expert evaluation from other naval organizations or commands.

e. Copies of endorsements. Prior to taking final action on a complaint, and subject to applicable security of classified material instructions, the GCMA shall ensure that the complainant has been provided a copy of all endorsements and enclosures forwarded with the complaint, as well as any adverse evidence developed by the GCMA inquiry, that was not raised in earlier endorsements or enclosures, and shall afford the complainant the opportunity to rebut any matter of an adverse nature contained therein. See Appendix A-3-c. Adverse matters include any information, evidence, documents or opinions submitted by intermediate endorsers, including the respondent, that are in any way contrary to the complainant's contentions, even if they merely reiterate, highlight or recast matters previously submitted by the complainant. Except as provided in this subsection, complainants do not have a right to participate in actions on the complaint after submission.

f. Delay due to court-martial. The GCMA may delay the examination into a complaint if there is an ongoing independent inquiry or proceeding which is reasonably likely to result in clarification of the issues or redress of the alleged wrong. Such delay should not ordinarily extend beyond 10 days after action is completed in the related procedure, or beyond 90 days from the date the GCMA receives the complaint, whichever is earlier. In all other cases, except in unusual circumstances, the GCMA shall act on the complaint within 60 days of receipt. In the event of a delay caused by unusual circumstances, the report to the Secretary shall contain an explanation of the delay.

g. Personal action by GCMA. The GCMA has primary responsibility for acting on the complaint. See subsection 0305c. The GCMA may not delegate such authority to a subordinate command or individual. The statement submitted to the Secretary must be signed personally by the GCMA, or, in that officer's absence, by the officer officially acting in such capacity, with the signature block so indicating.

h. Redress. The GCMA shall grant such redress as is appropriate and within his authority.

(1) If the GCMA cannot actually effect the redress, the GCMA shall forward the file to the Secretary via the officer who can effect it, requesting that the specific relief be granted. The officer so requested shall, except in the cases noted in subparagraph 0307h(2) below, effect the relief.

(2) If the officer requested to effect relief determines that the relief requested is not permitted by current regulations or otherwise prohibited by law, he or she may delay compliance with the request until the final review and direction by the Secretary. In such cases, the officer's endorsement will set out the precise reasons the requested relief has been delayed.

i. Complaint without merit. If the GCMA determines the complaint is without merit, the GCMA shall deny redress.

j. Action in writing. The GCMA shall advise the complainant in writing of the action taken on the complaint. The letter will specifically indicate which of the complainant's allegations have merit and which are without merit and will either specify the relief granted or expressly deny the requested relief. See Appendix A-3-d.

k. Preparation and forwarding of GCMA's report. In all cases, the GCMA shall prepare and forward to the Secretary of the Navy, via the Judge Advocate General, a report of the proceedings. The report will be in the format provided in Appendix A-3-e, and will include the complaint and all endorsements and enclosures. At a minimum, it should provide adequate facts to support the GCMA's conclusion and contain enough detail to allow Secretarial review. The GCMA will forward the report via the Judge Advocate General. Marine Corps activities will include the Commandant of the Marine Corps (Code JA) as a via addressee.

0308 ENDORSEMENTS BY OFFICERS SENIOR IN THE CHAIN OF COMMAND TO THE GCMA

Officers senior in the chain of command to the GCMA, who themselves exercise general court-martial jurisdiction, may require subordinate commanders to submit the GCMA's report via them. Such officers may make comments or recommendations concerning the report to the Secretary, but they may not modify in any manner the report of the GCMA.

0309 ACTION BY THE JUDGE ADVOCATE GENERAL

a. When complaint has been acted upon. Upon receipt of the GCMA's report to the Secretary, the Judge Advocate General shall ensure that there has been substantial compliance with article 138, UCMJ, or article 1150, U.S. Navy Regulations (1990), and this chapter.

(1) If there has not been substantial compliance, the Judge Advocate General shall return the file to the GCMA for additional investigation or further action.

(2) If there has been substantial compliance, the Judge Advocate General shall forward the complaint, with the actions thereon, to the Secretary of the Navy, with appropriate evaluations and recommendations.

b. When the Assistant Secretary of the Navy (M&RA) is GCMA. The Judge Advocate General shall provide legal advice to the Assistant Secretary of the Navy (M&RA) when the Assistant Secretary of the Navy (M&RA) is the GCMA pursuant to section 0303e.

c. Referral to the General Counsel of the Navy. When the Judge Advocate General or an officer within his chain of command is the GCMA or respondent, or when the Judge Advocate General has provided legal advice under subsection 0309b, the Secretary may refer the case to the General Counsel of the Navy for formal evaluation and recommendations under this section.

0310 REVIEW BY THE SECRETARY OF THE NAVY

a. Scope. The Secretary of the Navy will review the action of the GCMA. The standard for review is whether the GCMA committed an abuse of discretion.

b. Action where redress was granted. The Secretary of the Navy may set aside actions favorable to the complainant only if such redress was beyond the statutory or regulatory authority of the officer granting the redress.

c. Action where redress was denied. The Secretary of the Navy may order further proceedings in the matter, or direct that all or a portion of the requested redress, or other appropriate redress, be granted.

d. Notification to complainant. Upon review of a complaint, the Secretary shall notify the complainant whether such resolution is determined to be correct in law and fact and whether further action on the complaint will be taken.

e. Finality. Action on a complaint by the Secretary is final, and the complainant will have exhausted his administrative remedies under article 138, UCMJ, or article 1150, U.S. Navy Regulations (1990), as the case may be, under any of the following circumstances:

(1) when the Secretary indicates that the action of the GCMA is approved, or states that review is final;

(2) if the Secretary takes no action within 90 days of receiving notice that the GCMA has returned the complaint to the complainant because the complaint alleges a wrong which is not a proper subject of a complaint of wrongs, requests improper relief, or is otherwise deficient.

f. Other remedies. Exhaustion of remedies under article 138, UCMJ, and article 1150, U.S. Navy Regulations (1990), does not affect remedies that may be available under other statutes or regulations, including petitions to the Board for Correction of Naval Records.

g. Delegation. The Secretary of the Navy may delegate any of the responsibilities under this chapter to the Assistant Secretary of the Navy (M&RA), except when the Assistant Secretary of the Navy (M&RA) has acted as the GCMA. The Secretary or the Assistant Secretary of the Navy (M&RA) may delegate any of the responsibilities under this chapter to the Principal Deputy Assistant Secretary of the Navy (M&RA) or to the Judge Advocate General. Actions taken pursuant to this chapter by the Assistant Secretary of the Navy (M&RA), the Principal Deputy Assistant Secretary of the Navy (M&RA), or the Judge Advocate General shall be as effective as if done personally by the Secretary of the Navy.

COMPLAINT OF WRONGS

Submitted under the provisions of article 138, UCMJ, or article 1150, U.S. Navy Regulations (1990)

1. FROM: (Name) ,
(Grade/Rate) , (SSN) :

a. Organization (current command and, if different, command at the time of the alleged wrong):

b. EAOS/EAS:

c. Permanent home address (place where correspondence should be forwarded upon separation from active duty):

2. TO (general court-martial authority over respondent at the time of the alleged wrong):

3. VIA ADDRESSEES (intermediate superiors in the chain of command, to include complainant's current commanding officer and the respondent):

4. RESPONDENT (person against whom complaint is made):

a. Name and grade:

b. Organization (title/position and current command, and if different, provide same information for respondent at the time of the alleged wrong):

5. COMPLAINT (explain what happened and how it adversely affected you personally):

a. Date wrong discovered:

b. Specific nature of wrong (include date and place of wrong):

Number of additional pages attached: _____

c. ENCLOSURES (documents necessary to support the complaint, including prior written request for redress and the answer to the request):

(1)

(2)

(3)

d. Date written request for redress was submitted:

e. Date answer to request for redress was received:

f. Number of days between wrong and submission of complaint (difference between date in block 6a above and date this form is submitted, excluding the period respondent considered the written request for redress, which can be determined from blocks 6d and 6e above; if complaint is submitted more than 90 days after discovery of the wrong, the delay must be explained in block 6g below):

g. Explanation of delay in submission:

6. RELIEF REQUESTED (relief must be personal in nature and may not include, for example, a demand for public apology or initiation of disciplinary action against another):

7. I CERTIFY THE ABOVE INFORMATION IS TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, AND THIS COMPLAINT IS SUBMITTED PER THE GUIDELINES AND PROCEDURAL REQUIREMENTS IN CHAPTER III, MANUAL OF THE JUDGE ADVOCATE GENERAL.

_____ _____

DATE SIGNATURE OF COMPLAINANT

WITNESS: _____ Date: _____

PRIVACY ACT STATEMENT

1. Authority: 10 U.S.C. § 501 (1982); 10 U.S.C. § 938 (1982).

2. Principal purpose(s). Used by command authorities and the Judge Advocate General (JAG) to review, take action, and make recommendations to the Secretary of the Navy on article 138, UCMJ, and article 1150, U.S. Navy Regulations, 1990 complaints of wrong.

3. Routine uses. The Blanket Routine Uses that appear at the beginning of the Department of the Navy's compilation in the Federal Register apply.

4. Mandatory or voluntary disclosure and effect on individual not providing information. Providing requested information is voluntary; however, failure to do so may result in delayed command action and JAG review, or the inability to notify complainant of the Secretary's decision.

Complainant: _____

Respondent: _____

YES	NO	
☐	☐	Is this command the **proper GCMA?** §§ 0303e and 0305c.
☐	☐	Has an **advance copy** of the complaint, without enclosures, been sent to the SECNAV, via JAG, upon receipt? § 0306d.
☐	☐	Is Complainant a **proper complainant?** § 0305a.
☐	☐	Is Respondent a **proper respondent?** § 0305b.
☐	☐	Does the complaint allege a wrong which is the **proper subject of a complaint of wrongs?**

YES	NO	
☐	☐	Was the wrong initiated, taken or ratified by the Respondent, and otherwise meet the definition of a wrong? §§ 0303f and 0304a (1)-(2). (If he or she did not, the complaint is not cognizable.)
☐	☐	Was the Respondent's action final? § 0304a(3). (Non-final actions, including most recommendations by respondent are not cognizable unless the recommendation itself, such as a recommendation for advancement, is controlling.)
☐	☐	Does the Complaint challenge general policies of the Department of Defense or the Department of the Navy or provisions of instruction or other documents promulgating such policies? § 0304a(4). (If it does, the complaint is not cognizable.)
☐	☐	Does the complaint challenge decisions or procedures of the GCMA involving an article 138 complaint, except for failure to forward the complaint? § 0304a(5). (If it does, the complaint is not cognizable.)

YES	NO	
☐	☐	Does the complaint challenge findings or final actions of boards covered under 10 U.S.C. § 1181 (Board to Consider Separation of Regular Officers for Substandard Performance), 1182 (Board of Inquiry), and 1183 (Board of Review)? § 0304a (6)(a). (If it does, the complaint is not cognizable.)

YES	NO	
☐	☐	Does the complaint make a collateral attack on NJP, court-martial, or administrative discharge procedures? § 0304a(6)(b). (If it does, the complaint is not cognizable.) **NOTE:** A complaint concerning vacation proceedings involving suspended nonjudicial punishment is cognizable.
☐	☐	Does the complaint seek disciplinary action against another? § 0304b(1). (If it does, the complaint is not cognizable.)
☐	☐	Does the complaint seek to change records which have become final? § 0304b(2). (If it does, the complaint is not cognizable.) **NOTE:** Records are final 90 days after member knows of the record's submission for entry into the appropriate record or one year after submission for entry into the appropriate record, whichever is earlier.
☐	☐	Is the complaint **timely**? § 0306a.
☐	☐	Did Complainant **request redress** from Respondent before filing the complaint? § 0306b.
☐	☐	Is the complaint in the **form** specified at Appendix A-3-a of JAGMAN Chapter III? § 0306c.
☐	☐	Has the complaint been **properly forwarded**? § 0306d.
☐	☐	Is the complaint **complete** and does it contain all enclosures and endorsements? § 0306e.
☐	☐	Does the complaint **improperly join** more than one complainant or respondent? § 0306g.

YES	NO	
☐	☐	Has Complainant received a copy of all endorsements and enclosures? § 0306e.
☐	☐	Has complainant been given an opportunity to rebut adverse matter included in the endorsements and enclosures or developed by GCMA inquiry? § 0307e.
☐	☐	Did GCMA personally sign report to Secretary describing action taken? § 0307g. (By direction signatures are not permitted).
☐	☐	Did GCMA advise Complainant of determination(s) indicating the merit of each allegation and the relief granted, if any? § 0307j.

DATE

SIGNATURE OF OFFICIAL REVIEWING THE COMPLAINT

GCMA NOTICE OF RIGHT TO REBUT

From: (Officer exercising general court-martial jurisdiction)
To: (Complainant)
Via: (Commanding Officer_____)

Subj: OPPORTUNITY TO REBUT ADVERSE MATTER RELATING TO THE COMPLAINT OF WRONGS UNDER ARTICLE 138, UCMJ (ARTICLE 1150, U.S. NAVY REGULATIONS (1990), BY (COMPLAINANT)

Ref: (a) JAGMAN, Chapter III

Encl: (1) (identify documents)

1. As the officer exercising general court-martial jurisdiction over the respondent under reference (a), I am investigating and reviewing your complaint and the endorsements to it.

2. Enclosure(s) (1) - (x) contain(s) matter which may be considered adverse to your case. In accordance with section 0307e of reference (a), enclosures (1) - (x) are forwarded for your review and possible rebuttal. If you desire to submit any matters in rebuttal, you must do so, in writing, via your commanding officer, by (date certain). After that date, I will complete my action on your complaint.

(name of GCMA)

GCMA LETTER TO COMPLAINANT

From: (General court-martial authority)
To: (Complainant)
Via: (Commanding Officer _____)

Subj: COMPLAINT OF WRONGS UNDER ARTICLE 138, UCMJ (ARTICLE 1150, U.S. NAVY REGULATIONS (1990)) BY (COMPLAINANT)

Ref: (a) Article 138, UCMJ (article 1150, U.S. Navy Regulations)
(b) JAGMAN Chapter III

1. As the general court-martial authority over the respondent under references (a) and (b), I have reviewed your complaint and have conducted an appropriate inquiry regarding your allegations.

2. (Discuss allegations raised in the complaint.)

3. (Discuss results of inquiry and determination of whether allegations have merit or are without merit.)

4. (Discuss relief granted or state that relief is denied.)

5. (Additional discussion, including identifying other avenues of relief, as appropriate.)

6. As required by section 0307k of reference (b), I have forwarded a report of your complaint and the proceedings held thereon to the Secretary of the Navy, who will act as the final review authority in your case.

(name of GCMA)

GCMA LETTER TO SECNAV

From: (General court-martial authority)
To: Secretary of the Navy
Via: Judge Advocate General

Subj: COMPLAINT OF WRONGS UNDER ARTICLE 138, UCMJ, (Article 1150, U.S. NAVY REGULATIONS (1990)), BY (Rank/Rate) (Name) (Service)

Ref: (a) Article 138, UCMJ (Article 1150, U.S. Navy Regulations, (1990))
(b) Chapter III, JAGMAN

Encl: (1) Original complaint with enclosures and endorsements
(2) Copy of GCMA's letter to complainant
(3)-(x) (related documents, reports, and investigations)

1. Per references (a) and (b), enclosures (1) through (x) are forwarded.

2. In enclosure (1), (complainant) makes the following allegations:

(a) - (x). (Specifically list each separate allegation.)

3. Regarding the allegations in paragraph 2 above, I have made the following determinations: (a) - (x). (A determination must indicate whether each allegation has merit or is without merit. References to specific sections of the enclosures should be made where applicable.)

4. In enclosure (1), (complainant) requests the following relief:

(a) - (x). (Specifically list each element of relief requested.)

5. I have determined that (the following/no) relief is appropriate in this case. (If relief is granted, discuss the specifics thereof.)

6. By the original of enclosure (2), the complainant has been advised of the action I have taken as the general court-martial authority.

_____
(PERSONALLY SIGNED BY THE GCMA OR OFFICER ACTING IN SUCH CAPACITY-SEE SUBSECTION 0307g)

Copy to:
(previous endorsers)

CHAPTER IV
ARTICLE 139 CLAIMS--REDRESS OF DAMAGE TO PROPERTY

0401 SCOPE

0402 STATUTORY AUTHORITY

0403 CLAIMS NOT COGNIZABLE

a. Simple negligence
b. Subrogees
c. Personal injury or death
d. Scope of employment
e. Government property

0404 LIMITATION ON CLAIMS

a. Time limitations
b. Acts of property owner
c. Only direct damages considered

0405 COMPLAINT BY THE INJURED PARTY AND INVESTIGATION

a. Contents of the claim
b. Misconduct by members of the command
c. Investigation
d. Recommendations

0406 ACTION WHERE OFFENDERS ARE MEMBERS OF ONE COMMAND

a. Action by commanding officer
b. Review
c. Charge against pay

0407 ACTION WHERE OFFENDERS ARE MEMBERS OF DIFFERENT COMMANDS

a. Action by common superior
b. Forwarding to SECNAV (JAG)

0408 RECONSIDERATION AND APPEAL

a. Reconsideration
b. Appeal

0409 EFFECT OF COURT-MARTIAL PROCEEDINGS

THIS PAGE INTENTIONALLY LEFT BLANK

CHAPTER IV

ARTICLE 139 CLAIMS--REDRESS OF DAMAGE TO PROPERTY

0401 SCOPE

This chapter provides for assessments against the pay of members of the naval service in satisfaction of claims for property damage caused under certain circumstances. Claims for damage, loss, or destruction of privately owned property caused by a person or persons in the naval service, are payable under Article 139, UCMJ, only if such damage, loss, or destruction is caused by riotous conduct, willful conduct, or acts showing such reckless or wanton disregard of the property rights of others that willful damage or destruction is implied. Acts of the type punishable under Article 109, UCMJ, are cognizable under Article 139, UCMJ. Charges against pay under these regulations shall be made only against the pay of persons shown to have been principal offenders or accessories.

0402 STATUTORY AUTHORITY

Article 139, UCMJ, redress of injuries to property, is the basis for this chapter.

0403 CLAIMS NOT COGNIZABLE

The following claims are not cognizable under this chapter.

a. Claims resulting from simple negligence.

b. Claims of subrogees.

c. Claims for personal injury or death.

d. Claims arising from acts or omissions within the scope of employment of the offender.

e. Claims for reimbursement for damage, loss, or destruction of Government property.

0404 LIMITATION ON CLAIMS

a. Time limitations. A claim must be submitted within 90 days of the incident giving rise to it.

b. Acts of property owner. When the acts or omissions of the property owner, his lessee, or agent were a proximate contributing factor to the loss or damage of the property, assessments will not be made against members of the naval service in excess of the amount for which they are found to be directly responsible, i.e., comparative responsibility for the loss will be the standard for determining financial responsibility.

c. Only direct damages considered. Assessment will be made only for direct physical damages to the property. Indirect, remote, or inconsequential damage will not be considered.

0405 COMPLAINT BY THE INJURED PARTY AND INVESTIGATION

a. A claim shall contain a statement setting forth the amount of the claim, the facts and circumstances surrounding the claim and any other information that will assist in the investigation and resolution of the matter. When there is more than one complaint resulting from a single incident, each claimant must file a claim separately and individually. The claim shall be personally signed by the claimant or his duly authorized representative or agent.

b. Where the claim alleges misconduct by members of the command, a commanding officer to whom the claim is submitted shall convene an investigation under this Manual to inquire into the matter. Where a complaint is received by a commanding officer to whose command the alleged offenders do not report, he shall forward the claim and other pertinent

information about the matter to the member's commanding officer who will convene an investigation into the incident. Where the command of the alleged offenders cannot be determined, the claim and supporting materials shall be forwarded to the Chief of Naval Personnel or the Commandant of the Marine Corps, as appropriate, for action.

c. The investigation shall inquire into the circumstances surrounding the claim, gather all relevant information about the matter (answering the who, what, where, when, why, and how questions) and make findings and opinions, as appropriate, about the validity of the claim under Article 139, UCMJ, and these regulations. The investigation shall determine the amount of damage suffered by the property owner.

d. The investigation shall make recommendations about the amount to be assessed against the pay of the responsible parties. If more than one person is found responsible, recommendations shall be made about the assessments against all individuals.

0406 ACTION WHERE OFFENDERS ARE MEMBERS OF ONE COMMAND

a. Action by commanding officer. The commanding officer shall ensure the alleged offenders are shown the investigative report and are advised they have 20 days within which to submit a statement or additional information on the incident. If the member declines to submit information, he shall so state in writing within the 20 day period. The commanding officer shall review the investigation and determine whether the claim is properly within the provisions of Article 139, UCMJ, and these regulations, and whether the facts indicate responsibility for the damage on members of the command. If the commanding officer finds the claim payable under these regulations, he shall fix the amount to be assessed against the offenders.

b. Review. If the commanding officer has authority to convene a general court-martial, no further review of the investigation is required as to the redress of injuries to property. If the commanding officer does not have general court-martial convening authority, the investigation and the commanding officer's action thereon shall be forwarded to the officer exercising general court-martial jurisdiction (OEGCM) over the command for review and action on the claim. That officer's action on the claim shall be communicated to the commanding officer who will take action consistent with the determination.

c. Charge against pay. Where the amount does not exceed $5,000.00, the amount ordered by the commanding officer shall, as provided in the Navy Comptroller Manual, be charged against the pay of the offenders and the amounts so collected will be paid to the claimant. Where the amount exceeds $5,000.00, the claim, the investigation, and the commanding officer's recommendation shall be forwarded for review prior to checkage to Headquarters, U.S. Marine Corps (Code JAR) or the Judge Advocate General, as appropriate. The amount charged in any single month against the pay of offenders shall not exceed one-half of basic pay, as defined in paragraph 126h(2), Manual for Courts-Martial. The action of the commanding officer in ordering the assessment shall be conclusive on any disbursing officer for payment to the claimant of the damages assessed, approved, charged, and collected.

0407 ACTION WHERE OFFENDERS ARE MEMBERS OF DIFFERENT COMMANDS

a. Action by common superior. The investigative report shall be forwarded to the common superior exercising general court-martial jurisdiction over the commands to which the alleged offenders are assigned. That officer shall ensure the alleged offenders are shown the investigative report and permitted to comment on it, should they desire, before action is taken on the claim. That officer shall review the investigation and determine whether the claim is properly within the provisions of Article 139, UCMJ, and these

regulations, and whether the facts indicate responsibility for the damage on members of his command. If the claim is found payable under these regulations, he shall fix the amount to be assessed against the offenders and direct the appropriate commanding officers to take action accordingly.

b. Forwarding to SECNAV (JAG). Where it is not practical or possible to carry out the procedure in subsection 0407a above, the investigation or investigations shall be forwarded to the Secretary of the Navy (Judge Advocate General) who will take action in the matter. Commanding officers, in such a situation, are not to make charges against the pay of their members until directed by the Secretary of the Navy (Judge Advocate General).

0408 RECONSIDERATION AND APPEAL

a. Reconsideration. The OEGCM may, upon a receipt of a request for reconsideration by either the claimant or a member who has been assessed pecuniary liability, reopen the investigation or take any other action he believes is necessary in the interests of justice. If the OEGCM contemplates acting favorably on the request, he will provide all individuals interested in the claim with notice and an opportunity to respond. The basis for any change will be noted in the OEGCM's decision.

b. Appeal. In claims involving $5,000.00 or less, a claimant or member who has been assessed pecuniary liability may appeal the decision to the OEGCM. An appeal must be submitted within 5 days of receipt of the OEGCM's decision. Appeals will be forwarded, via the OEGCM, to the Judge Advocate General for review and final action. In the event of an appeal, the imposition of the OEGCM's decision will be held in abeyance pending the final action by JAG. If it appears that good cause exists that would make it impracticable for an appeal to be submitted within 5 days, the OEGCM may, in his discretion, grant an extension of time, as appropriate. His decision on extensions is final and nonappealable.

0409 EFFECT OF COURT-MARTIAL PROCEEDINGS

Administrative action under these regulations is separate and distinct from, and is not affected by any disciplinary action against the offender. The two proceedings are independent. Acquittal or conviction of the alleged offender by court-martial is evidence for the administrative action, but is not determinative on the issue of responsibility for damages under these regulations.

CHAPTER V
RELEASE OF GOVERNMENT INFORMATION

0501 SCOPE

a. Overview
b. FOIA requests
c. Privacy Act requests
d. Request for litigation purposes
e. Other types of requests

PART A -- FREEDOM OF INFORMATION ACT

0502 POLICY

0503 BACKGROUND

a. Publication and public inspection
b. Disclosure upon request

0504 DEFINITIONS

a. Agency record
b. FOIA request
c. Release authority
d. Initial denial authority

0505 RESPONSIBILITIES

a. Minimum requirements
b. Identify the records requested
c. Requests requiring special handling
d. Time limits

0506 EXEMPTIONS

a. Exemption (b)(1)
b. Exemption (b)(2)
c. Exemption (b)(3)
d. Exemption (b)(4)
e. Exemption (b)(5)
f. Exemption (b)(6)
g. Exemption (b)(7)
h. Exemptions (b)(8) and (b)(9)

0507 PUBLIC INTEREST

a. FOIA-type public interest
b. Privacy interest

0508 MAILING LISTS

a. Requests for names and home addresses
b. Requests for names and duty addresses

0509 NONJUDICIAL PUNISHMENT RESULTS

0510 ACTION BY RELEASE AUTHORITY

a. Records releasable in their entirety
b. Records not available
c. Examination of records
d. Misaddressed request
e. Denial

0511 ACTION BY IDA

a. Under that officer's cognizance
b. Partial/total denial

0512 FEES

PART B -- PRIVACY ACT

0513 POLICY

0514 BACKGROUND

a. Publication in the Federal Register
b. Disclosure to the public
c. Right of access
d. Amendment

0515 DEFINITIONS

a. Agency
b. Individual
c. Record
d. System of records
e. Access
f. Disclosure
g. Official use
h. Routine use
i. System manager

0516 RESPONSIBILITIES

a. System notice
b. Request for access or amendment
c. Exempt systems of records
d. Denial authority

0517 PROCEDURES

a. Requesting individual
b. System manager
c. Blanket requests
d. Additional information necessary
e. Denying a request
f. Time limits
g. Granting access
h. Granting amendment
i. Denying the request
j. Denial authority

0518 DISCLOSURE TO OTHERS

a. Intra-agency
b. Freedom of Information Act
c. Routine use
d. Statistical research or reporting
e. Civil or criminal law enforcement activity
f. Congress or members of Congress
g. Court of competent jurisdiction

0519 DISCLOSURE ACCOUNTINGS

a. Intra-agency disclosures
b. Disclosures pursuant to FOIA
c. Disclosures to Congress or members of Congress
d. Disclosure for statistical research

0520 COLLECTION OF INFORMATION

a. Personal information
b. Collect from the individual
c. Privacy Act statement
d. Social Security numbers

0521 SAFEGUARDING PERSONAL INFORMATION

PART C -- RELEASE OF OFFICIAL INFORMATION AND TESTIMONY FOR LITIGATION PURPOSES

0522 POLICY

0523 RELATIONSHIP WITH FOIA AND THE PRIVACY ACT

0524 DEFINITIONS

a. Request or demand
b. DON personnel
c. Litigation
d. Official information

0525 RESPONSIBILITIES

a. General
b. United States is not a party
c. Matters assigned to the Judge Advocate General
d. Matters not within the cognizance of the Judge Advocate General or General Counsel
e. Misdirected requests

0526 RECORDS IN THE CUSTODY OF THE NATIONAL PERSONNEL RECORDS CENTER

0527 MEDICAL AND OTHER RECORDS OF CIVILIAN EMPLOYEES

0528 PRODUCTION OF OFFICIAL RECORDS IN THE ABSENCE OF A COURT ORDER

a. General
b. Release of JAG Manual investigations, court-martial records, Article 69 and 73 petitions, and Article 138/1150 complaints of wrongs
c. Affirmative claims files
d. Accounting disclosures from systems of records

0529 CERTIFICATES OF FULL FAITH AND CREDIT

THIS PAGE INTENTIONALLY LEFT BLANK

CHAPTER V

RELEASE OF GOVERNMENT INFORMATION

0501 SCOPE

a. Overview. This chapter discusses the three principal types of requests for information or records likely to be received by naval activities and the procedures to follow upon receipt of a request. It does not apply to routine naval correspondence or to congressional inquiries, and should not supersede governing naval and Department of Defense directives. Commands receiving a request for records or information from members of the public should examine the request and determine if it cites or implicates the Freedom of Information Act (FOIA), Privacy Act, or related naval or Department of Defense regulations. Records or information may also be requested for litigation purposes--often to bring suit against the Navy. The chapter does not apply to requests for prepublication review of documents. This chapter is designed to be a ready reference guide and is only intended to augment the controlling instructions. Users are encouraged to review the controlling directives (listed in sections 0502, 0513, and 0522) for more detailed information. See SECNAVINST 5510.25A and SECNAVINST 5720.44A.

b. FOIA requests. If the requester cites or implicates the Freedom of Information Act, 5 U.S.C. § 552, SECNAVINST 5720.42E, DODDIR 5400.7 of 24 March 1980, or DODDIR 5400.7R of July 1989, refer to part A.

c. Privacy Act requests. If the requester cites the Privacy Act, 5 U.S.C. § 552a, SECNAVINST 5211.5D, DODDIR 5400.11 of 4 August 1975, or requests information about himself or herself retrievable by the requester's name or other personal identifier, refer to part B.

d. Requests for litigation purposes. If the requester states or it appears that the information is requested for litigation purposes, refer to part C.

e. Other types of requests. If the requester does not cite any statute or regulation, the naval activity should answer the inquiry in the most efficient manner.

PART A--Freedom of Information Act

0502 POLICY

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, generally provides that all persons, including citizens and residents of other countries, have a right of access to Federal agency records, unless such records are exempt from disclosure. SECNAVINST 5720.42E and SECNAVINST 5720.45A contain Department of the Navy policy guidance on FOIA. SECNAVINST 5720.42E addresses FOIA exemptions, time limits for responses, formal and informal extension of time limits, appeals procedures, fee schedules, and includes in enclosure (4) sample format responses to respond to FOIA requests. SECNAVINST 5720.45A directs that the public be provided, to the maximum extent possible, information on the organization and functions of the Navy and the policies and procedures by which those functions are performed in relation to the public.

0503 BACKGROUND

a. The Freedom of Information Act requires publication in the Federal Register of information that affects the public, e.g., descriptions of agency organization, functions,

procedures, substantive rules, and statements of general policy. Additionally, materials such as opinions rendered in the adjudication of cases, specific policy statements, and certain administrative staff manuals must be made available for public inspection.

b. All other Navy records--those not required to be published in the Federal Register or made available for public inspection--are subject to disclosure upon receipt of a proper request for access, unless exempt.

0504 DEFINITIONS

a. Agency record. An agency record includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of agency business and in the agency's control at the time the FOIA request is made. An agency record is not:

(1) Objects or articles, such as structures, parts from wrecked aircraft and ships, furniture, paintings, sculpture, three-dimensional models, and vehicles and equipment.

(2) Anything not a tangible record, such as an individual's memory or oral communication.

(3) Computer software, if not created or used as primary sources of information about organizations, policies, functions, decisions, or procedures of the agency.

(4) Personal records not subject to Navy creation or retention requirements, created or maintained primarily for a Navy employee's personal convenience, and not distributed to other agency employees for their official use. For example, a supervisor's personal notes on an employee's performance, not required to be maintained and used solely as a memory aid in preparing evaluations and then destroyed, is not an agency record.

b. FOIA request. A written request, either citing or reasonably implicating the FOIA, 5 U.S.C. § 552, SECNAVINST 5720.42E, DODDIR 5400.7 of 13 May 1988, or DODDIR 5400.7R of July 1989. It must describe the record(s) requested sufficiently to enable knowledgeable naval personnel to identify the desired records with a reasonable amount of effort. Also, the request must address the requester's willingness to pay fees.

c. Release authority. Commanding officers and heads of Navy and Marine Corps activities authorized to furnish records.

d. Initial denial authority (IDA). An official who may withhold records under FOIA, either in whole or in part, based on the FOIA exemptions. IDA's may also grant or deny requests for reductions or fee waivers. See paragraph 6e of SECNAVINST 5720.42E for a list of IDA's.

0505 RESPONSIBILITIES

a. Minimum requirements. The minimum requirements for a FOIA request are: (1) the request cites or implicates the FOIA; (2) contains a reasonable description of the information or records requested; and (3) contains a clear statement of the requester's willingness to pay fees, a willingness to pay fees up to a stated amount, or a request for a fee waiver. If the FOIA request does not meet these requirements, the naval activity should answer the inquiry, within 10 working days, to inform the requester of the contents of a proper request.

b. Identify the records requested. Commands must search their filing systems and existing retrieval systems if the description provided by the requester enables naval personnel to locate the records with reasonable effort.

(1) FOIA does not authorize "fishing expeditions," nor are commands required to respond to blanket requests for all documents. The naval activity shall notify the requester if the description does not reasonably describe the

records sought and provide guidance on the specificity required to begin a search. For additional guidance, see paragraph 7c of SECNAVINST 5720.42E.

(2) If the requested record was originated by another activity, the receiving activity shall not release or deny such records without consulting the other naval activity. The receiving activity shall coordinate with that activity before referring the FOIA request and copies of the requested documents for direct response. See subparagraph 0505c. The requester shall be notified of this referral.

(3) A naval activity does not have to create or compile a record. A record may be compiled if it is a more useful response to the requester, or a lesser burden to the naval activity than providing existing records, and the requester does not object. Costs of creating or compiling a record may not be charged to the requester unless such a fee is equal to or less than the fee which would be charged for providing the existing record.

c. Requests requiring special handling. Detailed instructions for records requiring special handling are in paragraph 9 of SECNAVINST 5720.42E. The most common requests requiring special handling are briefly outlined below:

(1) Classified records. If the existence or nonexistence of the requested information is classified, the naval activity shall refuse to confirm or deny its existence or nonexistence. If the documents requested are classified by another agency, contain information classified by another agency, or if the head of the agency is not the classifying authority, the agency shall refer the request and copies of the requested documents to the originating agency or classification authority.

(2) Naval Criminal Investigative Service Command reports. Requests should be forwarded to the Naval Criminal Investigative Service Command, Washington, D.C. 20374-5000, and the requester so notified.

(3) Court-martial records. Requests should be referred to the Office of the Judge Advocate General, 200 Stovall Street, Alexandria, VA 22332-2400, and the requester so notified.

(4) JAG manual investigations. Requests shall be forwarded to the following release authorities, depending upon the type of investigation convened:

(a) For a command investigation, to the GCMCA over the command convening the investigation.

(b) For a litigation-report investigation, to the Judge Advocate General, Code 33.

(c) For a court or board of inquiry, to the Echelon II commander over the command convening the court or board of inquiry.

(5) Mishap investigation reports. Requests should be forwarded to Commander, Naval Safety Center, Naval Air Station, Norfolk, VA, 23511-5796 and the requester so notified.

(6) Nuclear and related information. FOIA requests for nuclear related information shall be processed under OPNAVINST 5510.1. Dissemination of unclassified material on the physical protection of special nuclear material is prohibited when dissemination could reasonably be expected to have a significant adverse effect on the health and safety of the public, or the common defense and security, by significantly increasing the likelihood of the: (1) illegal production of nuclear weapons, or (2) theft, diversion, or sabotage of nuclear materials, equipment, or facilities.

(7) Misdirected requests. Misdirected/misaddressed requests shall be promptly readdressed and forwarded to the cognizant or originating activity for action and the requester so notified.

d. Time limits. The responsible naval activity has 10 working days from receipt to respond to a FOIA request, excluding weekends

and holidays. If the naval activity cannot respond within 10 days, it may:

(1) Inform the requester of the reasons for the delay, that the delay may be treated as an initial denial of the request, and the requester shall be informed of the appeal rights. This is considered a formal extension of time and requires the signature of an IDA; or

(2) Negotiate an informal extension of time with the requester that is mutually agreeable. This does not require the IDA's signature.

(3) For additional guidance, see paragraph 8 of SECNAVINST 5720.42E.

0506 EXEMPTIONS

A naval record may be withheld from disclosure if exempt. For additional guidance, see enclosure (2) of SECNAVINST 5720.42E.

a. Exemption (b)(1) exempts those records properly and currently classified.

b. Exemption (b)(2) exempts those records related solely to the internal personnel rules and practices of an agency, such as rules, regulations, orders, manuals, directives, and instructions. Records withheld include:

(1) Internal matters of relatively trivial nature created primarily for internal house keeping purposes. The administrative burden of release must be weighed against the public interest in the requested information. Section 0507 below contains a discussion of FOIA-type public interest.

(2) Substantive internal matters that would allow circumvention of a statute or agency regulation. Examples include classification guides, operating manuals for investigators, emergency base evacuation procedures, and examination questions and answers used in training courses.

c. Exemption (b)(3) exempts records containing matters specifically exempted by statute, such as medical quality assurance records and special nuclear material information. The Privacy Act is not an exemption statute under (b)(3).

d. Exemption (b)(4) exempts records containing trade secrets or commercial or financial information, that a naval activity receives from outside the Government, with the understanding that the information will be retained as privileged or confidential. Examples include information received in confidence for a contract, bid, proposal, or scientific or manufacturing process.

e. Exemption (b)(5) exempts those records containing internal advice, recommendations, and subjective evaluations pertaining to the decision-making process. Reasonably segregable factual portions must be released unless they are so intertwined with exempt information that release would reveal the exempt information or be detrimental to the decision-making process. Direction or orders from a superior to a subordinate must be released if it is policy guidance or a final agency decision. If the (b)(5) material is later adopted as the agency final opinion, it is not exempt. If the (b)(5) material is incorporated by reference into a final agency opinion, it will also lose its exempt status. Examples of exempt information include nonfactual portions of staff papers, evaluations, or investigations, advice, suggestions, or evaluations, and information prepared in anticipation of administrative proceedings or litigation.

f. Exemption (b)(6) exempts information in personnel and medical files, and similar information in other files, if release would be a clearly unwarranted invasion of personal privacy. The public interest in the requested information must be balanced against the privacy interest threatened. See paragraph 14b(2) of SECNAVINST 5211.5D for personal information releasable under FOIA. Paragraph 0507 below contains a discussion of FOIA-type public interest.

g. Exemption (b)(7) exempts records and information compiled for civil, criminal, or military law enforcement purposes. Examples of information or records that may be exempt are witness statements or material developed during an investigation. If the subject of the law enforcement record requests the record, it may be withheld only under SECNAVINST 5211.5D. Under limited circumstances, the naval activity may treat the record as not subject to FOIA. Naval activities believing they have a request for a law enforcement record must refer to paragraph 7 of enclosure (2) to SECNAVINST 5720.42E.

h. Exemptions (b)(8) and (b)(9) do not apply to naval activities.

0507 PUBLIC INTEREST

a. FOIA-type public interest. The public interest to be considered under FOIA is the public's interest in obtaining official information that sheds light on the agency's performance of its statutory duties. In the typical case in which one private citizen is seeking information about another, the requester does not intend to discover anything about the conduct of the agency that has possession of the records, and a response to the request would not shed any light on the conduct of the Government agency or official. In such a case where no FOIA-type public interest exists, release of any private information about an individual would constitute a clearly unwarranted invasion of personal privacy. In evaluating the public interest apparent in release of the requested records, neither the identity of the requester nor the purpose for desiring the request are relevant.

b. Privacy interest. A privacy interest may exist in personal information even though the information has been made available to the general public at some place and time. If personal information is not freely available from sources other than the Federal Government, the person to whom that information pertains has a privacy interest in its nondisclosure. Often, the very fact that the Federal Government expended funds to prepare, index, and maintain records containing personal information and the fact the requester invokes FOIA to obtain the private information indicate that the information is not freely available.

0508 MAILING LISTS

Most naval activities receive FOIA requests for mailing lists--names and home addresses or names and duty addresses.

a. Requests for names and home addresses. Requests for mailing lists of names and home addresses should be denied as a clearly unwarranted invasion of personal privacy.

b. Requests for names and duty addresses

(1) A FOIA request for a list of names and duty addresses of members attached to units that are stationed in foreign territories, routinely deployable, or sensitive must be denied as a clearly unwarranted invasion of personal privacy. Disclosure is a security threat to those members because it reveals information about their involvement in military actions, the type of naval unit, and their presence or absence from their households. Release aids the targeting of members and their families by terrorists and other persons opposed to the national policy. Exceptions must be coordinated with Office of the Chief of Naval Operations (N09B30) or the CMC (MPI 10), as appropriate. Units covered are:

(a) Those outside the 50 states, District of Columbia, Commonwealth of Puerto Rico, Guam, U.S. Virgin Islands, and American Samoa.

(b) Routinely deployable units that normally deploy from home port or permanent station on a periodic or rotating basis to meet operational requirements or participate in scheduled exercises, including routinely deployable ships, aviation squadrons, operational staffs, and all units of the Fleet Marine Force. It does not include ships undergoing extensive yard work or whose primary mission is support training, e.g. yard craft and auxiliary aircraft landing training ships.

(c) Units engaged in sensitive operations are those primarily involved in training for or conduct of covert, clandestine, or classified missions, including units primarily involved in collecting, handling, disposing, or storing classified information or materials.

(2) Lists of names and duty addresses, not covered by the above policy, are not exempt. Lists may no longer be withheld under exemption (b)(2). Prepublished directories and organizational charts must also be released. There is no administrative burden if the requested materials are already available in the form requested.

0509 NONJUDICIAL PUNISHMENT RESULTS

Information on nonjudicial punishment will not normally be disclosed to the public under FOIA. This is because the public interest in the routine administrative disposition of employee misconduct rarely outweighs the individual's privacy interest in the matter (see section 0507 for definition of "public interest"). In order to protect the personal privacy of individuals receiving nonjudicial punishment, commands receiving requests for individual nonjudicial punishment records should forward the request to their cognizant initial denial authority with the recommendation that the existence of the records be neither confirmed nor denied, except when the requester is the individual upon who nonjudicial punishment was imposed. In that situation, the request is processed under section 0517. Otherwise, disclosure should only be considered when the events leading to the nonjudicial punishment are particularly newsworthy or the case involves a senior official abusing the public trust through office-related misconduct, such as embezzlement, fraud, or misuse of Government property. Publication of the results of NJP to the command, in accordance with section 0115 of this Manual, shall not be considered a disclosure as defined in section 0515 of this Manual and is not controlled by this paragraph.

0510 ACTION BY RELEASE AUTHORITY

Release authorities shall take one of the following actions within 10 working days after receiving a FOIA request:

a. If the requested records are releasable in their entirety, forward the requested records stating: whether fees were waived or reduced; what fees are due; or whether fees must be paid before the records are released.

b. If the requested records are releasable in their entirety but not yet available, notify the requester that the request has been approved and the requested records will be forwarded by a specified date.

c. If the request for examination of records has been approved, notify the requester of the time and place.

d. If the request has been misaddressed or the records are properly held by another naval activity, promptly refer the request and notify the requester.

e. If the request must be denied in whole or in part, advise the requester that the request has been referred to higher authority (provide name and address of IDA), for a release determination and direct response. The letter to the IDA shall include a copy of the request, a copy of the letter to the requester, all documents responsive to the request, and a recommendation as to partial/total denial with the rationale for the exemptions claimed. In this situation, the release authority will not release any documents to the requester.

0511 ACTION BY THE IDA

a. When an IDA receives a FOIA request for records under that officer's cognizance, the IDA shall respond as in section 0505 above.

b. When a FOIA request is forwarded to the IDA with a recommendation for partial/total denial, the IDA:

(1) Shall respond within 10 working days. If a response cannot be made within that time frame, the following options are available:

(a) Inform the requester of the reasons for the delay, that the delay may be treated as an initial denial of the request, and the requester shall be informed of the appeal rights. This is considered a formal extension of time; or

(b) Negotiate an informal extension of time with the requester that is mutually agreeable. This does not require the IDA's signature.

(2) Shall determine if the record contains information exempt under FOIA and inform the requester of the exemptions claimed. Reasonably segregable portions of the requested records must be released. The requester shall be informed of the appeal rights.

(3) Shall determine if the requester's claimed entitlement to waiver/reduction of feesis warranted. If the IDA denies the request, the requester shall be informed of the right to appeal. If the requester appeals the denial of the waiver/reduction of fees, the release of the records may be withheld until the fee is paid or the appellate authority grants a waiver/reduction of fees.

0512 FEES

Enclosure (3) of SECNAVINST 5720.42E contains fee guidelines.

PART B--Privacy Act

0513 POLICY

The Privacy Act, 5 U.S.C. § 552a, applies to documents and records in a system of records maintained by an agency from which information is retrieved by the person's name or other personal identifier, such as a Social Security number. The Act balances the Government's need to maintain information about individuals against the right of individuals to be protected from unwarranted invasions of their privacy by Government collection, maintenance, use, and disclosure of personal information. SECNAVINST 5211.5D contains Department of the Navy policy guidance on the Privacy Act and prescribes procedures for notifying individuals of a system of records pertaining to them, granting access to the subject of the records, reviewing requests to amend records, disclosing personal information to third parties, and safeguarding personal information.

0514 BACKGROUND

a. Naval activities may not maintain records retrievable by name or personal identifier unless a system notice has been published in the Federal Register. Maintaining an unpublished system of records is a criminal violation. OPNAVNOTE 5211 contains published Department of the Navy system notices.

b. Information in a Privacy Act system of records may not be disclosed to the public, unless: the subject of the record consents, the disclosure is pursuant to a routine use, released under one of the twelve statutory exceptions, for an official use, or by order of a court of competent jurisdiction.

c. An individual has a right of access to a record maintained under the individual's name or personal identifier, unless the record is exempt from or not subject to the Privacy Act.

d. An individual may request amendment, correction or deletion of a record pertaining to himself. If the request is denied, the individual may file a "statement of dispute," that must be disclosed with such records. See section 0518h below.

0515 DEFINITIONS

a. Agency. The Department of Defense is the agency; all naval activities are subject to the Privacy Act.

b. Individual. A living U.S. citizen or alien lawfully admitted for permanent residence; or a member of the U.S. Navy, including a minor. The legal guardian of an individual or the parent of a minor has the same rights as the individual.

c. Record. *Any item, collection, or grouping* of information about an individual maintained by an agency by name or personal identifier. Purely private notes--such as personal memory refreshers--not required or used by the agency are not agency records.

d. System of records. A group of records from which information is retrieved by name or personal identifier. The capability of retrieving a record by name or personal identifier, such as by a computer search, does not create a system of records subject to the Privacy Act.

e. Access. An individual or authorized agent, reviewing or obtaining copies of records, pertaining to himself or herself, that are part of a system of records.

f. Disclosure. Conveying information from a Privacy Act record to an organization or individual, not the subject of the record.

g. Official use. Officials of the Department of Defense and the Navy with a demonstrated need for any record to complete a mission or function of the Department, or disclosure prescribed or authorized by a directive. Known as "on a need-to-know basis."

h. Routine use. Disclosure of a record outside the Department of Defense for a use compatible with the purpose for which the information was collected and maintained. The routine use must be in the published system notice.

i. System manager. Official with responsibility for records in a system, as indicated in the published system notice.

0516 RESPONSIBILITIES

a. Systems notices. Systems notices are published in the Federal Register and OPNAVNOTE 5211. Proposed new, altered, or amended systems of records shall be submitted to Chief of Naval Operations (N09B30) or Commandant of the Marine Corps (MI3), as appropriate. For additional guidance, see paragraph 9 of SECNAVINST 5211.5D.

b. Request for access or amendment. The system manager must establish and make available upon request, rules on requests for access or amendment that conform to paragraph 6 and enclosures (2) and (3) of SECNAVINST 5211.5D.

(1) The official with custody of the record may grant access to the requested record even if he is not the system manager.

(2) Only officials designated as denial authorities in paragraph 6e of SECNAVINST 5211.5D, may deny a request for access.

(3) Blanket requests for notification and/or access to all systems of records within the Navy are not honored. See section 0517c below.

c. Exempt systems of records. The system manager must publish in the Federal Register a notice of exempt systems. There are two categories of records exempt from access--a general exemption and a specific exemption.

(1) The general exemption excuses a system of records from most access provisions of

the Act; it is available only for records maintained by the CIA or an agency whose principal function is law enforcement.

(2) The specific exemption applies to investigatory material compiled for law enforcement purposes not within the general exemption. Enclosure (11) of SECNAVINST 5211.5D lists exempt systems of records.

d. Denial authority. Only authorities in paragraph 6e of SECNAVINST 5211.5D may deny requests for notification, access, or amendment, when the records relate to matters within their command, or technical or administrative responsibility.

0517 PROCEDURES

a. The requesting individual should request the records in writing, providing the name of the system of records, full name, Social Security number, and a signed release, if necessary.

b. The system manager or other responsible official shall:

(1) Verify the identity of the requesting individual, such as by employee or military identification card or driver's license, as the subject of the record. If a written request, identity may be verified by the requester providing minimum identifying data, such as date of birth. If the information is sensitive, additional verification of identity may be required. See paragraph 11a(4)(b) of SECNAVINST 5211.5D.

(2) Grant access to the requested record unless exempt.

c. Blanket requests are not honored. Requests seeking notification or access to all Navy systems of records shall not be honored. For example, the requester may seek all records maintained by the requester's name or personal identifier. A command receiving such a request should inform the requester that:

(1) Requests for notification and/or access must be made to the system manager for the record system, as identified in the Federal Register, and

(2) Requests must either designate the particular system to be searched or provide sufficient information for the system manager to determine the appropriate system.

d. The system manager or other custodial official shall inform the requester of additional information necessary to consider the request.

e. Denial of an individual's request for notification, access, or amendment must be in accordance with paragraph 11c of SECNAVINST 5211.5D. Generally, access will be granted to an individual unless the system of records has been exempted from access or the particular information requested has been compiled in reasonable anticipation of litigation.

f. A request for notification, access, or amendment shall be acted on in 10 working days, or a response to the requester shall indicate when the request will be acted upon. Action should be completed within 30 days of receipt by the cognizant office.

g. If access should be granted, the system manager or other custodial official shall so inform the requester in writing and:

(1) Inform the requester where and when the records may be viewed, that a person may accompany the requester, and a copy of the record may be provided upon agreement to pay duplication fees, or

(2) Furnish a copy of the record, if the requester asked for a copy of the record and agreed to pay duplication fees, unless fees were waived.

h. Amendment should be granted when information from the requester and all other reasonably available related records indicate that the requested amendment will make the record accurate, relevant, timely, and complete.

(1) If amendment is warranted, the system manager shall promptly amend the record and notify the requester in writing.

(2) The system manager shall notify previous recipients of the record for whom a disclosure accounting was made that the record was amended and of the substance of the correction.

(3) When an individual files a statement of dispute after a request for amendment has been denied, the system manager shall annotate the record so the dispute is apparent. The system manager shall notify previous recipients of the record for whom a disclosure accounting was made that the record has been disputed, provide a copy of the individual's statement, and if appropriate, provide a brief statement why the record was not amended. For additional guidance, see paragraph 12i of SECNAVINST 5211.5D.

i. If the system manager or other custodial official determines the request should be denied, in whole or in part, that officer shall forward the request to the cognizant denial authority with a copy of the requested record, and recommendations as to the denial.

j. The denial authority shall follow:

(1) Paragraph 6e of SECNAVINST 5211-.5D to deny a request for notification.

(2) Paragraphs 11c and d of SECNAVINST 5211.5D to deny access to a record, in whole or in part.

(3) Paragraph 12h of SECNAVINST 5211.5D to deny a request for amendment, in whole or in part.

0518 DISCLOSURE TO OTHERS

Generally, records in a system of records may not be disclosed except pursuant to a written request of the subject of the record or with the prior written consent of the subject of the record. A complete discussion of exceptions is in paragraphs 14b(1) through (12) of SECNAVINST 5211.5D. The most common exceptions are:

a. Intra-agency. Disclosure may be made to other Department of the Navy or Department of Defense personnel who need the records in the performance of their duties, if compatible with the purpose for which the information is maintained. See section 0515g above and paragraph 14b(1) of SECNAVINST 5211.5D.

b. Freedom of Information Act. If an agency receives a FOIA request for information in a system of records not exempt under FOIA, the information must be disclosed.

(1) Records traditionally released to the public--such as press releases--may be disclosed without a FOIA request. See SECNAVINST 5720.44A.

(2) If a FOIA exemption--generally exemption (b)(6)--applies to information in a Privacy Act record, the agency may not make a discretionary FOIA release. See section 0517 above.

c. Routine use. Disclosure may be made for a routine use, as defined in section 0515h above, compatible with the purpose for which the record is collected and listed as a routine use in the published system notice.

d. Statistical research or reporting. Disclosure may be made upon written assurance that the record will be used solely as a statistical research or reporting record, and the record is not individually identifiable.

e. Civil or criminal law enforcement activity. Disclosure may be made to another agency or instrumentality of any governmental jurisdiction, controlled by the United States, for a civil or criminal law enforcement activity if:

(1) The activity is authorized by law; and

(2) The head of the agency or instrumentality made a written request to the head of the activity maintaining the record, specifying the record desired and the law enforcement purpose.

f. Congress or members of Congress. Disclosure may be made to either House of Congress, or to any committee or subcommittee of Congress to the extent the matter is within its jurisdiction. Disclosure is not authorized to an individual member of Congress acting on his own behalf or on behalf of a constituent. For additional guidance, see SECNAVINST 5730.5G or MCO P5211.2A (The Privacy Act of 1974).

g. Court of competent jurisdiction. Disclosure may be made in response to an order of a court of competent jurisdiction signed by a judge.

0519 DISCLOSURE ACCOUNTINGS

A disclosure accounting for each record disclosed from a system of records must be made by the activity maintaining the record, except for:

a. Intra-agency disclosures;

b. Disclosures pursuant to FOIA;

c. Disclosures to Congress or members of Congress; or

d. Disclosures for statistical research.

For additional guidance, see paragraph 14f of SECNAVINST 5211.5D.

0520 COLLECTION OF INFORMATION

a. Personal information is information private or intimate to the individual and not related solely to official functions. It ordinarily does not include information such as time, place, and manner of, or reasons and authority for, an individual's act or omission directly related to official duties.

b. Personal information shall be collected to the maximum extent possible from the individual, except when:

(1) There is a need to ensure the accuracy of the information supplied by verifying the information through a third party.

(2) Information can only be obtained through a third party.

(3) Obtaining information directly from the individual would involve exceptional practical difficulties or unreasonable cost.

c. A Privacy Act statement must be provided when individuals supply personal information about themselves. The individual need not sign the Privacy Act statement. The Privacy Act statement must contain:

(1) Authority for the solicitation (statute or Executive Order).

(2) Purposes for which the information is used.

(3) Brief summary of routine uses for the information, as published in the Federal Register.

(4) Whether disclosure is mandatory or voluntary, and effects of nondisclosure.

d. Social Security numbers. A Privacy Act statement must be provided when requesting a Social Security number. A Social Security number may be requested even if not required by Federal statute, if the individual is informed that disclosure is voluntary.

0521 SAFEGUARDING PERSONAL INFORMATION

Every activity maintaining a system of records shall prevent inadvertent or unauthorized disclosures.

0522 POLICY

Official documents and information should be made reasonably available for use in Federal courts, State courts, foreign courts, and other governmental proceedings unless the information is classified, privileged, or otherwise protected from public disclosure. Requests for documents, testimony, depositions, or interviews of witnesses in connection with litigation shall be processed under SECNAVINST 5820.8A.

0523 RELATIONSHIP WITH FOIA AND THE PRIVACY ACT

This section does not control releases under FOIA or the Privacy Act, nor does it preclude treating any written request as a FOIA or Privacy Act request. If a FOIA or Privacy Act request pertains to litigation to which the United States is a present or potential party, the release authority should notify the Judge Advocate General or the General Counsel, as appropriate. For additional guidance, see paragraph 3 in enclosure (3) of SECNAVINST 5820.8A. Requests for Privacy Act records must be accompanied by a written release from the subject of the record, a court order, or a subpoena signed by a judge of a court of competent jurisdiction. The release official must do a disclosure accounting. See Appendix A-2-b.

0524 DEFINITIONS

a. Request or demand (legal process). Subpoena, order, or other request by a Federal, State, or foreign court of competent jurisdiction, by any agency thereof, or by any party or other person for production, disclosure, or release of official Department of Defense information, or for appearance, deposition, or testimony of DON personnel as witnesses. The guidance set forth in this part, and SECNAVINST 5820.8A, do not apply to release of official information or testimony by DON personnel in the following situations:

(1) Before courts-martial or administrative proceedings convened or conducted by any DOD component;

(2) In response to requests by Federal Government counsel or counsel representing the interests of the United States;

(3) As required by the Defense Industrial Personnel Security Program under DODDIR 5220.6 of 12 August 1985; and

(4) Release of JAG Manual investigations to next of kin, and their representatives, concerning deceased or incompetent naval personnel.

b. DON personnel. Active duty and former military personnel of the naval service, including retirees, personnel of other Department of Defense components serving with a naval component, Naval Academy midshipmen, present and former employees of the Navy and Marine Corps including nonappropriated fund employees, foreign nationals performing services for the Navy and Marine Corps overseas, under provisions of Status of Forces agreements, and other specific individuals or entities hired through contractual agreements.

c. Litigation. All pretrial, trial, and post-trial stages of existing or reasonably anticipated judicial or administrative actions, hearings, investigations, or similar proceedings before civilian courts, commissions, boards (including the Armed Services Board of Contract Appeals), or other tribunals, foreign and domestic. Includes responses to discovery requests, depositions, and other pretrial proceedings, and formal or informal requests by attorneys or others involving or reasonably anticipated to involve litigation.

d. Official information. Information in the custody and control of the Department of Defense or its components; includes information

acquired by Department of Defense personnel or component personnel as part of their official duties, or because of their official status.

0525 *RESPONSIBILITIES*

a. General. Requests for official information and records will be processed in accordance with the guidance set out in SECNAVINST 5820.8A. Generally, in cases where the United States is not, and is not reasonably anticipated to become, a party, the responsibility to act as determining authority has been delegated to general court-martial convening authorities and those commands and activities with a staff judge advocate assigned. Requests for official information should be sent directly to the command that holds the documents desired or at which the witness is employed or assigned for duty. In all cases where the United States is, or may reasonably be expected to be, a party, the determining authority is the Judge Advocate General or the General Counsel, as appropriate.

(1) For guidance on the information to be included in the request, see SECNAVINST 5820.8A, 57 Federal Register 2462 (1992), and 58 Federal Register 53883 (1993)(codified at 32 C.F.R. § 725).

(2) If the request is for records in a Privacy Act system of records as defined in section 0515d above, the request must be accompanied by a written release from the subject of the record, a court order, or a subpoena signed by a judge of a court of competent jurisdiction.

(3) Copies only will be provided.

(4) If compliance is inappropriate for any reason, such as the records contain classified or privileged information, the court order or subpoena shall be forwarded to the Judge Advocate General or Associate General Counsel (Litigation), under Appendix A-5-a, and the parties notified.

(5) Release of classified information for civilian proceedings—criminal or civil—must be coordinated with Chief of Naval Operations (OP-092) under OPNAVINST 5510.1H.

b. If the United States is not, and is not reasonably anticipated to become a party to the proceedings, the production in Federal or State courts of evidentiary material from the service, employment, pay, or medical records of dependents or members of the naval service, is authorized upon receipt of a request complying with SECNAVINST 5820.8A, accompanied by a subpoena, court order, or other request signed by the judge of a court of competent jurisdiction. The specific authority of the Judge Advocate General is not required. The Associate General Counsel (Litigation), must be notified to ensure that service has been properly effected. See Appendix A-5-a. When the request for production involves claims in favor of the Government, the affirmative claims office at the Naval Legal Service Office with territorial responsibility should be notified. Any travel by naval personnel to comply with such a subpoena, court order, or other request must be at no expense to the Government.

c. If a naval activity receives a litigation request for matters assigned to the Judge Advocate General under SECNAVINST 5430.27A or Article 0331, U.S. Navy Regulations, 1990, it shall refer the matter to the Deputy Assistant Judge Advocate General (DAJAG) for International Law, Admiralty, General Litigation, or Claims and Tort Litigation, according to the responsibilities assigned in this Manual. The appropriate DAJAG will respond. Matters clearly not within the areas of responsibility for a particular DAJAG shall be referred to the DAJAG for General Litigation.

d. Misdirected requests. A naval activity receiving a demand for official information originated by another Department of Defense component shall forward appropriate portions of the request to the originating component for action.

0526 RECORDS IN THE CUSTODY OF THE NATIONAL PERSONNEL RECORDS CENTER

Court orders or documents with the legal effect of court orders, i.e. those signed by a judge of a court of competent jurisdiction, demanding information from, or the production of, service or medical records in the custody of the National Personnel Records Center for former (deceased or discharged) Navy and Marine Corps members shall be served upon Director, National Personnel Records Center, General Services Administration, 9700 Page Boulevard, St. Louis, MO 63132. If the National Personnel Records Center maintains records responsive to the request, that Center shall forward such records with the request to: (1) Commander, Naval Military Personnel Command or (2) Commandant of the Marine Corps (Code M), as appropriate.

0527 MEDICAL AND OTHER RECORDS OF CIVILIAN EMPLOYEES

If the United States is not, and is not reasonably anticipated to become, a party, records of civilian employees other than medical records may be produced upon receipt of a court order, or a subpoena signed by a judge of a court of competent jurisdiction, without specific authority from the Secretary of the Navy (Judge Advocate General) or the Associate General Counsel (Litigation), as appropriate, unless classified or For Official Use Only information, such as loyalty or security records, is involved. If such records are involved, release must be coordinated with the Chief of Naval Operations (N09B30). The Associate General Counsel (Litigation) must be notified to verify that service has been properly effected. Disclosure of records relating to compensation benefits administered by the Office of Workers' Compensation Programs of the Department of Labor is governed by SECNAVINST 5720.42E and SECNAVINST 5211.5D, as appropriate. Where a record custodian will appear to testify with original records, the assistance of the United States Attorney or United States Marshal should be requested so custody of the original records may be maintained.

0528 PRODUCTION OF OFFICIAL RECORDS IN THE ABSENCE OF COURT ORDER

a. General. Release of official records outside the Navy in the absence of a court order is governed by SECNAVINST 5720.42E (FOIA) and SECNAVINST 5211.5D (PA), and if requested for litigation purposes, by SECNAVINST 5820.8A.

b. Release of JAG Manual investigations, court-martial records, Articles 69 and 73, UCMJ, petitions, and Article 138/1150 complaints of wrong.

(1) JAG Manual investigation (including enclosures). Requests shall be forwarded to the following release authorities, depending upon the type of investigation convened:

(a) For a command investigation, to the GCMCA over the command convening the investigation.

(b) For a litigation-report investigation, to the Judge Advocate General, Code 33.

(c) For a court or board of inquiry, to the Echelon II commander over the command convening the investigation.

(2) Court-martial records and Articles 69 and 73, UCMJ, petitions. The Judge Advocate General is the release/denial authority for all records under this subparagraph. Any request for court-martial records or Article 69 and 73 petitions shall be promptly readdressed and forwarded to the Judge Advocate General, Attn: Code 40, and the requester so notified.

(3) Article 138/1150 complaints of wrongs. Any request for release of the Article 138/1150 complaint file outside the Department of the Navy shall be forwarded to the Judge Advocate General, Code 32.

c. Affirmative claims files. Affirmative claims files (including Medical Care Recovery Act files), except for copies of reports or investigations prepared under this Manual, or

containing classified or privileged information, may be released by the commanding officer of the Naval Legal Service Office having cognizance over the claim at issue, to insurance companies to support claims; to civilian attorneys representing the injured party and the Government's interests; and to other components of the Department of Defense, without the prior approval of the Judge Advocate General, if the amount of the claim is within the settlement authority of the releaser. When the request involves material related to claims in favor of the Government, the record holder should notify the affirmative claims officer at the Naval Legal Service Office with territorial responsibility.

d. Accounting disclosures from systems of records. When records in a system of records are released, the release official shall consult SECNAVINST 5211.5D and section 0519 above on a disclosure accounting. See Appendix A-2-b.

0529 CERTIFICATES OF FULL FAITH AND CREDIT

The Judge Advocate General, the Deputy Judge Advocate General, and the Assistant Judge Advocates General may execute certificates of full faith and credit certifying the signatures and authority of officers of the Department of the Navy.

APPENDIX A

Department of the Navy
Litigation Points of Contact

I. Office of the Judge Advocate General

A. COGNIZANCE: Matters involving military personnel law, military justice, torts, admiralty, international law, affirmative claims such as the Medical Care Recovery Act, and Freedom of Information Act and Privacy Act suits in which the Judge Advocate General was the denial authority. Responsibility for environmental suits is shared with the Office of the General Counsel.

B. ADDRESS: Office of the Judge Advocate General
Department of the Navy
200 Stovall Street
Alexandria, VA 22332-2400

The subject matter of the correspondence forwarded will determine the appropriate code designation:

(1) Suits against the United States or U.S. citizens in foreign courts -- Code 10 (International Law)

(2) Admiralty cases -- Code 31 (Admiralty)

(3) Affirmative claims, including the Medical Care Recovery Act, and actions under the Federal Tort Claims Act and Driver's Act -- Code 35 (Claims)

(4) All other cases under cognizance of the Judge Advocate General other than those described in subparagraphs (1), (2), and (3) above, including Freedom of Information Act and Privacy Act suits -- Code 34 (Litigation)

II. Office of the General Counsel

A. COGNIZANCE: Matters involving commercial law, including contract disputes arising out of maritime contracts (e.g., contracts for the repair and overhaul of naval vessels), civilian personnel law, real property, and Freedom of Information Act and Privacy Act suits in which the General Counsel denied the appeal. Responsibility for environmental law is shared with the Office of the Judge Advocate General.

B. ADDRESS: Associate General Counsel (Litigation)
Department of the Navy
Office of the General Counsel
Washington, DC 20360-5110

III. Points of Contact

The principal point of contact for the Office of General Counsel is the Associate General Counsel (Litigation), telephone (703) 602-3176, telecopy (703) 602-3229. The points of contact for matters within the purview of the Office of the Judge Advocate General vary according to the subject matter involved (see paragraph IB(1) -- (4), above). Telephone numbers for the Office of the Judge Advocate General are:

A. International Law, Code 10 -- (703) 697-9161
Telecopy -- (703) 695-8073

B. Admiralty, Code 31 -- (703) 325-9744

C. General Litigation, Code 34 -- (703) 325-9870
Telecopy -- (703) 325-6615

D. Claims and Tort Litigation, Code 35 -- (703) 325-9880

E. OJAG Library Telecopy number -- (703) 325-9152

IV. Marine Corps Points of Contact

A. Staff Judge Advocate to the Commandant (CMC (JAR)) for matters referred to the Judge Advocate General -- (703) 614-2510
Telecopy (703) 695-5111

B. Counsel to the Commandant (CMC (CL)) for matters referred to the Office of General Counsel -- (703) 614-2150
Telecopy (703) 693-6756

CHAPTER VI
DELIVERY OF SERVICEMEMBERS, CIVILIANS, AND DEPENDENTS --SERVICE OF PROCESS AND SUBPOENAS-- STATE TAX AND REGULATORY AUTHORITY

0601 SCOPE

PART A -- DELIVERY OF PERSONNEL

0602 DELIVERY OF PERSONS REQUESTED BY STATE AUTHORITIES IN CRIMINAL CASES

0603 DELIVERY WHEN PERSONS ARE WITHIN TERRITORIAL LIMITS OF THE REQUESTING STATE

0604 DELIVERY WHEN PERSONS ARE BEYOND TERRITORIAL LIMITS OF THE REQUESTING STATE

a. General
b. Waiver of extradition
c. Fugitive warrants
d. Members stationed outside the United States

0605 PERSONS STATIONED OUTSIDE THE UNITED STATES

a. Persons desired by local U.S. authorities
b. Members desired by U.S. Federal authorities

0606 AUTHORITY OF THE JUDGE ADVOCATE GENERAL AND OF THE GENERAL COUNSEL

a. Authority of the Judge Advocate General
b. Authority of the General Counsel
c. Points of contact
d. Coordination with the Commandant of the Marine Corps

0607 AGREEMENT REQUIRED PRIOR TO DELIVERY TO STATE AUTHORITIES

a. Delivery under Article 14, UCMJ
b. Delivery under Interstate Agreement on Detainers Act

0608 DELIVERY OF PERSONS TO FEDERAL AUTHORITIES

a. Authority to deliver
b. Agreement not required of Federal authorities

0609 DELIVERY OF PERSONS TO FOREIGN AUTHORITIES

0610 CIRCUMSTANCES IN WHICH DELIVERY IS REFUSED

a. Disciplinary proceedings pending
b. When delivery may be refused
c. Delivery under Detainers Act
d. Reports required

0611 MEMBERS RELEASED BY CIVIL AUTHORITIES ON BAIL OR ON THEIR OWN RECOGNIZANCE

0612 INTERVIEWING MEMBERS OR CIVILIAN EMPLOYEES BY FEDERAL CIVILIAN INVESTIGATIVE AGENCIES

0613 REQUEST FOR DELIVERY OF MEMBERS SERVING SENTENCE OF COURT-MARTIAL

a. General
b. Interstate Agreement on Detainers Act
c. Article 14, UCMJ
d. Forms

0614 REQUEST FOR DELIVERY OF MEMBERS SERVING SENTENCE OF A STATE COURT

a. General
b. Interstate Agreement on Detainers Act

0615 REQUEST FOR INJUNCTIVE RELIEF (HABEAS CORPUS, TEMPORARY RESTRAINING ORDERS, ETC.) AND SERVICE OF PROCESS BY MAIL

a. General
b. Reports required

PART B -- SERVICE OF PROCESS AND SUBPOENAS UPON PERSONNEL

0616 SERVICE OF PROCESS UPON PERSONNEL

a. General
b. Service of process arising from official duties
c. Service of process of foreign courts
d. Leave or liberty to be granted persons served with process
e. Report where service not allowed

0617 MEMBERS OR CIVILIAN EMPLOYEES SUBPOENAED AS WITNESSES IN STATE COURTS

0618 MEMBERS OR CIVILIAN EMPLOYEES SUBPOENAED AS WITNESSES IN FEDERAL COURTS

a. Witnesses on behalf of Federal Government
b. Witnesses on behalf of non-governmental parties

0619 NAVAL PRISONERS AS WITNESSES OR PARTIES IN CIVILIAN COURTS

a. Criminal actions
b. Civil actions

0620 INTERVIEWS AND DEPOSITIONS IN CONNECTION WITH CIVIL LITIGATION IN MATTERS PERTAINING TO OFFICIAL DUTIES

0621 SUITS AGAINST THE UNITED STATES

a. General
b. Reports to the Judge Advocate General
c. Reports to the General Counsel
d. Cases involving civilian employee matters
e. Initial and supplemental reports

0622 REPOSSESSION OF PERSONAL PROPERTY

PART C -- LIAISON WITH THE DEPARTMENT OF JUSTICE

0623 LITIGATION REPORTS AND PLEADINGS

0624 LIAISON WITH THE U.S. ATTORNEY AND OTHER OFFICIALS OF THE DEPARTMENT OF JUSTICE (INCLUDING OFFICIALS OF THE UNITED STATES MARSHAL SERVICE)

PART D -- MISDEMEANORS COMMITTED ON NAVY AND MARINE CORPS INSTALLATIONS

0625 GENERAL

0626 PROSECUTION BEFORE FEDERAL MAGISTRATES

a. Responsibility of the Department of Justice
b. Designation of Navy and Marine Corps officers to conduct prosecution

PART E -- APPEARANCES BY JUDGE ADVOCATES IN CIVIL COURT AND/OR CIVIL ADMINISTRATIVE PROCEEDINGS

0627 ON BEHALF OF MEMBERS

PART F -- STATE TAX AND REGULATORY AUTHORITY

0628 BACKGROUND

0629 STATE REGULATION OF FEDERAL FUNCTIONS, INCLUDING LIQUOR SALES

a. Application of State law
b. Federal immunity
c. Private individuals
d. Demands for compliance

0630 STATE AND LOCAL TAXATION OF ON-BASE SALES

0631 STATE AND LOCAL TAXES, INCLUDING HOTEL TAXES AND THE FEDERAL TRAVELLER

0632 LIABILITY OF MILITARY PERSONNEL AND DEPENDENTS FOR STATE AND LOCAL TAXES

a. In general
b. Income taxes
c. Personal property taxes and vehicle registration
e. Assistance

CHAPTER VI
DELIVERY OF SERVICEMEMBERS, CIVILIANS, AND DEPENDENTS --SERVICE OF PROCESS AND SUBPOENAS-- STATE TAX AND REGULATORY AUTHORITY

0601 SCOPE

This chapter provides direction and guidance for various situations where a military commander is asked to provide or, at a minimum, permit the taking of personnel, property, or records from a military installation by civilian authorities. Paragraphs 0602 through 0615 generally deal with requests connected with State or Federal criminal prosecutions. Paragraphs 0616 through 0624 provide procedures for responding to the initiation and processing of civil litigation, whether or not the Department of the Navy is a party. Paragraphs 0625 through 0627 provide guidance for dealing with the Department of Justice in criminal and civil prosecutions. Finally, paragraphs 0628 through 0632 provide guidance on State attempts to tax or regulate activities or personnel aboard military installations.

PART A -- DELIVERY OF PERSONNEL

0602 DELIVERY OF PERSONS REQUESTED BY STATE AUTHORITIES IN CRIMINAL CASES

Part A of this chapter deals with requests by State authorities for the surrender of members or civilians pursuant to arrest warrants or similar process, generally in connection with a criminal prosecution. Responding to such requests by a State for delivery of members or civilian employees involves balancing the Federal interest in preserving sovereign immunity and the productivity, peace, good order, and discipline of the installation against the right of the State to exercise its jurisdiction. Additionally, by regulation, naval and Marine authorities are limited in the extent to which they can directly assist such an act. Commands should respond to such requests as set out below, generally using the minimum authority necessary to preserve the Federal interests without unduly restricting State jurisdiction.

0603 DELIVERY WHEN PERSONS ARE WITHIN TERRITORIAL LIMITS OF THE REQUESTING STATE

When the delivery of any member or civilian is requested by local civil authorities of a State for an offense punishable under the laws of that jurisdiction, and such person is located at a Navy or Marine Corps installation within the requesting jurisdiction, or aboard a ship within the territorial waters of such jurisdiction, commanding officers are authorized to and normally will deliver such person when a proper warrant is issued. In the case of a member, delivery will only be effected upon compliance with section 0607, subject to the exceptions in section 0610. A judge advocate of the Navy or Marine Corps should be consulted before delivery is effected. The rule discussed above applies equally to civilian employees and civilian contractors and their employees when located on a Navy or Marine Corps installation, except that compliance with section 0607 and consideration of section 0610 are not required. (For purposes of this chapter, "State" includes the District of Columbia, territories, commonwealths, and all possessions or protectorates of the United States.) Commands should normally not become actively involved in civilian law enforcement. See SECNAVINST 5820.7. When a command has determined that a person is to be delivered in response to a valid warrant, the following guidance should be considered. If the person to be delivered is a military member, the member may be ordered to report to a location designated by the commanding officer (for example, to the base legal office) and surrendered to civil authorities under Article 14, UCMJ. If the person to be delivered is a civilian, the person may be invited to report to the designated space for delivery. If the

civilian refuses, the civilian authorities may be escorted to a place where the civilian is located in order that delivery may be effected. A civilian may be directed to leave a classified area. All should be done with minimum interference to good order and discipline.

0604 DELIVERY WHEN PERSONS ARE BEYOND TERRITORIAL LIMITS OF THE REQUESTING STATE

a. General. When State civil authorities request delivery of any member of the Navy or Marine Corps for an alleged crime or offense punishable under the law of the jurisdiction making the request, and such member is not attached to a Navy or Marine Corps activity within the requesting State or a ship within the territorial waters thereof, the following action will be taken. Any officer exercising general court-martial jurisdiction, or officer designated by him, or any commanding officer, after consultation with a judge advocate of the Navy or Marine Corps, is authorized (upon compliance with the provisions of this section and section 0607, and subject to the exceptions in section 0610) to deliver such member to make the member amenable to prosecution. The member may be delivered upon formal or informal waiver of extradition in accordance with subsection b, or upon presentation of a fugitive warrant, in which case the procedures of subsection c apply. The rule discussed above applies equally to civilian employees and civilian contractors and their employees when located on a Department of the Navy installation not within the requesting State, except that compliance with section 0607 and consideration of section 0610 are not required.

b. Waiver of extradition

(1) Any member may waive formal extradition. A waiver must be in writing and be witnessed. It must include a statement that the member signing it has received counsel of either a military or civilian attorney prior to executing the waiver, and it must further set forth the name and address of the attorney consulted. The form for waiver should be substantially as that in Appendix A-6-a.

(2) In every case where there is any doubt as to the voluntary nature of a waiver, such doubt shall be resolved against its use and all persons concerned will be advised to comply with the procedures set forth in subsection c, below.

(3) Executed copies of all waivers will be mailed to the Judge Advocate General immediately after their execution.

(4) When a member declines to waive extradition, the nearest naval legal service Office or Marine Corps staff judge advocate shall be informed and shall confer with the civil authorities as appropriate. The member concerned shall not be transferred or ordered out of the State in which he is then located without the permission of the Secretary of the Navy (Judge Advocate General), unless a fugitive warrant is obtained as set forth in subsection c, below.

c. Fugitive warrants

(1) A fugitive warrant, as used in this chapter, is a warrant issued by a State court of competent jurisdiction for the arrest of a member. Normally, a State requesting delivery of a member from another State will issue a fugitive warrant to the State where the member is then located.

(2) Upon issuance of a fugitive warrant by the requesting State to the State in which the member is located, the latter State will normally request delivery of the member to local State authorities. Delivery to local State authorities should be arranged by Navy or Marine Corps officers designated in subsection a of this section, upon compliance with the provisions of section 0607, and subject to the conditions of section 0610 and paragraphs (3) and (4) of this subsection.

(3) Upon receipt of a request for delivery of a member under fugitive warrant to State authorities, if the member voluntarily waives extradition, the provisions of subsection b, above, apply. If the member is delivered to local authorities but refuses to waive

extradition, he will have the opportunity to contest extradition in the courts of the State in which he is located.

(4) No delivery of a member by Navy or Marine Corps officers pursuant to a fugitive warrant or waiver of extradition shall be effected without completion of the agreement required by section 0607 and execution of such agreement either: (a) by authorities of both the requesting State and the State in which the member is located, or (b) by authorities of the State in which the member is located if such authorities, on behalf of the requesting State, accept the full responsibility for returning the member to a command designated by the Department of the Navy.

d. Members stationed outside the United States. When the member sought by State authorities is not located within the United States, see section 0605.

0605 PERSONS STATIONED OUTSIDE THE UNITED STATES

a. Persons desired by local U.S. authorities. When delivery of any member in the Navy or Marine Corps, or any civilian employee or dependent, is desired for trial by State authorities and the individual whose presence is sought is stationed outside the United States, the provisions of DoD Directive 5525.9 of 27 December 1988, Compliance of DoD Members, Employees and Family Members Outside the United States with Court Orders, as implemented in SECNAVINST 5820, will be followed. In all such cases, the nearest judge advocate of the Navy or Marine Corps shall be consulted before any action is taken.

b. Members desired by U.S. Federal authorities. When delivery of any member of the Navy or Marine Corps is desired for trial in a Federal district court, upon appropriate representation by the Department of Justice to the Secretary of the Navy (Judge Advocate General), the member will be returned to the United States at the expense of the Department of the Navy and held at a military facility convenient to the Department of the Navy and to the Department of Justice. Delivery may be accomplished as set forth in section 0608, subject to the exceptions in section 0610.

0606 AUTHORITY OF THE JUDGE ADVOCATE GENERAL AND OF THE GENERAL COUNSEL

a. Authority of the Judge Advocate General. The Judge Advocate General, the Deputy Judge Advocate General, and the Assistant Judge Advocates General are authorized to act for the Secretary of the Navy in the performance of functions under this chapter. This delegation extends to the Deputy Assistant Judge Advocate General (General Litigation), with the exception of actions set forth in sections 0528, 0529, and 0627. Authority is delegated to the following Deputy Assistant Judge Advocates General to act on the specific sections noted: International Law, sections 0609, 0616, 0620, 0621, and 0624; Admiralty, sections 0616, 0620, 0621, and 0624; Claims and Tort Litigation, sections 0616, 0620, 0621, and 0624; Investigations, section 0528; Criminal Law, sections 0528 and 0627; and, Civil Affairs, section 0621d.

b. Authority of the General Counsel. The authority of the General Counsel of the Navy is prescribed by Navy Regulation [32 C.F.R. §§ 700.203(a) and (g)] and by appropriate departmental directives and instructions (e.g., SECNAVINST 5430.25D). The principal areas of responsibility of the Office of the General Counsel (OGC) are commercial law, including maritime contract matters (e.g., contracts for the repair and alteration of naval vessels); civilian employee law at the Headquarters of the Department of the Navy and, through the Judge Advocate General for the remainder of the Navy; real property law; and Freedom of Information Act and Privacy Act matters as delineated in SECNAVINST 5720.42D. The Office of the General Counsel shares responsibility with the Judge Advocate General for environmental law cases.

c. Points of contact. Commanding officers are advised to contact their local area judge advocates for assistance in referring matters to the appropriate office of the Judge Advocate General or General Cousnel. Appendix A-5-a sets out the litigation points of contact for the Judge Advocate General and the Office of the General Counsel.

d. Coordination with the Commandant of the Marine Corps. Marine Corps commands shall inform the Commandant of the Marine Corps (CMC) of all matters referred to the Judge Advocate General or the Office of General Counsel. Copies of all correspondence and documents shall also be provided to CMC. The Staff Judge Advocate to the Commandant (CMC (JAR)) shall be advised of all matters referred to the Judge Advocate General. Counsel to the Commandant (CMC (CL)) shall be advised of matters referred to the Office of General Counsel. Appendix A-5-a to this chapter sets out litigation points of contact for the Commandant of the Marine Corps.

0607 AGREEMENT REQUIRED PRIOR TO DELIVERY TO STATE AUTHORITIES

a. Delivery under Article 14, UCMJ. When delivery of any member of the Navy or Marine Corps to the civilian authorities of a State is authorized, the member's commanding officer shall, before making such delivery, obtain from the Governor or other duly authorized officer of such State a written agreement that conforms to Appendix A-6-b. The State official completing the agreement must show that he is authorized to bind the State to the terms of the agreement. When indicating in the agreement the naval or Marine Corps activity to which the member delivered is to be returned by the State, care should be taken to designate the closest appropriate activity (to the command to which the member is attached) that possesses special court-martial jurisdiction. The Department of the Navy considers this agreement substantially complied with when: (1) the member is furnished transportation (under escort in cases of delivery in accordance with section 0613) to a naval or Marine Corps activity as set forth in the agreement; (2) the member is provided cash to cover incidental expenses en route thereto; and (3) the Department of the Navy is so informed. Any departure from the agreement set forth in Appendix A-6-b must have prior approval from the Judge Advocate General. As soon as practicable, a copy of the delivery agreement shall be forwarded to the Judge Advocate General.

b. Delivery under Interstate Agreement on Detainers Act. Special forms, not contained in this Manual, are used when delivering prisoners under the Interstate Agreement on Detainers Act. The Act is infrequently used and most requests are pursuant to Article 14, UCMJ. See section 0613 for a detailed discussion of the Detainers Act.

0608 DELIVERY OF PERSONS TO FEDERAL AUTHORITIES

a. Authority to deliver. When Federal law enforcement authorities display proper credentials and Federal warrants for the arrest of members, civilian employees, civilian contractors and their employees, or dependents residing at or located on a Department of the Navy installation, commanding officers are authorized to and should allow the arrest of the individual sought. The exceptions in section 0610 may be applied to members. A judge advocate of the Navy or Marine Corps should be consulted before delivery is effected.

b. Agreement not required of Federal authorities. The agreement described in section 0607 is not a condition to the delivery of members to Federal law enforcement authorities. Regardless of whether the member is convicted or acquitted, after final disposition of the case, the member will be returned to the Naval Service (provided that naval authorities desire his return) and the necessary expenses will be paid from an appropriation under the control of the Department of Justice.

0609 DELIVERY OF PERSONS TO FOREIGN AUTHORITIES

Except when provided by agreement between the United States and the foreign government concerned, commanding officers are not authorized to deliver members or civilian employees of the Department of the Navy, or their dependents residing at or located on a naval or Marine Corps installation, to foreign authorities. When a request for delivery of these persons is received in a country with which the United States has no agreement or when the commanding officer is in doubt, advice should be sought from the Judge Advocate General. Detailed information concerning the delivery of members, civilian employees, and dependents to foreign authorities when a status of forces agreement is in effect is contained in DoD Directive 5525.1 of 9 April 1985 and SECNAVINST 5820.F.

0610 CIRCUMSTANCES IN WHICH DELIVERY IS REFUSED

a. Disciplinary proceedings pending. When disciplinary proceedings involving military offenses are pending, commanding officers should obtain legal guidance from a judge advocate of the Navy or Marine Corps prior to delivery of members to Federal or State authorities.

b. When delivery may be refused. Delivery may be refused only in the following limited circumstances:

(1) Where the accused has been retained for prosecution as set forth in section 0125; or

(2) When the commanding officer determines that extraordinary circumstances exist which indicate that delivery should be refused.

c. Delivery under Detainers Act. When the accused is undergoing sentence of a court-martial, see section 0613.

d. Reports required. When delivery will be refused, the commanding officer shall report the circumstances to the Judge Advocate General by telephone, or by message if telephone is impractical. The initial report shall be confirmed by letter setting forth a full statement of the facts. See RCS JAG 5821-4 (Appendix A-6-c). A copy of the report shall be forwarded to the regional coordinator.

0611 MEMBERS RELEASED BY CIVIL AUTHORITIES ON BAIL OR ON THEIR OWN RECOGNIZANCE

A member of the Navy or Marine Corps arrested by Federal or State authorities and released on bail or on his own recognizance has a duty to return to his parent organization. Accordingly, when a member of the Navy or Marine Corps is arrested by Federal or State authorities and returns to his ship or station on bail, or on his own recognizance, the commanding officer, upon verification of the attesting facts, date of trial, and approximate length of time that should be covered by the absence, shall grant liberty or leave to permit appearance for trial, unless this would have a serious negative impact on the command. In the event that liberty or leave is not granted, a judge advocate of the Navy or Marine Corps should immediately be requested to act as liaison with the court. Nothing in this section is to be construed as permitting the member arrested and released to avoid the obligations of bond or recognizance by reason of the member's being in the military service.

0612 INTERVIEWING SERVICE-MEMBERS OR CIVILIAN EMPLOYEES BY FEDERAL CIVILIAN INVESTIGATIVE AGENCIES

Requests by the Federal Bureau of Investigation, Naval Investigative Service Command, or other Federal civilian investigative agencies to interview members or civilian employees of the Department of the Navy suspected or accused of crimes should be promptly honored. Any refusal of such a request shall be immediately reported to the Judge Advocate General, or the Office of General Counsel, as appropriate, by telephone, or by message if telephone is

impractical. When the employee in question is a member of an exclusive bargaining unit, a staff judge advocate or General Counsel attorney will be consulted to determine whether the employee has a right to have a bargaining unit representative present during the interview.

0613 REQUEST FOR DELIVERY OF MEMBERS SERVING SENTENCE OF COURT-MARTIAL

a. General. Article 14, UCMJ (10 U.S.C. § 814), provides authority to honor requests for delivery of members serving a sentence of a court-martial. Although seldom utilized, additional authority and mandatory obligation to deliver such members are provided by the Interstate Agreement on Detainers Act (18 U.S.C. Appendix, § 9, hereinafter "the Act"), which applies to the Federal agency holding the prisoner. The Department of the Navy, as an agency of the Federal Government, shall comply with the Act. The Act is designed to avoid speedy-trial issues and to aid in rehabilitation efforts by securing a greater degree of certainty about a prisoner's future. The Act provides a way for a prisoner to be tried on charges pending before State courts, either at the request of the State where the charges are pending or the prisoner's request. When refusal of delivery under Article 14, UCMJ, is intended, comply with section 0610d.

b. Interstate Agreement on Detainers Act. Upon request under the Act by either State authorities or the prisoner, the cognizant Navy or Marine Corps staff judge advocate, as appropriate, shall communicate with the appropriate State officials, and monitor and ensure that the cognizant commander acts on all such requests. The Act provides that court-martial sentences continue to run during temporary custody. This section does not cover requests between Federal authorities. The procedure set forth in subsection c, below, shall be applied in such cases. Article 14, UCMJ.

(1) State request. State officials may request delivery of prisoners in military custody under section 2, Article IV, of the Act. Where (1) a detainer has been lodged against the prisoner, and (2) the prisoner is serving a sentence (regardless of whether an appeal is in process), delivery is mandatory unless the request is disapproved by the Director of the Bureau of Prisons, Washington, D.C., 20537 as the designee of the Attorney General for this purpose. 28 C.F.R. § 0.96(n) (1989). There has been no further delegation to military authority. The prisoner should be informed that he may request the Director of the Bureau of Prisons, Washington, D.C. 20537, within 30 days after such request is received, to deny the request. Upon the expiration of such 30-day period or upon the Director of the Bureau of Prisons' denial of the prisoner's request, whichever occurs first, the prisoner shall be delivered to the requesting authority.

(2) Prisoner request. The obligation to grant temporary custody under the Act also applies to prisoners' requests to be delivered to State authority. Section 2, Article III(c) of the Act requires the custodial official to inform the prisoner of the existence of any detainer and of the prisoner's right to request disposition. The prisoner's request is directed to the custodial official who must forward it to the appropriate prosecuting official and court, with a certificate of prisoner status as provided by Article III of the Act.

c. Article 14, UCMJ. When a request for custody does not invoke the Interstate Agreement on Detainers Act, delivery of custody shall be governed by Article 14, UCMJ, and sections 0603 through 0610, of this Manual. The request shall be honored unless, in the exercise of discretion, there is an overriding reason for retaining the accused in military custody, e.g., additional courts-martial are to be convened or the delivery would severely prejudice the prisoner's appellate rights. Execution of the agreement discussed in section 0607 is a condition precedent to delivery to State authorities. It is not required before delivery to Federal authorities. See section 0608. Unlike delivery under the Act, delivery of custody pursuant to Article 14, UCMJ, interrupts execution of the court-martial sentence.

d. Forms. The form in Appendix A-6-c with appropriate modifications should be utilized in reporting refusal of delivery of prisoners.

0614 REQUEST FOR DELIVERY OF MEMBERS SERVING SENTENCE OF A STATE COURT

a. General. Ordinarily, members serving protracted sentences resulting from a State criminal conviction will be processed for administrative discharge by reason of misconduct. See MILPERSMAN 3630600 and paragraph 6017.3c, MARCORSEPMAN. It may, however, be in the best interest of the Naval Service to retain a member charged with a serious offense, subject to military jurisdiction, to try the member by court-martial. The Navy may obtain temporary custody of incarcerated members for prosecution with a request to the State under the Interstate Agreement on Detainers Act. 18 U.S.C. Appendix, §9. The Department of the Navy may use the Act in the same manner in which State authorities may request members pursuant to section 0613.

b. Interstate Agreement on Detainers Act. Military authorities may use the Act to obtain temporary custody of a member incarcerated in a State institution, pursuant to conviction by a State court, to resolve criminal charges against the member before a court-martial.

(1) Detainer. If a command requests temporary custody under the Act, the commanding officer of the cognizant naval legal service office or the Marine Corps staff judge advocate, shall file a detainer with the warden, commissioner of corrections, or other State official having custody of the member. The detainer shall identify the member with particularity, enumerate the military charges pending, and request the command be notified in advance of any intention to release the member from confinement.

(2) Request for delivery. As soon as practical after filing the detainer, the commanding officer of the cognizant naval legal service office or the Marine Corps staff judge advocate, shall prepare a written request for temporary custody of the member addressed to the State official charged with administration of the State penal system. The request shall designate the person(s) to whom the member is to be delivered and shall be transmitted via the military judge to whom the member's case has been assigned. If the request is properly prepared, the military judge shall approve, record, and transmit the request to the addressee official. The Act provides the State with a 30-day period after receipt of the request before the request is to be honored. Within that period of time, the governor of the State may disapprove the request, either unilaterally or upon the prisoner's request. If the governor disapproves the request, the command should coordinate any further action with the Judge Advocate General.

(3) Responsibilities. The cognizant command shall ensure that the responsibilities of a receiving jurisdiction, delineated in section 2, Article IV of the Act, are discharged. In particular, the Act requires that the receiving jurisdiction:

(a) Commence the prisoner's trial within 120 days of the prisoner's arrival, unless the court, for good cause shown during an Article 39(a), UCMJ, session, grants a continuance necessary or reasonable to promote the ends of justice;

(b) Hold the prisoner in a suitable jail or other facility regularly used for persons awaiting prosecution, except for periods during which the prisoner attends court or travels to or from any place at which his presence may be required;

(c) Return the prisoner to the sending jurisdiction at the earliest practical time, but not before the charges that underlie the request have been resolved (prematurely returning the prisoner will result in dismissal of the charges); and

(d) Pay all costs of transporting, caring for, keeping, and returning the prisoner to the sending jurisdiction, unless the command

and the State agree on some other allocation of the costs or responsibilities.

0615 REQUEST FOR INJUNCTIVE RELIEF (HABEAS CORPUS, TEMPORARY RESTRAINING ORDERS, ETC.) AND SERVICE OF PROCESS BY MAIL

a. General. When a member or civilian employee of the Navy or Marine Corps receives service of process for injunctive relief (such as for habeas corpus or a temporary restraining order), or receives service of process by mail in any case involving the named member's or employee's duties or official position and such service contains an attached form for return of acknowledgement of service, the nearest judge advocate of the Navy or Marine Corps or attorney with the Office of General Counsel shall be immediately contacted. The legal representative shall immediately contact the nearest United States Attorney for assistance. A report of such service shall be made promptly to the Judge Advocate General or to the Associate General Counsel (Litigation), as appropriate (see Appendix A-5-a), by telephone, or by message if telephone is impractical and shall include: the name of the petitioner(s) and defendant(s), a summary of the bases of the petition, and the date and time of any scheduled hearing. Action must be taken expeditiously in injunctive cases as the courts generally allow a very short period of time for response.

b. Reports required

(1) If habeas relief is requested, a copy of all pleadings, orders, and process in the case, will be forwarded to the Judge Advocate General or the Associate General Counsel (Litigation), as appropriate per Appendix A-5-a, along with a detailed explanation of the circumstances under which the petitioner has been detained. See RCS JAG 5821-6. See section 0621(b).

(2) When the hearing has been completed and the court has issued its order in the case, a copy of the order shall be forwarded promptly to the Judge Advocate General or to the Associate General Counsel (Litigation), as appropriate per Appendix A-5-a. This is particularly important if the order was adverse in order to facilitate compliance or to make a timely determination whether to undertake further proceedings.

PART B -- SERVICE OF PROCESS AND SUBPOENAS UPON PERSONNEL

0616 SERVICE OF PROCESS UPON PERSONNEL

a. General. Commanding officers afloat and ashore may permit service of process of Federal or State courts upon members, civilian employees, dependents, or contractors residing at or located on a naval installation, if located within their commands. Service will not be made within the command without the commanding officer's consent. The intent of this provision is to protect against interference with mission accomplishment and to preserve good order and discipline, while not unnecessarily impeding the court's work. Where practical, the commanding officer shall require that the process be served in his presence, or in the presence of a designated officer. In all cases, individuals will be advised to seek legal counsel, either from a legal assistance attorney or from personal counsel for service in personal matters, and from Government counsel for service in official matters. The commanding officer is not required to act as a process server. The action required depends in part on the status of the individual requested and which State issued the process.

(1) In State process. When a process server from a State or Federal court from the jurisdiction where the naval station is located requests permission to serve process aboard an installation, the command ordinarily should not prevent service of process so long as delivery is made in accordance with reasonable command regulations and is consistent with good order and discipline. Withholding service may be justified only in the rare case when

the individual sought is located in an area under exclusive Federal jurisdiction not subject to any reservation by the State of the right to serve process. Questions on the extent of jurisdiction should referred to the staff judge advocate, command counsel, or local naval legal service office. If service is permitted, an appropriate location should be designated (for example, the command legal office) where the process server and the member or employee can meet privately in order that process may be served away from the workplace. A member may be directed to report to the designated location. A civilian may be invited to the designated location. If the civilian does not cooperate, the process server may be escorted to the location of the civilian in order that process may be served. A civilian may be required to leave a classified area in order that the process server may have access to the civilian. If unusual circumstances require that the command not permit service, see section 0616e.

(2) Out-of-State process. In those cases where the process is to be served by authority of a jurisdiction other than that where the command is located, the person named is not required to accept process. Accordingly, the process server from the out-of-State jurisdiction need not be brought face-to-face with the person named in the process. Rather, the process server should report to the designated command location while the person named is contacted, apprised of the situation, and advised that he may accept service, but also may refuse. In the event that the person named refuses service, the process server should be so notified. If service of process is attempted from out-of-State by mail and refused, the refusal should be noted and the documents returned to the sender. Questions should be referred to the staff judge advocate, command counsel, or the local naval legal service office.

b. Service of process arising from official duties

(1) Whenever a member or civilian employee of the Department of the Navy is served with process because of his official position, the Judge Advocate General or the Associate General Counsel (Litigation), as appropriate (see Appendix A-5-a), shall be notified by telephone, or by message if telephone is impractical. Notification shall be confirmed by a letter report by the nearest appropriate command. The letter report shall include the detailed facts which give rise to the action. RCS JAG 5821-7. For cases involving injunctive relief, see section 0615. For lawsuits filed in the United States District Court, Washington, D.C., service of process may be made upon the Department of the Navy's Office of General Counsel.

(2) Any member or civilian employee served with Federal or State court civil or criminal process or pleadings (including traffic tickets) arising from actions performed in the course of official duties shall immediately deliver all such process and pleadings to the commanding officer. The commanding officer shall ascertain the pertinent facts and notify the Judge Advocate General or Associate General Counsel (Litigation), as appropriate per Appendix A-5-a, by telephone or by message if telephone is impractical, of the service and immediately forward the pleadings and process to the relevant office. The member or civilian employee will be advised of the right to remove civil or criminal proceedings from State to Federal court under 28 U.S.C. §§ 1442, 1442a, rights under the Federal Employees Liability Reform and Tort Compensation Act (28 U.S.C. § 2679b), if applicable, and the right of a Federal employee to request representation by Department of Justice attorneys in Federal (civil) or State (civil or criminal) proceedings and in congressional proceedings in which that person is sued in an individual capacity, as delineated in 28 C.F.R. § 50.15 (1989). Requests for representation shall be addressed to the Judge Advocate General or Associate General Counsel (Litigation), as appropriate per Appendix A-5-a, and shall be endorsed by the commanding officer, who shall provide all necessary data relating to the questions of whether the person was acting within the course of official duty or scope of employment at the time of the incident out of which the suit arose.

(3) If the service of process involves a potential claim against the Government, see section 0807 and JAGINST 5890.1. The right to remove to Federal Court under 28 U.S.C. §§ 1442 and 1442a must be considered where the outcome of the State court action may influence a claim or potential claim against the United States. Questions should be directed to the Judge Advocate General or Associate General Counsel (Litigation), in accordance with Appendix A-5-a.

c. Service of process of foreign courts

(1) Usually, the amenability of members, civilian employees, and their dependents stationed in a foreign country, to the service of process from courts of the host country will have been settled by an agreement between the United States and the foreign country concerned. (For example, in the countries of the signatory parties, amenability to service of civil process is governed by paragraphs 5(g) and 9 of Article VIII of the NATO Status of Forces Agreement, TIAS 2846.) When service of process on a person described above is attempted within the command in a country in which the United States has no agreement on this subject, advice should be sought from the Judge Advocate General or the Associate General Counsel (Litigation), as appropriate. See Appendix A-5-a. When service of process is upon the United States Government or one of its agencies or instrumentalities as the named defendant, the doctrine of sovereign immunity may allow the service of process to be returned to the court through diplomatic channels. Service of process directed to an official of the United States, on the other hand, must always be processed in accordance with the applicable international agreement or treaty, regardless of whether the suit involves acts performed in the course of official duties. The Judge Advocate General or the Associate General Counsel (Litigation), as appropriate per Appendix A-5-a, will arrange through the Department of Justice for defense of the suit against the United States or an official acting within the scope of official duties, or make other arrangements, and will issue instructions.

(2) Usually, the persons described in subsection c(1) above are not required to accept service of process outside the geographic limits of the jurisdiction of the court from which the process issued. In such cases, acceptance of the service is not compulsory, but service may be voluntarily accepted in accordance with subsection b, above. In exceptional cases when the United States has agreed that service of process will be accepted by such persons when located outside the geographic limits of the jurisdiction of the court from which the process issued, the provisions of the agreement and of subsection a, above, will govern.

(3) Under the laws of some countries (such as Sweden), service of process is effected by the document, in original or certified copy, being handed to the person for whom the service is intended. Service is considered to have taken place even if the person refuses to accept the legal documents. Therefore, if a commanding officer or other officer in the military service personally hands, or attempts to hand, that person the document, service is considered to have been effected, permitting the court to proceed to judgment. Upon receipt of foreign process with a request that it be served upon a person described in subsection c(1) above, a commanding officer shall notify the person of the fact that a particular foreign court is attempting to serve process and also inform that person that the process may be ignored or received. If the person to be served chooses to ignore the service, the commanding officer will return the document to the embassy or consulate of the foreign country with the notation that the commanding officer had the document, that the person chose to ignore it, and that no physical offer of service had been made. The commanding officer will advise the Judge Advocate General or the Associate General Counsel (Litigation), as appropriate per Appendix A-5-a, of all requests for service of process from a foreign court and the details thereof.

d. Leave or liberty to be granted persons served with process. When members or civilian employees are either served with process, or voluntarily accept service of pro-

cess, or voluntarily accept service of process, in cases where the United States is not a party to the litigation, the commanding officer normally will grant leave or liberty to the person served to permit compliance with the process, unless to do so would have an adverse impact on naval operations. If the United States is a party, see section 0624. When a member or civilian employee is a witness for a nongovernmental party because of performance of official duties, the commanding officer may issue the person concerned permissive orders authorizing attendance at the trial at no expense to the Government. The provisions of SECNAVINST 5820.8 must also be considered in such cases. Members or civilian employees may accept allowances and mileage tendered; however, any fees tendered for testimony must be paid to the Department of the Navy unless the member or employee is on authorized leave while attending the judicial proceeding. When it would be in the best interests of the United States Government (for example, in State criminal trials), travel funds may be used to provide members and civilian employees as witnesses as provided in the Joint Federal Travel Regulations. Responsibility for the payment of the member's mileage and allowances will be determined pursuant to the Joint Federal Travel Regulations, Volume 1, paragraph M6300, subsections 1-3.

e. Report where service not allowed. Where service of process is not permitted, or where the member or civilian employee is not given leave, liberty, or orders to attend a judicial proceeding, a report of such refusal and the reasons therefor shall be made by telephone, or message if telephone is impractical, to the Judge Advocate General or the Associate General Counsel (Litigation), as appropriate per Appendix A-5-a. RCS JAG 5821-8.

0617 MEMBERS OR CIVILIAN EMPLOYEES SUBPOENAED AS WITNESSES IN STATE COURTS

Where members or civilian employees are subpoenaed to appear as witnesses in State courts, and are served as described in section 0616, subsection 0616d applies. If these persons are requested to appear as witnesses in State courts when the interests of the Federal Government are involved (e.g., Medical Care Recovery Act cases), follow the procedures described in subsection 0618a. If State authorities are attempting to obtain the presence of a member or a civilian employee as a witness in a civil or criminal case, and such person is unavailable because of an overseas assignment, the command should immediately contact the Judge Advocate General, or the Associate General Counsel (Litigation), as appropriate per Appendix A-5-a.

0618 MEMBERS OR CIVILIAN EMPLOYEES SUBPOENAED AS WITNESSES IN FEDERAL COURTS

a. Witnesses on behalf of Federal Government. When members or civilian employees of the Department of the Navy are required to appear as witnesses in a Federal court to testify on behalf of the Federal Government in cases involving Department of the Navy activities, the Chief of Naval Personnel or the Commandant of the Marine Corps, as appropriate, will issue temporary additional duty orders to that person. The charges for such orders will be borne by the activity to which the required witness is attached. Payment to witnesses will be as provided by the Joint Federal Travel Regulations and U.S. Navy travel instructions. If the required witness is to appear in a case in which the activities of the Department of the Navy are not involved, the Department of the Navy will be reimbursed in accordance with the procedures outlined in the Navy Comptroller Manual, section 046268.

b. Witnesses on behalf of nongovernmental parties

(1) Criminal actions. When members or civilian employees are served with a subpoena to appear as a witness for a defendant in a criminal action and the fees and mileage required by Rule 17(d) of the Federal Rules of

Criminal Procedure are tendered, the commanding officer may issue the person subpoenaed permissive orders authorizing attendance at the trial at no expense to the Government, unless the person's absence would have an adverse impact on naval operations. In such a case, a full report of the circumstances will be made to the Judge Advocate General or, in the case of civilian employees, to the Associate General Counsel (Litigation). In those cases where fees and mileage are not tendered as required by Rule 17(d) of the Federal Rules of Criminal Procedure, but the person subpoenaed still desires to attend, the commanding officer also may issue permissive orders at no cost to the Government. Such persons, however, should be advised that an agreement as to reimbursement for any expenses incident to travel, lodging, and subsistence should be effected with the party desiring their attendance and that no reimbursement should be expected from the Government. See subsection 0616d for additional guidance concerning fees and mileage.

(2) Civil actions. When members or civilian employees are served with a subpoena to appear as a witness on the behalf of a nongovernmental party in a civil action brought in a Federal court, the provisions of section 0616 apply.

0619 NAVAL PRISONERS AS WITNESSES OR PARTIES IN CIVILIAN COURTS

a. Criminal actions. When Federal or State authorities desire the attendance of a naval prisoner as a witness in a criminal case, they should submit a written request for such person's attendance to the Judge Advocate General. The civilian authority should include the following averments in its request: (1) that the evidence to be derived from the prisoner's testimony is unavailable from any other source; (2) that the civilian authority will provide adequate security arrangements for the prisoner and assume responsibility for the prisoner while he is in its custody; and (3) that the civilian authority will assume all costs of transporting the prisoner from the brig, of maintaining that prisoner while in civilian custody, and of returning the prisoner to the brig from which he was removed. The civilian authority should also include in its request an estimate of the length of time the prisoner's services will be required, and should specify the mode of transport by which it intends to return the prisoner. Upon receipt of such a request, authority by the Judge Advocate General will be given, in a proper case, for the production of the requested naval prisoner in court without resort to a writ of habeas corpus ad testificandum (a writ which requires the production of a prisoner to testify before a court of competent jurisdiction).

b. Civil actions. The Department of the Navy will not authorize the attendance of a naval prisoner in a Federal or State court, either as a party or as a witness, in private litigation pending before such a court. The deposition of a naval prisoner may be taken in such a case, subject to reasonable conditions or limitations imposed by the command concerned.

0620 INTERVIEWS AND DEPOSITIONS IN CONNECTION WITH CIVIL LITIGATION IN MATTERS PERTAINING TO OFFICIAL DUTIES

Requests to interview, depose, or call as witnesses, current or former members or civilian employees of the Department of the Navy, regarding information obtained in the course of their official duties, including expert testimony related thereto, shall be processed in accordance with SECNAVINST 5820.8.

0621 SUITS AGAINST THE UNITED STATES

a. General. The Attorney General has primary responsibility for representing the United States in any litigation in which the United States has an interest. The Judge Advocate General and the General Counsel, within the areas of their respective jurisdictions, maintain close liaison with the Department of Justice to afford the Attorney General timely notice of legal actions arising out of the

operations of the Department of the Navy. Reports to the Judge Advocate General or the Associate General Counsel (Litigation), as appropriate per Appendix A-5-a, are required of all suits filed against the United States, or its prime contractors or subcontractors on contracts under which the Government may be obligated to make reimbursement, or in cases where the United States is, in legal effect, the defendant.

b. Reports to the Judge Advocate General. When a command learns, by service of process or otherwise, of the commencement of any civil litigation or legal proceedings, other than suits within the jurisdiction of the General Counsel as set forth in subsection c, below, which arise out of the operations of the Department of the Navy, or are otherwise of substantial interest to it, such command will report to the Judge Advocate General, as appropriate (see Appendix A-5-a), by telephone, or by message if telephone is impractical. This category of civil litigation and other legal proceedings includes, but is not limited to, any legal proceeding involving the United States as a party and arising out of operations of the Department of the Navy or Navy nonappropriated fund activities; proceedings against any person subject to military law or any official or employee of the Department of the Navy in connection with public duties; and proceedings in which attachment of Government funds or other property is sought. The report, which shall be confirmed by message, shall contain the following information as may be pertinent:

(1) Names of parties to the proceeding.

(2) Nature of the action.

(3) Correct designation of the tribunal in which the proceeding is brought.

(4) Docket number of the case, if available.

(5) Names of person or persons on whom service was made, method of service, and dates.

(6) Explanation of the Government's interest in the proceeding.

(7) Date by which the defendant must plead or otherwise respond.

(8) Nature of the principal defense, if known.

(9) Status of the defendant as a Government officer, employee, agent, contractor, nonappropriated-fund activity employee, etc.

(10) Amount claimed, or other relief sought.

(11) If a contractor is involved, the contract number, and information as to whether the contractor desires or is willing to be defended by a United States Attorney.

(12) Whether the subject of the suit is covered by insurance; if so, whether covered to the amount claimed, and whether the insurance carrier will accept full responsibility for defense of the suit.

(13) If the action is brought in a foreign country, a recommendation as to qualified local attorneys, English-speaking if possible, available for retention to defend the interests of the United States. Normally, the names of such attorneys should be chosen from a list maintained by the United States Embassy or Consulate.

(14) Other information necessary for a full understanding of the action and to enable the Government to prepare a defense.

c. Reports to the General Counsel. A report as required above shall be made to the Associate General Counsel (Litigation) Department of the Navy, Washington, D.C. 20360-5110, rather than to the Judge Advocate General, in all cases relating to:

(1) Business and commercial law;

(2) Patent law;

(3) Civilian employee matters; and

(4) Contract claims and litigation.

(For a more detailed explanation of areas of responsibility, see SECNAVINST 5430.25.)

d. Cases involving civilian employee matters. The Associate General Counsel (Litigation) has responsibility for litigation involving civilian employees before a Federal court; the Judge Advocate General and the Assistant General Counsel (Civilian Personnel) have responsibility for representation before most administrative tribunals (e.g., the United States Merit Systems Protection Board or the Equal Employment Opportunity Commission). The Commandant of the Marine Corps (MPL) is responsible for all matters before the Federal Labor Relations Authority that affect Marine Corps commands. Commands, activities, commanding officers of naval legal service offices, and Marine Corps staff judge advocates will cooperate with attorneys of the Office of the General Counsel and render requested assistance in litigation involving civilian employees.

e. Initial and supplemental reports. If all pertinent information is not readily available, a prompt report should be made with such information as is available, supplemented by an additional report as soon as possible.

0622 REPOSSESSION OF PERSONAL PROPERTY

Repossession of personal property, located on a Navy or Marine Corps installation, belonging to a member or to any dependent residing at or located on a Department of the Navy installation, may be permitted in the discretion of the commanding officer of the installation where the property is located, subject to the following. The documents purporting to authorize repossession and the procedures for repossessing the property must comply with State law. Prior to permitting physical repossession of any property, the commanding officer shall cause an informal inquiry into the circumstances and then determine whether to allow the repossession. If repossession is to be allowed, the person whose property is to be repossessed should be asked if he wishes to relinquish the property voluntarily. Repossession must be carried out in a manner prescribed by the commanding officer. In the case of property owned by civilian employees of the Department of the Navy or civilian contractors or their employees or dependents, the commanding officer should direct that the disputed property be removed from the installation until the commanding officer is satisfied that the dispute is resolved.

PART C -- LIAISON WITH THE DEPARTMENT OF JUSTICE

0623 LITIGATION REPORTS AND PLEADINGS

In all lawsuits involving the Department of the Navy, other than those under the cognizance of the General Counsel, the pleadings or litigation report to the Department of Justice will be prepared in the Office of the Judge Advocate General unless authority to prepare the report is specifically delegated by the Judge Advocate General. RCS JAG 5821-11.

0624 LIAISON WITH THE U.S. ATTORNEY AND OTHER OFFICIALS OF THE DEPARTMENT OF JUSTICE (INCLUDING OFFICIALS OF THE UNITED STATES MARSHAL SERVICE)

In matters other than those under the cognizance of the General Counsel, (see sections 0621(c), 0621(d), and Appendix A-5-a), liaison with local United States Attorneys and other officials of the Department of Justice (including officials of the United States Marshal Service),

will be maintained through the Judge Advocate General. This does not apply: (1) to the initial report required by section 0615 in cases involving injunctive relief; (2) to cases involving service by mail with attached form for return of acknowledgment; and (3) where specific authority to establish such liaison has been delegated to a field activity. For cases within the authority of the General Counsel, liaison shall be maintained by the Associate General Counsel (Litigation), unless delegated by him.

PART D – MISDEMEANORS COMMITTED ON NAVY AND MARINE CORPS INSTALLATIONS

0625 GENERAL

The Federal Magistrates Act, 18 U.S.C. §§ 3401-3402 (1982), provides for trial by Federal magistrates of individuals who commit misdemeanors within Federal reservations. Policies and procedures for implementation of the Federal Magistrates Act and the handling of misdemeanors committed on Navy and Marine Corps installations are in SECNAVINST 5822.1.

0626 PROSECUTION BEFORE FEDERAL MAGISTRATES

a. Responsibility of the Department of Justice. The Department of Justice is primarily responsible for the prosecution of offenses before Federal magistrates. With the approval of the appropriate United States Attorney, qualified Navy and Marine Corps judge advocates may prosecute misdemeanors committed on Navy and Marine Corps installations situated within the judicial district of a United States District Court.

b. Designation of Navy and Marine Corps officers to conduct prosecutions. If the United States Attorney advises that no Department of Justice representative is available to prosecute misdemeanors and so authorizes, the commanding officer of an installation may designate one or more Navy or Marine Corps judge advocates of the command, or make necessary arrangements for the designation of one or more Navy or Marine Corps judge advocates stationed in the area, to conduct such prosecutions.

PART E – APPEARANCES BY JUDGE ADVOCATES IN CIVIL COURT AND/OR CIVIL ADMINISTRATIVE PROCEEDINGS

0627 ON BEHALF OF MEMBERS

a. Navy or Marine Corps judge advocates may not appear as counsel on behalf of any member of the armed services before any civil court, civil administrative tribunal, civil regulatory body, or any civil governmental agency, in any proceeding, including a collateral attack on a court-martial, administrative discharge, or investigatory proceeding, unless specifically authorized by the Judge Advocate General or Commander, Naval Legal Service Command, as appropriate. The Expanded Legal Assistance Program, which involves in-court appearances by Navy and Marine Corps judge advocates, is specifically provided for in section 0711 of this Manual.

b. Requests by Navy or Marine Corps judge advocates to appear as counsel before any court, tribunal, body, or agency outlined above will be delivered to the commanding officer of the judge advocate, or staff judge advocate, as appropriate. The request must contain: the identity of the member to be represented; reasons for requesting permission to appear; identity of the court, tribunal, etc., where appearance is desired; nature of action intended to be filed; relief to be requested; reasons why civilian counsel may not be retained; estimated time required for representation (including preparation, travel, and appearance); and any other action previously filed or pending on the same subject matter. The commanding officer or staff judge advocate will forward the request to the Judge Advocate General, Department of the Navy,

200 Stovall Street, Alexandria, VA 22332-2400, with comments and recommendations concerning the request. If the request is for a Marine Corps judge advocate, the request, with comments and recommendations, shall be submitted to the Judge Advocate General via the Commandant of the Marine Corps, Headquarters, U.S. Marine Corps, Washington, D.C. 20370-0001. Comments and recommendations concerning the request will include, but are not limited to: the nature and status of any pending military justice, court-martial, administrative discharge, or investigatory proceedings relevant to the request; a listing of all counsel participating in the case; the nature and status of any previous civil or military court action in this or related cases; and comment on the availability of the requesting counsel in relation to the overall workload in his office.

c. If the request for appearance is approved by the Judge Advocate General or Commander, Naval Legal Service Command, as appropriate, any expenses incurred as a result of representation will be at no cost to the Government.

d. Military prisoners sentenced to death by a court-martial, who seek to file in Federal civilian court(s) post-conviction habeas corpus petition(s) respecting such court-martial following the approval of their court-martial sentence to death by the President pursuant to Article 71, UCMJ, shall, upon request of the accused to the Judge Advocate General, be detailed military counsel by the Judge Advocate General to represent them in such proceedings and any appeals therefrom. See Article 70(e), UCMJ. For the purposes of these proceedings, the provisions of subsection c, above, do not apply.

PART F -- STATE TAX AND REGULATORY AUTHORITY

0628 BACKGROUND

Under the Constitution, Federal law generally controls over State law, and the Federal Government generally is immune from taxation or regulation by State authorities. Many exceptions exist, however, and commanders of installations or units in the United States often must deal with State authorities. This part discusses relations with State revenue authorities, both as to claims for State taxes and demands for compliance with State revenue-related regulations. It also describes in general terms the liability of members and their dependents to taxation and regulation by States and localities.

0629 STATE REGULATION OF FEDERAL FUNCTIONS, INCLUDING LIQUOR SALES

a. Except where Congress has specifically authorized application of State law, the Federal Government is immune from any regulation by State or local authorities. Congress has authorized some State regulation of certain Federal activities in the environmental area. See Chapter XIII of this manual.

b. In most other areas, however, the Federal Government need not comply with State regulations, nor obtain State licenses for its activities. This immunity extends to activities of the Department of the Navy, and to Federal instrumentalities, including authorized nonappropriated fund instrumentalities (NAFI's). The American Red Cross also has been ruled to be a Federal instrumentality. Thus, commissaries, exchanges, bowling alleys, and other NAFI-operated facilities need not, as a matter of law, comply with State law or obtain State business licenses to operate. In some areas, such as the age for sale of alcoholic beverages and operation of bingo games, the Secretary of the Navy has directed compliance with State restrictions. This reflects a Department of the Navy policy of voluntary compliance, and does not subject Federal instrumentalities to direct State regulation. The immunity accorded Federal instrumentalities applies wherever they may be located, and is <u>not</u> limited to exclusive jurisdiction property. For example: NAFI resale outlets selling alcoholic beverages, whether on exclusive, concurrent, or proprietary jurisdiction property, may not be required to obtain State liquor licenses; and vehicles owned by the Government or NAFI's need not have State license plates in order to operate off-base.

c. The immunity applies only to the Government and its instrumentalities. Private individuals and organizations operating businesses on military property generally are subject to State laws and regulation. Thus, dependents operating businesses out of their quarters on concurrent jurisdiction land, even if authorized by the base commander, are subject to State taxes, regulations, and licensing requirements. Likewise, thrift shops operated by wives' clubs or charitable organizations are subject to State taxation, and may be subject to business license requirements. Private activities of organizations of members, civilian employees, or dependents, even if command sponsored, will be subject to State taxes and may be subject to regulation unless the activity is a properly organized and authorized NAFI. In the same manner, activities of Federal contractors may be subject to State law, taxes, and regulation, unless the application of State law would interfere with a Federal function.

d. Commanders confronted with demands for compliance with State regulation or payment of State taxes, other than environmental regulations, taxes, or fees, should immediately contact a local staff judge advocate or General Counsel attorney and notify the Judge Advocate General. For procedures to deal with State demands for compliance with environmental regulations or payment of environmental fees or taxes, see Chapter XIII.

0630 STATE AND LOCAL TAXATION OF ON-BASE SALES

The Buck Act authorizes application of State sales taxes on military installations, even those under exclusive Federal jurisdiction. 4 U.S.C. § 105. Sales by the United States and its instrumentalities are exempt. 4 U.S.C. § 107. Thus, commissaries, exchanges, and other NAFI resale outlets need not collect State or local sales tax on sales to authorized patrons. Any activity which is not an authorized NAFI resale outlet, however, must collect sales taxes as required by State and local law. This may include thrift shops operated by private organizations, flea markets, or large "coffee messes" or "sandwich messes" that do not qualify as NAFI resale outlets. The requirements of State and local laws vary and should be consulted in each case.

0631 STATE AND LOCAL TAXES, INCLUDING HOTEL TAXES AND THE FEDERAL TRAVELLER

The Federal Government's exemption from State and local taxation applies only to taxes whose "legal incidence" is on the Government or its instrumentalities. This usually means that the Government is exempt only where the Government itself actually pays the tax. Where an individual incurs a tax liability for a transaction, and is then reimbursed by the Federal government, there normally is no immunity, because the legal incidence of the tax was on the individual. Hotel taxes can be structured in various ways, but the legal incidence of the tax is virtually always on either the innkeeper or the person occupying the room. As a result, the fact that the Government will ultimately pay the bill through reimbursement confers no immunity from hotel taxes on the Federal traveller. In those rare cases where the Government will directly pay for accommodations, local law should be checked for a possible exemption. A few jurisdictions provide an exemption from hotel taxes to Federal travellers. This is, however, a matter of State legislative grace rather than Federal law. For the member or civilian employee travelling on a reimbursable basis, "certificates of exemption" should not be issued or used unless there is a known specific tax exemption for Federal travellers in the local law of the place visited. In the same manner, a Federal traveler normally is not exempt from State sales, meal, or car rental taxes merely because his expenses are reimbursed by the Federal Government.

0632 LIABILITY OF MILITARY PERSONNEL AND DEPENDENTS FOR STATE AND LOCAL TAXES

a. In general. There is no general exemption for military personnel or dependents from State and local taxation. Military personnel are provided some relief by the

Soldiers' and Sailors' Civil Relief Act of 1940, which limits the right of States to tax military income and motor vehicles owned by military personnel. Generally, the tax provisions of the Soldiers' and Sailors' Civil Relief Act do not apply to dependents, who are fully subject to State and local taxation wherever they reside.

b. Income taxes

(1) States and localities may tax income of three classes of people: (1) domiciliaries, who are legal residents of the State and taxable on their worldwide income; (2) statutory residents, who, regardless of their domicile, have actually lived in the State for a prescribed period and are taxable on their worldwide income; and (3) nonresidents, who are taxable only on income from sources in the State.

(2) The Soldiers' and Sailors' Civil Relief Act states that a military member does not acquire residence or domicile in a State merely because he is present there due to military orders, nor lose domicile in a State merely because of absence due to military orders. 50 U.S.C. App. § 574. Thus, a member cannot be a "statutory resident" of a State when present due to military orders. Members are either domiciliaries of a State and fully taxable there, or nonresidents taxable only on income from sources in the State. For this purpose, military pay is sourced in the member's State of domicile. A member domiciled in one State and stationed in a second State is taxable by the second State only on income other than military pay which is earned in that State. Examples include income from outside jobs and interest earned on local bank accounts. The member's home State, however, could tax both military pay and the income earned in the second State. Some States allow credits for tax paid in another State to prevent double taxation.

(3) Some States do not tax their domiciliaries when they are living outside the State. Members domiciled in such States may avoid all State income taxes on their military pay. These States often have technical requirements for nonresidence which members must be careful to observe in order to maintain exemption. Restrictions may include a minimum period of absence from the State to begin nonresidence, a maximum visiting period allowed in the State, or a requirement that the member maintain a permanent home outside the State or not maintain a permanent home inside the State. Barracks, Bachelor Quarters, and shipboard quarters are sometimes not considered a permanent home for these purposes.

(4) A member's domicile normally starts out as the State where he lived before entering the service. Members may, however, change their domiciles voluntarily. The Soldiers' and Sailors' Civil Relief Act merely prevents involuntary changes. The legal concept of domicile has two elements: (1) presence in a State; and (2) intent to permanently treat that State as "home" by remaining there or consistently returning there after absences. For a member validly to change domicile, he must meet both tests. Thus, it is not possible to validly declare domicile in a State where the member has never lived. Also, to ensure respect for a choice of domicile, members should retain all possible contacts, such as real property ownership, voter registration, driver's licenses and vehicle registrations, and professional licenses, with the chosen State to show intent to return there. Each State may test domicile separately. If contacts are inconsistent, it is possible for a member to be held a domiciliary of more than one State and subjected to multiple taxation. Members with domicile problems should be referred to a legal assistance attorney.

(5) Dependents, unlike members, are subject to State tax residency laws. They often will be statutory residents of whatever State they happen to live in, and will be fully subject to that State's income tax laws. If they retain legal domicile in some other State, they may be fully taxable by that State as well. Further, some States use the income of the military member to set the rate at which the dependent's income will be taxed. These

schemes have been ruled to be in compliance with the Soldiers' and Sailors' Civil Relief Act.

c. Personal property taxes and vehicle registration

(1) Non-business personal property of members generally is taxable only in the State of domicile. 50 U.S.C. App. §574.

(2) If a non-business vehicle owned by a member is properly registered in the State of domicile, no other State may require its registration there. If not properly registered in the State of domicile, the vehicle must be registered where the member actually resides. That State may assess only such fees as are necessary for issuance and administration of the registration. Fees or excises in lieu of property taxes are not allowed. This does not, however apply to sales taxes, which have been held to be outside the scope of the Soldiers' and Sailors' Civil Relief Act.

(3) Registration in any State other than the State of domicile or the State of current residence generally is invalid. Thus, if a member does not maintain registration in his State of domicile, he must re-register the vehicle after each interstate PCS move.

(4) Vehicles owned by dependents are subject to tax and registration wherever the vehicle is located. Vehicles jointly owned with dependents may be taxed by both the member's State of domicile and the State where the vehicle is located. In most cases, however, the member's State of domicile will not tax the vehicle because most ad valorem property taxes depend on the presence of the property in the jurisdiction. Some States exempt members' jointly owned vehicles from taxation.

d. Assistance. Assistance for individual members with State and local tax problems is available from Legal assistance attorneys. Problems of general application noted by commanders may be forwarded to Judge Advocate General for examination by the Armed Forces Tax Council per SECNAVINST 5840.8.

WAIVER OF EXTRADITION

"I, _____, United States Navy (United States Marine Corps), having been advised of my rights to formal extradition as provided for in sections 0604 JAG Manual by _____ of _____
(name of military or civilian attorney) (address of attorney)
_____, waive such rights and agree to accompany _____, a representative of the State of _____, into the territorial limits of said State. I have been advised that the crime which I am charged to have committed in the State of _____ is as follows:

_____
(Signature)

WITNESSED:

_____
(Signature of witness)

DELIVERY AGREEMENT

In consideration of the delivery of _____,
(name of person delivered)

United States Navy (United States Marine Corps), to _____

_____, at _____, for trial

upon the charge of _____. I hereby agree

pursuant to the authority vested in me as _____ _____

that _____, United States Navy (United States
(name of person delivered)

Marine Corps) will be transported to the State of _____

without expense to him or the United States and that the

Commanding Officer of the _____ will be notified

immediately of the outcome of the trial and that the said

_____, will be returned to the _____,
(name of person delivered)

or to such place as the Secretary of the Navy shall designate, or transportation issued thereto, without expense to the United States or to the person delivered immediately upon dismissal of the charges or completion of the trial in the event he is acquitted, or immediately upon satisfying the sentence of the court in the event he is convicted and a sentence imposed, or upon disposition of the case, provided that the Department of the Navy shall then desire his return."

From: Commanding Officer
To: Judge Advocate General

Subj: DELIVERY REFUSED TO _____ AUTHORITIES; CASE OF [RANK, FULL NAME, SOCIAL SECURITY NUMBER, U.S. NAVY/MARINE CORPS (OR RESERVE)]

Ref: (a) (Previous telephone call or message notification to JAG)
(b) JAGMAN section 0610

Encl: (1) Copy of warrant of arrest of

1. As reported by reference (a), and in accordance with reference (b), report is made that upon presentation of a valid warrant of arrest charging violation of (crime charged), (name of accused) was refused delivery to (sheriff, etc., of county, State, etc.) on (date) because (explain extraordinary circumstances).

2. Enclosure (1) is forwarded for information.

_____
By direction

Copy to:
COMNAVMILPERSCOM/CMC (Code JAM-1)

CHAPTER VII
LEGAL ASSISTANCE

0701 SCOPE

0702 SUPERVISION OF LEGAL ASSISTANCE

0703 LEGAL ASSISTANCE PROVIDERS

0704 LEGAL ASSISTANCE ATTORNEYS

0705 NONLAWYER PERSONNEL

0706 PERSONS ELIGIBLE FOR LEGAL ASSISTANCE

a. Members of the armed forces on active duty for 30 days or more
b. Other persons eligible

0707 PERSONAL AND PRIVILEGED CHARACTER OF SERVICE

a. In general
b. Informaation requests by commanding officer

0708 LEGAL ASSISTANCE SERVICES

a. Standard services
b. Other services

0709 LIMITATIONS ON SCOPE OF LEGAL ASSISTANCE SERVICES

a. Personal legal matters only
b. Advice or assistance in official military matters
c. Representation of opposing parties or interests
d. Proceedings involving the United States
e. Telephone inquiries
f. Advice to third parties

0710 REFERRALS AND FEES

a. Referral to a civilian attorney or law firm
b. Prohibition of fees

0711 EXPANDED LEGAL ASSISTANCE PROGRAM

a. General
b. Eligibility

THIS PAGE INTENTIONALLY LEFT BLANK

CHAPTER VII
LEGAL ASSISTANCE

0701 SCOPE

a. This chapter provides information concerning the Department of the Navy legal assistance program. Additional regulations are contained in JAGINST 5801.2 (the Legal Assistance Manual) and other related directives.

b. The Department of the Navy legal assistance program provides free attorney assistance to members, their dependents, and other eligible clients regarding personal legal matters. The term "dependents" is used interchangeably with the term "family members" in this manual. "Family members" or "dependents" are those persons identified in the sponsor's service record and/or who possess a valid United States Uniformed Services Identification and Privilege Card.

c. The legal assistance program promotes increased readiness of active duty and reserve members of the Naval service, and enhances the morale and quality of life for military personnel, family members, and other eligible clients, through provision of in-office attorney advice, aid, and referral services, and vigorous preventive law activities.

d. Legal assistance is not separately funded; the program is authorized, not mandated, by Congress. 10 U.S.C. § 1044 (1994). Accordingly, all legal assistance services are provided subject to availability of staff legal resources.

0702 SUPERVISION OF LEGAL ASSISTANCE

a. The Department of the Navy legal assistance program is implemented and supervised by the Judge Advocate General. It is administered in the Navy by the Chief of Naval Operations (NO9J) and in the Marine Corps by the Commandant of the Marine Corps (Code JA).

b. Commanding officers of Naval Legal Service Offices, senior staff judge advocates to officers exercising general court-martial convening authority and Marine Corps judge advocates at Marine Corps installations (designated by the Commandant of the Marine Corps (Code JA)) shall oversee the legal assistance practice within their respective chains of command, and have broad authority to ensure that services are provided commensurate with resources available.

0703 LEGAL ASSISTANCE PROVIDERS

Legal assistance is provided at all Naval Legal Service Offices, Detachments, and Branch Offices. Legal assistance services may also be available at other legal offices and from Naval and Marine Corps Reserve personnel and units. Marine Corps legal assistance offices are designated by the Commandant of the Marine Corps (Code JA) at certain Marine Corps installations.

0704 LEGAL ASSISTANCE ATTORNEYS

A legal assistance attorney is a judge advocate or civilian attorney authorized by the Judge Advocate General, or by his designated representatives (including, for Marine Corps personnel, the Commandant of the Marine Corps (Code JA)), to perform legal assistance functions. He or she represents the interests of the individual client concerning personal legal matters.

0705 NONLAWYER PERSONNEL

Nonlawyer legal officers, legalmen, independent duty legalmen, and legal clerks may assist attorneys, but they may not provide legal advice or provide services that call for the professional judgment of an attorney. Nonlawyer personnel may provide assistance not requiring the attention of an attorney, such as notarizations and the preparation of routine powers of attorney using attorney-approved forms.

0706 PERSONS ELIGIBLE FOR LEGAL ASSISTANCE

a. Members of the armed forces on active duty for 30 days or more. Legal assistance is intended primarily for active duty personnel, including reservists (and members of the National Guard) on active duty for 30 days or more. For reservists on active duty for less than 30 days, see sections 706 (b)(4) and 706 (b)(5).

b. Other persons eligible. As resources permit, legal assistance may also be provided to the following categories of people in the order listed:

(1) Family members of active duty personnel and of personnel who died while on active duty.

(2) Retired military personnel.

(3) Family members of retired members and family members of deceased retired members.

(4) Reservists on active duty for single periods of 29 days or less and their family members may be provided legal assistance in emergency cases.

(5) For the purpose of enhancing the readiness of Reserve personnel for mobilization, premobilization legal counseling and assistance may be provided to active duty or inactive Reserve personnel consistent with mobilization readiness needs. Premobilization assistance normally will consist of drafting or updating wills, advance medical directives, and powers of attorney. Other assistance may be provided if it relates to recall or mobilization. Examples of such assistance include advice concerning rights under the Soldiers' and Sailors' Civil Relief Act (SSCRA) or the Uniformed Services Employment and Reemployment Rights Act (USERRA). Premobilization legal assistance services are not authorized for family members.

(6) Civilian personnel who are United States citizens, other than local hire employees, employed by, serving with, or accompanying the Armed Forces of the United States, when they are assigned to a foreign country or to a vessel or unit of the Armed Forces of the United States deployed in excess of 30 days.

(7) Family members accompanying authorized civilians listed in subsection (6) above.

(8) Members of allied forces and their family members in the United States, serving with the Armed Forces of the United States.

(9) Other persons authorized by the Judge Advocate General.

0707 PERSONAL AND PRIVILEGED CHARACTER OF SERVICE

a. In general. Information and files pertaining to legal assistance clients are private and privileged under law and applicable professional rules and guidelines. Such information and files shall not be disclosed to anyone by the attorney providing legal assistance, except upon the specific permission of the client or when the attorney determines that disclosure is authorized or required by law or applicable rules of professional conduct. Disclosure of such information cannot be authorized or made lawful by order of superior military authority.

b. Information requests by commanding officer. If requested by a member's commanding officer or officer in charge, information on whether a member of a command reported to a legal assistance office will generally be provided. The nature of the legal assistance or the substance of conversations or advice, will not be provided without the client's consent.

0708 LEGAL ASSISTANCE SERVICES

a. Standard services. Advice or service regarding the following matters are normally available to eligible persons but may be limited due to availability of qualified attorney or other resources:

(1) Wills, trusts, and estate planning.

(2) Domestic relations, including divorce, legal separation, annulment, custody, and paternity.

(3) Adoption and name changes.

(4) Nonsupport and indebtedness, including communication, correspondence, negotiations with another party or lawyer, and assistance related to the administration of the Department of Defense program for the issuance of involuntary allotments for judgment indebtedness.

(5) Taxes, including basic advice and assistance on Federal, State, and local taxes.

(6) Landlord-tenant relations, including review of personal leases and communication and correspondence.

(7) Civil suits, including preparation of correspondence, documents and pleadings, except that advice and document preparation will not be provided in cases where civilian counsel has been retained. However, in-court representation is precluded, except through the expanded legal assistance program. See section 0711.

(8) Soldiers' and Sailors' Civil Relief Act advice and assistance.

(9) Civilian criminal matters, limited to general advice regarding minor (misdemeanor) criminal matters and traffic offenses within the jurisdiction of the civilian courts. Serious criminal matters will be referred to private civilian attorneys.

b. Other services may include advice and assistance on powers of attorney, real estate, bankruptcy, contracts, consumer affairs, insurance, and immigration and naturalization. Advice and assistance regarding military matters may be limited as provided in section 0709 and JAGINST 5801.2.

0709 LIMITATIONS ON SCOPE OF LEGAL ASSISTANCE SERVICES

a. Personal legal matters only. Legal assistance is authorized for personal legal affairs only. Legal advice and assistance will not be provided regarding business ventures or regarding matters that are not of a personal nature.

b. Advice or assistance in official military matters. Legal assistance duties are separate and apart from responsibilities of trial counsel, defense counsel, or others involved in processing courts-martial, nonjudicial punishments, administrative boards or proceedings, and investigations. Members accused or suspected of offenses or conduct that may result in disciplinary or judicial proceedings under the Uniform Code of Military Justice, or processing for administrative discharges, will be referred to a defense counsel.

c. Representation of opposing parties or interests. If two or more eligible persons with conflicting interests seek advice from the same legal assistance office on the same matter, the party first establishing an attorney-client relationship will be provided representation. Every effort will be made to refer the party with a conflicting interest to another source of free legal assistance or, if no such source is available, to a civilian attorney.

d. Proceedings involving the United States. Legal assistance attorneys shall not represent or assist an individual in a matter in which the United States has a direct and substantial interest, whether or not the Government's position is adverse to that of the individual, except as permitted by JAGINST 5801.2 or other prior and specific authorization of the Judge Advocate General or his designee (Deputy Assistant Judge Advocate General for Legal Assistance or the Commandant of the Marine Corps (Code JA)).

e. Telephone inquiries. Legal assistance ordinarily will not be provided over the telephone except in unusual or compelling circumstances.

f. Advice to third parties. The privileged attorney-client relationship requires personal and private communication. Except when the client is unable to communicate adequately, advice or assistance will not be provided through third parties. For example, each will client must be interviewed personally by a legal assistance attorney prior to execution of the will. When command representatives seek information or assistance on behalf of service members, they shall normally be instructed to have the service member obtain a legal assistance appointment. Bona fide requests for command services shall be referred to the judge advocate normally charged with providing advice and assistance to the command concerned.

0710 REFERRALS AND FEES

a. Referral to a civilian attorney or law firm. The legal assistance attorney may determine that the best interests of the client will be served by referring the case to a civilian attorney or law firm. Should referral be necessary, payment of legal fees is the client's responsibility. The Government will not reimburse the individual or pay any expenses associated with the referral.

b. Prohibition of fees. Services provided in the Department of the Navy legal assistance program are at no cost to eligible personnel. All legal assistance personnel are prohibited from accepting or receiving, from eligible clients, any fee or compensation other than Government compensation. Reserve personnel not on active duty are prohibited from receiving fees

or compensation for the same matters about which they consulted with or advised their legal assistance clients, regardless of the reservist's duty status when the legal assistance was provided.

0711 EXPANDED LEGAL ASSISTANCE PROGRAM

a. General. Under the Expanded Legal Assistance Program (ELAP) as approved by the Judge Advocate General or his designee (Deputy Assistant Judge Advocate General for Legal Assistance or the Commandant of the Marine Corps (Code JA)), designated legal assistance attorneys may provide in-court representation to certain categories of clients who cannot afford private attorney fees. Additional information on ELAP is contained in JAGINST 5801.2.

b. Eligibility. Persons eligible:

(1) Active duty military personnel in pay grades E-3 and below .

(2) Active duty military personnel in pay grade E-4 with family members.

(3) Family members of personnel in pay grades E-4 and below.

(4) Other active duty military personnel and their family members who are unable to afford an attorney without substantial financial hardship may be eligible if approved by the Judge Advocate General or his designee (Deputy Assistant Judge Advocate General for Legal Assistance or the Commandant of the Marine Corps (Code JA)).

(5) Service members with cases that involve a significant issue that affects other service members, if approved by the Judge Advocate General or his designee (Deputy Assistant Judge Advocate General for Legal Assistance or the Commandant of the Marine Corps (Code JA)).

CHAPTER VIII
GENERAL CLAIMS PROVISIONS

PART A--GENERAL

0801 SCOPE

0802 RESPONSIBILITIES

a. Judge Advocate General
b. Deputy Assistant Judge Advocate General (Claims and Tort Litigation)
c. Commanding officers in receipt of claims

0803 INVESTIGATIONS GENERALLY

a. Conducting the investigation
b. Thorough investigation
c. Recovery barred
d. Developing the facts
e. Attorney work product
f. Advance copy

0804 INVESTIGATIONS--THE REPORT

a. Purpose
b. Duties of the investigating officer
c. Content of the report

0805 CLAIMS--GENERALLY

a. Claims against the United States
b. Claims in favor of the United States

0806 CLAIMS--ACTION BY RECEIVING COMMAND

a. Record date of receipt
b. Determine the military activity involved
c. Initiate an investigation

0807 CLAIMS--ACTION WHEN SUIT FILED

PART B--FOREIGN CLAIMS

0808 DEFINITION

0809 STATUTORY AUTHORITY

a. General
b. Purpose
c. Construction

0810 FILING THE CLAIM

a. General
b. Presentation of the claim
c. Appropriate authorities
d. Form of the claim
e. Amending the claim
f. Statute of limitations

0811 CLAIMS PAYABLE

a. General
b. Covered claimants
c. Covered incidents
d. Scope of employment

0812 CLAIMS NOT PAYABLE

a. Insurers
b. Sponsored dependents
c. Foreign military personnel
d. Civilian employees
e. National governments
f. National corporation of a country engaged in combat
g. Combat activities
h. Claims previously paid or denied
i. Contractual
j. Private contracts and domestic obligations
k. Compassionate grounds
l. Paternity or illegitimacy
m. Other Federal statutes
n. Damage caused by naval vessels

0813 COMPUTATION OF THE AMOUNT OF PAYMENT

a. General
b. Compensation
c. Apportionment
d. Joint liability
e. Insurance
f. Negligence of the claimant
g. Currency

0814 FOREIGN CLAIMS COMMISSIONS

a. Purpose
b. Authority to appoint
c. Claims presented
d. Composition of the Commission
e. Qualifications of members
f. Adjudicating authority

0815 PROCESSING OF CASES

a. Action by the staff judge advocate
b. Action by the appointing authority
c. Action by the claims investigating officer
d. Action by the Commission

0816 REPORTS REQUIRED

a. Appointing order and modifications
b. Claim document
c. Investigative report
d. Summaries of witnesses testimony
e. Settlement agreement
f. Notification to claimant
g. Memorandum

0817 FORWARDING REPORTS

a. Claims within adjudicating authority
b. Claims in excess of adjudicating authority

0818 ACTION ON FORWARDED CLAIMS

a. Claims within adjudicating authority
b. Claims in excess of adjudicating authority

0819 NOTIFICATION TO THE CLAIMANT

0820 RECONSIDERATION, APPEAL, AND SUIT

a. Reconsideration
b. Appeal
c. Suit

0821 PAYMENT

a. Documentation
b. Voucher
c. Accounting data
d. Release
e. Advance payments
f. Currency

THIS PAGE INTENTIONALLY LEFT BLANK

CHAPTER VIII

GENERAL CLAIMS PROVISIONS

PART A -- GENERAL

0801 SCOPE

This chapter provides information about responsibilities for the supervision and management of the Navy's claims program and the investigation of claims under the various Federal claims statutes. Detailed information about the adjudication of claims under the Foreign Claims Act is in Part B. Explanations of the various claims statutes and information about adjudication are beyond the scope of this chapter. They are in instructions issued by the Judge Advocate General and available at Naval Legal Service Command activities.

0802 RESPONSIBILITIES

a. The Judge Advocate General is responsible for the resolution of claims arising under the Federal Tort Claims Act, the Military Claims Act, the Nonscope Claims Act, the Personnel Claims Act, the Foreign Claims Act, the International Agreements Claims Act pertaining to cost sharing of claims pursuant to international agreements, the Medical Care Recovery Act, the Federal Claims Collection Act of 1966, and postal claims.

b. The Deputy Assistant Judge Advocate General (Claims and Tort Litigation) is the manager of the Navy claims system established to evaluate, adjudicate, and provide litigation support for claims arising under the acts listed above. He is responsible to the Judge Advocate General for the management of that system. The claims system consists of field activities delegated claims adjudicating authority and the attorneys and support personnel assigned to the Claims and Tort Litigation Division of the Office of the Judge Advocate General.

c. Commanding officers of commands receiving claims are responsible for complying with the guidance on investigations in sections 0803 and 0804 and the guidance on handling and forwarding claims found in section 0806.

0803 INVESTIGATIONS GENERALLY

a. Conducting the investigation. The command where the incident giving rise to the claim is alleged to have happened is responsible for conducting an investigation in accordance with this Manual.

b. Thorough investigation. Every incident that may result in a claim against or in favor of the United States shall be promptly and thoroughly investigated under this Manual. Investigations convened for claims purposes are sufficiently complex that they should be performed with the assistance and under the supervision of a judge advocate or other attorney. Where the command has an attorney assigned, he shall be involved in every aspect of the proceedings. When an attorney is not assigned to the investigating command, consultation shall be sought from the appropriate Naval Legal Service Command activity.

c. Recovery barred. Even when recovery may be barred by statute or case law, all deaths, serious injuries, and substantial losses to property that are likely to give rise to claims must be investigated while the evidence is available. Claims against persons in the naval service arising from the performance of their official duties shall be investigated as though they were claims against the United States. When an incident involves an actual or potential claim against the United States for property damage only and the total amount likely to be paid does not exceed

$5,000.00, an abbreviated investigative report may be submitted. Where this monetary figure may be exceeded, but the circumstances indicate an abbreviated report may be adequate to preserve the facts and protect the Government's claims interests, approval to submit a limited investigative report may be sought from the nearest Naval Legal Service Command activity.

d. Developing the facts. Any investigation convened for claims purposes must focus on developing the facts of the incident, i.e., the who, what, where, when, why, and how of the matter. Opinions on the possible liability of the United States under any of the claims statutes listed above shall not be expressed. Early and continuous consultation with claims attorneys at Naval Legal Service Command activities is essential to ensure the timely development of all necessary facts, the identification and preservation of relevant evidence, and to avoid the need for supplemental inquiries.

e. Attorney work product

(1) The convening order and the preliminary statement of an investigative report prepared to inquire into the facts of an incident giving or likely to give rise to a claim against the United States shall include the following: This investigation has been convened and conducted, and this report prepared, in contemplation of claims adjudication and litigation and for the express purpose of assisting attorneys representing the interests of the United States.

(2) When an investigation is prepared by or at the direction of an attorney representing the Department of the Navy and is prepared in reasonable anticipation of litigation, it is exempt from mandatory disclosure under the Freedom of Information Act exemption (b)(5) and is normally privileged from discovery in litigation under the attorney work product privilege. 5 U.S.C. § 552 (b)(5). Unless an attorney prepares the report or personally directs its preparation, the investigation may not be privileged, even if it was prepared in reasonable anticipation of litigation.

f. Advance copy. An advance copy of any investigation conducted because a claim has been, or is likely to be, submitted shall be forwarded to the Naval Legal Service Command activity claims office responsible for the area where the incident giving rise to the claim occurred.

0804 INVESTIGATIONS--THE REPORT

a. Purpose. The purpose of investigations into claims incidents is to gather all relevant information about the incident so adjudicating officers can either pay or deny the claim. The essential task of the investigating officer is to answer the questions of who, what, where, when, why and how? The Navy's best interests are served when the investigation is thorough and is performed in a timely manner so the claimant can be advised promptly of the action on the claim.

b. Duties of the investigating officer. It is the investigating officer's responsibility:

(1) To interview all witnesses to the incident and prepare summaries of their comments. Obtaining signed statements of Government witnesses is not necessary. Summaries of the witnesses' remarks prepared by the investigating officer are quite sufficient and generally expedite the gathering of information. On the other hand, written signed statements should be obtained from the claimant, wherever possible;

(2) To inspect the property alleged to have been damaged by the action of Government personnel;

(3) To determine the nature, extent, and amount of any damage, and to obtain pertinent repair bills or estimates and medical, hospital, and associated bills necessary to permit an evaluation of the claimant's loss;

(4) To obtain maintenance records of the Navy motor vehicle, plane, or other piece of equipment involved in the claim;

(5) To reduce to writing and incorporate into an appropriate investigative report all pertinent statements, summaries, exhibits, and other evidence considered by the investigator in arriving at his conclusions; and,

(6) To furnish claim forms to any person expressing an interest in filing a claim and to advise such personnel where they should file their claim.

c. Content of the report. The written report of investigation shall contain information answering the questions mentioned in section 0803d above and, depending on the nature of the incident, will include the following:

(1) Date, time, and exact place the accident or incident occurred, specifying the highway, street, or road;

(2) A concise but complete statement of the incident with reference to physical facts observed and any statements by the personnel involved;

(3) Names, grades, organizations, and addresses of military personnel and civilian witnesses;

(4) Opinions as to whether military or civilian employees involved in the incident were acting within the scope of their duties at the time;

(5) Description of the Government property involved in the incident and the nature of any damage it sustained; and,

(6) Descriptions of all private property involved.

0805 CLAIMS--GENERALLY

a. Claims against the United States. Claims against the United States shall receive prompt and professional disposition. Every effort will be made to ensure an investigation is thoroughly and accurately completed, the claimant's allegations evaluated promptly, and where liability is established, a check issued as quickly as possible. Similarly, claims not payable will be processed promptly and claimants advised of the reasons for the denial.

b. Claims in favor of the United States. Potential claims in favor of the United States will be critically evaluated and, where appropriate, promptly asserted and aggressively pursued to resolution.

0806 CLAIMS--ACTION BY RECEIVING COMMAND

a. Record date of receipt. The first command receiving a claim shall stamp or mark the date of receipt on the letter or claim form. The envelope in which the claim was received shall be preserved.

b. Determine the military activity involved. The receiving command shall determine the Navy or Marine Corps activity most directly involved with the claim--usually the command where the incident is alleged to have occurred--and forward a copy of the claim to that activity. The original claim (and the transmittal letter if a copy is forwarded to another command for investigation) should immediately be sent to the closest Naval Legal Service Command activity claims office.

c. Initiate an investigation. An investigation under this Manual shall be commenced immediately by the command most directly involved with the claim. Once the investigation has been completed, an advance copy shall be forwarded by the convening authority to the Naval Legal Service Command activity providing claims support. Waiting until endorsements have been obtained before providing a copy of the investigation to the cognizant claims adjudicating authority is neither required nor desirable. The facts of the incident must be made known to cognizant claims personnel as soon as possible.

0807 CLAIMS--ACTION WHEN SUIT FILED

Action required of any DON official receiving notice of suit. Commencement of any action against the United States involving the Department of the Navy and seeking money damages for injury to person or property that comes to the attention of any officer or employee of the Navy in connection with his official duties shall be reported immediately to the cognizant Office of the Judge Advocate General division, or the Office of General Counsel, as appropriate. Commencement of a civil action against any member of the armed forces or employee of the Navy for actions arising from the performance of official duties shall be reported in the same manner.

PART B--FOREIGN CLAIMS

0808 DEFINITION

Foreign claims are demands for payment against the United States, presented by inhabitants of foreign countries, for property damage, personal injury, or death occurring outside the United States and caused either by members or civilian employees of the U.S. armed forces or by the noncombat activities of these forces in foreign countries

0809 STATUTORY AUTHORITY

a. General. The Foreign Claims Act, 10 U.S.C. § 2734, authorizes filing, investigating, processing, and settling foreign claims under such regulations as the service Secretary shall prescribe. The regulations in this chapter implement the Foreign Claims Act within the Department of the Navy.

b. Purpose. The purpose of the Foreign Claims Act is to "promote and maintain friendly relations through the prompt settlement of meritorious claims" in foreign countries.

c. Construction. These regulations should be broadly construed to carry out the stated purpose of Congress in this statute that was intended as an act of grace. The United States generally accepts responsibility for almost all damage, injury, or death to local inhabitants caused by members of the U.S. armed forces or by the noncombat activities of our armed forces in foreign countries. Proof of fault is not required. Rather, causation of the harm is determinative. Meritorious claims should be settled fairly and promptly, without regard to whether the acts giving rise to them are negligent, intentional, mistaken, or even criminal.

0810 FILING THE CLAIM

a. General. A claim must be presented in writing to the appropriate U.S. military authorities within 2 years after the incident giving rise to the claim. It must: (1) state time, date, place, and nature of the incident; (2) state the nature and extent of any injury, loss, or damage; and (3) request compensation in a definite amount, in the local currency.

b. Presentation of the claim. A claim may be presented to any United States authority or to foreign government authorities if authorized under a Status of Forces Agreement or other applicable treaty or agreement. Claims shall be promptly transferred to the appropriate authorities for processing.

c. Appropriate authorities

(1) General. The commanding officer of the organization or individual(s) whose activities gave rise to the claim, or the commanding officer of the Naval Legal Service Command activity servicing the area in which the claim arose has authority to process claims under these regulations, subject to the restrictions of subparagraphs (2) through (4) of this section. A commander who receives a claim subject to the restrictions of subparagraphs (2) through (4) shall forward the claim promptly to the appropriate authority and shall provide

assistance necessary to investigate and adjudicate the claim.

(2) Claims arising in Italy. The Officer in Charge of the U.S. Sending State Office for Italy has authority to process all claims under the Foreign Claims Act arising in Italy.

(3) International agreements. Article VIII of the NATO Status of Forces Agreement and similar provisions of status of forces agreements with individual foreign countries may restrict the use of the Foreign Claims Act by authorizing foreign government officials to process claims that would otherwise be cognizable under the Foreign Claims Act. Accordingly, pertinent directives of the area commander shall be consulted. Claims shall not be processed under these regulations until it has been determined that such action is authorized.

(4) Single-service claims responsibility. DODDIR 5515.8 of 3 June 1987 assigns "single-service claims responsibility" to individual military departments for processing claims in specified foreign countries. This may restrict the use of the regulations in this chapter by authorizing the assigned military department to process claims that would otherwise be cognizable under this chapter. Accordingly, DODDIR 5515.8, that indicates the assignments for each military department, shall be consulted and claims shall not be processed under this chapter until it has been determined that such action is authorized.

d. Form of the claim. A properly completed Standard Form 95 or other written demand, signed by the claimant or an authorized agent, containing the same essential information, is sufficient. A claim may be signed by either the injured party or an authorized agent, such as a lawyer. Agents must show their title or legal capacity and present evidence of their authority to sign the claim. A claim may be considered if it describes the incident in enough detail to give reasonable notice of the time, place, circumstances, and resulting harm.

e. Amending the claim. A claim may be amended at any time prior to final settlement or denial. Amendments must be written and signed by the claimant or an authorized agent.

f. Statute of limitations. A claim must be filed within 2 years after it accrues. A claim accrues when the claimant discovers or reasonably should have discovered the existence of the incident giving rise to the claim. Generally, to compute the statutory time period, the day the claim accrued should be excluded and the day the claim was filed should be included.

0811 CLAIMS PAYABLE

a. General. For a claim to be payable under the Foreign Claims Act, both the claimant and the incident giving rise to the claim must be covered by the statute.

b. Covered claimants. The Foreign Claims Act applies only to "inhabitants" of foreign countries, who are defined as persons, corporations, or other Government or business entities, whose usual place of abode or activity is in a foreign country. "Inhabitant" has a broader meaning than "citizen" or "national," but does not include persons whose presence in a foreign country is merely temporary, such as tourists or travelers. Foreign citizenship or legal domicile is not required. It is a matter of actual residence. Examples of covered claimants are:

(1) Foreign nationals residing in a foreign country.

(2) U.S. citizens residing in a foreign country, if they are inhabitants of a foreign country and are not there as U.S. service members or civilian employees (or their sponsored dependents).

(3) A corporation or other organization doing business in a foreign country on a permanent basis, even if organized under United States law.

(4) Foreign governments and their political subdivisions, including the equivalents of State, county, and city governments, unless excluded by waiver provisions of an international agreement.

c. Covered incidents. Unless otherwise prescribed, a claim for personal injury, death, or damage or loss of real or personal property may be settled under these regulations if the incident occurred outside the United States and was caused by either the noncombat activities of the U.S. armed forces or the actions of a member or civilian employee of those forces. Negligence is not a prerequisite. Only causation is required.

d. Scope of employment. As a general rule, scope of employment is immaterial. If, however, a claim arises from the act of a U.S. employee who is an indigenous person, prisoner of war, or interned enemy alien, scope of employment is a prerequisite to United States responsibility. Claims arising from the operation of a U.S. armed forces vehicle by a U.S. employee who is an indigenous person, prisoner of war, or interned enemy alien should be settled if local law imposes liability on the owner of the vehicle under the circumstances.

0812 CLAIMS NOT PAYABLE

Examples of claims not payable

a. Claims of insurers and other subrogees.

b. Claims of sponsored dependents accompanying members and civilian employees of the U.S. armed forces, or U.S. national civilians employed by either the U.S. Government or a civilian contractor performing an agreement with the U.S. Government.

c. Claims of foreign military personnel suffering injury, death, or property damage incident to a joint military mission or exercise with U.S. armed forces, or as a result of the actions of a member or civilian employee of the U.S. armed forces, acting within the scope of employment, unless a treaty specifically provides for recovery.

d. Claims of civilian employees of the United States, including local inhabitants, injured incident to their employment. Compensation for such injuries is separately provided in Federal statutes and agreements with foreign governments.

e. Claims of national governments or their political subdivisions engaging in combat with the United States or its allies.

f. Claims of a national or a nationally controlled corporation of a country engaging in combat with the United States or its allies, unless it is determined that the claimant is friendly.

g. Claims resulting from combat activities, except that claims arising from an accident or malfunction incident to aircraft operations, including airborne ordnance, occurring while preparing for, going to, or returning from a combat mission may be paid.

h. Claims previously paid or denied.

i. Claims purely contractual in nature.

j. Claims involving private contractual and domestic obligations of individuals.

k. Claims based solely on compassionate grounds.

l. Claims for paternity or illegitimacy.

m. Claims payable under other Federal statutes.

n. Claims for damage caused by naval vessels, unless payment is specifically authorized by the Judge Advocate General under section 1216 of this Manual.

0813 COMPUTATION OF THE AMOUNT OF PAYMENT

a. General. The local laws, standards, and customs of the country where the incident occurred control when computing damages for personal injury, death, or damage to property.

b. Compensation. An appropriate award is generally limited to reasonable compensation for the injury, death, or property damage or loss only, and does not extend to payment of punitive damages, interest, costs, attorney's fees, bail, or any other such charges, regardless of whether they are allowed by local laws, standards, or customs. In the cases of personal injury or death, compensation may include medical expenses, pain and suffering, burial expenses, loss of society and companionship, and lost income. In cases of permanent disability, compensation may also include diminished earning capacity and costs of medical care in the future. In cases of property damage, compensation may include cost of repair, cost of replacement or diminished value, and loss of use of the property.

c. Apportionment. When there are multiple claimants or beneficiaries for a single award, the amount approved should be apportioned among them in the proportions prescribed by local laws, standards, and customs.

d. Joint liability. When two or more parties are liable for causing the same harm, they may be jointly liable for payment of compensation. Any amount paid by or on behalf of such a party should be deducted from the amount allowed under these regulations.

e. Insurance. Only insurance coverage that has been paid or is reasonably likely to be paid to the claimant by or on behalf of the United States by reason of the same injury, death, or damage or loss, should be deducted from the amount allowed under these regulations. Otherwise, insurance coverage should not be considered.

f. Negligence of the claimant. A claimant's negligent or wrongful act contributing to the injury, death, or damage that is the basis of the claim, may bar the claim entirely (contributory negligence) or diminish the claim proportionately (comparative negligence). The local laws, standards, and customs of the place where the incident occurred should be applied to determine whether and in what amount to allow a claim.

g. Currency. The amount of the award should be computed in the local currency of the place where the incident occurred or in the local currency of the place where the claimant presently resides, if different from the place where the incident occurred.

0814 FOREIGN CLAIMS COMMISSIONS

a. Purpose. The purpose of a Foreign Claims Commission (Commission) is to adjudicate all claims referred to it and forward recommendations to appropriate higher authorities so meritorious claims may be settled fairly and promptly.

b. Authority to appoint

(1) All commanding officers of the Navy and Marine Corps have authority to appoint a Commission, unless restricted by a competent superior commander.

(2) For the purpose of the Foreign Claims Act and these regulations, the following officers are considered commanding officers: the Judge Advocate General of the Navy; the Officer in Charge of the U.S. Sending State Office for Italy; Chiefs of Naval Missions (including chiefs of the naval section of military missions); Chiefs of Military Assistance Advisory Groups (including chiefs of the naval section of such groups); and naval attaches.

c. Claims presented. A Commission may be appointed to consider each claim as presented or a standing Commission may be appointed to consider all claims presented. The commanding officer to whom a claim is

presented shall refer the claim to a Commission appointed under these regulations.

d. Composition of the Commission. A Commission shall be composed of either one or three members. Alternate members may be appointed where circumstances require, and may be substituted for the principal members for specific cases by order of the appointing authority. The appointing orders should clearly indicate which member is president of a three member Commission.

e. Qualifications of members

(1) Members appointed to serve on a Commission shall be commissioned officers of the Navy or Marine Corps of sufficient grade and experience to carry out the purpose of the Commission, consistent with the Foreign Claims Act.

(2) Whenever possible, at least one member of the Commission should be a judge advocate. An officer of another armed force may serve on a Navy or Marine Corps Commission only with the consent of the Secretary of his department, or a designee, and will perform duties according to these regulations. When an officer of the Navy or Marine Corps is requested to serve on a Commission of another armed force, the immediate commanding officer of such officer may determine availability pursuant to 10 U.S.C. § 2734(a).

f. Adjudicating authority

(1) General. A Commission may consider claims in any amount and may recommend payment of a claim in full or in part, or denial of a claim.

(2) Claims up to $20,000.00. Recommendations of a Commission for payment or denial of claims up to $20,000.00 may be approved by the appointing authority in whole or in part, and claims may be paid, within the following limitations:

(a) One officer Commission: $5,000.00.

(b) One officer Commission (judge advocate): $10,000.00.

(c) Three officer Commission: $10,000.00.

(d) Three officer Commission with at least one judge advocate: $20,000.00.

(3) Claims in excess of limits or $20,000.00. Recommendations of a Commission for payment or denial of claims in excess of the limits of their adjudicating authority or in excess of $20,000.00 shall be forwarded through the appointing authority as required under section 0815 of this chapter, and shall be subject to the approval of appropriate higher authorities under the delegations of authority in section 0818 of this chapter.

0815 PROCESSING OF CASES

a. Action by the staff judge advocate. The staff judge advocate of the commanding officer receiving a claim for action is responsible to provide advice, guidance, and review to the commanding officer, Commission, and claims investigating officer on the policies and procedures in these regulations. This assistance may also be provided by the Naval Legal Service Command activity servicing the area in which the claim arose. Commands without a staff judge advocate assigned should request assistance from the cognizant Naval Legal Service Command activity, the next superior command with a staff judge advocate, or the nearest command with a staff judge advocate or any judge advocate assigned.

b. Action by the appointing authority. The commanding officer to whom a claim is presented, and who is authorized to take action under this chapter, is the appointing authority for the Commission to adjudicate the claim. The appointing authority shall: detail appropriately qualified members and appoint them in writing; convene an appropriate

investigation or obtain the report of investigation, if one has already been conducted; refer the claim with the investigative report of the incident to the Commission for adjudication; and receive the recommendation of the Commission, review it with appropriate legal advice, and take action or forward it as appropriate under these regulations.

c. Action by the claims investigating officer. There is no formal procedure for conducting an investigation of a foreign claim. The requirements of Chapter II of this Manual may be followed as a guide. A transcript of witnesses testimony is not required. Only the substance of their statements must be recorded. The transcript should be signed by the witnesses if possible. The formal rules of evidence need not be followed, and any relevant evidence, regardless of form, may be received to establish the essential facts of the incident. A report of the investigation shall be submitted to the convening authority as soon as practicable.

d. Action by the Commission:

(1) Review the claim and the investigation and, if necessary, initiate or request further investigation.

(2) Adjudicate the claim. The recommendation of the Commission shall be determined by a majority vote.

(3) Negotiate with the claimant for settlement of the claim within the limit of adjudicating authority.

(4) Report its recommendation and the reasons therefor to, or through, the appointing authority, as required under these regulations.

(5) Prepare the settlement agreement and release on the forms at Appendix A-8-a of this Manual, when recommending approval of a claim. Claimant must agree to accept the amount paid in full satisfaction of the claim.

(6) Prepare the written notification to the claimant, explaining its recommendation, subject to approval by the appointing authority or other higher authority as required under these regulations.

(7) Pay the claim in the currency of the country where the claimant resides, subject to approval by the appointing authority or other higher authority as required under these regulations.

(8) Obtain a signed release upon payment of any claim and forward same through the appointing authority to the disbursing officer.

0816 REPORTS REQUIRED

The Commission shall make a written report of each claim, to include:

a. Appointing order and any modifications.

b. Claim document.

c. Investigative report.

d. Summaries of witnesses testimony or witnesses statements signed by the witnesses if possible.

e. Proposed settlement agreement and release when payment is recommended.

f. Proposed notification to the claimant.

g. Memorandum containing the following information:

(1) Dates of the proceedings.

(2) Amount claimed, stated in the local currency and the conversion into U.S. currency at the official rate of exchange on the date of initial consideration of the claim.

(3) Brief summary of essential facts, including: date of incident, date claim was filed, circumstances of incident, nature and

extent of injury or damage, and basis for determining whether the claim is payable.

(4) Brief evaluation of the applicable local laws, standards, and customs.

(5) Date of adjudication by the Commission.

(6) Amount of any recommended award, stated in the local currency and the conversion into U.S. currency at the official rate of exchange on the date of the adjudication.

(7) Statement of the recommendation of the Commission and an explanation of the basis.

0817 FORWARDING REPORTS

a. Claims within adjudicating authority. When a Commission recommends payment or denial of a claim within its adjudicating authority, the original of the report and all related papers shall be forwarded to the appointing authority for action.

b. Claims in excess of adjudicating authority. When a Commission recommends payment or denial of a claim in excess of its adjudicating authority, the original of the report and all related papers shall be forwarded to the appointing authority to retain, and a copy shall be forwarded through the appointing authority to the appropriate higher authority for action under the delegations of authority in section 0818 of this chapter.

0818 ACTION ON FORWARDED CLAIMS

a. Claims within adjudicating authority. When payment or denial of a claim within the adjudicating authority of the Commission is recommended, the appointing authority may:

(1) Approve or disapprove the recommendation and claim, in whole or in part, and pay the claim as appropriate.

(2) Return the claim with instructions to the Commission.

b. Claims in excess of adjudicating authority. When payment or denial of a claim in excess of the adjudicating authority of the Commission is recommended, the following officers may approve or disapprove the recommendation and the claim, in whole or in part, pay the claim, or return the claim with instructions to the appointing authority or the Commission:

(1) Claims up to $50,000.00. The Deputy Judge Advocate General, the Assistant Judge Advocate General (General Law), or the Deputy Assistant Judge Advocate General (Claims and Tort Litigation), or, with respect to claims arising in Italy, the Officer in Charge of the U.S. Sending State Office for Italy;

(2) Claims from $50,000.00 through $100,000.00. The Judge Advocate General; and

(3) Claims in excess of $100,000.00. The Secretary of the Navy may pay the first $100,000.00 and report the excess to the Comptroller General for payment. 10 U.S.C. § 2734(d).

0819 NOTIFICATION TO THE CLAIMANT

Claimant shall be notified promptly by the appointing authority in writing of approval or denial of claims within the adjudicating authority of the Commission, or of referral of claims in excess of the adjudicating authority of the Commission to higher authority. Notification should inform claimant of the approved recommendation or action of the Commission and briefly explain the reasons therefor. When resources permit, the letter of notification should be translated into claimant's language, preferably using the interlinear method. When final action on a claim is taken by an officer superior to the appointing authority of the Commission, the notification letter should be forwarded through the appointing authority, with a copy to the Commission. Claimant shall not be informed

of the amount of recommendations to higher authority for payment and shall not be shown the report of the Commission.

0820 RECONSIDERATION, APPEAL, AND SUIT

a. Reconsideration

(1) A claim may be reconsidered by the original Commission, a successor Commission, or a newly appointed Commission, upon written request from the claimant, upon the original Commission's own initiative, or upon instructions from a superior officer authorized to take action on the claim, when it appears that the original action was incorrect in law or fact based on the evidence of record at the time of the action or based on evidence subsequently received.

(2) If the Commission concludes that the original recommendation was incorrect, it will modify the recommendation and forward a supplemental recommendation to or through the appointing authority for action. If the Commission concludes that the original recommendation was correct, it will affirm the recommendation, and forward a memorandum for information to or through the appointing authority. Notification to claimant will be as prescribed in these regulations.

(3) Claimant's request for reconsideration of the recommendation of the Commission or the action of a higher authority should indicate the legal or factual basis asserted as grounds for relief. When action on reconsideration has been completed and approved, the appointing authority shall notify the claimant that such action is final and conclusive by law. 10 U.S.C. § 2735.

b. Appeal. There is no right of appeal under this statute.

c. Suit. The United States has not consented to be sued under this statute.

0821 PAYMENT

a. Documentation. When a recommendation for payment within the adjudicating authority of the Commission has been approved by the appointing authority, or when a larger award has been approved by appropriate higher authority, the appointing authority shall submit the original and one copy of the approved report of the Commission to the nearest Navy or Marine Corps disbursing officer for payment of the claim. If no Navy or Marine Corps disbursing officer is reasonably available, then the nearest United States disbursing officer of any agency may be requested to pay the claim.

b. Voucher. Copies of paid vouchers shall be forwarded immediately to the Naval Regional Finance Center, Code 72, Building 28-2, Washington Navy Yard, Washington, D.C. 20374-0282 and to the Office of the Judge Advocate General of the Navy, 200 Stovall Street, Alexandria, VA 22332-2400.

c. Accounting data. Foreign claims are paid under an open allotment with fund citation from NAVCOMPT Manual, Volume 2, Chapter 2, paragraph 201 under the title Judge Advocate General Defense Claims: appropriation symbol 1791804, subhead .122B, class 006, control 00013, authorization accounting activity 000179, transaction type 2D, cost code 00000999252A.

d. Release. A release shall be obtained from the claimant when payment of an award is accepted. The suggested form for the release is in Appendix A-8-a of this Manual.

e. Advance payments. Advance payments may be paid under this section.

f. Currency. All payments under this chapter shall be made in the local currency of the country in which the claim arose or in the currency of the country where the claimant resides at the time such payment, if different from the country where the claim arose, due to Federal currency restrictions.

See sections 0815 & 0821

SETTLEMENT AGREEMENT

KNOW ALL MEN BY THESE PRESENTS, that the undersigned hereby agree(s) to accept the sum of _____ in full satisfaction and final settlement of any and all claims (I)(we) now have or may in the future have against the UNITED STATES OF AMERICA, or any of its agents or employees, arising out of_____

_____

_____

(I)(We) agree that upon receipt of the aforesaid sum, the UNITED STATES OF AMERICA, and its agents and employees, shall be forever discharged from any and all claims, demands, damages, actions, causes of action, or suits of any nature or kind whatsoever arising out of the aforesaid matter.

IN WITNESS WHEREOF, the undersigned (have)(has) signed these presents this_____day of_____, 19__.

_____

WITNESS:

_____

_____

CHAPTER IX
AUTHORITY OF ARMED FORCES PERSONNEL TO PERFORM NOTARIAL ACTS

PART A – FEDERAL AND NON-FEDERAL AUTHORITY

0901 SCOPE

0902 FEDERAL AUTHORITY TO ADMINISTER OATHS AND PERFORM NOTARIAL ACTS

a. Relationship to state authority
b. Authority to administer oaths with regard to military administration and military justice
c. Authority to act as a notary
d. No fees
e. Duties and responsibilities of notaries
f. Proof of authority
g. Legal effectiveness
h. Formats

0903 NON-FEDERAL AUTHORITY TO PERFORM NOTARIAL ACTS

a. Non-Federal authority
b. Exercise of non-federal authority
c. Legal effectiveness
d. Civil notaries

PART B – COMPILATION OF NON-FEDERAL NOTARIAL PROCEDURES AND LAWS

0904 INTRODUCTION

0905 UNIFORM ACKNOWLEDGMENT ACT, UNIFORM RECOGNITION OF ACKNOWLEDGMENTS ACT AND UNIFORM LAW ON NOTARIAL ACTS

0906 ACKNOWLEDGMENTS

0907 SWORN INSTRUMENTS

0908 GENERAL INSTRUCTIONS FOR ACKNOWLEDGMENTS AND SWORN INSTRUMENTS

a. Duties and responsibilities of the notary
b. How to take an acknowledgment
c. How to take a sworn affidavit or instrument
d. How to take an oath
e. Seal of the person executing document
f. Seal of the person performing notarial act
g. Witnesses
h. By whom acknowledgments or sworn instruments may be taken

i. When, where, and for whom acknowledgments and sworn instruments may be taken
j. Procedure for certifying a copy of a document
k. Identifying the person requesting the notarial act

0909 NOTARY LOGS

0910 SPECIAL INSTRUCTIONS FOR ACKNOWLEDGMENTS AND SWORN INSTRUMENTS (SUMMARY OF STATE LAWS)

CHAPTER IX
AUTHORITY OF ARMED FORCES PERSONNEL TO PERFORM NOTARIAL ACTS

PART A–FEDERAL AND NON-FEDERAL AUTHORITY

0901 SCOPE

This chapter designates individuals authorized to perform notarial acts and compiles existing laws, regulations, and guidelines on the authority of U.S. Armed Forces members to administer oaths; take affidavits, sworn statements, or depositions; take acknowledgments; and perform other notarial acts.

0902 FEDERAL AUTHORITY TO ADMINISTER OATHS AND PERFORM NOTARIAL ACTS

a. Relationship to state authority. The authority to perform notarial acts under 10 U.S.C. § 1044a is separate and apart from any authority provided by State law. Persons performing notarial acts under the former statute derive their authority under Federal, not State, law. Federal notarial authority may be exercised without regard to geographic limitation; State notarial authority, on the other hand, may only be exercised in the state concerned. The validity of notarial acts performed pursuant to 10 U.S.C. § 1044a is a matter of Federal law.

b. Authority to administer oaths with regard to military administration and military justice

(1) Under the authority of 10 U.S.C. § 936(a), the following persons on active duty or performing inactive-duty training may administer oaths for the purposes of military administration, including military justice:

(a) Judge advocates;

(b) Summary courts-martial;

(c) Adjutants, assistant adjutants, acting adjutants and personnel adjutants;

(d) Commanding officers of the Navy, Marine Corps, and Coast Guard;

(e) Staff judge advocates and legal officers, and acting or assistant staff judge advocates and legal officers;

(f) Officers of the grade of 0-4 and above;

(g) Executive and administrative officers;

(h) Marine Corps officers with a Military Occupational Specialty (MOS) of 4430, while assigned as legal administrative officers;

(i) All limited duty officers (law), all legalmen E-7 and above, all independent duty legalmen, and all legalmen assigned to legal assistance offices or staff judge advocates providing legal assistance; and

(j) Persons empowered to authorize searches, for any purpose relating to a search authorization.

(2) Under the authority of 10 U.S.C. § 936(b), the following persons on active duty or performing inactive-duty training may administer oaths necessary in performing their duties:

(a) The president, military judge, trial counsel, and assistant trial counsel for all general and special courts-martial;

(b) The president and counsel for the court of any court of inquiry;

(c) Officers designated to take depositions;

(d) Persons detailed to conduct investigations;

(e) Recruiting officers;

(f) Officers designated and acting as a Casualty Assistance Calls Program Officer; and

(g) The president and recorder of personnel selection boards.

(3) Under the authority of 10 U.S.C. §§ 502 and 1031, any U.S. Armed Forces commissioned officer of any Regular or Reserve component, whether or not on active duty, may administer oaths required for appointment, enlistment, or commission in the Armed Forces.

c. Authority to act as a notary

(1) Under the authority of 10 U.S.C. § 1044a, the following persons may perform the notarial acts listed in subparagraph (2) below for persons listed in section 0706 of this Manual as eligible for legal assistance, and for others as authorized in 10 U.S.C. § 1044a:

(a) Civilian attorneys serving as legal assistance officers;

(b) the following persons while on active duty or performing inactive-duty training:

(i) Adjutants, assistant adjutants and personnel adjutants;

(ii) Officers of the grade of 0-4 and above;

(iii) Commanding, executive and administrative officers;

(iv) Legal and assistant legal officers;

(v) Marine Corps officers with MOS 4430 while assigned as legal administrative officers;

(vi) Judge advocates;

(vii) All limited duty officers (law), all legalmen E-7 and above, all independent duty legalmen, and all legalmen assigned to legal assistance offices or staff judge advocates providing legal assistance; and

(viii) Marine Corps legal services specialists E-5 and above, while serving in legal assistance billets, when authorized by the cognizant commander.

(2) Subject to the guidance set forth in section 0908, the following acts may be performed by the persons listed above while acting as a notary:

(a) Administration of oaths, acknowledgments, affidavits, and affirmations; and

(b) Certification of copies as true.

d. No fees. Fees may not be paid or received for the administration of any oath or the performance of any notarial act under the authority of 10 U.S.C. §§ 936 or 1044a.

e. Duties and responsibilities of notaries. Persons acting as notaries under the authority of 10 U.S.C. § 1044a are governed in the performance of their duties by, and must comply with, section 0908.

f. Proof of authority. The signature of any person administering an oath or acting as a notary under the authority of 10 U.S.C. §§ 936 or 1044a together with the title of his or her office is prima facie evidence that the signature is genuine, that the person holds the office designated, and that he or she has the authority to so act.

g. Legal effectiveness. Notarial acts performed under the authority of 10 U.S.C. § 1044a are legally effective for all purposes. Oaths administered under the authority of 10 U.S.C. § 936 are legally effective for the purposes for which the oath is administered. Federal notarial authority may be exercised without

regard to geographic limitations and is not dependent on any state or local law.

h. Formats. Formats recommended for taking acknowledgements and executing sworn instruments are set forth in Appendix A-9-a and A-9-b, respectively.

0903 NON-FEDERAL AUTHORITY TO PERFORM NOTARIAL ACTS

a. Non-Federal authority. Separate from, but related to, the Federal authority to perform notarial acts (see 0902a), the laws of most States, the District of Columbia, and of U.S. possessions, territories, and commonwealths authorize certain U.S. Armed Forces members to perform for U.S. Armed Forces members, their dependents, and accompanying civilians one or more of the following notarial acts:

(1) Administer oaths;

(2) Take affidavits;

(3) Take sworn statements;

(4) Take depositions; and

(5) Take acknowledgements.

b. Exercise of non-federal authority. Occasionally, a situation may arise in which the exercise of State, vice Federal, notarial authority may be warranted. Before exercising such authority, the notary official should determine:

(1) The State or States where the instrument is to be used;

(2) Who has authority to perform the particular notarial act under the laws of the jurisdiction(s) involved (see section 0910); and

(3) For whom the particular notarial function may be performed under the laws of the jurisdiction(s) involved (see section 0910).

c. Legal effectiveness. When exercising State authority, the statutory requirements of the jurisdiction(s) in which the instrument is to be used determine the legal effectiveness of the notarial acts performed. When a single instrument requiring acknowledgment is to be used in more than one jurisdiction, the acknowledgment must comply with the laws of every jurisdiction in which it is to be used.

d. Civil notaries. Although both Federal and State law authorize a variety of Federal officials to perform notarial acts, it is permissible in the United States to use locally appointed notaries public, or when abroad, a U.S. consul.

PART B—COMPILATION OF NON-FEDERAL NOTARIAL PROCEDURES AND LAWS

0904 INTRODUCTION

Part B provides general guidance for notarial acts and specific statutory requirements in each State, the District of Columbia, and United States possessions, territories, and commonwealths. U.S. Armed Forces members should use the formats in Appendix A-9-a and A-9-b for effective execution. When available, consult a judge advocate. Any instruction from a civilian attorney who prepares and forwards an instrument for execution should be followed carefully.

0905 UNIFORM ACKNOWLEDGMENT ACT, UNIFORM RECOGNITION OF ACKNOWLEDGMENTS ACT AND UNIFORM LAW ON NOTARIAL ACTS

Several States have enacted the Uniform Acknowledgment Act or its successors, the Uniform Recognition of Acknowledgments Act

and its successor, the Uniform Law on Notarial Acts. In many instances, these Acts have not been accompanied by repeal or revision of existing statutory laws on the power to perform notarial acts, resulting in overlapping or conflicting authorization. The alphabetical listing of States in section 0910 references those jurisdictions which have enacted the Acts, specifies additional statutes in those jurisdictions granting similar powers, and summarizes each jurisdiction's authorization to perform notarial acts. In jurisdictions with conflicting authorization, the most restrictive view is provided to assure the instrument's effectiveness. Any notarial official having questions about any of these statutes should consult a judge advocate before performing a notarial act.

0906 ACKNOWLEDGMENTS

An acknowledgment is a formal declaration or admission before a properly authorized official, by a person who has executed an instrument, that such instrument is his act or deed. It includes the certificate or written evidence of the act of acknowledgment made by the officer, as well as the act itself. Acknowledgments relate primarily to written instruments affecting land, or granting or creating legal rights. Statutes may require that deeds, mortgages, leases (particularly those over a certain length of years), or powers of attorney be acknowledged. See Appendix A-9-a.

0907 SWORN INSTRUMENTS

A sworn instrument is a written declaration signed by a person who declares under oath before a properly authorized official that the facts set forth are true to the best of his knowledge and belief. Sworn instruments include affidavits, sworn statements, and depositions. See Appendix A-9-b.

0908 GENERAL INSTRUCTIONS FOR ACKNOWLEDGMENTS AND SWORN INSTRUMENTS

a. Duties and responsibilities of the notary. Notaries may not engage in the practice of law and, accordingly, may not draw up legal documents, such as wills, contracts, mortgages, and deeds.

(1) Notaries may not sign their names to blank instruments. Nor may they certify the authenticity of public, registered, or court records or documents, or issue certified copies of such documents or records. They may not take an affidavit or an acknowledgment unless the person who signed the instrument is actually in their presence. Notaries must administer oaths, if an oath is authorized or required, in person. Notaries may not falsely execute certificates, such as predating or postdating the document. The notarial authority may not be delegated to another person.

(2) Notaries may be subject to civil and criminal liability, including fines and imprisonment for misconduct, negligence, malpractice, or other breach of official duties.

b. How to take an acknowledgment

(1) The acknowledgment must be made in the presence of the notary, who must identify both the person and the person's military status or relationship. Notaries must decline to take the acknowledgment if identification is impossible. Notaries may not take their own acknowledgments. Notaries should ensure the correct dates are properly inserted for any certificate verified or acknowledged before them. Changes, cross outs, and erasures in the body of the acknowledgment should be avoided. If unavoidable, they should be initialed by the notary wherever they appear.

(2) If a signature has been affixed outside the notary's presence, the signer must verify, affirm, and acknowledge the signature on the acknowledgment or affidavit. The notary should compare the signature affixed with a signature made in the notary's presence and on the signer's identification.

c. How to take a sworn affidavit or instrument. An affidavit is a sworn statement, made by a person known as the affiant or deponent. The facts in the affidavit are sworn or

affirmed to be true by the affiant before the notary. See Section 0908d on taking oaths.

(1) The notary officer should sign his name, rank, office title, name of command, and Social Security number. The notary must have authority in the venue or the place the affidavit is administered. The venue is the name of the State, and the county, or other territorial subdivision to which jurisdiction is limited.

(2) The notary need not be concerned with the affiant's veracity. The notary is not required to independently verify the truth of the facts stated in the affidavit. The affiant may be subject to prosecution for perjury if the facts are willfully misstated. In taking a verification upon oath or affirmation, the notarial officer must identify, either from personal knowledge or satisfactory evidence, that the person appearing before the officer and making the verification, is the person whose signature appears on the statement being verified.

d. How to take an oath. Oaths and affirmations are pledges whereby affiants swear or affirm the truth of statements made by them. Oaths and affirmations are used when taking affidavits or sworn instruments. See Section 0908c.

(1) Persons administering the oath should tell the affiant to raise his right hand and say the following:

"Do you swear that the information contained in this document is the truth to the best of your knowledge so help you God?"

(2) Affirmation may be administered in the following form:

"Do you solemnly, sincerely, and truly declare or affirm the information contained in this document is the truth to the best of your knowledge?"

(3) The reply should be "I do" or similar words of assent to both the oath and affirmation.

e. Seal of the person executing document. Although most jurisdictions no longer distinguish between sealed and unsealed instruments, some require certain instruments be executed under seal. When a seal is required, insert the statement "witness the following signature and seal," immediately preceding the signature of the person executing the document. In most jurisdictions, typing, printing, or writing "(SEAL)" or the symbol "(LS)" after the signature completes the sealing of the instrument. Others also require that the intention to create a sealed instrument be reflected in the body of the instrument. Only use a seal if specifically required by statute or other law. Seals should be used cautiously, since in some States instruments under seal create special legal consequences or have a unique status. Consult a judge advocate as necessary.

f. Seal of the person performing notarial act. State statutes authorize the performance of notarial acts without an impressed or raised seal. The formats in Appendix A-9-a and A-9-b provide evidence of an officer's authority to take acknowledgments or sworn instruments.

g. Witnesses. Acknowledgment of instruments which may affect title to real property must be witnessed by three persons. See Appendix A-9-a. The name, grade or rate, branch of service, Social Security number, and permanent home address of each witness should be typed or printed below the signature of the witness.

h. By whom acknowledgments or sworn instruments may be taken. The majority of State statutes authorize any commissioned officer with the grade of ensign (or second lieutenant) or higher to take acknowledgments and sworn instruments. Section 0910 indicates States that require the commissioned officer have a higher grade, or permit commissioned, noncommissioned, or petty officers of a lower grade or rate, to perform these acts, or where they restrict the authority of officers to perform certain functions.

i. When, where, and for whom acknowledgments and sworn instruments may be taken. The alphabetical listing of States in section 0910 should be consulted to determine when, where, and for whom, acknowledgments and sworn instruments may be taken.

j. Procedure for certifying a copy of a document. In certifying or attesting a copy of a document or other item, the notarial officer must determine that the proffered copy is a full, true, and accurate transcription or reproduction of that copied, by carefully and personally comparing the copy and original or observing the copying process. Documents can not be certified as true copies based upon the assertion of the requester.

k. Identifying the person requesting the notarial act. In witnessing or attesting a signature, the notarial officer must determine that the person appearing before the officer is the person named in the document to be signed. A notarial officer has satisfactory evidence of the identity of the person whose signature is on a document and that the person is within the class of persons for whom the notarial act may be performed, if that person is: (1) personally known to the notarial officer, (2) identified upon the oath or affirmation of a credible witness personally known to the notarial officer, or (3) identified by identification documents.

0909 NOTARY LOGS

Notaries must be able to confirm specific notary acts they performed many years after the act. A notary log, therefore, should be maintained and kept indefinitely by each notary, even after release from active duty. The log should include signer's name and signature, document, date, and location. These personal logs may not be made part of any Navy system of records and are not to be passed to other Navy personnel.

0910 SPECIAL INSTRUCTIONS FOR ACKNOWLEDGMENTS AND SWORN INSTRUMENTS (SUMMARY OF STATE LAWS)

This section is an alphabetical summary of requirements to take acknowledgments, administer oaths, and prepare sworn instruments pursuant to authority granted to specified military officials under the laws of each State, the District of Columbia, and United States possessions, territories, and commonwealths. Unless otherwise indicated, "commissioned officer" as used in this section includes commissioned warrant officers. Unless otherwise indicated, "U.S. Armed Forces members" does not include spouses, dependents of such members, or civilians employed by the Armed Forces. The limitations herein are not applicable to the exercise of Federal notarial authority under 10 U.S.C. § 1044a, or to the administration of oaths pursuant to 10 U.S.C. §936 (Article 136, UCMJ).

ALABAMA Ala. Code § 35-4-26 (1991).

1. Acknowledgments. Any commissioned officer in the U.S. Armed Forces may take acknowledgements of any person, outside the State.

2. Oaths and sworn instruments. Same as for acknowledgements.

3. Seal. Not required. Use format in A-9-a or A-9-b.

ALASKA Alaska Stat. § 34.15.160 (1985); enacted Uniform Recognition of Acknowledgments Act as Alaska Stat. §§ 09.63.010-.130 (1983 & Supp. 1991).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the Armed Forces to perform notarial acts may take acknowledgments, at any place, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

ARIZONA Enacted Uniform Recognition of Acknowledgments Act as Ariz. Rev. Stat. Ann. §§ 33-501 to -508 (1974 & Supp. 1987) and Uniform Acknowledgments Act as Ariz. Rev. Stat. Ann. §§ 33-511 to -513. (Supp. 1987).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the Armed Forces to perform notarial acts may take acknowledgments, outside the State, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

ARKANSAS Enacted Uniform Acknowledgments Act as Ark. Code Ann. §§ 16-47-201 to -218 (1987); Ark. Code. Ann. § 16-2-104 (1987); Ark. Code Ann. §16-47-109 (validating all acknowledgments of Armed Forces members taken prior to March 20, 1945).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of persons serving in or with the U.S. Armed Forces and their dependents.

2. Oaths and sworn instruments. Any person in the U.S. Armed Forces may make an oath to any affidavit before any commissioned officer.

3. Seal. Not required. Use format in A-9-a or A-9-b.

CALIFORNIA Cal. Civ. Code Ann. § 1183.5 (West 1992).

1. Acknowledgments. Any officer on active duty in the U.S. Armed Forces with the general powers of a notary public under section 0902 may take acknowledgments, at any place, for any person serving in the U.S. Armed Forces, or such person's spouse, and for any person serving with, employed by, or accompanying such U.S. Armed Forces outside the United States, the Canal Zone, Puerto Rico, Guam, and the Virgin Islands.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

COLORADO Colo. Rev. Stat. Ann. § 24-12-104 (1973); enacted Uniform Recognition of Acknowledgments Act as Colo. Rev. Stat. Ann. §§ 12-55-201 to -211 (1991).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the Armed Forces to perform notarial acts may take acknowledgments, outside the State, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

CONNECTICUT Conn. Gen. Stat. Ann. §§ 1-24, 27-137 (West 1990); enacted Uniform Acknowledgment Act as Conn. Gen. Stat. Ann. §§ 1-28 to -41 (West 1990) and Uniform Recognition of Acknowledgments Act as Conn. Gen. Stat. Ann. §§ 1-57 to -65 (West 1990).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, outside the State, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces. Any commissioned officer, excluding warrant officers,

on active duty in the Armed Forces may take acknowledgments, inside the State, of Armed Forces members.

2. Oaths and sworn instruments. U.S. Armed Forces judge advocates, law specialists in the Coast Guard, adjutants, assistant adjutants, acting adjutants, personnel adjutants, commanding officers, executive officers, and those officers whose rank is lieutenant commander or major or higher may take oaths, at any place, of persons serving in or with the U.S. Armed Forces and their spouses. In addition, any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take oaths, outside the State, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

3. Seal. Not required. Use format in A-9-a or A-9-b.

DELAWARE Del. Code Ann. tit. 25, § 130 (1989); enacted Uniform Law on Notarial Acts as Del. Code Ann. tit. 29, §§ 4321-4328 (Supp. 1991).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments of: (a) U.S. Armed Forces members at any place, (b) merchant seamen outside the limits of the 48 contiguous States and the District of Columbia, and (c) others outside said limits by permission, assignment, or direction of any department or official of the U.S. Government, in connection with any activity pertaining to any war in which the United States is then engaged. In addition, any such officer may take acknowledgments of any person, at any place, pursuant to section 0902.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

DISTRICT OF COLUMBIA

No local statutory authority for any U.S. Armed Forces member to take acknowledgments, oaths, or sworn instruments. See section 0902 for Federal authority to perform these functions.

FLORIDA Fla. Stat. Ann. § 92.51, 695.031 (West 1989).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of U.S. Armed Forces members, their spouses, and persons whose duties require their presence with the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

GEORGIA Ga. Code Ann. §§ 45-17-30 to -34 (Michie 1990).

1. Acknowledgments. Any commissioned officer may take acknowledgments of any person, at any place, for Georgia property only. In addition, any commissioned officer on active duty in the U.S. Armed Forces may take acknowledgments of the following persons and their spouses, dependent children, and other dependents: (a) U.S. Armed Forces members at any place, (b) merchant seamen outside the limits of the United States, and (c) others outside said limits by permission, assignment, or direction of any department or official of the U.S. Government, in connection with any activity pertaining to the prosecution of any war in which the United States is then engaged.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

GUAM Guam Gov't Code § 22200 (1970); enacted Uniform Recognition of Acknowledgments Act as Guam Civ. Code §§ 1208-1212.4 (Supp. 1973).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take

acknowledgments, outside Guam, for the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

HAWAII Haw. Rev. Stat. § 502-50 (Michie 1993).

1. Acknowledgments. Any officer in the U.S. Armed Forces authorized in section 0902 may take acknowledgments of any person in the U.S. Armed Forces at any place, including any person outside the United States.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

IDAHO Idaho Code §§ 55-705, 55-713 (1991).

1. Acknowledgments. Any officer in the U.S. Armed Forces designated to take a deposition may take the acknowledgment, at any place, of persons in the U.S. Armed Forces or otherwise subject to military law, their wives, and dependents.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

ILLINOIS Ill. Ann. Stat. ch. 30 para. 19 (Smith-Hurd Supp. 1992); enacted Uniform Recognition of Acknowledgments Act as Ill. Ann. Stat. ch. 30, Para. 221 -230 (Smith-Hurd Supp. 1992).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, at any place, of the following and persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn statements. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

INDIANA Ind. Code Ann. §§ 32-2-3-1 to -5 (Burns 1980 & Supp. 1988).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments of: (a) those serving in or with the U.S. Armed Forces at any place, (b) merchant seamen outside the limits of the 50 States and the District of Columbia, and (c) others outside said limits by permission, assignment, or direction of any department or office of the U.S. Government, for any activity pertaining to the prosecution of any war in which the United States is then engaged.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

IOWA Iowa Code Ann. § 558.26 (West 1950); Iowa Rules of Court 153 (West 1978).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of those serving in or with the U.S. Armed Forces.

2. Oaths and sworn instruments. Depositions may be taken by any commissioned officer under whose command the person giving the deposition is serving, or by any commissioned officer of the Judge Advocate General's Corps.

3. Seal. Not required. Use format in A-9-a or A-9-b.

KANSAS Enacted Uniform Law on Notarial Acts as Kan. Stat. Ann. §§ 53-501 to -511 (1983 & Supp. 1991).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces may take acknowledgments of any person, at any place, pursuant to section 0902.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

KENTUCKY Ky. Rev. Stat. Ann. § 384.080 (Michie/Bobbs-Merrill 1972); enacted Uniform Recognition of Acknowledgments Act as Ky. Rev. Stat. Ann. §§ 423.110-.190 (Michie/Bobbs-Merrill 1972 & Supp. 1990).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, of the following persons and their dependents: (a) U.S. merchant seamen outside the limits of the United States, (b) U.S. Armed Forces members outside the State, and (c) others outside said limits by permission, assignment, or direction of any department or official of the U.S. Government.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

LOUISIANA La. Rev. Stat. Ann. § 35:7 (West 1985); enacted modified version of Uniform Acknowledgments Act as La. Rev. Stat. Ann. §§ 35:511-513 (West 1985).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of persons serving in or with the U.S. Armed Forces or the Coast Guard.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

MAINE Me. Rev. Stat. Ann. tit. 33 § 203 (West 1988 & Supp. 1992); enacted Uniform Recognition of Acknowledgments Act as Me. Rev. Stat. Ann. tit. 4 §§ 1011-1019 (1964).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgements, at any place, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn statements. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

MARYLAND Md. Ann. Code art. 18, § 15 (Michie 1992); enacted Uniform Acknowledgments Act as Md. Ann. Code art. 18, §§ 1-14 (1987).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments of: (a) U.S. Armed Forces members, and their spouses and dependents, at any place, (b) merchant seamen outside the limits of the 48 contiguous States and the District of Columbia, and (c) others outside said limits by permission, assignment, or direction of any department or official of the U.S. Government, in connection with any activity pertaining to the prosecution of any war in which the United States is then engaged.

2. Oaths and sworn instruments. Same as for acknowledgments except there is no provision for officers to take oaths or sworn statements of spouses or dependents.

3. Seal. Not required. Use format in A-9-a or A-9-b.

MASSACHUSETTS Mass. Ann. Laws ch. 222, § 11 (West 1988 & Supp. 1991-92); Mass. Ann. Laws. Spec. L. 35:18 (Law. Co-op 1979).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of persons serving in or with the U.S. Armed Forces and their dependents. Acknowledgements of U.S. Armed Forces members or their dependents must include the member's Social Security number.

2. Oaths and sworn instruments. Same as for acknowledgments except there is no provision for officers to take oaths or sworn instruments of dependents. Sworn instruments are limited to affidavits and depositions.

3. Seal. Not required. Use format in A-9-a or A-9-b.

MICHIGAN Mich. Stat. Ann § 27A.1440 (Callaghan 1986); enacted Uniform Recognition of Acknowledgments Act as Mich. Stat. Ann. §§ 26.607(1)-(10) (Callaghan 1970).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, at any place, of the following persons and their dependents: (a) U.S. Armed Forces members, (b) civilian employees of the U.S. Armed Forces, and (c) U.S. merchant seamen.

2. Oaths and sworn instruments. Any commissioned officer on active duty in the U.S. Armed Forces may administer oaths or affidavits, at any place, for the following persons and their dependents: (a) persons serving in or with the U.S. Armed Forces, and (b) civilian employees of the U.S. Armed Forces.

3. Seal. Not required. Use format in A-9-a or A-9-b.

MINNESOTA Enacted Uniform Law on Notarial Acts as Minn. Stat. Ann. §§ 358.41 -.50 (West 1991).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces may take acknowledgments of any person, at any place, pursuant to section 0902.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

MISSISSIPPI Miss. Code Ann. §§ 25-33-1 to -23, 89-3-5 (1972).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments of: (a) U.S. Armed Forces members and their spouses at any place, (b) merchant seamen outside the limits of the U.S., and (c) others outside such limits by permission, assignment, or direction of any department or official of the U.S. Government, in connection with any activity pertaining to the prosecution of any war in which the United States is then engaged.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

MISSOURI Mo. Ann. Stat. § 442.160 (1986 & Supp. 1992); Mo. Ann. Stat. § 492.070 (1949 & Supp. 1992).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments for active duty U.S. Armed

Forces members and their spouses, when joint or separate acknowledgment to the same instrument is required.

2. Oaths and sworn instruments. Same as for acknowledgments except there is no provision for officers to take oaths or sworn statements of spouses.

3. Seal. Not required. Use format in A-9-a or A-9-b.

MONTANA Mont. Code Ann. §§ 1-5-105, 1-5-203 (1991).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments of: (a) U.S. Armed Forces members, (b) merchant seamen outside the limits of the continental United States, excluding Alaska, and (c) others outside the limits of the United States by permission, assignment, or direction of any department or official of the U.S. Government for any activity pertaining to the prosecution of any war in which the United States is then engaged.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

NEBRASKA Enacted Uniform Recognition of Acknowledgments Act as Neb. Rev. Stat. §§ 64-201, 64-206, 76-227 (1986).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, at any place, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

NEVADA Nev. Rev. Stat. Ann. § 111.305 (Michie 1986).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of any person serving in or with the U.S. Armed Forces, or any person whose duties require his or her presence with the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

NEW HAMPSHIRE Enacted Uniform Acknowledgments Act as N.H. Rev. Stat. Ann. § 456:1-:15 (1983) and Uniform Recognition of Acknowledgments Act as N.H. Rev. Stat. § 456-A:1 to -:9 (1983).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces and others authorized by regulation of the Armed Forces to perform notarial acts may take acknowledgments, outside the State, of the following persons and their dependents: (a) U.S. merchant seaman, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

NEW JERSEY N.J. Stat. Ann. § 38:23A-1 (West 1968).

1. Acknowledgments. Any commissioned officer in the U.S. Armed Forces may take acknowledgments of: (a) U.S. Armed Forces members and their spouses at any place, (b)

merchant seamen outside the limits of the 48 contiguous States and the District of Columbia, and (c) others outside said limits by permission, assignment, or direction of any department or official of the U.S. Government, in connection with any activity pertaining to the prosecution of any war in which the United States Government is then engaged, or in time of emergency.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

NEW MEXICO N.M. Stat. Ann. § 14-13-7 (1988).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments of: (a) U.S. Armed Forces members and their spouses at any place, (b) merchant seamen outside the limits of the 50 States and the District of Columbia, and (c) others outside said limits by permission, assignment, or direction of any department or official of the U.S. Government, in connection with any activity pertaining to the prosecution of any war in which the United States is then engaged.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

NEW YORK N.Y. Civ. Prac. L. & R. § 2309 (McKinney 1991); N.Y. Real Prop. Law §§ 300, 312 (McKinney 1989).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments, for conveyances of real property located in this State, at any place, of persons serving in or with the U.S. Armed Forces, their dependents, and any person attached to or accompanying the U.S. Armed Forces. Acknowledgments of U.S. Armed Forces members or their dependents must include the member's Social Security number.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

NORTH CAROLINA N.C. Gen. Stat. § 47-2 (1991).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of any person serving in or accompanying the U.S. Armed Forces, or their spouse.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

NORTH DAKOTA Enacted Uniform Recognition of Acknowledgments Act as N.D. Cent. Code Ann. §§ 47-19-14.1, 14.2, 14.6 (1978 & Supp. 1991).

1. Acknowledgments. Any commissioned or noncommissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, at any place, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) persons serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

OHIO Enacted Uniform Recognition of Acknowledgments Act as Ohio Rev. Code Ann. §§ 147.51-.55 (Anderson 1990).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, outside the State, of the

following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with, employed by, or accompanying the U.S. Armed Forces outside the United States.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

OKLAHOMA Okla. Stat. Ann. tit. 72, § 50.1-.4 (West 1988); enacted Uniform Law on Notarial Acts as Okla. Stat. Ann. tit. 49, §§ 111-121 (West 1988).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces may take acknowledgments of any person, at any place, pursuant to section 0902. In addition, any person of the rank of sergeant, petty officer, or higher may take acknowledgements of U.S. Armed Forces members and their spouses if joint or separate acknowledgment is required, for deeds conveying real estate within the State, powers of attorney, other public instruments requiring acknowledgment or the taking of an oath, or for any other purpose.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

OREGON Enacted Uniform Law on Notarial Acts as Or. Rev. Stat. §§ 194.505, 545, 575 (1991).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces may take acknowledgments of any person, at any place, pursuant to section 0902.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

PENNSYLVANIA Enacted Uniform Acknowledgment Act as Pa. Stat. Ann. tit. 21 § 291.1-.10a (Purdon 1955 & Supp. 1991); Pa. Stat. Ann. tit. 57 § 54d (Purdon 1964).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments of: (a) U.S. Armed Forces members and their spouses at any place; (b) merchant seamen outside the limits of the 48 contiguous States and the District of Columbia, and (c) others outside said limits by permission, assignment, or direction of any department or official of the U.S. Government in connection with any activity pertaining to the prosecution of any war in which the United States is then engaged.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

PUERTO RICO P.R. Laws Ann. tit. 25, §§ 2803, 2901-2907 (1979 & Supp. 1988).

No local statutory authority for any U.S. Armed Forces member to take acknowledgments, oaths, or sworn instruments. See section 0902 for Federal authority to perform these functions.

RHODE ISLAND R.I. Gen. Laws § 34-12-5 to -8 (1956).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of any person outside the limits of the United States and of U.S. Armed Forces members and their dependents.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

SOUTH CAROLINA Enacted Uniform Recognition of Acknowledgments Act as S.C. Code Ann. §§ 26-3-20, -30, -50, 70 (Law. Co-op. 1991 & Supp. 1993).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the Armed Forces to perform notarial acts may take acknowledgements, at any place, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

SOUTH DAKOTA S.D. Codified Laws Ann. §§ 18-4-6 to -9, 18-3-2 to -4 (1987); enacted Uniform Acknowledgment Act as S.D. Codified Laws §§ 18-5-1 to -18 (1987).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, in the U.S. Armed Forces may take acknowledgments, at any place, of any person serving in or with the U.S. Armed Forces.

2. Oaths and sworn instruments. Any commissioned officer in the U.S. Armed Forces may take oaths and sworn instruments of: (a) U.S. Armed Forces members, including the Coast Guard, (b) civilians serving with, employed by, or accompanying the U.S. Armed Forces outside the United States, and (c) officers of the Public Health Service detailed for duty with the U.S. Armed Forces.

3. Seal. Not required. Use format in A-9-a or A-9-b.

TENNESSEE Tenn. Code Ann. §§ 58-1-605 to -607 (1989).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of U.S. Armed Forces members on active duty, and their spouses if they are accompanying the members.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

TEXAS Tex. Rev. Civ. Stat. Ann. art. 26 (Vernon 1969 & Supp. 1993); Tex. Civ. Prac. & Rem. Code Ann. §§ 121.001(d), 121.007 (Vernon 1986).

1. Acknowledgments. Any commissioned officer in the U.S. Armed Forces may take acknowledgments, at any place, of U.S. Armed Forces members, and their spouses.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

UTAH Utah Code Ann. § 57-2a-3 to 7 (Supp. 1990).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, at any place, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

VERMONT Vt. Stat. Ann. tit. 12, § 5855 (1973).

1. Acknowledgments. Any commissioned officer with the rank of lieutenant or higher in the Navy, or with equivalent rank in the Marine Corps, may take acknowledgments, at any place, of any person.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

VIRGIN ISLANDS V.I. Code Ann. tit. 5, § 694 (1967); V.I. Code Ann. tit. 28, §§ 82-89 (Supp. 1992).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, outside the Virgin Islands, for the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

VIRGINIA Va. Code Ann. § 55-115 (1986); enacted Uniform Recognition of Acknowledgments Act as Va. Code Ann. § 55-118.1-3 (1986).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, at any place, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

WASHINGTON Wash. Rev. Code Ann. § 73.20.010 (1982).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments of: (a) U.S. Armed Forces members, (b) merchant seamen serving outside the limits of the 48 contiguous States and the District of Columbia, and (c) others outside said limits by permission, assignment, or direction of any department or official of the U.S. Government, in connection with any activity pertaining to the prosecution of any war in which the United States is then engaged.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

WEST VIRGINIA W. Va. Code § 39-1-4a (1982); W. Va. Code § 57-5-9 (1966); enacted Uniform Recognition of Acknowledgments Act as W. Va. Code § 39-1A-1 to -9 (1982).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces and others authorized by regulation of the U.S. Armed Forces to perform notarial acts may take acknowledgments, at any place, of the following persons and their dependents: (a) U.S. merchant seamen, (b) U.S. Armed Forces members, and (c) others serving with or accompanying the U.S. Armed Forces.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

WISCONSIN Wis. Stat. Ann. § 887.01 (West 1966 & Supp. 1988); enacted Uniform Law on Notarial Acts as Wis. Stat. Ann. § 706.07 (West Supp. 1988).

1. Acknowledgments. Any commissioned officer on active duty in the U.S. Armed Forces may take acknowledgments for any person, at any place, pursuant to section 0902.

2. Oaths and sworn instruments. Same as for acknowledgments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

WYOMING Wyo. Stat. § 19-1-103 (1977).

1. Acknowledgments. Any commissioned officer, excluding warrant officers, on active duty in the U.S. Armed Forces may take acknowledgments, at any place, of persons serving in or with the U.S. Armed Forces, and their dependents.

2. Oaths and sworn instruments. There is no provision for officers to take oaths or sworn instruments.

3. Seal. Not required. Use format in A-9-a or A-9-b.

NOTARIAL FORMATS

The following are formats for acknowledgments and for sworn instruments, including general instructions. These formats are legally sufficient in most jurisdictions. The provisions of the jurisdiction in which the instrument will be used should be consulted before using the forms. A summary of each State's provisions is listed alphabetically in section 0910. Additional facts in the formats, not required by a specific jurisdiction, do not affect the validity of the acknowledgments or sworn instruments.

FORMAT FOR SIGNATURE BLOCK, WITNESSES, AND ACKNOWLEDGMENT CERTIFICATE

[Signature]
WITNESS the following signature (and seal) this____day of_____, 19__.

(signature of person whose acknowledgment is to be taken) ["(SEAL)" if necessary]

[Witness*]
Signed and delivered in the presence of:

(signature of witness)
(name of witness)
(SSN, grade, and branch of service)
(permanent home address)

(signature of witness)
(name of witness)
(SSN, grade, and branch of service)
(permanent home address)

(signature of witness)
(name of witness)
(SSN, grade, and branch of service)
(permanent home address)

[Venue]
With the United States Armed Forces
At (location**)

[Acknowledgement]
I,_____, the undersigned officer, do hereby certify that on this__day of_____, 19__, before me, personally appeared (name of person whose signature is being acknowledged), (Social Security number), whose home address is_____, and who is known to me to be (status***), and to be the identical person who is described in, whose name is subscribed to, and who signed and executed the foregoing instrument, and having first made known to him/her the contents thereof, he/she personally acknowledged to me that he/she signed the same, on the date it bears, as his/her true, free, and voluntary act and deed, for uses, purposes, and considerations therein set forth. I do further certify that I am at the date of this certificate a commissioned officer of the grade, branch of service, and organization stated below in the active service of the United States Armed Forces, that this certificate is executed by me in that capacity, and by statute no seal is required.

(signature of officer)
(name of officer)
(SSN, grade, branch of service)
(command or organization)
(permanent home address)

Authority: (authority****)

* If signature before witnesses is required for the document, insert the identifying information for each witness here.

** Insert country, State, and county in which instrument is acknowledged. If military considerations preclude disclosure of exact place of execution, insert "In a Foreign Country" or "In a possession of the U.S. outside the continental U.S."

*** "A U.S. Armed Forces member on active duty," "the spouse/dependent of a U.S. Armed Forces member," "a person serving with the U.S. Armed Forces," or other appropriate description of status.

**** Indicates one or more of the following as appropriate: "10 U.S.C. § 1044a and JAG Manual § 0902" (for general Federal authority to notarize documents); "10 U.S.C. § 936 (Article 136, UCMJ), and JAG Manual § 0902" (for Federal authority to administer oaths for purposes of military administration, including military justice); or "_____" (indicate State statutory authority from JAG Manual § 0910).

SUGGESTED FORMAT FOR A SWORN OR AFFIRMED INSTRUMENT

[Venue]
With the United States Armed Forces
At (location*)

I, (name of person executing the sworn instrument), do solemnly swear (affirm) that . . . (This part of the instrument contains the substance of the affidavit, deposition, or other sworn statement.)

(signature of person executing
the sworn instrument)

[Jurat]
I,_____, the undersigned officer, do hereby certify that the foregoing instrument was subscribed and sworn to (affirmed) before me this___day of_____, 19___, by (name of person making statement), (Social Security number), whose permanent home address is_____-_____, and who is known to me to be (status**). And I do further certify that I am at the date of this certificate a commissioned officer of the grade, branch of service, and organization stated below in the active service of the United States Armed Forces, that this certificate is executed by me in that capacity, and by statute no seal is required.

(signature of officer
(name of officer)
(SSN, grade, and branch of service)
(command or organization)
(permanent home address)

Authority: (authority***)

*Insert Country, State, and County in which instrument is acknowledged. If military considerations preclude disclosure of exact place of execution, insert "In a Foreign Country" or "In a possession of the U.S. outside of the continental U.S."

** "A U.S. Armed Forces member on active duty," "the spouse/dependent of a U.S. Armed Forces member," "a person serving with the U.S. Armed Forces," or other appropriate description of status.

*** Indicate one or more of the following as appropriate: "10 U.S.C. §1044a and JAG Manual § 0902" (for general Federal authority to notarize documents); "10 U.S.C. § 936 (Article 136, UCMJ), and JAG Manual § 0902" (for Federal authority to administer oaths for purposes of military administration, including Military justice); or "_____" (indicate State statutory authority from JAG Manual § 0910).

★ U.S. GOVERNMENT PRINTING OFFICE:1992-330-968/70200

CHAPTER X
INTERNATIONAL LAW

1001 SCOPE

1002 NAVAL OPERATIONS OVERSEAS

a. General
b. Areas of frequent inquiry

1003 INTERNATIONAL AGREEMENTS

a. General
b. International agreement defined
c. Negotiation of agreements
d. Additional guidance

1004 SECURITY ASSISTANCE

a. General
b. Statutory requirements
c. What constitutes security assistance
d. Local requests

1005 POLITICAL ASYLUM AND TEMPORARY REFUGE

a. Political asylum
b. Temporary refuge
c. Public announcement
d. Reporting requirements
e. Custody
f. References

1006 FOREIGN ENVIRONMENTAL LAW

a. Installations
b. Vessels, aircraft, and transient units
c. Access by foreign authorities

1007 FOREIGN LITIGATION

a. Department of Justice
b. Reports to the Judge Advocate General

1008 IMMIGRATION AND NATURALIZATION

a. General
b. Passports and visas
c. Acquiring citizenship
d. Marriage
e. Conclusion

1009 STATUS OF FORCES AGREEMENTS

a. General
b. Foreign personnel in the United States

1010 FOREIGN CRIMINAL JURISDICTION

a. General
b. Policy
c. Exercise of jurisdiction
d. Waiver of jurisdiction
e. Custody
f. Fees
g. Solatia
h. Official duty
i. Reporting requirements

1011 ENFORCEMENT OF U.S. LAW OVERSEAS

1012 PROPERTY CAPTURED FROM THE ENEMY DURING ARMED CONFLICT

1013 NONCOMBATANT EVACUATION PROCEDURES (NEO)

1014 ACCEPTANCE OF GIFTS FROM FOREIGN GOVERNMENTS

CHAPTER X

INTERNATIONAL LAW

1001 SCOPE

The purpose of this chapter is to highlight major international law issues likely to arise in the context of military operations overseas. This chapter does not reprint detailed material readily available elsewhere. It guides the reader to those sources where necessary.

1002 NAVAL OPERATIONS OVERSEAS

a. General. NWP-9/FMFM 1-10, The Commander's Handbook on the Law of Naval Operations, sets out the fundamental principles of law governing operations by the U.S. Naval Service. It is geared to the operator in a clear, concise format. It provides an overview of the law of the sea, including jurisdiction of nations over various parts of the world's oceans; legal status and navigational rights of warships, other government vessels, and military aircraft; protection of persons and property at sea; and the law of naval warfare.

b. Areas of frequent inquiry

(1) Presence of nuclear weapons. It is general U.S. policy not to deploy nuclear weapons aboard surface ships, attack submarines, and naval aircraft. However, under the U.S. Government NCND (neither confirm nor deny) policy, members of the Department of the Navy and its civilian employees shall not discuss the presence or absence of nuclear weapons at any general or specific location, including aboard any U.S. military station, ship, submarine, vehicle or aircraft. Detailed instructions on the proper response to inquiries for information or assurances with respect to the presence or absence of nuclear weapons or components can be found in OPNAVINST 5721.1E. The Department of the Navy's nuclear weapons classification system is established in OPNAVINST S5513.9B. Information concerning the capability of a unit to deliver, handle, or maintain nuclear weapons is unclassified. Information concerning the actual presence or absence of nuclear weapons in relation to a specific location, however, is classified.

(2) Search of vessel by foreign authorities. Commanders and masters will not permit foreign authorities to search any portion of a Navy ship. See U.S. Navy Regulations, 1990, Article 0828.

(3) Protection of persons and property at sea. See NWP-9/FMFM 1-10, chapter 3.

(4) Quarantine rules in foreign ports and airports. Commanders and masters will comply with foreign quarantine regulations and may certify such compliance to foreign authorities. Commanders will not allow foreign authorities to conduct on-board inspections. See SECNAVINST 6210.2.

(5) Sovereign immunity. See NWP-9/FMFM 1-10, chapter 2.

(6) Pollution and environmental concerns. See U.S. Navy Regulations, 1990, Articles 0832 and 1163, and OPNAVINST 5090.1. See also section 1006, below.

(7) U.S.-USSR incidents at sea. See OPNAVINST C5711.94; NWP-9/FMFM 1-10, section 2.8.

(8) Humanitarian and civic assistance. See 10 U.S.C. §§ 401, 2547, and 2805(a)(2), and Annual DOD Authorization and Appropriation Acts.

1003 INTERNATIONAL AGREEMENTS

a. General. DODDIR 5530.3 of 11 June 1987 lays out procedures for the negotiation and conclusion of international agreements. It provides for centralized control. No DOD member or civilian employee may conclude an international agreement except in accordance with this directive and JCS/service implementing directives.

b. International agreement defined. An international agreement is any oral or written agreement with a foreign government (including agencies, instrumentalities, or political subdivisions) or with an international organization that:

(1) Is agreed to by personnel of any DOD component;

(2) Signifies the intention of its parties to be bound; and

(3) Is denominated as an international agreement or any other name connoting a similar legal consequence.

(4) The following are not considered to be international agreements:

(a) Contracts made under the Federal Acquisition Regulations (FAR);

(b) Foreign Military Sales Credit Agreements;

(c) Foreign Military Sales Letters of Offer and Acceptance and Letters of Intent;

(d) NATO Standardization Agreements (STANAGS). While most STANAGS are not international agreements, some STANAGS, particularly in the logistics area, are legally binding and considered agreements;

(e) Real estate leases under 10 U.S.C. §§ 2667 and 2675, and 22 U.S.C. § 2796;

(f) Agreements solely to establish administrative procedures; and

(g) Acquisitions or orders pursuant to cross-servicing agreements made under the authority of Acquisition and Cross-Servicing Agreements with NATO and Other Allies (10 U.S.C. §§ 2341-2350).

c. Negotiation of agreements. The United States concludes international agreements in many forms. Members of the U.S. Navy and Marine Corps may conclude these agreements only when specifically authorized. For matters under the cognizance of the Department of the Navy, authorization to negotiate and conclude an international agreement should be sought from the Secretary of the Navy, the Assistant Secretary of the Navy (Research, Development and Acquisition), the Chief of Naval Operations, the Chief of Naval Research, or the Commandant of the Marine Corps, as appropriate. For matters that concern operational command of joint forces, such authorization should be sought from the Chairman of the Joint Chiefs of Staff. Negotiations toward the formation of any international agreement are not permitted pending receipt of such authorization. Once authorized to negotiate, the cognizant representative of the United States must not deviate significantly from the letter of the authorization.

(1) Request for authority to negotiate. A request for authority to negotiate an international agreement must contain:

(a) A draft text or outline of the proposed agreement (or an explanation why such a draft cannot be provided);

(b) A legal memorandum reciting the authority to carry out each obligation to be

assumed by the United States and an explanation of other legal considerations;

(c) A fiscal memorandum specifying the estimated cost and appropriations authority or source of each obligation assumed by the Department of the Navy or other DOD component; and

(d) A Technology Assessment Control Plan (see enclosure (7) to DODDIR 5530.3 of 18 February 1991), which, inter alia, requires the proponent of the agreement to:

(i) itemize all sensitive U.S. classified and unclassified property and data to be transferred under the proposed agreement;

(ii) assess the risk to U.S. national security through such transfer; and

(iii) identify the foreign technologies or other benefits that the United States is likely to acquire through the proposed agreement.

(2) Conclusion of the agreement. Should negotiations lead to an acceptable draft, the U.S. representative must ensure that:

(a) The proposed U.S. signatory holds proper authority to conclude the agreement. This authority is obtained in the same manner as the authority to negotiate.

(b) The requirements of prior consultation with the Department of State in accordance with the Case-Zablocki Act, 1 U.S.C. § 112b, have been met for the particular agreement. The Judge Advocate General (Code 10) has historically performed this function because JAG has, on file, permission from the Department of State to conclude certain classes of agreements without prior consultation.

(c) If a foreign language text is added, the agreement must specify either that the English text governs or that both texts are equally authentic. In the latter case, the agreement must include certification that the texts conform and have the same meaning in all substantive respects. Translators must be designated as qualified, consistent with local practice, by the official authorized to negotiate and conclude the agreement or by an appropriate official of the State Department.

(3) Forwarding of agreement. Within 10 days of conclusion, the U.S. Navy or Marine Corps signatory must forward five certified copies of the agreement and a background statement to the Judge Advocate General. If an agreement is concluded pursuant to a delegation of authority from the Chairman, Joint Chiefs of Staff, the signatory must forward two certified copies of the agreement and a background statement to the General Counsel, Department of Defense, and one copy to the Office of the Secretary, Joint Chiefs of Staff (plus additional copies to others with an interest in the subject of the agreement).

d. Additional guidance. See JCS MOPs 21 and 43, SECNAVINST 5710.25, OPNAVINST 5710.24, OPNAVINST 5710.25, Case-Zablocki Act implementation (22 CFR Ch. 1, sub. S, Part 181), and DIA Regulation 60-28 (concerning intelligence agreements). Questions on international agreements may be directed to the Judge Advocate General.

1004 SECURITY ASSISTANCE

a. General. Security assistance enhances U.S. national security by providing defense articles, services, training, and other assistance by grant, credit, or cash sales to friendly foreign nations. Authority for these programs is found in the Foreign Assistance Act and the Arms Export Control Act. Basic guidance is found in the Security Assistance Management Manual, DOD 5105.38-M of 1 October 1988, the DOD Foreign Military Sales Financial Manual, DOD Directive 7290.3-M, and the Joint Security

Assistance Training (JSAT) Regulation (AR 12-15/SECNAVINST 4950.4H/AFR 50-29).

b. Statutory requirements. The more important statutory requirements regarding security assistance include:

(1) Transfers of defense articles or services must be to an eligible country or designated international organization.

(2) Defense articles or services must be properly utilized by the purchaser. This means, for example, that such articles or services must be used by the purchaser's defensive forces for defensive purposes only.

(3) Withdrawal from U.S. stocks requires proper authorization.

(4) A purchasing country must pay full value, including applicable costs and surcharges.

(5) The purchaser must agree not to transfer defense articles received from the United States to any third country without U.S. permission.

c. What constitutes security assistance. The *DOD Dictionary of Military and Associated Terms* (JCS Pub 1-02 of 1 Dec 89) defines "security assistance" as groups of programs authorized by the Foreign Assistance Act of 1976, as amended, or other related statutes by which the United States provides defense articles, by grant, loan, credit, or cash sales in furtherance of national policies and objectives.

(1) There is a fine line between reimbursable security assistance and the authorized extension of limited assistance as a goodwill gesture or international courtesy in connection with combined operations. Cases are factually dependent and should, if practicable, be discussed with a Security Assistance Organization (SAO) at the local diplomatic mission or with an international lawyer with security assistance training. As a very general proposition, it is improper to extend any defense article or service (broadly defined) on a non-reimbursable basis unless there is: (1) a specific statutory authorization for the provision of assistance, for example, 10 U.S.C. § 7227, authorizes the non-reimbursable provision of routine port and airport line services on conditions of reciprocity documented by written agreement; or (2) the assistance is being provided to advance a clear and immediate U.S. mission interest, for example, the non-reimbursable transport of members of a foreign armed force aboard a U.S. vessel or aircraft to a remote site in connection with a combined exercise.

(2) Even if a statutory or "mutual benefit" basis can be found for extending assistance, there are country-specific limitations on the provision of assistance derived from the Foreign Assistance Act, and annual authorization and appropriation acts, which negate an otherwise valid legal justification for providing assistance to a foreign government.

(3) The foregoing discussion applies to the authority of U.S. forces to provide assistance to a foreign government. Similar restrictions prevent U.S. forces from accepting logistical or other support from a foreign government because of the fiscal prohibition against unauthorized augmentation of appropriations. Various statutes authorize the acceptance of certain types of assistance such as reciprocal routine port and airport services (10 U.S.C. § 7227), and financial or in-kind host nation support (10 U.S.C. § 2608, 10 U.S.C. § 2350g); however, implementing guidance issued by DOD and the Navy should be consulted before any foreign assistance is accepted.

d. Local requests. In case of doubt, commanding officers should refer foreign requests for training, purchase, lease or donation of

equipment to the Security Assistance Officer (SAO) of the local U.S. diplomatic mission and up the chain of command.

1005 POLITICAL ASYLUM AND TEMPORARY REFUGE

a. Political asylum. Political asylum is sanctuary within U.S. territorial jurisdiction or on the high seas granted to a foreign person. It affords protection from reasonable fear of persecution on account of race, religion, nationality, political opinion, or membership in a particular social group.

(1) No person seeking political asylum should be surrendered to foreign authorities except at the direction of the Secretary of the Navy.

(2) Since political asylum is a matter under the cognizance of the State Department, any person requesting asylum should be advised to contact the nearest U.S. Embassy or Consulate; however, no person shall be expelled from any U.S. military installation or vessel if there is an imminent threat to safety. In such cases, persons seeking political asylum should be regarded as temporary refugees pending referral to higher authority.

b. Temporary refuge. Temporary refuge is humanitarian protection to secure the safety of a person seeking refuge against imminent danger, such as pursuit by a mob. It does not normally include persons fleeing from lawful pursuit by the law enforcement authorities of a foreign country. Temporary refuge may be granted by the senior officer present at a U.S. installation or on board a U.S. vessel. Once granted, temporary refuge will be terminated only at the direction of the Secretary of the Navy. Persons whose temporary refuge is terminated will be surrendered only to authorities designated in the message authorizing release.

c. Public announcement. No public statement concerning political asylum or temporary refuge cases should be released without authorization by the Assistant Secretary to Defense for Public Affairs. DODDIR 2000.11 of 3 March 1972 and SECNAVINST 5710.22B. In foreign territory, any such announcements should also be coordinated with the U.S. Embassy.

d. Reporting requirements. Upon receipt of a request for political asylum or temporary refuge on board a U.S. installation or vessel, the information described below should be reported via OPREP-3 PINNACLE procedures (chapter 2, section II, of OPNAVINST R3100.6F; see also MCO 5740.2E). Initial reports should not be delayed pending further developments.

(1) Name and nationality of the person requesting asylum (or temporary refuge).

(2) Date, place of birth, and occupation.

(3) Description of any documentation in his possession.

(4) List of foreign authorities who are aware of or will be notified of the request.

(5) Circumstances surrounding the request.

(6) Exact location. If aboard a vessel or aircraft, give the estimated time of arrival at next port or airport.

(7) Reason for requesting asylum or temporary refuge.

(8) Description of any criminal charges known or alleged to be pending against the person requesting asylum. Specifically indicate if any piracy at sea, air piracy, or hijacking is involved.

(9) Any Communist Party or other

political party affiliation. Also list any government office now held or previously occupied.

(10) If applicable, whether a field office of the Immigration and Naturalization Service (INS) has been notified and if arrangements have been made to transfer the case to INS.

(11) Any other pertinent information.

e. Custody. Any request by foreign authorities for custody of a person seeking refuge should be reported immediately to higher authority. Pending guidance from higher authority, no action should be taken other than informing the foreign authorities that the case has been referred to higher authorities for instructions.

f. References. For additional information and detailed guidance, see DODDIR 2000.11 of 3 March 1972 and SECNAVINST 5710.22. See also NWP-9/FMFM 1-10, section 3.3.

1006 FOREIGN ENVIRONMENTAL LAW

a. Installations. At U.S. Navy or Marine Corps operated facilities within foreign territory, the Navy or Marine Corps will program repair, maintenance, or construction of its facilities to comply with the applicable Status of Forces or other agreement with the host government or local environmental pollution control regulations of general applicability or current DOD policy. On facilities provided by the host government, the Navy and Marine Corps will observe best management practices to comply with local environmental pollution control standards of general applicability, but need not undertake capital improvements to retrofit such facilities with pollution control measures. See generally DOD Directive 6050.16, and OPNAVINST 5090.1A, paragraph 1-5.18.

b. Vessels, aircraft, and transient units. Operations in areas subject to foreign jurisdiction will be governed by the status of forces agreement or other international agreement with the host government. In the absence of an applicable agreement, Department of the Navy policy is to respect the substantive intent of the host government's environmental regulations as applied to the host government's armed forces.

c. Access by foreign authorities. Requests by foreign authorities for access to bases and shore facilities to monitor compliance with environmental pollution control regulations should be determined in accordance with the applicable international agreement. In the absence of such an agreement, the senior officer present may determine whether approval or denial of such a request is in the best interests of the United States. The U.S. Embassy should be advised of any denial of such a request. See U.S. Navy Regulations, 1990, Articles 0828, 0832, and 1163. Rules concerning U.S. vessels and aircraft are more restrictive: on-board inspections by foreign officials would be contrary to principles of sovereign immunity. See SECNAVINST 6210.2A and U.S. Navy Regulations, 1990, Article 0828.

1007 FOREIGN LITIGATION

a. Department of Justice. The Department of Justice has the primary responsibility for representing the United States in all foreign litigation. This requires timely notice to the Attorney General of legal actions arising out of overseas naval operations. The International Law Division of the Office of the Judge Advocate General maintains close liaison with the Department of Justice, Office of Foreign Litigation.

b. Reports to the Judge Advocate General. Any foreign legal proceedings, including those involving nonappropriated-fund activities, that arise out of U.S. naval operations overseas or are otherwise of substantial interest to the Department of the Navy should be reported to

the Judge Advocate General by the most expeditious means, using message, telephone, or letter. This includes, but is not limited to, any proceeding involving the United States as a party and arising out of naval operations; proceedings against any person subject to military law or any Department of the Navy official or employee in connection with official duties; and proceedings where attachment of U.S. funds or other property is sought. The report should include as much of the following information as possible:

(1) Names of parties to the proceeding.

(2) Nature of the action.

(3) Name of the tribunal where the proceedings have been brought.

(4) Docket number.

(5) Names and positions of persons served, method of service, and dates.

(6) Explanation of U.S. Government's interest in the proceeding.

(7) Deadline for pleadings or other response.

(8) Nature of the principal defense, if known.

(9) Status of any named party as a U.S. Government officer, employee, agent, contractor, nonappropriated-fund activity employee, etc.

(10) Nature of relief sought.

(11) A recommendation as to qualified local attorneys, English-speaking if possible, available for retention to defend the interests of the United States. Normally, the names of such attorneys should be from a list maintained by the U.S. Embassy or Consulate.

(12) Any other information that would provide a full understanding of the case and enable the Government to prepare a defense.

1008 IMMIGRATION AND NATURALIZATION

a. General. Laws governing immigration are set by Congress and are found in the Immigration and Nationality Act and implementing regulations. The INS, an agency of the Department of Justice, administers and enforces U.S. immigration laws.

b. Passports and visas. A passport is a document issued by a person's own country to provide identification necessary to leave and return to that country. By itself, a passport does not give the holder permission to enter another country. State Department Consular offices overseas issue visas to aliens wishing to enter the United States. A visa does not necessarily guarantee entry into the United States. It permits travel to U.S. entry points. U.S. immigration officers at the border determine whether holders of visas are properly documented and otherwise eligible to enter the U.S. and for what period of time. Aliens who are U.S. servicemembers do not need visas to enter the United States. They need only show their military identification and papers.

c. Acquiring citizenship. The Department of the Navy has no authority to grant alien members either citizenship or lawful permanent resident (LPR) status. An alien who has served in the U.S. Armed Forces does not automatically become a citizen.

(1) Citizenship through wartime service. Congress has established special procedures for aliens who serve in the U.S. Armed Forces during wartime. Wartime periods include:

April 6, 1917 to November 11, 1918
September 1, 1939 to December 31, 1946
June 25, 1950 to July 1, 1955

February 28, 1961 to October 15, 1978

Under 8 U.S.C. § 1440, any alien with honorable active service during any part of the above wartime periods has the opportunity to become a citizen:

(a) LPR status is not required (if the member was inducted, enlisted, or reenlisted at any time in the United States, the Panama Canal Zone, or American Samoa).

(b) Residency in the United States is not required.

(c) Residency in a particular jurisdiction is not required. The member may file a petition for naturalization before any competent U.S. court.

(2) Citizenship through immigration. For those who have not served during the designated wartime periods, applying for U.S. citizenship is normally a two-step process.

(a) Step one: acquiring lawful permanent resident status

(i) Obtaining a visa. To become an LPR, an alien must first obtain an immigrant visa. This permits the alien to enter the United States and to remain for a specified period of time. The visa usually takes the form of an imprinted stamp in a passport.

(ii) Note: The spouse, child under age 21, or parent of an adult U.S. citizen is immediately eligible for an immigrant visa and LPR status.

(iii) Visas for other immigrants are subject to quota limitations. These quotas are distributed in categories known as preferences.

For some countries, the waiting list for a quota may be extremely long.

(iv) Adjustment of status. Aliens in the United States who become eligible for permanent residency (for example, by marriage to a U.S. citizen) must adjust their status from nonimmigrant to immigrant. This normally requires travelling back to the country of origin to file a petition at the U.S. Consulate. It is possible to make an exception for aliens who are U.S. members. If the commanding officer cannot spare the member for the travel overseas (or if other compelling reasons exist for a travel exception), contact the Judge Advocate General for assistance.

(b) Step two: naturalization

(i) General rule. After acquiring LPR status, an applicant must reside in the United States continuously for 5 years before filing a petition for naturalization. Residency for the last 6 months must be in the State where the petition is to be filed. Although the applicant may make short visits outside the United States, long or repeated absences may cancel previous periods of residency.

(ii) Members. For a member, gaining LPR status can be difficult. Once the member is an LPR and has served honorably for 3 continuous years, special exemptions apply. He may apply immediately for naturalization, and the petition does not have to be filed in the place of residence. To qualify for these exemptions, the member must file the petition for naturalization while on active duty or within 6 months after discharge. See MILPERSMAN 6210180 and MCO 5802.2A for more information on naturalization of service personnel.

(iii) Spouses of U.S. citizens. As noted above, the spouse of a U.S. citizen is eligible for immediate LPR status. The spouse is then eligible for naturalization after 3 years of marriage. The spouse must have been physically present in the United States for one and a half years during this period, reside at

least 6 months within the State where the petition is to be filed, and be of good moral character.

(iv) LPR spouses of military personnel ordered overseas. The law permits naturalization, without regard to length of residence, of a lawful permanent resident who is about to accompany a U.S. citizen spouse overseas pursuant to official orders. See MILPERSMAN 6210200 and Chapter 3 of NAVMILPERSCOMINST 4650.2A or MCO 5802.2A.

(3) Citizenship through birth. A person born in the United States is entitled to U.S. citizenship, even if the parents are not. A person born outside the United States and its possessions may be entitled to U.S. citizenship, depending on the citizenship of the parents and other factors. If both parents are U.S. citizens, the child is a citizen so long as either parent resided in the United States or its possessions anytime before the child's birth. If only one parent is a citizen, the child is a citizen so long as that parent resided in the United States or its possessions for at least 5 years (2 years occurring after reaching 14 years of age).

d. Marriage. Marriage overseas is governed by service regulations. Any member planning to marry a foreign national must submit an application for permission to marry to the area commander or designated representative. See MILPERSMAN 6210160; BUPERSINST 1752.1; MCO 1752.1C.

(1) Intended spouses receive medical screening and background investigations to ensure eligibility for immigrant visas. Visas may be denied for such reasons as drug trafficking, criminal convictions, contagious diseases, and prostitution.

(2) After obtaining command approval and getting married, the member may petition for an immigrant visa for the spouse at the U.S. Consulate in the country where the spouse resides. Petitions cannot be filed in the United States.

(a) If the member is a U.S. citizen, the spouse's visa can be issued without regard to quota limitations.

(b) If the member is an LPR, a second preference visa may be issued to the spouse upon receiving a numerical quota. Depending on the country of origin, waiting periods for a quota can be lengthy.

(c) If the member is a non-resident alien (no LPR status), the spouse and children may be allowed to enter the United States on a 6 month B-2 visa. Before the B-2 visa expires, the member should apply to INS to change the spouse's or child's status to "indefinite voluntary departure" until the end of the member's service commitment. While in an "indefinite voluntary departure" status, family members should not depart the United States without first obtaining a right to reentry from INS. Although permission to work is not guaranteed, an alien spouse with indefinite voluntary departure status may also request a work permit from INS.

(3) When the visa petition is approved, the alien spouse may travel to the United States.

(4) An alien spouse entering the United States by reason of marriage to a U.S. citizen or LPR is characterized as a "conditional" permanent resident for a 2-year period. Conditional status may be revoked by INS upon finding that the marriage is a fraud. A marriage may be considered fraudulent if:

(a) It was contracted solely for the purpose of gaining immigration benefits;

(b) A fee or other consideration was given for the immigration benefit; or

(c) It is judicially annulled or terminated other than by death of the spouse. After 2 years the couple must jointly file a petition requesting removal of the conditional status and may have to appear at INS for a personal interview.

e. Conclusion. Immigration and naturalization law is ever-changing. For further information and advice, contact:

(1) In the United States, the nearest Immigration and Naturalization Office;

(2) Overseas, the nearest U.S. Consulate;

(3) Worldwide, the nearest Legal Assistance Officer. For headquarters assistance, contact the Legal Assistance Branch, Marine Corps Judge Advocate Division, Bureau of Naval Personnel (PERS-071), or the Office of the Judge Advocate General.

1009 STATUS OF FORCES AGREEMENTS

a. General. Status of Forces Agreements (SOFA) govern the rights, obligations, and privileges of military personnel stationed in foreign countries. The NATO SOFA is generally used as a model. Although the wording of individual SOFA's varies, they are generally uniform in subject matter. Some of the more important provisions cover entry and exit from the host country, customs, respect for local law, taxation, criminal jurisdiction, and claims. Note: Not all U.S. military personnel in country are necessarily covered by the SOFA. For example, military personnel attached to a U.S. embassy are normally afforded diplomatic status.

b. Foreign personnel in the United States. Most SOFA's govern only U.S. personnel stationed overseas. The NATO SOFA is reciprocal, in that it also covers personnel from other NATO countries stationed in the United States. Foreign service personnel in the United States not protected by a SOFA are governed by applicable Federal law and regulations, State law, and working arrangements with the various States. Foreign service personnel serving in the United States are exempt from U.S. income tax of non-U.S. source income. They are also exempt from certain custom duties.

1010 FOREIGN CRIMINAL JURISDICTION

a. General. A sovereign nation has jurisdiction to punish offenses against its laws committed within its borders, but may waive its jurisdiction. Every SOFA includes provisions for the exercise of criminal jurisdiction. Other agreements (e.g., for personnel exchanges, professional military exchanges, and unit exchanges) may also contain criminal jurisdictional provisions. DOD and Department of the Navy policies regarding status of forces and foreign criminal jurisdiction are set out in DODDIR 5525.1 of 9 April 1985 and SECNAVINST 5820.4G.

b. Policy. It is DOD policy to maximize the exercise of U.S. jurisdiction and minimize the exercise of foreign criminal jurisdiction to the extent permissible under the applicable SOFA.

c. Exercise of jurisdiction. While international law generally recognizes the authority of the host state over all persons in its territory, the sending state also has a legitimate need to maintain good order and discipline among the members of its forces. Host states have no direct interest in many offenses, such as those committed on base or where both the victim and offender are members of the U.S. force. To balance the relative interests of the host and sending states, most SOFA's provide for each state to have exclusive jurisdiction over certain classes of offenses and for them to share concurrent jurisdiction over others. In case of

concurrent jurisdiction, the SOFA provides for primary and secondary rights to exercise that jurisdiction, depending upon such factors as the type of offense, whether the offense arose in the performance of official duty, and whether the victim was a fellow member or dependent of the sending state's forces.

d. Waiver of jurisdiction. SOFA's generally include a procedure where one state may waive its right to exercise concurrent jurisdiction if so requested by the other state. In some agreements, this waiver has been institutionalized so that the host state essentially agrees in advance to a blanket waiver, with the right to "recall" its waiver if a specific offense is of "particular importance."

e. Custody. Whenever U.S. military personnel or members of the civilian component or their dependents are apprehended by foreign authorities on criminal charges, every effort should be made to secure their release to U.S. custody pending final resolution of judicial proceedings.

(1) Requests by foreign authorities for delivery of custody of such personnel should be handled in strict compliance with the applicable SOFA. If there is no SOFA, U.S. personnel should not be delivered to foreign authorities pending guidance from the Judge Advocate General.

(2) Personnel in foreign custody, whether prior to or after trial, must be visited on a regular basis in accordance with SECNAVINST 1640.9A (Corrections Manual) and chapter 3 of SECNAVINST 5820.4G. Particular attention should be given to legal assistance, medical care, adequacy of food and clothing, health and comfort, and accountability for personal property. See MILPERSMAN 3849260 or MCO P1900.16D, paragraph 1006.2i, regarding processing of personnel confined in foreign jails for administrative discharge. Such personnel will not be separated until completion of sentence and return to the United States. SECNAVINST 5820.4G, paragraph 3-8.

f. Fees. Under U.S. law, counsel fees, court costs, bail, and other expenses associated with the exercise of foreign criminal jurisdiction over members and members of the civilian component, and their dependents, may be paid by the U.S. Government. Use of U.S. Government funds to pay fines is not authorized. See chapter 2 of SECNAVINST 5820.4G and NAVCOMP MANUAL 046361.

g. Solatia. In certain countries, it is customary to offer a victim or his family a token gift of fruit, flowers, or money for injury, death, or property damage. Depending on the local culture, such token expressions of remorse can affect the resolution of criminal charges. NAVCOMP MANUAL 075146 permits the payment of solatia from operation and maintenance funds under certain circumstances, as determined by the appropriate country commander. Consult the area coordinator or the nearest naval legal service office to determine the propriety of paying solatia from official funds in a particular country.

h. Official duty. Under every SOFA, offenses committed in the performance of official duty are subject to the primary jurisdiction of the United States rather than the host nation. Such cases should be handled in strict compliance with the applicable SOFA.

i. Reporting requirements. The exercise of foreign criminal jurisdiction creates a number of reporting requirements. The most important for the operational unit is the serious incident report described in section X or XI of OPNAVINST 3100.6D. See also MCO 5740.2E, chapter 4 of SECNAVINST 5820.4G, and regulations issued by the cognizant area coordinator.

1011 ENFORCEMENT OF U.S. LAW OVERSEAS

Routine exercise of U.S. jurisdiction over DOD personnel in countries where U.S. personnel are stationed is provided for in the status of forces provisions of agreements with the host government and the Uniform Code of Military Justice. Generally, assistance by DOD personnel to U.S. civilian law enforcement agencies is provided pursuant to DODDIR 5525.5 of 15 January 1986. Outside U.S. jurisdiction, military actions conducted in direct assistance to U.S. civilian law enforcement agencies require the approval of the Secretary of Defense or the Deputy Secretary of Defense who will consider, on a case-by-case basis, requests for exceptions to the policy restrictions against direct assistance by military personnel. Such requests should be sent through the Secretary of the Navy via the Judge Advocate General.

1012 PROPERTY CAPTURED FROM THE ENEMY DURING ARMED CONFLICT

Title to captured enemy public property passes from the government of the enemy. Under U.S. law, it becomes the property of the U.S. Government. Individuals, whether enemy or friendly, acquire only such private rights in captured enemy public property as the laws of the United States provide. See OPNAVINST 3460.7A and MCO 5800.6A. See also Article 103, UCMJ, 10 U.S.C § 903.

1013 NONCOMBATANT EVACUATION OPERATIONS (NEO)

The Secretary of State is responsible for the safe and efficient evacuation of U.S. Government personnel, their dependents, and private U.S. citizens when their lives are endangered by war, civil unrest, or natural disaster. The Secretaries of State and Defense are assigned lead and support responsibilities, respectively. Unified combatant commanders are prepared to support Department of State to conduct NEO's. See DODDIR 5100.51 of 11 October 1966 and FMFM 8-1, chapter 7. See also 22 U.S.C. § 4801 and 3 C.F.R. 585 (1988 compilation), sections 502 and 1301.

1014 ACCEPTANCE OF GIFTS FROM FOREIGN GOVERNMENTS

Under the Constitution and U.S. laws, military personnel and civilian employees of the Department of the Navy may not accept gifts from foreign governments without the consent of the Congress. Congress has consented to the acceptance and personal retention by military personnel and civilian employees of gifts of minimal value only. Procedures for the acceptance of gifts of more than minimal value are contained in DODDIR 1005.13 of 13 October 1988, SECNAVINST 1650.1E, and MCO 4001.2A. See also SECNAVINST 5370.2H.

CHAPTER XI
CUSTOMS REQUIREMENTS - DOMESTIC AND FOREIGN

PART A--GENERAL

1101 SCOPE

1102 INTRODUCTION TO UNITED STATES CUSTOMS

a. General
b. Customs laws
c. Drug laws
d. Export laws
e. Currency reporting
f. Enforcement
g. Abuse prevention and infraction avoidance

PART B--INSPECTION AND REPORTING REQUIREMENTS FOR RETURNING MILITARY VESSELS AND AIRCRAFT

1103 ARRIVAL AND ENTRY OF VESSELS

1104 ARRIVAL AND ENTRY OF AIRCRAFT

PART C--IMPORT DUTY EXEMPTIONS

1105 CUSTOMS DEFINITIONS OF "RESIDENT" AND "NONRESIDENT"

a. Resident
b. Nonresident

1106 ARTICLES ACQUIRED BY RETURNING RESIDENTS

a. Eligibility for exemption
b. Computing time
c. Scope of exemption
d. Family grouping of exemptions

1107 ARTICLES ACCOMPANYING NONRESIDENTS

a. Eligibility for exemption
b. Scope of exemption

1108 HOUSEHOLD GOODS SHIPMENTS

a. Eligibility for exemption
b. Scope of exemption
c. Hardship waivers

1109 SPECIAL EXEMPTION FOR SEA-STORE CIGARETTES

a. Basis for exemption
b. Eligibility for exemption
c. Scope of exemption
d. Enforcement

1110 GIFTS SENT FROM FOREIGN COUNTRIES

a. Eligibility for exemption
b. Scope of exemption
c. Mailing of gifts

PART D--IMPORT/EXPORT RESTRICTIONS

1111 PROHIBITED IMPORT

a. Lottery tickets
b. Narcotics
c. Drug or medicine for causing unlawful abortion
d. Obscene material
e. Printed matter advocating treason or insurrection
f. Counterfeit currency and stamps
g. Arms, ammunition, explosives
h. Switchblade knives
i. Fireworks
j. Wild bird feathers
k. Plants and plant products
l. Drug paraphernalia

1112 RESTRICTED IMPORT ARTICLES

a. Firearms and ammunition
b. Cheese, milk, and dairy products
c. Fruits, vegetables, nuts, plants, and plant products
d. Livestock and meats
e. Poultry
f. Pets
g. Trademarked articles
h. Endangered species

1113 EMBARGOED ARTICLES

a. Foreign assets control regulations
b. Copies of regulations

1114 IMPORTING MOTOR VEHICLES

a. Customs duty exemption
b. Importation requirements
c. Entry procedures

1115 IMPORTING PLEASURE BOATS

a. Customs duty exemption
b. Federal safety standards
c. Entry procedures

1116 IMPORTING PRIVATELY OWNED FIREARMS AND AMMUNITION

a. Federal law
b. Service regulations

1117 IMPORTING ALCOHOLIC BEVERAGES AND TOBACCO

a. Alcoholic beverages and tobacco from Puerto Rico
b. State laws
c. Bulk packages
d. Importation by mail

1118 EXPORT CONTROL REGULATIONS

a. Arms
b. Controls

1119 CURRENCY REPORTING REGULATIONS

a. Mandatory reporting
b. Monetary instruments
c. Penalties

PART E – FOREIGN CUSTOMS

1120 FOREIGN CUSTOMS

a. General
b. NATO SOFA
c. Individual responsibility
d. Transfer of duty-free goods
e. Non-NATO Countries
f. Assistance

THIS PAGE INTENTIONALLY LEFT BLANK

CHAPTER XI

CUSTOMS REQUIREMENTS - DOMESTIC AND FOREIGN

PART A -- GENERAL

1101 SCOPE

This chapter, published with the concurrence of the Commissioner of Customs, provides information on provisions of United States customs laws and regulations commonly encountered by naval personnel, as well as basic information on the international law of customs. U.S. Customs regulations are found in title 19, Code of Federal Regulations. The military customs inspection program is governed by DOD Regulation 5030.49R of 27 May 1977 and the Department of the Army is the lead agency in this area. Within the Department of the Navy, SECNAVINST 5840.6 assigns responsibility for customs inspection programs to the Chief of Naval Operations and the Commandant of the Marine Corps. OPNAVINST 5840.2 promulgates Navy inspection procedures. Customs responsibilities of vessel and aircraft commanders are set out in Article 0860 of U.S. Navy Regulations, 1990, and paragraph 510.14 of OPNAVINST 3120.32B. This chapter is not meant to supersede or alter any of these regulations, but provides information on current duties, exemptions, and restrictions applicable to the movement of goods across United States borders, and general information on international customs law. Many of the provisions described in this chapter are under the direct control of the Commissioner of Customs and may be changed without legislative action. Because of this potential for change, check with the local District Director of Customs (see Appendix A-11-a) or U.S. Consulate before taking major actions relying on this chapter.

1102 INTRODUCTION TO UNITED STATES CUSTOMS

a. General. Since 1789, the U.S. Customs Service has been charged with enforcing laws relating to the importation and exportation of merchandise. In addition to enforcing the "customs laws" (that relate to tariffs and revenue protection), the Customs Service has always enforced all Federal laws at U.S. borders and ports through the presence of Customs Service personnel at the border and the unique border search authority of Customs agents. The "customs territory of the United States" includes the 50 States, the District of Columbia, and Puerto Rico. The other territories and possessions of the United States have their own local customs laws which vary from territory to territory. Today, customs law enforcement jurisdiction falls into four main categories: customs enforcement, drug enforcement, export restriction enforcement, and currency law enforcement.

b. Customs laws. The customs laws, contained in title 19, United States Code, relate to: (1) importation of merchandise (including contraband) and the collection of duties and taxes thereon; (2) entry, clearance, and arrival reports for vessels, vehicles, and aircraft entering the U.S.; (3) prevention and detection of smuggling operations and fraudulent importations, and seizure of merchandise and conveyances involved; (4) excluding prohibited merchandise (e.g., obscene materials); and (5) control of imports subject to quotas and other international agreements. Under the International Emergency Economic Powers Act and the Trading With the Enemy Act, the President may declare embargoes or limit certain activities with respect to foreign countries, that U.S. Customs enforces. These embargoes apply both to imports from and exports to the affected countries.

c. Drug laws. Under the customs laws, contraband, including illegal drugs, is considered "merchandise" and is subject to the same entry and declaration requirements as legitimate merchandise. Customs laws relating

to smuggling, manifesting, and importations contrary to law apply to illegal importations of drugs. Customs officers also enforce the Controlled Substances Import and Export Act at the borders.

d. Export laws. Similar to its responsibility for imported merchandise, the Customs Service enforces Federal export laws. These include the Arms Export Control Act, that deals with the export of munitions and related technology; and the Export Administration Act of 1979, that regulates the export of certain technology from the United States.

e. Currency reporting. Customs enforces two currency and money laundering laws: the Bank Secrecy Act, that requires reports of transportation of more than $10,000.00 in monetary instruments across U.S. borders; and the Money Laundering Control Act of 1986, that covers money laundering related to smuggling offenses, export offenses, narcotics trafficking, and violations of Bank Secrecy Act reporting requirements for international transportation.

f. Enforcement. Because of the national interest in protecting the borders, Customs officers have unique broad search and investigative powers. Customs officers may search persons, conveyances, baggage, cargo, and merchandise entering or leaving the U.S. without a search warrant and without suspicion of criminality. Military personnel, vessels, aircraft, and other vehicles are not exempt from such searches. Also, Customs officers are authorized to stop vehicles and board vessels and aircraft without a warrant to perform customs inquiries and border searches. Any merchandise or vehicle involved in a Customs violation is generally subject to civil forfeiture and may be seized by Customs officers without a warrant. Further, obstruction of a Customs officer in the enforcement of revenue or navigation laws of the United States by a master of a vessel is a criminal offense. Customs offenses by military personnel may be prosecuted either in Federal court or at a court-martial. Penalties are potentially severe. For example, the unlawful importation of tax-free cigarettes is a felony.

g. Abuse prevention and infraction avoidance. Much of the remainder of this chapter is intended to assist commanding officers and aircraft commanders in facilitating the clearance of customs by their vessels or aircraft. In particular, information is provided on duty exemptions and import and export restrictions to assist in preparing declarations and avoiding infractions. Duty-free and tax-free importation of articles of any type and quantity is a privilege that may be lost as a result of abuse. The alcoholic beverage and tobacco allowances and the administrative exemptions for gifts and sea-store cigarettes, for example, exist by grace of the Commissioner of Customs and may be curtailed in case of widespread abuse. Abuse of other exemptions could result in their curtailment by Congress. Commanders should protect these privileges and must, particularly overseas, prevent, detect, and deter abuse of privileges.

(1) Quantity limitations. Quantity limitations may be placed on sales at exchanges and commissaries of alcoholic beverages, tobacco products, and items subject to abuse. Commanding officers shall educate subordinates that sales are regulated to prevent build-up of excessive sea-store cigarettes in the hands of members during deployment. The special exemption described in section 1109 was created in recognition of the impossibility of so closely regulating sales as to ensure that all sea-store cigarettes sold are consumed prior to return to the United States. No further leeway is allowed. In addition to U.S. Customs considerations, such a build-up creates the opportunity for violation of foreign customs laws during port calls.

(2) Educational programs. Educational programs should include the existing exemptions, as well as the possible consequences of abuses, such as forfeiture of the goods involved, penalties, prosecution in Federal court or by court-martial, and possible loss of the privileges for all. Special programs covering local laws are recommended for overseas bases and units. A number of countries exercise little or no foreign exchange or customs control within United States facilities or over United States personnel, relying on the

commander to prevent violations. Because currency transactions prohibited under local law and customs violations can adversely affect relations with the host country, this is a serious responsibility for commanders. Members and their dependents also need special training in connection with household goods shipments back to the United States, particularly regarding the prohibitions on shipping goods as an accommodation for others or for resale, and on shipping goods whose importation is banned. Emphasis should be placed on the responsibility of the member, not the carrier, to ensure that only allowable goods are included in the shipment and that proper declaration is made.

PART B -- INSPECTION AND REPORTING REQUIREMENTS FOR RETURNING MILITARY VESSELS AND AIRCRAFT

1103 ARRIVAL AND ENTRY OF VESSELS

Article 0860 of U.S. Navy Regulations, 1990, requires the commanding officer of a naval ship, or the senior officer of ships in company, returning to the customs territory of the United States from a foreign country, to report arrival to the Customs District Director for the first port of entry. Locations and telephone numbers of Customs District Directors are listed in A-11-a. Commanding officers are required to facilitate United States customs and immigration inspections of the vessel, and must satisfy themselves that proper immigration clearance is obtained for any military or civilian passengers. Notice must be given to military or civilian port authorities of the presence of passengers prior to arrival in port. The commanding officer is also responsible for distribution of customs declaration forms under paragraph 510.14 of OPNAVINST 3120.32B and completing military customs inspection of the vessel prior to arrival under DOD Regulation 5030.49R of 1 September 1980 and OPNAVINST 5840.2. Customs regulations normally impose no additional notification requirements for naval vessels. If, however, a naval vessel is carrying cargo, the commanding officer must file a Cargo Declaration, Customs Form 1302, with the District Director of Customs within 48 hours of arrival (defined as coming to rest, whether at anchor or 6at a dock, in any harbor within the customs territory of the United States). If the vessel is transporting anything other than United States property and passengers traveling on official business of the United States, it must make entry in the same manner as a civilian merchant vessel within 48 hours of arrival. Contact the District Director of Customs for procedures.

1104 ARRIVAL AND ENTRY OF AIRCRAFT

Customs regulations require all aircraft entering the customs territory of the United States to give advance notice of arrival to the Customs District Director at or nearest the place of first landing. The aircraft commander is responsible for making notification by radio, telephone, or other direct means; or through FAA flight notification procedures. Notice must include: (1) type of aircraft and registration number; (2) name of the aircraft commander; (3) place of last foreign departure; (4) place of intended landing; (5) number of alien passengers; (6) number of citizen passengers; and (7) estimated time of arrival. In addition, the aircraft commander is responsible under military regulations for notice, distribution of declarations, and inspections as listed for vessels, above. Military aircraft are normally exempt from Customs entry, but, like vessels, must make entry if carrying anything other than United States property and passengers traveling on official business of the United States. Entry, if required, must be made upon first landing at an airport in the customs territory of the United States.

1105 CUSTOMS DEFINITIONS OF "RESIDENT" AND "NONRESIDENT"

a. Resident. Citizens of the United States, or persons who have formerly resided in the United States, including American citizens who are residents of American Samoa, Guam, or the U.S. Virgin Islands, are considered residents in the absence of satisfactory evidence that a home has been established elsewhere. The wife's residence will be deemed that of the husband in the absence of satisfactory evidence that she has established a separate residence elsewhere. A minor child's residence is presumed to be that of the parents.

b. Nonresident. Any person arriving in the United States who is not a resident as defined in section 1105a will be considered a nonresident. A resident arriving in the United States may be considered a nonresident if not actually returning from abroad. A person who otherwise would be considered a returning resident may claim nonresident status if he intends to remain in the United States only a short time before returning abroad. Members stationed abroad and returning to the United States for a brief leave may find nonresident status to their advantage. See section 1107.

1106 ARTICLES ACQUIRED BY RETURNING RESIDENTS

a. Eligibility for exemption

(1) The resident must be returning from:

(a) The U.S. Virgin Islands, without regard to the length of time the person has remained outside the territorial limits of the United States; or

(b) Mexico without regard to length of time a returning resident has remained outside the territorial limits of the United States; or

(c) Any other place outside the customs territory of the United States after having remained outside the customs territory of the United States for a period of not less than 48 hours. See section 1102a.

(2) The resident must not have claimed an exemption under this section within 30 days immediately preceding this arrival. If such an exemption has been claimed, only $25.00 worth of articles for personal or household use will be exempted.

b. Computing time

(1) 48-hour period. The 48-hour period abroad must be computed exactly. For example, a resident leaving the United States territory at 1330 on 1 June would complete the 48-hour period at 1330 on 3 June.

(2) 30-day period. The 30-day period immediately preceding the resident's return is computed by excluding the day of arrival and counting backward 30 days. Thus, a resident arriving on 28 May would not be entitled to the exemption if he had taken advantage of such exemption on or after the preceding 28 April.

c. Scope of exemption

(1) Articles exempted. Each resident returning to the customs territory of the United States is entitled to an exemption from duty and internal revenue tax on articles for personal or household use that were purchased or otherwise acquired abroad merely as an incident of the journey and accompany the resident on arrival. The exemption also applies to articles not accompanying the resident acquired in American Samoa, Guam, or the U.S. Virgin Islands. This exemption does not apply to articles intended for sale or acquired for the account of another person, with or without compensation for the service rendered, but may include articles intended for use as bona fide gifts. See section

1114 for special rules on importation of motor vehicles.

(2) Value limitations. The aggregate fair retail value in the country of acquisition of such articles shall not exceed $400.00, or in the case of a resident arriving directly or indirectly from American Samoa, Guam, or the U.S. Virgin Islands, $1200.00 of which not more than $400.00 shall have been acquired elsewhere than American Samoa, Guam, or the U.S. Virgin Islands, or $600.00 from a country entitled to the benefits under the Caribbean Basin Initiative (CBI) and $600.00 elsewhere.

(3) Alcoholic beverages. Alcoholic beverages may be included in the exemption of an individual who has attained the age of 21, subject to the following limitations:

(a) One liter in the case of an individual who does not arrive directly or indirectly from American Samoa, Guam, or the U.S. Virgin Islands.

(b) Five liters in the case of an individual who arrives directly or indirectly from American Samoa, Guam, or the U.S. Virgin Islands not more than one liter of which shall have been acquired elsewhere than American Samoa, Guam, or the U.S. Virgin Islands.

(c) Customs will not release alcoholic beverages for use in any State in violation of its laws. Check with the liquor authorities of the State in which the anticipated port of arrival is located.

(4) Cigars and cigarettes. Not more than 200 cigarettes and 100 cigars may be included in the exemption. Subject to this limit, U.S. domestic cigars and cigarettes that were exported under internal revenue laws and regulations without the payment of tax may be included in the exemption. If returning from the U.S. insular possessions (e.g. Guam, Samoa, or the U.S. Virgin Islands), up to 1,000 cigarettes not more than 200 of which had been acquired outside the insular possession.

(5) Flat duty rate. Articles valued at up to $1,000.00 in excess of the exemption are subject to a 10 percent rate of duty based on the fair retail value in the country of acquisition when they accompany the returning resident. The flat rate is five percent for articles acquired in American Samoa, Guam, or the U.S. Virgin Islands. This five percent rate applies whether or not the articles accompany the resident.

d. Family grouping of exemptions. When members of a family residing in one household travel together on their return to the United States, the exemption to which the individual members of the family are entitled may be grouped and allowed without regard to which member is the owner of the articles, except in the case of alcoholic beverages when a member has not attained the age of 21. The flat rate of duty on articles valued at up to $1,000.00 in excess of the exemption may also be grouped. For example, an eligible returning family of four could import up to $1,600.00 worth of duty free articles and an additional $4,000.00 of articles subject to the 10 percent flat duty rate.

1107 ARTICLES ACCOMPANYING NONRESIDENTS

a. Eligibility for exemption. All nonresidents arriving in the United States are eligible for an exemption, subject to the limitations below. See section 1105. A person, who would otherwise be considered a returning resident of the United States, may claim nonresident status if living abroad and entering the United States for a short visit before returning abroad. As a result, military and civilian personnel assigned to extended duty outside the customs territory of the United States, and members of their families, returning to the United States for a short visit, such as for temporary duty, leave, or other personal reasons, with or without orders, may claim customs status either as a returning U.S. resident or as a nonresident. Compare the exemptions described in this section with those in section 1106 to determine which status is most advantageous.

b. Scope of exemption

(1) Articles for personal use. All wearing apparel, articles of personal adornment, toilet articles, and other similar personal effects are exempt. Personal effects include all articles intended and appropriate for the personal use of the nonresident while traveling, such as hunting and fishing equipment, pets etc. The exemption applies only to articles actually owned by the nonresident and in his possession at the time of, or prior to, departure for the United States. Articles so entered must be intended for personal use only and not as a gift or for sale. Articles for personal use may include 50 cigars, or 200 cigarettes, or 2 kilograms of smoking tobacco, and not over 1 liter of alcoholic beverages. The exemption for tobacco products may be applied proportionately; for example, 25 cigars and 100 cigarettes, or 12.5 cigars, 50 cigarettes, and 1 kilogram of smoking tobacco.

(2) Gifts. An arriving nonresident who intends to remain in the United States for not less than 72 hours may claim as free of duty and internal revenue tax articles not over $100.00 in aggregate value which accompany him and are to be disposed of as bona fide gifts. Up to 100 cigars may be included in the gift allowance, but alcoholic beverages and cigarettes may not be included. This exemption is allowed only if the nonresident has not claimed the exemption within the immediately preceding 6 months.

(3) Flat duty rate. Articles for personal or household use, or for use as bona fide gifts valued up to $1,000.00 in excess of the exemption are subject to a flat 10 percent rate of duty based on the fair retail value in the country of acquisition if they accompany the nonresident on arrival. The flat rate is five percent for articles acquired in American Samoa, Guam, or the U.S. Virgin Islands. The five percent rate applies whether or not the articles from American Samoa, Guam, or the U.S. Virgin Islands accompany the nonresident on arrival.

1108 HOUSEHOLD GOODS SHIPMENTS

a. Eligibility for exemption

(1) Persons eligible. This exemption is available to any person in the service of the United States who returns to the United States upon the termination of assignment to extended duty at a post or station outside the customs territory of the United States, or to returning members of his family who have resided with the member at such post or station, or to any person evacuated to the United States under Government orders or instructions, whether in the service of the United States or not. Employees of the American Red Cross, employees of contractors employed by the U.S. Government and military banks, and persons in a comparable category are not considered in the service of the U.S. Government even though they are on duty with the Navy in an overseas area.

(2) Extended duty requirement. Under Customs regulations, the requirement that the person "returns to the United States upon the termination of assignment to extended duty" shall be considered met if the person is:

(a) Returning to the United States upon termination of a tour of duty outside the customs territory of the United States of at least 140 days duration;

(b) Returning to the United States upon termination of an assignment under permanent change of station orders to duty at a post or station outside the customs territory of the United States, regardless of duration;

(c) Returning to the United States upon termination of a tour of duty at any time after leaving the United States for duty of not less than 140 days outside the customs territory of the United States;

(d) Not returning to the United States, but is ordered by the Government agency involved from duty at a post or station outside the customs territory of the United States to duty at another post or station outside the customs territory of the United

States, requiring the return to the United States of his personal and household effects; or

(e) A crewmember, including a member of a command, serving on a U.S. naval vessel or supporting naval vessel when it departs from the United States on an intended deployment of 120 days or more outside the customs territory of the United States and who continues to serve on the vessel until it returns to the United States. Such a crewmember may be considered as returning after the termination of an assignment under permanent change of station orders to duty at a post or station outside the U.S. customs territory, regardless of the duration of the deployment.

(3) Interim returns not included. A person returning on leave, except reemployment leave at the termination of assignment to extended duty as defined above, or otherwise returning before the termination of an assignment to extended duty outside the customs territory of the United States, with or without orders covering the return, is not entitled to this exemption. An individual returning to the United States under orders on a temporary duty assignment at the termination of which he is returned to his duty station abroad to resume regular duties is not regarded as returning to the United States at the termination of an assignment to extended duty outside the customs territory of the United States. An individual returning to the United States pursuant to orders that authorized him initially to proceed to a foreign post or station and return to United States upon termination of temporary duty is not entitled to this exemption except under subparagraph (2), above.

b. Scope of exemption

(1) Articles exempted. This exemption from duty and internal revenue tax applies to personal and household effects of the eligible individuals. It does not apply to articles intended for sale, or imported for the account of any person not entitled to the exemption. Although this does not prohibit the subsequent use of such articles as bona fide gifts, any reimbursement or compensation, even though there is no profit to the importer, will disqualify an article as a bona fide gift. See section 1114 for rules for importation of motor vehicles.

(2) Possession abroad requirement. There is no particular period of use abroad required, but articles not in the possession of the person claiming the exemption while abroad cannot be considered personal and household effects within the meaning of the Customs regulations. The person claiming the exemption must have, at a minimum, been in such proximity to the specific property that immediate control or possession could have occurred upon or subsequent to purchase (e.g., the purchase of an automobile upon inspection of the specific vehicle in the showroom of a dealer). A contingent possibility of possession is insufficient. For example, this requirement is not met where:

(a) The person orders a car that is to be shipped from a factory in another city directly to the United States without being in proximity to the purchaser prior to shipment; or

(b) The person designates a friend or agent to take possession of purchased goods and ship them to the United States;

(3) Alcoholic beverages and tobacco products. A total of not more than 4 liters of alcoholic beverages and not more than 100 cigars may be imported free of duty and internal revenue tax as personal effects, subject to the following additional limitations:

(a) These articles must accompany the person making the claim for free entry upon his arrival in the United States;

(b) Not more than one liter of any such alcoholic beverages shall have been distilled or otherwise manufactured and bottled in any place other than the United States or its possessions;

(c) The individual may not concurrently claim exemption for such items as a returning resident under section 1106, above;

(d) Persons claiming the exemption who are not in the service of the United States must have attained the age of 21 (Customs officials will not release alcoholic beverages for use in any State in violation of its laws); and

(e) Not more than 200 cigarettes may be included in the exemption. Subject to this limit, U.S. domestic cigarettes which were exported under internal revenue laws and regulations without the payment of tax may be included in the exemption.

c. Hardship waivers. In any case in which the limitation on the quantity of alcoholic beverages and tobacco products, or the failure of the person to meet the requirement that he is returning from "extended duty," as defined in section 1108b will cause undue hardship to the person through no fault of that person, but rather because of the nature of the assignment or other hardship circumstances, the Commissioner of Customs, upon receipt of a request from the Department of the Navy, may waive the limitation or the requirement if the Commissioner considers waiver appropriate. Submit requests for waiver to the Judge Advocate General for evaluation and possible submission to the Commissioner.

1109 SPECIAL EXEMPTION FOR SEA-STORE CIGARETTES

a. Basis for exemption. The Commissioner of customs allows an administrative exemption from duty and any internal revenue tax, imposable by reason of importation, for tax-free or sea-store cigarettes.

b. Eligibility for exemption. When a U.S. naval vessel has proceeded beyond the territorial limits of the United States, sea-store cigarettes may be sold to members. There is an administrative exception for limited quantities of sea-store cigarettes when the vessel does not visit a foreign port or other port outside the customs territory of the United States on such a trip, and if the requirements of section 1108b relating to extended duty are not met.

c. Scope of exemption. Under the circumstances described in subparagraph b, above, two opened packs of sea-store cigarettes may be taken ashore within the Customs territory of the United States by a crewmember at any one time for his own personal use without duty or internal revenue tax liability and without customs entry. The total quantity of such cigarettes brought ashore by any member under this exemption after any voyage beyond the territorial limits of the United States shall not exceed 15 packs.

d. Enforcement. Enforcement of the restrictions on landing of sea-store cigarettes to the amounts exempted above is the responsibility of the vessel commanding officer. Additional regulations or more restrictive limitations may be imposed by the commanding officer if deemed necessary to prevent violations.

1110 GIFTS SENT FROM FOREIGN COUNTRIES

a. Eligibility for exemption. Any person in a foreign country is eligible for this exemption.

b. Scope of exemption

(1) Bona fide gift requirement. The articles must be bona fide gifts--given outright without compensation or promise of compensation. Neither articles acquired by purchase, barter, promissory exchange, or similar transaction nor articles given in conjunction with such transactions, such as bonus articles, are eligible.

(2) Value limitations. The total value of all exempt gift shipments received in one day by any donee may not exceed $50.00 or $100.00 for gifts from American Samoa, Guam, or the U.S. Virgin Islands. "Value" is the aggregate fair retail value in the country of shipment.

(3) Exclusion of alcoholic beverages and tobacco products. Alcoholic beverages and tobacco products are not included in this exemption from duty, nor are perfumes con-

taining alcohol if the shipment is valued at more than $5.00.

(4) Transfer. Gift articles may be sent in any manner other than on the person or in accompanied or unaccompanied baggage of the donor or donee.

c. Mailing of gifts. Detailed mailing procedures are in OPNAVINST 5112.6 and U.S. Navy Postal Instructions, chap. 7, sec. 4.

PART D -- IMPORT/EXPORT RESTRICTIONS

1111 PROHIBITED IMPORT ARTICLES

Certain merchandise is absolutely prohibited from entry into the United States. Prohibitions change frequently, and the following list will be quickly outdated. In case of doubt, contact the nearest U.S. Consulate or Customs District Director. See Appendix A-11-a. At the time of writing, the following articles were prohibited from entry:

a. Lottery tickets;

b. Narcotics;

c. Any drug or medicine for causing unlawful abortion;

d. Obscene material;

e. Printed matter advocating treason or insurrection against the United States;

f. Counterfeit currency and stamps, including any color illustration of U.S. stamps;

g. Arms, ammunition, explosives, and implements of war except under license;

h. Switchblade knives (except when imported by a one-armed person for personal use);

i. Fireworks banned under Federal or State law;

j. Wild bird feathers;

k. Certain plants and plant products; and

l. Drug paraphernalia. Drug paraphernalia for customs purposes is any item which is primarily intended or designed for use in manufacturing controlled substances or to facilitate the introduction of a controlled substance into the human body. Drug paraphernalia for customs purposes does not include cigarette papers or pipes or accessories primarily intended for use with tobacco. Importation of drug paraphernalia may result in prosecution in Federal court or by court-martial, as well as forfeiture of the articles.

1112 RESTRICTED IMPORT ARTICLES

Certain merchandise may enter the United States only if it meets the requirements of U.S. laws and regulations. Many of these laws and regulations are administered by agencies other than the Customs Service, although the Customs Service conducts most border enforcement activities. As with prohibited articles, the list of restricted articles changes frequently, and guidance in specific cases should be sought from a U.S. Consulate, Customs District Director, or from the Federal agency which administers the restriction. At the time of writing, restricted merchandise includes:

a. Firearms and ammunition. See section 1116;

b. Cheese, milk, and dairy products;

c. Fruits, vegetables, nuts, plants, and plant products;

d. Livestock and meats;

e. Poultry and poultry products;

f. Pets. The importation of birds, cats, dogs, monkeys, and turtles is subject to the requirements of the U.S. Public Health Service, Center for Disease Control, Quarantine Division, Atlanta, GA 30333, and the Veterinary Service of the Animal and Plant Health Inspection Service, Department of Agriculture, Hyattsville, MD 20732. Pets taken out of the United States and returned are subject to the same requirements as those entering for the first time;

g. Certain trademarked articles acquired abroad. The importation of merchandise of foreign manufacture is prohibited if it bears a mark or name that copies or simulates a trademark or trade name recorded with the Treasury Department. Persons arriving in the U.S. with a trademarked article are allowed an exemption, usually of one article of a type bearing a protected trademark, as long as the article is for personal use and is not for resale. This exemption would apply to an article bearing a counterfeit or confusingly similar trademark as well as an article bearing a genuine trademark. If sold within 1 year of importation, the exempted article or its value is subject to forfeiture. This exemption may be used only once each 30 days by the same person for the same type of merchandise. Greater quantities of trademarked goods may be imported with the written consent of the owner of the protected trademark or trade name. The exemption does not apply to articles mailed to the United States nor to articles imported for resale. A copy of the list of protected items may be obtained from any U.S. Customs office; and

h. Endangered species of fish and wildlife and marine mammals, and products thereof. The importation of these items, scrimshaw, or ivory carvings, is prohibited, with certain exceptions. In most instances, a permit from, certification by, or registration with, the Department of Commerce is required for importation. For further information, contact the U.S. Fish and Wildlife Service, P.O. Box 28006, Washington, D.C. 20005.

1113 EMBARGOED ARTICLES

a. Foreign assets control regulations. The Foreign Assets Control Regulations prohibit unlicensed importation of merchandise of Iranian, North Korean, Vietnamese, or Libyan origin, including articles grown, produced, or manufactured therein. The unlicensed importation of goods of Cuban origin, articles containing Cuban components, and all goods imported from or through Cuba is prohibited. A license for import may be considered unavailable for all practical purposes to military or civilian Government personnel. For items subject to duty, the rate will be considerably higher than the rate applied to goods imported from other countries. Importation from Iraq, Haiti, the Republic of Serbia, and Monte Negro (recognized as Yugoslavia) is prohibited.

b. Copies of regulations. Like the prohibited and restricted lists, the list of embargoed countries changes from time to time. Copies of current Foreign Assets Control Regulations may be obtained from Foreign Assets Control, Department of the Treasury, Washington, D.C. 20220, or from the Foreign Assets Control Division, Federal Reserve Bank, New York, NY 10045.

1114 IMPORTING MOTOR VEHICLES

a. Customs duty exemption. Military and civilian employees of the U.S. Government returning at the end of an assignment to extended duty outside the United States may include a vehicle among their duty-free personal and household effects. See section 1108. The automobile must conform to applicable U.S. safety and air pollution standards, as detailed below.

b. Importation requirements. Motor vehicles and motor vehicle equipment manufactured on or after 1 January 1968 and imported into the United States are subject to Federal motor vehicle safety standards promulgated by the Department of Transportation. In general, a motor vehicle manufactured on or after 1

January 1968 will not be permitted entry into the United States unless it conforms to applicable safety standards in effect at the time the vehicle was manufactured. Additionally, imported automobiles must comply with Federal pollution control standards contained in Environmental Protection Agency regulations. These regulations formerly provided one-time exemptions for importing a vehicle 5 or more model years old, but this exemption was discontinued as of 1 July 1988.

c. Entry procedures. Compliance with applicable safety standards and pollution control standards must be established at the time of entry into the United States. Proper certificates of compliance are required. Vehicles manufactured to U.S. safety and emissions standards will have plates so certifying affixed by the manufacturer. Vehicles which were not manufactured to U.S. safety standards must be entered under bond. Bonds may be up to three times the value of the vehicle. Brokers are often unwilling to post such bonds, and may require the individual to post over half of the bond in cash. Information on safety standards may be requested from: U.S. Department of Transportation, National Highway Traffic Safety Administration, Office of Vehicle Safety Compliance (NEF-32), 400 Seventh Street, SW, Washington, D.C. 20590. Vehicles which were not manufactured to U.S. pollution control standards may be imported only through an importer licensed by the Environmental Protection Agency. Lists of current certificate holders may be obtained from: Investigation/Imports Section (EN-304F), U.S. EPA, Washington, D.C. 20460. Post-1975 vehicles previously exported from the U.S. must have their catalytic converters and/or oxygen sensors reinstalled or replaced upon entry. A bond may be required for the completion of this procedure. Failure to comply with these procedures will result in the refusal of Customs to permit entry of the vehicle into the United States.

1115 IMPORTING PLEASURE BOATS

a. Customs duty exemption. A pleasure boat may be included in the personal and household goods exemption described in section 1108.

b. Federal safety standards. Foreign manufactured non-commercial pleasure boats entering the United States are subject to the Federal Boat Safety Act of 1971 and Coast Guard Safety Regulations. In general, entry is not permitted unless a boat is in compliance with safety standards and compliance is certified, or specified exceptions apply.

c. Entry procedures. Evidence of compliance required for entry generally includes a certificate of compliance affixed to the vessel by the manufacturer or importer. Vessels may enter without certification if:

(1) A declaration is filed that the boat was manufactured before the effective date of the safety standards;

(2) A declaration is filed, with appropriate certification, that the boat has been altered to comply with the standards;

(3) The boat has been exempted from the standards by the Coast Guard previously; or

(4) The importer certifies that the boat will be brought into compliance within 90 days following entry and that the boat will neither be sold nor used prior to compliance. A bond is required.

1116 IMPORTING PRIVATELY OWNED FIREARMS AND AMMUNITION

a. Federal law. The Gun Control Act of 1968 controls the transportation, shipment, receipt, and importation of privately owned firearms and ammunition. The Director, Bureau of Alcohol, Tobacco and Firearms, Department of the Treasury, is responsible for the administration and enforcement of the Act. The Customs Service enforces the import restrictions through clearance of imported firearms and ammunition. Generally, military members may import not more than three nonautomatic long guns (rifles or shotguns) and 1,000 rounds of ammunition therefor,

without presentation of an approved firearm import permit to U.S. Customs. Surplus military firearms of any description are prohibited entry. Firearms and ammunition previously taken out of and returned to the United States by the same person may be released upon presentation to U.S. Customs of adequate proof of prior possession, i.e., bill of sale, household goods inventory showing serial numbers, or prior registration with Customs on Form 4455 or Form 4457.

b. Service regulations. Chapter 10 of DOD Regulation 5030.49R of 1 September 1980 contains detailed instructions implementing the provisions of the Gun Control Act of 1968 and related laws and regulations as they apply to the importation of firearms and ammunition by DOD personnel. The chapter, however, does not apply to the control, registration, or shipment of war trophy firearms, which is governed by OPNAVINST 3460.7A and MCO 5800.6A.

1117 IMPORTING ALCOHOLIC BEVERAGES AND TOBACCO

a. Alcoholic beverages and tobacco from Puerto Rico. Puerto Rico is within the U.S. customs territory. Custom duties, therefore, do not apply to Puerto Rican alcoholic beverages, cigars, and cigarettes brought into the United States. Such articles are, however, subject to a tax equal to the tax imposed on production of like items in the United States. The exemptions detailed in sections 1106, 1107, and 1108 do not apply. The tax is normally collected by customs officers.

b. State laws. State liquor and tobacco taxes apply to imported goods. Further, Customs will not release alcoholic beverages into a State in violation of its laws. Always check the law of the State of the port of entry for restrictions on transportation of alcoholic beverages.

c. Bulk packages. Individuals may not import bulk containers of alcoholic beverages with a capacity of more than 4 liters. Such containers may be released by Customs only to persons with bulk liquor sale licenses.

d. Importation by mail. Importation of alcoholic beverages through the mails is prohibited.

1118 EXPORT CONTROL REGULATIONS

a. Arms. The export of arms and defense articles on the U.S. Munitions List is subject to control and licensing by the Department of State and DOD. See OPNAVINST 4000.36F.

b. Controls. Customs may seize and detain any arms, munitions of war, or other articles being exported or shipped from the U.S. in violation of law. In general, the Customs Service regulates export of arms, critical technology, narcotics, endangered species, and foreign war materials. High technology items which are common consumer goods in the United States are sometimes prohibited from export. Members going overseas should check with Customs before packing out household goods shipments in case of doubt.

1119 CURRENCY REPORTING REGULATIONS

a. Mandatory reporting. There is no limit on the amount of money or monetary instruments which may be brought into or taken out of the United States. If, however, a person transports, attempts to transport, or causes to be transported, more than $10,000.00 in monetary instruments on any occasion into or out of the United States, a report (Customs Form 4790) must be filed with U.S. Customs.

b. Monetary instruments. Monetary instruments include U.S. or foreign coin, currency, travelers checks, money orders, and negotiable instruments, or investment securities in bearer form, but do not include bank checks, travelers checks, or money orders made payable to the order of a named person (other than the bearer) that have not been endorsed or that bear restrictive endorsement.

c. Penalties. Reporting is required under the Currency and Foreign Transaction Reporting Act. Failure to comply can result in civil

and felony criminal penalties and may lead to forfeiture of the monetary instruments.

PART E - FOREIGN CUSTOMS

1120 FOREIGN CUSTOMS

a. General. A nation may tax persons and activities within its territory. For visiting forces, the host nation normally will waive a portion of this power. The applicable status of forces agreement (SOFA) usually specifies what customs provisions will apply.

b. NATO SOFA. The NATO SOFA is often used as a model. A "force" (defined in Article I) may import its equipment and reasonable quantities of provisions, supplies, and other goods for its exclusive use free of duty. Official documents under seal are not subject to customs inspections and official vehicles are not subject to road use taxes. Petroleum, oils, and lubricants for use in official vehicles and equipment of the force may likewise be imported duty free. The visiting force may also operate exchanges and commissaries, fleet post offices, banking facilities, newspapers (such as Stars and Stripes), and morale, welfare, and recreation activities.

c. Individual responsibility. In their individual capacities, members of the force and the civilian component and dependents are generally subject to the customs laws and regulations of the host nation. The NATO SOFA provides some special privileges, however, such as the ability to import private vehicles, household goods, and personal effects duty free, and to export them at the end of tour. Although there may be exceptions in some countries, such privileges usually do not extend to retired personnel and their dependents.

d. Transfer of duty-free goods. Goods imported duty free may not be transferred by sale or gift to persons not authorized duty-free privileges, except as the host country may permit. In most countries, the unauthorized transfer of duty-free goods is a serious criminal offense.

e. Non-NATO countries. SOFA's with many other countries, such as Japan, Korea, and the Philippines, have similar provisions. There are variations, however, and the applicable SOFA must be reviewed in each case.

f. Assistance. U.S. Consulates and military shore detachment teams often will provide U.S. ships and aircraft with local customs information prior to arrival. Awareness of local customs regulations can ensure a smooth start to a successful port call.

APPENDIX: DISTRICT DIRECTORS OF CUSTOMS

Anchorage, AK 99501	(907) 271-4043
Baltimore, MD 21202	(301) 962-2666
Boston, MA 02109	(617) 565-6147
Buffalo, NY 14202	(716) 846-4374
Charleston, SC 29402	(803) 724-4312
Charlotte Amalie; St. Thomas-VI 00801	(809) 774-2530
Chicago, IL 60607	(312) 353-6100
Cleveland, OH 44114	(216) 522-4284
Dallas/Ft. Worth, TX 75261	(214) 574-2170
Detroit, MI 48226	(313) 226-3177
Duluth, MN 55802	(218) 720-5201
El Paso, TX 79985	(915) 534-6799
Great Falls, MT 59401	(406) 453-7631
Honolulu, HI 96806	(808) 541-1725
Houston, TX 77052	(713) 226-2334
Laredo, TX 78041-3130	(512) 726-2267
Los Angeles/Long Beach, CA 90731	(213) 514-6001
Miami, FL 33131	(305) 536-4101
Milwaukee, WI 53202	(414) 291-3924
Minneapolis, MN 55401	(612) 348-1690
Mobile, AL 36601	(205) 690-2106
New Orleans, LA 70130	(504) 589-6353
New York, New York	
New York Seaport Area	(212) 466-5817
Kennedy Airport Area	(718) 917-1542
Newark Area	(201) 645-3760

Nogales, AZ 85621	(602) 287-3637
Norfolk, VA 23510	(804) 441-6546
Ogdensburg, NY 13669	(315) 393-0660
Pembina, ND 58271	(701) 825-6201
Philadelphia, PA 19106	(215) 597-4605
Port Arthur, TX 77642	(409) 724-0087
Portland, ME 04112	(207) 780-3326
Portland, OR 97209	(503) 221-2865
Providence, RI 02903	(401) 528-5080
St. Albans, VT 05478	(802) 524-6527
St. Louis, MO 63105	(314) 425-3134
San Diego, CA 92189	(619) 557-5360
San Francisco, CA 94126	(415) 556-4340
San Juan, PR 00903	(809) 723-2091
Savannah, GA 31401	(912) 944-4256
Seattle, WA 98174	(206) 442-0554
Tampa, FL 33602	(813) 228-2381
Washington, DC 20041 Washington Dulles Intl, Apt., Chantilly, VA 22021	(202) 566-8511
Wilmington, NC 28401	(919) 343-4601

CHAPTER XII
ADMIRALTY CLAIMS

PART A - INTRODUCTION

1201 SCOPE

a. General application
b. Guidance and procedures
c. Notice

1202 ORGANIZATION

a. Secretary of the Navy
b. Judge Advocate General
c. Other organizations

PART B -REPORTING AND INVESTIGATING ADMIRALTY INCIDENTS

1203 ADMIRALTY INCIDENTS

a. Generally
b. Collision
c. Allision
d. Personal injury or death
e. Property damage
f. Swell wash/wake damage
g. Naval maritime target ranges
h. Special services boats and marinas
i. Naval aircraft
j. Salvage
k. Vessel seizures
l. Groundings
m. Significant maritime incidents

1204 INITIAL REPORT OF ADMIRALTY INCIDENT

a. Means of report
b. Initial report
c. Notice

1205 SUBSEQUENT INVESTIGATIVE REPORT

a. Generally
b. Letter report
c. JAG Manual investigation
d. Court of Inquiry
e. Relation to damage survey
f. Release of investigative report

1206 SURVEYS

a. Claim asserted
b. Determination of damage
c. Timeliness
d. Acceptance of survey invitation
e. Notice to the Judge Advocate General

1207 DOCUMENTARY EVIDENCE

a. Original documents
b. Use of documents at trial
c. Photographs and videotapes
d. Logs

1208 COLLISION AND ALLISION CASES

a. Documentary evidence
b. Safeguard records
c. Conflicts of time
d. List of officer and enlisted watchstanders

1209 DOCUMENTING COLLISION DAMAGE AND REPAIR COSTS

a. Elements of naval damages
b. Collision repairs
c. Repair costs
d. Noncollision work
e. Commercial shipyard repairs
f. Detention costs
g. Prompt repairs

1210 PERSONAL INJURY CASES

a. Generally
b. Types of victims
c. Considerations in any investigation
d. Shoreworker injuries
e. General visiting and ship tours
f. Civilian Federal employees

1211 CORRESPONDENCE WITH PRIVATE PARTIES

a. Forward to JAG
b. Naval personnel
c. Admissions of liability

PART C - ADMIRALTY CLAIMS AGAINST THE DEPARTMENT OF THE NAVY

1212 NAVAL LIABILITY

a. Waiver of immunity
b. Suits in Admiralty Act
c. Public Vessels Act
d. Admiralty Jurisdiction Extension Act

1213 AUTHORITY FOR CLAIMS SETTLEMENT

a. SECNAV authority
b. Delegation
c. Settlement

1214 STATUTE OF LIMITATIONS

a. Suits under the Suits in Admiralty Act or the Public Vessels Act
b. Admiralty claims

1215 ADMINISTRATION OF ADMIRALTY CLAIMS

a. Generally
b. Assistance to claimants

1216 ADJUDICATING ADMIRALTY CASES AS FOREIGN CLAIMS

a. Foreign Claims Act
b. Copy to JAG

PART D - AFFIRMATIVE ADMIRALTY CLAIMS

1217 AUTHORITY FOR AFFIRMATIVE CLAIMS SETTLEMENT

a. Generally
b. SECNAV authority
c. Settlement authority
d. Delegation
e. Compromise and settlement

1218 STATUTE OF LIMITATIONS FOR AFFIRMATIVE CLAIMS

1219 AFFIRMATIVE CLAIMS ADMINISTRATION

PART E -MISCELLANEOUS

1220 SALVAGE

a. Claims
b. Salvor
c. Suits for compensation
d. Administrative settlement
e. Offset
f. Finder's reward

1221 TOWAGE AND PILOTAGE

a. Generally
b. Liability

1222 INTRAGOVERNMENT ADMIRALTY INCIDENTS

a. Waiver doctrine
b. Report of incident

1223 FOREIGN GOVERNMENT CLAIMS

a. Report to JAG
b. Jurisdictional process
c. Immunity
d. Waiver agreements
e. Status of Forces Agreements

1224 COAST GUARD AND NATIONAL TRANSPORTATION SAFETY BOARD INVESTIGATIONS

a. Coast Guard investigations of marine casualties
b. National Transportation Safety Board (NTSB) investigations of marine casualties

CHAPTER XII

ADMIRALTY CLAIMS

PART A--INTRODUCTION

1201 SCOPE

a. General application. This chapter applies to admiralty tort claims, including claims against the United States for death, personal injury, or property damage caused by a naval vessel or other property under the jurisdiction of the Department of the Navy, or resulting from a maritime tort committed by any agent or employee of the Department of the Navy, and affirmative claims by the United States for damage to naval property caused by another's vessel or maritime tort. Also, this chapter briefly discusses salvage claims by or against the United States and claims by the Government for towage services rendered to privately owned vessels. This chapter does not apply to admiralty incidents involving only U.S. Government vessels or property. See section 1222.

b. Guidance and procedures. Part B of this chapter provides guidance to commanders on reporting and investigating admiralty incidents. Parts C and D of this chapter discuss procedures for processing admiralty claims by judge advocates involved in admiralty claims adjudication.

c. Notice. Effective handling of admiralty claims depends on immediate notice of any admiralty incident, however trivial, to the Judge Advocate General. See sections 1203 and 1204. Prompt reporting facilitates proper investigation and resolution of admiralty matters, whether the case is settled administratively under the Secretary of the Navy's statutory claims authority or results in litigation.

1202 ORGANIZATION

a. Secretary of the Navy. The Secretary of the Navy has authority for administrative settlement and direct payment of claims for personal injury or property damage caused by naval vessels or other property under the Department of the Navy's jurisdiction, or by a maritime tort committed by an agent or employee of the Department of the Navy, and for towage or salvage services rendered to naval vessels, when the amount paid does not exceed $1,000,000.00 and the matter is not in litigation. 10 U.S.C. § 7622. The Secretary also has authority to settle affirmative admiralty claims for damage to property under the Department of the Navy's jurisdiction caused by a vessel or floating object. 10 U.S.C. § 7623.

b. Judge Advocate General. The Judge Advocate General processes admiralty claims for adjudication by the Secretary of the Navy, or the Secretary's designee, and acts as principal liaison with Department of Justice for admiralty tort cases in litigation. The address of the Judge Advocate General is:

Department of the Navy
Office of the Judge Advocate General
200 Stovall Street
Alexandria, VA 22332-2400

c. Other organizations. Other organizations may process some admiralty claims. Three naval commanders (Deputy Commander in Chief, U.S. Naval Forces, Europe; Commander Sixth Fleet; and Commander Fleet Air, Caribbean) have been delegated limited authority to adjudicate and settle admiralty tort claims against the United States arising in their respective jurisdictions. See section 1213b. Additionally, contract claims arising from operation of chartered vessels, including claims for charter hire, cargo damage, general average, and redelivery repairs, are handled by Office of Counsel, Military Sealift Command. Similarly, claims for damage

caused by Department of the Navy-contract stevedores are under the cognizance of Office of Counsel, Naval Supply Systems Command. However, all tort claims arising from the operation of any naval vessel, including Military Sealift Command (MSC) vessels, are handled by the Judge Advocate General or, as appropriate, one of the three naval commanders above.

PART B - REPORTING AND INVESTIGATING ADMIRALTY INCIDENTS

1203 ADMIRALTY INCIDENTS

a. Generally. Any tort arising, in whole or in part, from the operation of a vessel upon navigable waters is within admiralty jurisdiction, and thus, an admiralty incident. Furthermore, damage occurring ashore caused by a vessel or afloat object usually falls within admiralty jurisdiction, as does damage to certain structures located on navigable waters which traditionally are not thought of as vessels. Paragraphs b through m list common admiralty incidents which often generate admiralty claims or litigation. Whenever one of these incidents occurs, notify the Judge Advocate General immediately. See section 1204. Similarly, if a command receives a complaint, claim, invitation to a survey, or other correspondence alleging such an incident (even if the receiving command believes the complaint or allegation has no basis in fact), notify the Judge Advocate General immediately. If a command is uncertain whether a particular occurrence is an admiralty incident, contact the Judge Advocate General for guidance.

b. Collision. A collision occurs when a moving vessel strikes another moving vessel. See sections 0232, 1208, and 1209 for special considerations when investigating a collision.

c. Allision. An allision occurs when a moving vessel strikes a stationary vessel or structure; for example, a vessel underway strikes a pier, bridge, buoy, or anchored or moored vessel. See sections 0232, 1208, and 1209 for special considerations when investigating an allision.

d. Personal injury or death. Death or personal injury to an individual not an active duty member of the Armed Forces of the United States, occurring on board a naval vessel, on the brow of a naval vessel, or on a boat transporting the individual to or from a naval vessel, is an admiralty incident. All personal injuries or deaths in those circumstances must be reported to the Judge Advocate General despite how the injury occurred, whether there is any Department of the Navy responsibility for the injury, whether the injury appears minor, or whether the injured party stated an intention not to file any claim against the Government. Additionally, death or personal injury occurring ashore or on board another vessel not owned by the United States, and arising, in whole or in part, incident to any aspect of operation of a naval vessel, is an admiralty incident and must be reported. Examples include a person struck by anything thrown or dropped from a naval vessel, a ship's brow rolling over the foot of a person standing on a pier, or an individual sickened by gases, smoke, or fumes from a naval vessel. See section 1210 for special considerations in death or personal injury investigations.

e. Property damage. Any loss, damage, or destruction of property, afloat or ashore, which arises, in whole or in part, incident to the operation of a naval vessel, or damage to naval property caused by a privately owned vessel or floating object, is an admiralty incident. Examples include:

(1) Fishing nets, lines, lobster pots, or other gear in the water, cut or damaged by naval vessels, including amphibious vehicles.

Also, fishing gear damaged or lost by becoming fouled on Department of the Navy submarine cables, underwater naval ship or aircraft wreckage, or naval ordnance.

(2) Automobiles or other property located on a pier damaged by an object thrown or dropped from a naval vessel, or by paint overspray from the vessel, or by smoke, fumes, or chemicals from the vessel.

(3) Air or water pollution damage caused by a vessel or occurring on navigable waters.

(4) Damage or loss of a civilian contractor's property on board a naval vessel.

(5) Significant damage to afloat naval property, including a vessel in dry-dock, from substandard performance by a civilian contractor.

f. Swell wash/wake damage. Civilian personal injury or property damage allegedly resulting from the wake or swell created by a naval vessel is an admiralty incident. Property damage includes damage to other vessels, shore structures, oyster beds, or clam flats. Similarly, damage to naval property from the wake or swell from a privately owned vessel is an admiralty incident.

g. Naval maritime target ranges. Civilian personal injury or property damage allegedly resulting from maintenance or use of a naval maritime target range is an admiralty incident.

h. Special services boats and marinas. Civilian personal injury or property damage allegedly resulting from use of special services rental boats, or damage to privately owned vessels moored at special services marinas allegedly resulting from Government negligence, is an admiralty incident. A waiver of liability, signed as consideration to use a rental boat or for permission to moor a privately owned boat at a marina, does not obviate reporting the incident to the Judge Advocate General.

i. Naval aircraft. Civilian personal injury or property damage caused by naval aircraft on or over navigable waters is an admiralty incident. Examples include a minesweeping helicopter cutting fishing gear, and debris or ordnance falling from an aircraft and damaging a civilian boat or injuring its passengers.

j. Salvage. Salvage of any naval property by a civilian from navigable waters and salvage of civilian property by a naval unit are admiralty incidents.

k. Vessel seizures. A naval unit's seizure of any civilian vessel is an admiralty incident. An example is seizing a civilian boat during a drug interdiction operation.

l. Groundings. The grounding of a naval vessel is an admiralty incident. See chapter II for special considerations when investigating a grounding.

m. Significant maritime incidents. Proximity of a naval vessel to any significant maritime incident should be reported to the Judge Advocate General because the United States, even if not directly involved, is often joined in litigation arising from these events. Examples include witnessing the loss or damage of a civilian merchant vessel, or the rescue at sea of survivors from a sunken or disabled vessel.

1204 INITIAL REPORT OF ADMIRALTY INCIDENT

a. Means of report. Every admiralty incident must be reported immediately by telephone ((202) 325-9744, AUTOVON 221-9744) or message (NAVY JAG ALEXANDRIA VA//31//) to the Judge Advocate General. This initial report is in addition to other reports required by higher authority and may be accomplished by making NAVY JAG ALEXANDRIA VA//31// an information addressee on a message report required by other directives (example: an OPREP 3 message).

b. Initial report. The initial report of an admiralty incident should include all information and detail available at the time of the report. Normally, an initial report includes date, time, and place of incident, a brief description of the incident and any resulting injury or damage, and identification of the parties involved in the incident (naval vessel, aircraft, or unit; civilian vessel, individual, or organization).

c. Notice. Immediate notice enables an admiralty attorney to examine the admiralty claims considerations of a particular case at an early stage. Liability may not be apparent to the naval command considering the operational, administrative, or disciplinary features of a case. The admiralty attorney provides advice on admiralty issues and assists in preparing the investigation considering a potential claim or civil lawsuit. Also, admiralty claims and litigation practice requires action soon after the event. Common examples include: engaging the services of an independent marine surveyor for attendance at a formal joint survey of damages (see section 1206); developing detention data on a naval vessel to be repaired; and ensuring segregation of repair work orders and cost data for an admiralty incident from other work, not arising from the admiralty incident, accomplished during a repair period for the convenience of the Department of the Navy.

1205 SUBSEQUENT INVESTIGATIVE REPORT

a. Generally. The initial report of an admiralty incident, discussed in section 1204, must be supplemented as soon as practical by a written investigative report of the facts and circumstances of the incident, including documents, witness statements or interview summaries, photographs, diagrams, and other data as required. Because this report is prepared in contemplation of a claim or litigation, the assigned admiralty attorney will advise and assist the investigating officer in preparing the report, and normally will request particular items as enclosures. This written investigative report will be either a JAG Manual investigation, as defined in Chapter II of this manual, or a letter report as set forth in this section. For most admiralty incidents, a letter report is appropriate to explain the facts of an incident and transmit relevant materials for claims adjudication. A JAG Manual investigation is used in serious cases where, in addition to civil liability issues, there are operational, organizational, or management issues, which a convening authority in his discretion may wish to examine.

b. Letter report. The letter report is a convenient reporting method that is less time consuming than a JAG Manual investigation. The precise form of a letter report is less important than the requirement that the circumstances of an incident be completely and promptly explained. The letter report usually consists of a letter from the command principally involved in an admiralty incident, addressed to Judge Advocate General, with the facts of the case in narrative form. It includes witness statements or interview summaries, copies of documents, photographs, or other items which provide the basis for the factual narrative in the letter as enclosures.

c. JAG Manual investigation. For some admiralty incidents, a convening authority orders an administrative fact-finding body, known as a JAG Manual investigation. These investigations usually do not require a hearing. A serious casualty may be the subject of a court of inquiry or board of investigation where a hearing is required. See Chapter II. The Judge Advocate General will assist the investigating officer or panel to include information needed for potential claims or litigation which may arise from the incident. An advance copy of every JAG Manual investigation of an admiralty incident should be forwarded to the Judge Advocate General as soon as available. Delays in receiving an investigative report may prejudice the compromise of claims. Provide copies of endorsements on the JAG Manual investigation to the Judge Advocate General as the investigation is forwarded through the chain of command.

d. Court of Inquiry. The following additional considerations are relevant in admiralty cases involving courts of inquiry.

(1) When investigating collisions or allisions with civilian vessels, personnel of the privately owned vessel will not be designated parties to the investigation or accorded such rights. They may, however, be invited to appear as witnesses with counsel while testifying. Such invitations are usually declined on advice of counsel. If invitees elect to appear, neither those individuals nor their counsel may be present when other witnesses are testifying.

(2) Witnesses from a privately owned vessel testifying before a naval investigation should be furnished a copy of their testimony as a matter of written record, and the witnesses should be requested to inform the investigating officer or convening authority of any errors in the transcript. This increases the value of the record for its possible effectiveness for impeachment in later litigation. Opposing interests are not furnished a copy of the investigation report or any information on the testimony of naval witnesses.

(3) In a court of inquiry, it usually is not advisable to subpoena witnesses from the private vessel involved in a collision with a naval vessel because the record of the naval inquiry would then be discoverable.

(4) If submission of the investigation report will be significantly delayed, an advance copy of the transcribed testimony at the investigation should be forwarded to the Judge Advocate General.

e. Relation to damage survey. A formal joint survey of damages, described in section 1206, is not a substitute for a command's investigative report of an admiralty incident.

f. Release of investigative report. No command, other than the Office of the Judge Advocate General, may release the investigative report of an admiralty incident, or any portion, to a potential claimant, an attorney purporting to represent a claimant, or any other private person or organization. SECNAVINST 5720.42D. All requests for investigative reports shall be forwarded to the Judge Advocate General for action. See section 1211.

1206 SURVEYS

a. Claim asserted. When a claim for damage to property arising from an admiralty incident is asserted, the party contemplating such a claim usually invites the allegedly responsible party or parties to a formal joint survey of the damage. A survey minimizes subsequent disputes on the nature and extent of damage attributable to a particular incident, and provides a reliable estimate of the cost of repairs. If a claim is not settled administratively, the survey report can eliminate questions of proof during litigation. Failure to give opposing interests an opportunity to survey damage allegedly resulting from an admiralty incident places a heavy burden of proof on the party later seeking to establish such damage at trial. In most admiralty cases with substantial damage, whether involving potential claims by or against the United States, a joint survey of the damage will be desired.

b. Determination of damage. The survey is the formal, technical, joint survey held by representatives of the two (or more) parties involved. It is not an ex parte appraisal, as is used in the Department of the Navy's internal investigation of an incident or with the disposal of worn or damaged naval material. Nor should a joint survey of damage be confused with the survey conducted on civilian vessels by representatives of marine underwriters following damage incidents. Rather, for a formal joint survey of damage, each party normally appoints its own surveyor who, with the other surveyor(s), examines the damage and attempts to reach agreement on the extent of damage from the casualty. The survey report lists items of damage and recommended repairs. When all parties agree, the surveyors sign the report to record their concurrence; surveyors normally sign without prejudice as to liability. If there is disagreement, disputed points are

specifically noted. No surveyor subscribes to any statement in the survey report when he disagrees.

c. Timeliness. Surveys should be held as soon after the casualty as possible. See section 1204. The Department of the Navy's survey is accomplished under a contract between the Department of the Navy and a commercial marine damage survey firm. Survey services are also provided to the Army and Air Force under such contract.

d. Acceptance of survey invitation. Only the Judge Advocate General may accept survey invitations from potential claimants, extend survey invitations to persons allegedly responsible for damaging naval property, and request representation by a marine surveyor at the survey.

e. Notice to the Judge Advocate General. If any naval activity receives an invitation to attend a survey of damage, the Judge Advocate General must be notified immediately by telephone or priority message to permit a timely response.

1207 DOCUMENTARY EVIDENCE

a. Original documents. The Government's position may be materially prejudiced if an original document is not available at trial. No apparently relevant original document should be destroyed or discarded without the prior approval of the Judge Advocate General. Photocopies of pertinent official documents are acceptable for investigative reports under section 1205; however, original logs, rough statements, chronologies, and other documents must be segregated and safeguarded for possible future use at a trial. Because a trial may occur years after the incident, the custodian must ensure the materials are not inadvertently discarded by persons unfamiliar with the admiralty incident and the reasons for preserving the documents.

b. Use of documents at trial. Although originals are required at trial, the original is produced for inspection only and does not become part of the court record. The court attaches a copy to the record of trial and returns the original to the Judge Advocate General for forwarding to the appropriate command.

c. Photographs and videotapes. Photographs and videotapes can be valuable enclosures to admiralty investigations, especially when taken near in time to the incident. They illustrate property damage, angle of collision, size and condition of equipment, and physical layout of a space where an injury occurs. Commands may use official photographers or other persons to take photographs. Record on the reverse side of each photograph: the hour and date it was taken; a brief description of the location or area photographed; the full name, rank or rate, and Social Security number of the photographer; and full names and addresses of persons present when the photograph was taken. Similar information should be on a label affixed to a videotape. This information is important so photographs or videotapes can be authenticated and identified by witnesses during litigation. Photographic negatives should be segregated and safeguarded for possible future use.

d. Logs. No erasures should be made in a logbook or original navigation record. Make corrections by lining through the original so that it is still legible and inserting the correction. The person making the change should initial the original entry and correction.

1208 COLLISION AND ALLISION CASES

a. Documentary evidence. The ship's crew should gather and safeguard documentary evidence immediately after any collision or allision involving a naval vessel. Not all original logs and records listed below are relevant in every case; for example, some contain no information of value for a minor allision with a pier or other shore structure.

The following are among the original records which normally must be preserved for the investigative report of the incident:

(1) Deck log;

(2) Bell book;

(3) Engineering log;

(4) Chart in use (do not erase markings once a collision or allision has occurred);

(5) Bearing book;

(6) Magnetic compass record;

(7) Deviation data, azimuth records, and course recorder records (to include SINS printout if installed;

(8) CIC log(s);

(9) Radar log(s);

(10) DRT plot (should be annotated with the DRT operator's name and scale used for the plot);

(11) Bridge and CIC maneuvering board worksheets (signed and dated by the individual whose work is reflected);

(12) Photographs of bridge and CIC status boards (if possible, should be done immediately after the incident so the boards show data at time of incident);

(13) Radar plot;

(14) Communication and signal logs;

(15) Bridge and CIC voice radio logs;

(16) All messages on the incident (classified and unclassified, from every net, whether transmitted or received);

(17) Bridge, CIC, and engineering standing orders, and night orders;

(18) Fathometer record;

(19) Any audio or video tapes that recorded any aspect of the incident;

(20) Damage control reports;

(21) Records on training and qualifications of individual watchstanders on the bridge, in CIC, and in the engine room;

b. Safeguard records. To preserve all records of first entry, collect and safeguard rough logs, notebooks, and individual sheets of paper containing navigational or other data later recorded in a smooth log, noting who recorded the particular information.

c. Conflicts of time. Conflicts between times of entries in various logs often cause difficulty in litigation. Comparisons of the clocks in the bridge, CIC, engine room, radio room, etc., should be recorded as soon as possible after a collision or allision.

d. List of officer and enlisted watchstanders. Completely list all officer and enlisted watchstanders on the bridge (including lookouts), signal bridge, CIC, and engine room at the time of the incident, as soon as possible after the incident. The identity of any other person who was in CIC, on the bridge, or otherwise topside when a collision or allision occurred, also should be noted. This list shall contain the full name, rank/rate, Social Security number, and watchstation of each individual.

1209 DOCUMENTING COLLISION DAMAGE AND REPAIR COSTS

a. Elements of naval damages. In almost all collisions where the other vessel is at least partially at fault, the United States will assert a claim against that vessel for the costs incurred in repairing the naval ship. Establishing the value of the Department of the Navy's damage claim is often extremely

difficult. The claim arising from a collision or allision may include the cost of:

(1) Temporary and permanent hul repairs;

(2) Dry-docking;

(3 Lost or damaged equipment, stores, provisions, fuel, and ammunition;

(4) Off-loading and reloading fuel and ammunition;

(5) Towage and pilotage;

(6) Personnel claims paid to crewmembers who suffered personal property losses due to the collision;

(7) Survey fees;

(8) Detention; and

(9) Emergency assistance by other naval commands to the naval vessel involved.

b. Collision repairs. Collision repair specifications should concur with the findings and recommendations in the joint survey report. If significant additional damage not covered by the original survey is discovered during repairs, the Judge Advocate General should be notified immediately so opposing interests may be contacted for a chance to survey newly discovered damage.

c. Repair costs. The Naval Sea Systems Command directs its field activities to maintain separate and exact records of collision repair costs and to expedite the furnishing of data to judge advocates preparing damage statements. Usually, original repair specifications, job orders, time and material cards, dry-docking report, and departure report are needed for damage statements. Coordination with the repair activity is necessary. The vessel's logs must contain entries establishing the specific time the collision repairs were commenced and completed. A departure report must be checked to confirm that its data is consistent with other repair documents and that there is a proper allocation of costs between collision and noncollision items, as reflected by the job orders.

d. Noncollision work. All noncollision work must be covered by separate job orders to eliminate including noncollision work in the collision repair costs.

e. Commercial shipyard repairs. When naval vessels will be repaired in commercial yards rather than naval shipyards, invitations to bid are issued to commercial shipyards and the contract is awarded to the low bidder. The collision repair specifications should be based on the surveyor's findings and recommendations. The shipyard's bill or invoice and proof of Department of the Navy payment shows repair costs for those items performed by the commercial shipyard. As with repairs done by a naval shipyard, noncollision work should be covered by separate specifications, job orders, bids, and invoices.

f. Detention costs. When a commercial vessel must be withdrawn from service because of collision damage, her owner may recover the vessel's loss of earnings and reasonable expenses incurred during the repair period. This loss of earnings rule does not apply to naval vessels since they do not carry passengers or cargo for profit.

(1) When a collision causes the unexpected loss of use of a naval vessel, however, the Government may recover the operating and maintenance costs of the ship for the period the Department of the Navy was deprived of the vessel's normal service. Detention is not legally recoverable when a vessel would have otherwise been out of service, such as for periodic overhaul or prospective inactivation. Detention includes out-of-pocket expenses for the repair period, particularly--

(a) Pay and allowances of officers and crew;

(b) *Subsistence of crew;*

(c) Fuel and lube oil consumed; and

(d) *Supplies and stores* consumed.

(2) To support a detention claim, the Department of the Navy's damage statement includes documentary evidence showing the exact subsistence, wages, and other expenses of the vessel. Affidavits from the cognizant supply, disbursing, and engineering officers stating that the original ship's records (that must be preserved) disclose such expenditures will support the claim. The Judge Advocate General will provide advice and assistance on preparing affidavits and other documentation in support of a detention claim.

g. Prompt repairs. Collision repairs to a naval vessel should be made as expeditiously as practical, especially when a detention claim is being presented by the Government. A short repair period avoids the "skeleton crew doctrine," where the Department of the Navy would recover as detention costs only the pay, allowances, and subsistence for a skeleton crew, rather than the full complement of members, when an extended repair period was involved.

1210 PERSONAL INJURY CASES

a. Generally. Any shipboard death or injury to an individual not a member of the armed forces of the United States is an admiralty incident. See section 1203d. This section applies to injuries to persons ascending or descending a brow, gangway, or accommodation ladder, or to injuries to persons on a pier or on another vessel as a result of events taking place on board the naval ship. Notify the Judge Advocate General immediately of such accidents so the incident is investigated as required by sections 1203 through 1205.

b. Types of victims. Generally, the injured party fits into one of two broad categories: "shoreworker" (a person on board the naval vessel to accomplish work under contract between the Department of the Navy and civilian firm); and "ship's visitor" (a person on board the naval vessel for any other reason, including general visitors, special tour guests, salesmen, and individual crewmember guests).

c. Considerations in any investigation. When investigating any personal injury or death case, consider:

(1) Logs. All shipboard injuries to persons not members of ship's company should be recorded in the ship's deck log. The occurrence may be mentioned in other logs, such as the engineering log when the incident occurs in an engineering space, or in the medical log if care is rendered by the medical department. All logs which might possibly contain an entry about the incident should be inspected by the investigating officer, and photocopies of each log containing a relevant entry should be included in the investigative report. When copying a log, copy the entire day's log, not just the page containing the relevant entry. If no entries on an injury are found in any log, it may indicate the victim was not hurt seriously enough to report the injury to the OOD or to request immediate medical assistance. Clearly identify logs reviewed and indicate that no entry was found on the alleged occurrence.

(2) Witnesses. Clearly identify all naval and civilian witnesses to the accident. Identify all persons in the space at the time of an accident, even if they claim not to have seen or heard anything. For naval personnel, include the member's full name, rank/rate, and Social Security number. For civilians, include the person's full name, home address, and telephone number. If the person is a civilian shoreworker, also include his badge number, employer, and shop where the person is employed. It is also useful to identify the ship's personnel normally in charge of the particular space (division officer, LPO, DCPO) so they may be contacted to comment on the space's cleanliness, upkeep, and general repair.

(3) Witness statements. The investigating officer should prepare a summary of the interview with the witness, rather than having the witness write, sign, or adopt a statement. Many civilian shoreworkers may be reluctant to prepare or sign a written statement, especially when one of their fellow workers is involved. Frequently they will provide a statement to their employer, which the investigating officer may obtain by requesting a copy of the employer's accident report. If an apparent witness declines to provide any information, it is extremely important to obtain the precise identifying data mentioned in the preceding paragraph.

(4) Inspection of the accident site. A claim or suit by an injured shoreworker or visitor is based on a contention that the ship was negligently maintained or operated. A post-accident inspection can be corroborated by evidence of other inspections (zone, safety, or health and comfort) closely preceding the incident. Evidence that qualified personnel (DCPO, LPO, division officer, safety officer, or investigating officer) carefully inspected a site immediately following an accident and found the area free from defects is especially important when there is no eyewitness to the injury. The post-accident inspection should focus on conditions likely to have contributed to the particular incident; for example, if the victim was injured in a fall, the inspection should include the quality of the footing (Was the deck or ladder wet or greasy? Were the ladder treads worn?), lighting in the space, and existence of structural conditions and protuberances that might cause an individual to fall. Similarly, if the injury resulted from the failure or giving-way of any of the vessel's gear or equipment, a careful examination to discover the cause of the failure should be made, and, if feasible, the gear should be carefully preserved. Whenever possible, a post-accident inspection should include photographs of the accident location (or gear involved) before any changes are made after the incident. See section 1207c. Furthermore, if a defective condition is uncovered, the inspector should attempt to determine how long the condition has been in existence, who (individual and employer) created the condition, and, if created by someone other than a United States employee, whether any crewmembers learned of the defective condition prior to the accident. Finally, PMS records for a space or piece of equipment should be consulted and retained when a defective condition is found.

(5) Medical records. Include copies of all naval medical records of treatment by naval personnel in an investigative report of a death or injury. The investigating officer should not delay an investigation to obtain detailed medical records from a civilian hospital, physician, or the injured party. The investigating officer should determine the general nature of the victim's injuries from reports and records readily available to the Department of the Navy.

d. Shoreworker injuries. For a shoreworker injury investigation, an accident report and/or an employer's report of injury may be obtained from the injured worker's employer, the shipyard safety office, or the cognizant office of the Supervisor of Shipbuilding, Conversion and Repair, USN (SUPSHIP).

e. General visiting and ship tours. In addition to paragraph c of this section, investigative reports of an injury occurring during general visiting or tours of the ship should comment on warnings given to visitors (conspicuous signs, printed warnings on brochures provided, and verbal warnings by a tour guide), and presence of crewmembers on the tour route to assist visitors and correct any hazardous conditions noted.

f. Civilian Federal employees. If a civilian Federal employee died or was injured in the course of employment in an admiralty incident, report it immediately to the Judge Advocate General. The Federal Employees Compensation Act (FECA), is the sole means of redress against the United States for such individuals. 5 U.S.C. §§ 8101-8193. Accordingly, investigative responsibilities for these cases will be streamlined and the Judge Advocate General will provide guidance. If

the victim is injured outside the course of employment, FECA does not apply and the case is investigated as any other personal injury or death case.

1211 CORRESPONDENCE WITH PRIVATE PARTIES

a. Forward to JAG. All correspondence received by a command on an admiralty incident, especially that from a claimant or an attorney purporting to represent a claimant, shall be forwarded expeditiously to the Judge Advocate General for reply. Under SECNAVINST 5820.8 and SECNAVINST 5720.42D, the Judge Advocate General is responsible for processing requests for Department of the Navy records, for access to Department of the Navy property and information, or for interviews of naval personnel in admiralty matters. These requests often precede claims or lawsuits against the United States.

b. Naval personnel. All naval personnel contacted by a claimant, or by a claimant's attorney on an admiralty incident, should not give a statement or make any admissions which might prejudice the Government's case. Rather, the member should report the contact to the commanding officer, who will inform the Judge Advocate General.

c. Admission of liability. Naval personnel shall not advise a claimant to forward a repair bill so the Department of the Navy can "take care of it." This advice may mislead the claimant and serve as a later charge the Department of the Navy admitted liability. Similarly, avoid any informal, off the record assurances of probable recognition of a claim.

PART C - ADMIRALTY CLAIMS AGAINST THE DEPARTMENT OF THE NAVY

1212 NAVAL LIABILITY

a. Waiver of immunity. The United States waived immunity and consented to suits arising from admiralty incidents under the Suits in Admiralty Act, 46 U.S.C. App. §§ 741-752, and the Public Vessels Act, 46 U.S.C. App. §§ 781-790.

b. Suits in Admiralty Act. The Suits in Admiralty Act provides that, whenever a suit in admiralty can be brought against a private party or vessel, a suit can be brought against the United States in like circumstances. The law specifies that a Government vessel or cargo shall not be subject to arrest or seizure; rather, a complaint in personam shall be brought against the United States in Federal district court for the district in which plaintiffs (or any one of them) reside or have their principal place of business, or in which the vessel or cargo charged with liability is found.

c. Public Vessels Act. All naval vessels are public vessels and litigation for damages caused by such vessels must proceed under the Public Vessels Act. The Act allows a complaint in personam against the United States in the Federal district court for the district in which the public vessel is located at the time of the filing of the complaint. If the public vessel is outside the territorial waters of the United States, then suit may be brought in the district in which the plaintiffs (or any one of them) reside or have an office or business, or, if none of the plaintiffs reside or have a business or office in the United States, then in any district court. Although the Public Vessels Act is primarily a tort statute, it allows suits arising from maritime contracts, including suits for towage and salvage services rendered to a public vessel, to be brought against the Government.

d. Admiralty Jurisdiction Extension Act. While admiralty jurisdiction in the United States originally did not extend to damage caused by a vessel to a land structure, such as a pier or wharf, the Admiralty Jurisdiction Extension Act, 46 U.S.C. App. § 740, may

make the United States liable under the Suits in Admiralty Act or the Public Vessels Act whether the damage occurs on navigable waters or on land.

1213 AUTHORITY FOR CLAIMS SETTLEMENT

a. SECNAV authority. The Secretary of the Navy has authority to settle, compromise, and pay claims up to $1,000,000.00 for: (1) damage caused by a vessel in the naval service or by other property under the jurisdiction of the Department of the Navy; (2) compensation for towage and salvage service, including contract salvage, rendered to a vessel in the naval service or to other property under the jurisdiction of the Department of the Navy; or (3) damage caused by a maritime tort committed by any agent or employee of the Department of the Navy or by property under the jurisdiction of the Department of the Navy. 10 U.S.C. § 7622. A claim settled for an amount over $1,000,000.00 must be certified to Congress. Regulations on the Secretary's settlement authority are found at 32 C.F.R. part 752.

b. Delegation. The Secretary of the Navy may delegate settlement authority when the amount to be paid is not over $100,000.00. 10 U.S.C. § 7622. Under that authority, the following have settlement authority within the limits specified:

(1) The Judge Advocate General, the Deputy Judge Advocate General, the Assistant Judge Advocate General (General Law), and the Deputy Assistant Judge Advocate General (Admiralty), payment not to exceed $100,000.00 per claim;

(2) Deputy Commander in Chief, U.S. Naval Forces, Europe; and Commander Sixth Fleet, payment not to exceed $10,000.00 per claim for claims within the jurisdiction of their respective commands; and

(3) Commander Fleet Air, Caribbean, payment not to exceed $3,000.00 per claim for loss, damage, or destruction of fishing equipment adjacent to Culebra Island and Vieques Island, Puerto Rico.

c. Settlement. Settlement is final when the claimant accepts payment.

1214 STATUTE OF LIMITATIONS

a. Suits under the Suits in Admiralty Act or the Public Vessels Act. For the court to have jurisdiction under the Suits in Admiralty Act or the Public Vessels Act, suit must be filed within 2 years after the incident on which the cause of action is based. This limitation cannot be waived administratively, nor is the statute of limitations tolled by filing a claim with the Government.

b. Admiralty claims. The 2 year statute of limitations also applies to the Secretary of the Navy's settlement authority for admiralty claims filed against the United States. A settlement and written approval of the Secretary or designee must be concluded before the end of the 2 year period or the claimant must file suit under the appropriate statute. A statement describing the Secretary's settlement authority and this limitation is usually included in the initial correspondence from the Judge Advocate General to a claimant or claimant's counsel to avoid future assertions that he was misled.

1215 ADMINISTRATION OF ADMIRALTY CLAIMS

a. Generally. It is the Department of the Navy's policy to settle admiralty claims fairly and promptly when legal liability exists. administrative settlement of admiralty claims eliminates the expense and delay of litigation while obtaining a result advantageous to the financial interests of the United States. Litigation is likely when settlement cannot be arranged.

b. Assistance to claimants. Refer claimants or potential claimants inquiring about rights or procedures to the Judge Advocate General or other appropriate adjudicating authority listed in section 1213b. The

cognizant admiralty attorney will advise the individual how to present a claim, the address the notice of claim should be mailed to, and what, if any, evidence is required. An officer or employee of the Government cannot act as agent or attorney for another in the prosecution of any claim against the United States. 18 U.S.C. § 205. See chapter VII for requests for legal assistance with claims against the United States.

1216 ADJUDICATING ADMIRALTY CASES AS FOREIGN CLAIMS

a. Foreign Claims Act. Admiralty claims arising in foreign countries may be adjudicated under the Foreign Claims Act. 10 U.S.C. § 2734. As indicated in chapter VIII, such claims are not handled as foreign claims without the Judge Advocate General's prior authorization.

b. Copy to JAG. If permission is granted for an admiralty claim to be adjudicated under foreign claims regulations, the Judge Advocate General shall be provided a copy of the Foreign Claims Commission proceedings and, if an award is made to claimant, with a copy of the executed release.

PART D - AFFIRMATIVE ADMIRALTY CLAIMS

1217 AUTHORITY FOR AFFIRMATIVE CLAIMS SETTLEMENT

a. Generally. The United States may pursue affirmative admiralty claims for most admiralty incidents and affirmative salvage claims. 10 U.S.C. § 7623 and 10 U.S.C. § 7365. See also 32 C.F.R. part 752.

b. SECNAV authority. The Secretary of the Navy has authority to settle, compromise, and receive payment for claims by the United States for damage to any property under the jurisdiction of the Department of the Navy, if the damage was caused by a vessel or floating object, or is otherwise within admiralty jurisdiction. 10 U.S.C. § 7623. The Secretary also has settlement authority for damage to property that the Department of the Navy is responsible for, allowing subrogation claims accruing in favor of the United States. For example, when the Department of the Navy leases a privately owned pier which is damaged by a commercial vessel, and the lease obligates the Department of the Navy to pay the pier owner for the damage, or when naval property is damaged while leased to private interests and the Department of the Navy assumes the risk of loss or damage, the Department of the Navy may recover from the tort-feasor.

c. Settlement authority. The Secretary's settlement authority is limited to claims up to $1,000,000.00 and not in litigation. 10 U.S.C. § 7623. Once suit is filed, the case comes under Department of Justice's cognizance for settlement. 32 C.F.R. part 752. The Secretary is authorized to execute a release on behalf of the United States upon payment of the affirmative admiralty claim. Acceptance of payment and execution of a release by the Secretary is final on all parties as to the United States' claim.

d. Delegation. The Secretary may delegate settlement authority when the amount to be received does not exceed $100,000.00. 10 U.S.C. § 7623. The Judge Advocate General, the Deputy Judge Advocate General, the Assistant Judge Advocate General (General Law), and the Deputy Assistant Judge Advocate General (Admiralty) may also exercise the Secretary's authority in settlements not exceeding $100,000.00. Those individuals with limited authority to settle admiralty claims against the Department of the Navy reflected in section 1213b(2) and (3) do not have corresponding affirmative claims settlement authority.

e. Compromise and settlement. The Secretary of the Navy may consider, adjust, compromise, settle, and receive payment for any claim of the United States for salvage services rendered by the Department of the Navy. 10 U.S.C. § 7365. Salvage claims are discussed further in section 1220.

1218 STATUTE OF LIMITATIONS FOR AFFIRMATIVE CLAIMS

The United States has a 3 year statute of limitations to assert an affirmative claim or commence litigation for money damages arising from any tort, including admiralty torts. 28 U.S.C. § 2415b and 32 C.F.R. part 752. This limitation has certain exclusions, such as lack of Government knowledge of the incident giving rise to the claim, an inability to prosecute a claim due to declared war or unavailability of the res or the defendant, and various exemptions from legal process. 28 U.S.C. § 2416.

1219 AFFIRMATIVE CLAIMS ADMINISTRATION

All claims by the United States for money damages arising from admiralty incidents should be timely and pursued aggressively. The Judge Advocate General acts on behalf of the Secretary in asserting and negotiating affirmative admiralty claims.

PART E - MISCELLANEOUS

1220 SALVAGE

a. Claims. Salvage claims may be filed against the Department of the Navy for compensation for towage and salvage services, including contract salvage, rendered to a naval vessel or other property under the Department of the Navy's jurisdiction. The United States may file claims for salvage services rendered by naval vessels or units. Regulations on these claims are published at 32 C.F.R. part 752.

b. Salvor. A successful salvor is generally entitled to: (1) reimbursement of expenses, such as cost of labor and materials expended; and (2) a bonus or reward which is something less than the value of the salved property. Salvage awards encourage others to risk their ships and lives to save another's property from the sea, but discourage unnecessary or exaggerated service. There is no reward to salvage only human life; however, a salvor of life is entitled to an award from the value of any property also salved. The crew of a salving vessel may receive a share of the salvage award. A civilian crew that assists in salvaging a naval vessel has a separate cause of action against the Government from that of the civilian vessel owner. Uniformed naval personnel cannot maintain suit for salvage services performed as part of their official duties.

c. Suits for compensation. Suits against the United States seeking compensation for salvage may be maintained under the Public Vessels Act and the Suits in Admiralty Act. The Secretary of the Navy may pay salvage claims under 10 U.S.C. § 7622. Salvage claims against the Department of the Navy are reported and investigated under sections 1203 through 1205, and processed under the procedures in Part C of this chapter. Both claims and suits against the United States for salvage are subject to the 2 year statute of limitation. See section 1214.

d. Administrative settlement. When a naval ship or unit renders salvage assistance, the Secretary of the Navy can administratively settle the claim against the private shipowner. 10 U.S.C. § 7365. Affirmative salvage claims are reported to and processed by the Assistant Supervisor of Salvage, USN. See NAVSEAINST 4740.4. Affirmative salvage claims are referred to the Judge Advocate

General only if the Assistant Supervisor of Salvage is unsuccessful. The Assistant Supervisor of Salvage normally asserts. Department of the Navy affirmative salvage claims on a per diem basis as an administrative convenience, but the Government is not precluded from asserting its affirmative claim on a salvage-bonus basis.

e. Offset. If the private shipowner seeks to offset the Department of the Navy's per diem charges, in whole or in part, with a claim for damage to his ship allegedly caused by the salvaging naval vessel or its personnel, the per diem charge usually is withdrawn and the Department of the Navy's claim reasserted on a salvage-bonus basis. When a private shipowner pays the per diem salvage charge and then, without prior notice, presents a claim for damage caused to his vessel during the salvage operation, the prior settlement of the Government's salvage claim precludes reasserting that claim on a salvage-bonus basis. To avoid such liability, settlement of a naval affirmative salvage claim is normally conditioned upon release from any claim for damage to the private ship incurred during the salvage operation. Any damage to a private vessel during a salvage operation should be investigated under section 1205 and immediately reported to the Judge Advocate General, who may arrange for a joint survey of the damage.

f. Finder's reward. A "finder's reward" may be paid for information leading to the recovery of certain types of ordnance, mobile targets, aircraft, and oceanographic equipment. See NAVSEAINST 8500.1 and NAVCOMPT Manual, paragraph 046380.

1221 TOWAGE AND PILOTAGE

a. Generally. The Department of the Navy, on occasion, performs towage or pilotage services for privately owned vessels. The two services are distinct, especially for liability for damage caused by negligent towing versus damage caused by negligent pilotage.

b. Liability. When commercial firms perform towage or pilotage, they usually attempt to exempt themselves from liability for damage by contract clauses. Exemption clauses are generally successful in pilotage, but the courts have consistently held clauses invalid that attempt to contract away liability for negligent towage. To protect the Department of the Navy from liability for negligent pilotage when a commercial firm would, by contract, be relieved of liability, naval pilotage should be performed only upon execution of the suggested contract in Appendix A-12-a.

1222 INTRAGOVERNMENT ADMIRALTY INCIDENTS

a. Waiver doctrine. Potential claims for collisions between vessels and for other admiralty incidents involving property damage, when the owners involved are the Department of the Navy and another Government agency, are subject to waiver. The waiver doctrine is based upon Comptroller General decisions that appropriations of one Government department are not available to pay the claims of another.

b. Report of incident. When it appears only Federal Government interests are involved, a report of the admiralty incident must be made under sections 1203 and 1204; an investigation of liability and survey of damage are not required. Upon receiving the initial report of the incident, the Judge Advocate General confirms the status of the vessels or property involved by correspondence with the other Government agency, and the waiver is made a matter of record. It is important to avoid unnecessary labor and expenditures when the claim is subject to waiver. If in doubt on the status of the other vessel or property, request advice by rapid means from the Judge Advocate General.

1223 FOREIGN GOVERNMENT CLAIMS

a. Report to JAG. Admiralty incidents involving naval vessels or property, and a vessel or property owned by a foreign government, must be reported to the Judge Advocate General under sections 1203 and 1204. Action on such claims may be affected

by treaties, international law, and Federal statutes. For example, the Foreign Sovereign Immunities Act recognizes a foreign nation's immunity for sovereign or public acts of that nation in United States territory and limits immunity for commercial or personal acts. 28 U.S.C. §§ 1604-1611.

b. Jurisdictional process. Under customary international law, a nation's public war vessels are not subject to jurisdictional process in any other nation; all naval vessels (including MSC vessels) are immune from arrest. If an attempt is made to arrest a naval vessel in a foreign country, include NAVY JAG ALEXANDRIA VA//31// as an information addressee in the message report of the arrest attempt. If requested, the Judge Advocate General will then assist Department of Justice and Department of State to obtain the ship's immediate release.

c. Immunity. Government-owned merchant ships have limited immunity from jurisdictional process of a foreign state. For example, a foreign government-owned vessel is exempt from U.S. jurisdiction if devoted to public use or government operations; however, the immunity of foreign government-owned merchant vessels in competitive commercial transactions may be restricted.

d. Waiver agreements. The United States has waiver agreements with the British and Canadian governments so certain maritime claims between the United States and Great Britain or Canada, arising out of the operation of public vessels of these respective governments, are waived. See Maritime Transportation and Litigation Agreement with Great Britain, 4 December 1942, 56 Stat. 1780, E.A.S. 282; and Waiver of Claims Involving Government Ships Agreement with Canada, 15 November 1946, 61 Stat. 2520, T.I.A.S. 1582. These admiralty incidents do not require the usual investigative report or survey for claims purposes.

e. Status of forces agreements. Admiralty claims are also affected by Status of Forces Agreements. Under article VIII of the NATO Status of Forces Agreement, an intergovernmental admiralty claim for damage to property owned and used by the armed forces of one contracting party, caused by a vessel of another contracting party, is waived if either the damaging vessel or the damaged property was used in the operation of the North Atlantic Treaty. Similarly, under article XVIII of the Status of Forces Agreement with Japan, the United States and Japan mutually waive claims for property damage caused by members of their defense forces if the damaging instrumentality or the damaged property was being used for official purposes. A similar provision is in the Status of Forces Agreement between the United States and the Republic of Korea.

1224 COAST GUARD AND NATIONAL TRANSPORTATION SAFETY BOARD INVESTIGATIONS

a. Coast Guard investigations of marine casualties.

(1) The Coast Guard routinely receives reports of and investigates marine casualties or accidents involving privately owned vessels. "Marine casualty or accident" includes collisions, strandings, groundings, founderings, heavy weather damage, fires, explosions, failure of vessel gear and equipment, and any other damage which might affect the seaworthiness of the vessel. Public vessels of the United States, and all naval vessels, are exempt from investigation even if involved in the incident under investigation. 46 C.F.R. part 4. Naval personnel are not required to report a marine casualty involving a public vessel to the Coast Guard, complete any Coast Guard form or other document describing the maritime incident, or participate in a Coast Guard investigation. The incident must be reported to the Judge Advocate General under sections 1203 and 1204.

(2) The Department of the Navy may assist the Coast Guard with its investigation by sharing information from the Department of the Navy's own investigation and making naval personnel available as witnesses, but the

Department of the Navy will not prejudice its claims or litigation. Information disclosed to the Coast Guard normally becomes part of a public record of the incident and is available to interests opposed to the United States. The Judge Advocate General decides whether to disclose a naval investigation to the Coast Guard and whether naval personnel will be made available to testify at a Coast Guard investigative hearing. Requests for such information, reports, or witnesses should be forwarded to the Judge Advocate General by rapid means.

(3) The Judge Advocate General may provide a copy of the Department of the Navy's investigative report of an admiralty incident to the Coast Guard investigator when issues of civil liability are not involved or have been settled. In other situations, the Judge Advocate General may give the Coast Guard a copy of the Department of the Navy report only if it is used exclusively for Coast Guard purposes and not made part of the public record. This practice assists the Coast Guard's understanding of the incident, supports the Department of the Navy's policy of interagency cooperation, and preserves the Government's position on claims or litigation.

b. National Transportation Safety Board (NTSB) investigations of marine casualties

(1) The NTSB, an independent Government agency, promotes transportation safety by conducting independent investigations of accidents involving Government regulated transportation: air, highway, rail, pipeline, and major maritime casualties. The NTSB may conduct an investigation of any casualty involving public and nonpublic vessels. The NTSB shall conduct an investigation when: the casualty involves a Coast Guard and a nonpublic vessel, and at least one fatality or $75,000.00 in property damage; the Commandant of the Coast Guard and NTSB agree that NTSB should investigate a casualty involving a public (e.g., a U.S. Navy) vessel and a nonpublic vessel, and involving at least one fatality or $75,000.00 in property damage; or the casualty involves "significant safety issues relating to Coast Guard safety functions." See 49 U.S.C. §§ 1901-1907, and 49 C.F.R. parts 845 and 850.

(2) The NTSB investigation does not have priority over other official inquiries into major marine casualties, such as the Department of the Navy's JAG Manual investigation. The NTSB conducts a simultaneous but separate investigation from the JAG Manual investigation. After a major marine casualty, ensure original documents are preserved and witnesses (after any exercise of their right to counsel) are made available to the Department of the Navy's investigating officer. Copies of documents and naval witnesses should then be made available to NTSB for its investigation. NTSB has subpoena power, enforceable through the Federal courts, for the production of persons and documents. The Department of the Navy's policy is to cooperate with the NTSB's investigation as much as possible, while safeguarding the rights of individuals involved in the incident and preventing unnecessary disruption of the JAG Manual investigation.

(3) Usually NTSB announces whether it will investigate within 1 day after the incident occurs. An NTSB official in Washington, DC, notifies the type commander of the naval vessel involved by telephone, although the group or squadron commander may receive initial notification. Upon notice of NTSB involvement, notify the Judge Advocate General by telephone of the initial notice from NTSB and any requests from NTSB. Also, a Department of the Navy liaison officer must be appointed as point of contact (POC) for NTSB. The POC should be of the rank of 0-4 or above, technically competent in shipboard navigation and engineering skills, and not a crewmember of the vessel involved. A judge advocate should be available to assist the POC and keep the Judge Advocate General advised of the status of the NTSB investigation.

(4) NTSB may request to inspect documents and interview Department of the Navy crewmembers as soon as the vessel

involved arrives at the pier. The POC should insist that the JAG Manual and NTSB investigations proceed in an orderly fashion. The following is suggested as a reasonable sequence of events:

(a) When the ship returns to port, the investigating officer for the JAG Manual investigation should have been assigned. If not transported to the ship while at sea, the investigating officer should immediately collect and review charts, logs, and other documents aboard the ship, and may commence interviews of crewmembers.

(b) Within a few days of the ship's return, and under arrangements made by the POC, the NTSB (generally three to four officials) arrives on board and is provided with copies of unclassified relevant documents. NTSB officials may conduct preliminary crewmember interviews, but sworn statements should not be permitted. Document review and preliminary interviews take 2 to 4 days.

(c) The NTSB advises the Department of the Navy of the date, time, and place of the formal hearing and requests the appearance of specifically-named crewmembers. The hearing is usually held 2 to 4 weeks after the incident. The POC is usually the Department of the Navy's official representative at the hearing. A judge advocate also should attend the hearing as an observer.

(d) The JAG Manual investigation is completed as soon as possible. The convening authority forwards an advance copy to the Judge Advocate General under section 1205.

(e) The judge advocate who attended the NTSB hearing should get a copy of the verbatim transcript and summary report of the hearing from the POC and forward them to the Judge Advocate General.

SUGGESTED FORMAT FOR PILOTAGE AND TUG SERVICES CONTRACT
(See Section 1221)

It is understood and agreed that the furnishing of pilotage and associated tug services by the Department of the Navy for the vessel _____ _____ shall not be construed to give rise to a personal contract between the named individuals signing this agreement; and

it is further understood and agreed that the Department of the Navy in furnishing any pilotage and associated tug services shall have the benefit of all exemptions from and limitations of liability to which the owner of a vessel is entitled under the applicable statutes of the United States; and

it is further understood and agreed that when any pilot or a captain of any tug furnished to or engaged in the service of assisting a vessel making use or having available her own propelling power, goes on board such vessel, or any vessel, he becomes the borrowed servant of the vessel assisted and her owner or operator for all purposes and in every respect, including but not limited to the handling and navigation of such vessel and in respect to any orders given to any assisting tugs, his services while so on board being the work of the vessel assisted and not of the United States Navy and being subject to the exclusive supervision and control of the ship's personnel; and

it is further understood and agreed that the assisted vessel and her owners will assume all liability for any loss or damage (including that suffered or caused by any assisting tug) resulting from or arising out of the negligence or fault of the pilot or assisting tug and that neither the United States Navy, nor any pilot, nor any tug shall be liable, directly or by way of indemnity or otherwise, for any such loss or damage; and

it is further understood and agreed that if any such assisted vessel is not owned by the person or company ordering the pilotage and associated tug services, that such person or company warrants its authority to bind the vessel and her owners to all provisions of the preceding paragraphs, and agrees to indemnify and hold harmless the Department of the Navy, its agents, servants, employees and any assisting tug or pilot from any claim and all damages and expenses that may be sustained or incurred in consequence of such person or company not having such authority.

_____
(Signature)

_____
(Title)

FOR _____
(Name of Ship)

CHAPTER XIII
ENVIRONMENTAL PROTECTION

1301 PURPOSE

1302 SCOPE

1303 BACKGROUND

1304 ENVIRONMENTAL COMPLIANCE AND INTERNATIONAL OPERATIONS

1305 RESPONSIBILITY

a. Generally
b. Commanding officers
c. All personnel

1306 NOTICES OF VIOLATION AND ENVIRONMENTAL LITIGATION

1307 COMPLIANCE

a. Generally
b. Permits and fees
c. Fees vs. taxes
d. Citations and fines
e. Funding

1308 PROCEDURAL/PLANNING STATUTES

a. National Environmental Policy Act
b. Coastal Zone Management Act

1309 POLLUTION CONTROL AND ABATEMENT STATUTES

a. Clean Air Act
b. Federal Water Pollution Control Act
c. Resource Conservation and Recovery Act
d. Comprehensive Environmental Response, Compensation, and Liability Act
e. Ocean Dumping Act

1310 STATUTES CONTROLLING SPECIFIC SUBSTANCES

a. Toxic Substances Control Act
b. Federal Insecticide, Fungicide, and Rodenticide Act
c. Marine Plastic Pollution Research and Control Act
d. Medical Waste Tracking Act
e. United States Public Vessel Medical Waste Anti-Dumping Act of 1988

1311 STATUTES PROTECTING ANIMALS, HISTORIC PLACES, AND WATER

a. Endangered Species Act
b. National Historic Preservation Act
c. Safe Drinking Water Act

1312 ENVIRONMENTAL COMPLIANCE IN THE FEDERAL WORK PLACE

CHAPTER XIII

ENVIRONMENTAL PROTECTION

1301 PURPOSE

The purpose of this chapter is to assist Navy and Marine Corps commanders in their efforts to protect and enhance the quality of the environment by strict adherence to all applicable law, regulatory standards, and planning requirements.

1302 SCOPE

This chapter does not reprint detailed guidance readily available elsewhere. It guides the reader to those sources where necessary. The Environmental and Natural Resources Protection Manual, OPNAVINST 5090.1, and Volume V of The Real Properties Facilities Manual, MCO 11000.8B, set forth Navy and Marine Corps policies and responsibilities respecting environmental compliance. Common acronyms are listed after the first discussion of a statute or term. Appendix A-13-a contains a list of selected references.

1303 BACKGROUND

Statutes and regulations regulate the use of natural and cultural resources and how we plan for their use. In many of these statutes, Congress has waived Federal supremacy and sovereign immunity. Therefore, Navy and Marine Corps operations are generally subject to State and local procedural and substantive requirements respecting the control and abatement of pollution, including requirements to obtain permits and to pay reasonable service charges. Failure to comply with applicable environmental laws may lead to environmental degradation, injunctions that disrupt operations, adverse publicity, and in some cases, payment of civil penalties. Additionally, some environmental laws carry criminal penalties for noncompliance, including possible criminal prosecution of military and civilian personnel. Therefore, familiarity with and adherence to applicable environmental laws and regulations is essential.

1304 ENVIRONMENTAL COMPLIANCE AND INTERNATIONAL OPERATIONS

Naval activities in foreign countries and naval vessels, aircraft, and vehicles operated in foreign countries will comply with any applicable Status of Forces Agreement (SOFA) and with environmental pollution control standards of general applicability in the host country. Requests by foreign officials for access to naval installations, vessels, aircraft, and vehicles to monitor compliance with host country environmental standards, if not governed by the SOFA, should be referred to higher authority via the chain of command.

1305 RESPONSIBILITY

a. Generally. Compliance with the law and applicable regulations are essential to preserving the environment. Naval activities should cooperate with Federal and State environmental protection agencies and comply with applicable standards and criteria promulgated by such agencies. Commands will comply with the reporting requirements established by superiors and notify the Judge Advocate General in accordance with Chapter VI of this Manual when there is any likelihood of civilian court involvement. When it is considered impractical to comply with applicable requirements, commanders should refer the matter to the Chief of Naval Operations (OP-45) or Commandant of the Marine Corps (MC-LFL-7), as appropriate, via the chain of command.

b. Commanding officers. Consistent with existing directives and policy guidance, commanding officers should coordinate and cooperate with Federal, State, interstate, and local pollution control agencies, and adhere to applicable standards for the control and abatement of environmental pollution. Commanders should consult with counsel on environmental issues.

c. All personnel. Military and civilian personnel should be encouraged to learn and apply environmental laws and directives and be required to report any instances of noncompliance.

1306 NOTICES OF VIOLATION AND ENVIRONMENTAL LITIGATION

Notices of violation (NOV) or notices of noncompliance (NON) are issued by pollution abatement authorities for discrepancies. Because such notices may lead to penalties and environmental litigation, they cannot be ignored. Such notices shall be processed in accordance with OPNAVINST 5090.1 and Volume V, MCO P11000.8B. Process received in connection with litigation filed or to be filed in State or Federal court shall be processed in accordance with SECNAVINST 5820.8, subject: Release of official information for litigation purposes and testimony by Department of the Navy personnel, and Chapter VI of this Manual.

1307 COMPLIANCE

a. Generally. Naval compliance depends on an understanding of the laws and regulations as they affect the particular activity, on monitoring environmental emissions, on identification and correction of deficiencies, and on compliance with procedural requirements. Discussions of the various Federal statutes and regulations are below at sections 1308 through 1313.

b. Permits and fees. Congress has provided in most environmental laws that Federal facilities will be subject to State and local permit issuance requirements and to payment of reasonable service charges or fees related to the administration of State and local environmental requirements. Service charges related to the Clean Water Act, Clean Air Act, hazardous materials management, hazardous waste storage and disposal, and underground storage tanks are among the types of charges that may be billed to an installation. Congress has generally not provided for the payment of taxes by Federal installations or activities to State and local governments. (The notable exception is the Low-Level Radioactive Waste Policy Act.) It, therefore, becomes important to distinguish between those charges that are fees and those that are actually taxes, before payment is made. Disbursing authorities should consult with counsel when a fee or service charge is first presented. Final positions on the legality of new fees will be formulated in consultation with the Department of Justice (DOJ) at the headquarters level in appropriate cases.

c. Fees vs. taxes. In general, fees will be examined to determine whether: (1) the charge in question is imposed on all regulated entities without discrimination; (2) the charge is a fair approximation of the costs to the State or local authority implementing the program at the Federal activity; or (3) revenues from the service charge only fund the administrative costs of the associated program. Negative answers to any of these inquiries suggest that the charge is a tax rather than a fee or service charge, and the Navy may wish to contest it. Installations and activities questioning a charge should make it clear to the authority demanding payment that delay for review is not a reflection of Navy resistance to regulatory action, but is necessary because of legal issues that must be resolved before payment may lawfully be made. Should any agency impose a charge on which environmental permit depends and refuse to issue or maintain a permit needed for lawful operation of the facility pending legal review of the charge, the situation should be immediately reported to the Chief of Naval Operations (OP-45) or the Commandant of the Marine Corps (MC-LFL-7), as appropriate, and the Comptroller of the Navy.

d. Citations and fines. Any citation by a regulatory agency for an alleged violation of any substantive or administrative requirement or any attempt to levy a fine against a Department of the Navy facility should be reported immediately. See section 1306.

e. Funding. Generally, activities fund routine, recurring requirements for environmental compliance. Funding for cleanup of hazardous wastes, however, may

come from the Defense Environmental Restoration Account (DERA). DERA is a separate, centralized account to fund cleanup of past hazardous waste dump sites. OPNAVINST 5090.1 provides additional guidance.

1308 PROCEDURAL/PLANNING STATUTES

a. National Environmental Policy Act. The principal Federal environmental planning statute is the National Environmental Policy Act (NEPA). NEPA is implemented by regulations issued by the Counsel on Environmental Quality (CEQ).

(1) Environmental impact statement. NEPA requires commanders to prepare an environmental impact statement (EIS) for all "major Federal actions significantly affecting the quality of the human environment." Although NEPA most frequently applies to military construction projects, the EIS process can apply to operational activities as well.

(2) Consideration of environmental effects. Commanders must consider the environmental effects of Navy actions from initial planning through implementation. Failure to adequately assess the potential environmental impact of proposed actions may result in significant delays or cancellation of activities or projects. An adverse environmental impact does not automatically preclude the project so long as a thorough assessment has been made.

b. Coastal Zone Management Act. The Coastal Zone Management Act (CZMA) permits a State with a federally approved Coastal Management law to review proposed Federal actions "directly affecting the coastal zone" and evaluate the Navy's finding that the proposed action is consistent with the State's coastal management plan. Often the CZMA "consistency determination" is based upon factual material in an environmental assessment/EIS.

1309 POLLUTION CONTROL AND ABATEMENT STATUTES

a. Clean Air Act. The Clean Air Act (CAA) requires establishing ambient air quality standards and developing Federal and State programs to achieve those standards by controlling air pollution sources. CAA provides for the individual States to assume control of these programs.

(1) Almost every State has implemented the CAA through a State Implementation Plan (SIP), and most SIP enforcement is done by the States. Federal activities and installations generally must comply with the SIP's requirements.

(2) Commanders whose units produce significant air emissions should expect inspections by Federal or State agencies. These agencies may issue an NOV for discrepancies, including monetary civil penalties. NOV's should be reported in accordance with applicable instructions.

b. Federal Water Pollution Control Act. The Federal Water Pollution Control Act (FWPCA) promotes improving the nation's surface water resources. It provides for developing municipal and industrial wastewater treatment standards and a permit system to control wastewater discharges into the surface waters of the United States. The FWPCA, often referred to as the Clean Water Act (CWA), was initially implemented by a Federal permit system, but significant amendments in 1987 increased State involvement.

(1) Commands are responsible for significant record-keeping requirements. States may conduct inspections and issue an NON when Federal or State permits are violated.

(2) States define discharges. The definition may include wastewater from pipes, ditches, drains, or even "run-off."

c. Resource Conservation and Recovery Act. The Resource Conservation and Recovery Act (RCRA), also known as the Solid Waste Disposal Act (SWDA), regulates

land disposal of solid waste. RCRA has gradually become the Environmental Protection Agency's (EPA) principal tool for regulating hazardous and toxic waste.

(1) Under EPA implementing regulations, many solvents, lubricants, and other common chemicals become toxic/hazardous waste when they are disposed of or stored after initial use.

(2) NOV's, similar to those issued under the CWA, are the most common enforcement method.

d. Comprehensive Environmental Response, Compensation, and Liability Act. The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA or SUPERFUND) is directed at abandoned or financially insolvent "hazardous waste sites." These sites, commonly referred to as Superfund sites, are identified for clean up on a National Priority List (NPL). Sites located on former and active Navy and Marine Corps shore activities are covered by the Installation Restoration Program (IRP). CERCLA also establishes a requirement for immediate notification of the unpermitted release (land), discharge (water), or emission (air) of designated hazardous substances.

e. Ocean Dumping Act. The Ocean Dumping Act, also known as the Marine Protection, Research, and Sanctuaries Act (MPRSA) prohibits transportation for the purpose of dumping material in the territorial sea and seaward without a permit, but excludes sewage from vessels and effluent from motor-driven equipment on vessels. The MPRSA is administered by EPA. EPA regulations, implementing both the statute and certain international agreements, specifically restrict the type of materials that may be transported for disposal of at sea. Department of the Navy regulations also set forth requirements and/or limitations on the disposal of various materials at sea.

1310 STATUTES CONTROLLING SPECIFIC SUBSTANCES

a. Toxic Substances Control Act. The Toxic Substances Control Act (TOSCA) regulates substances that pose "an unreasonable risk of injury to health or the environment." Under TOSCA, EPA regulates the manufacture, distribution, storage, and disposal of only asbestos and Polychlorinated Biphenyls (PCB).

b. Federal Insecticide, Fungicide, and Rodenticide Act. The Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) regulates most industrial uses of covered agents, including the unlawful disposal of insecticides.

c. Marine Plastic Pollution Research and Control Act. The Marine Plastic Pollution Research and Control Act, implements the International Convention on the Prevention of Marine Pollution (MARPOL Convention), and will eventually preclude marine disposal of all plastics by seagoing naval units. Fleet directives have been issued to comply with the statutory deadline.

d. Medical Waste Tracking Act. The Medical Waste Tracking Act (Subtitle J of RCRA) requires naval activities within participating States to maintain records from "generation" to "disposal" on the handling of all "medical waste" as defined by EPA, and to comply with State requirements for managing disposal of medical wastes.

e. United States Public Vessel Medical Waste Anti-Dumping Act of 1988. This law prohibits the dumping of potentially infectious medical wastes into ocean waters, unless the health or safety of individuals on board is threatened, or during time of war or declared national emergency. When disposal is authorized under one of these two exceptions, it must be disposed of beyond 50 nautical miles from the nearest land. Additionally, for surface public vessels, the medical waste must be sterilized, properly packaged, and sufficiently weighted to prevent waste from coming ashore after disposal; for submersible public vessels, the waste must be properly packaged and

sufficiently weighted to prevent the waste from coming ashore. OPNAVINST 5090.1, fleet directives, and medical guidance should be consulted before any medical wastes are disposed of at sea.

1311 STATUTES PROTECTING ANIMALS, HISTORIC PLACES, AND WATER

a. Endangered Species Act. The Endangered Species Act (ESA) protects animals listed as "endangered" or "threatened" and their habitats. ESA is primarily enforced by criminal sanctions.

b. National Historic Preservation Act. The National Historic Preservation Act (NHPA) attempts to preserve places listed or eligible for listing on the National Register of Historic Places. NHPA covers the entire United States, its territories, and its possessions. It is implemented by a review process involving the "State Historic Preservation Officer" (SHPO) for the State concerned and the Advisory Council on Historic Preservation. Commanders should consider the historic value of any place significantly affected by naval activities and ensure that the NHPA is observed.

c. Safe Drinking Water Act. The Safe Drinking Water Act (Subchapter XII of the Public Health Service Act) establishes standards for water distribution systems and protects surface and underground sources of drinking water. The standards implemented by EPA and State regulations apply to all naval activities.

1312 ENVIRONMENTAL COMPLIANCE IN THE FEDERAL WORK PLACE

The Occupational Safety and Health Act (OSHA), as implemented by specific directives, requires the Navy establish and maintain a comprehensive safety and health program for civilian and military personnel. Commanders should ensure an aggressive and comprehensive occupational health and safety program for their units.

SELECTED REFERENCES

Department of Defense Instructions

Safety and Occupational Health Policy, DODDIR 1000.3 of 29 March 1979
Environmental Pollution Prevention, Control, and Abatement, DODINST 4120.14 of 30 August 1977
Environmental Protection, Conservation, and Management of Natural Resources, DODINST 4165.2 of 21 February 1976
Oil and Hazardous Substances Pollution Prevention and Contingency Program, DODINST 5030.41 of 1 June 1977
Protection and Enhancement of Environmental Quality, DODINST 5100.50 of 24 May 1973
Environmental Effects in the United States of DOD Actions, DODINST 6050.1 of 30 July 1979
Department of Defense Occupational Safety and Health (OSH) Program, DODINST 6055.1 of 26 October 1984

Secretary of the Navy Instructions

Implementation of Department of the Navy Safety and Occupational Health Program, SECNAVINST 5100.10F

Chief of Naval Operations Instructions

Environmental and Natural Resources Protection Manual, OPNAVINST 5090.1
Navy Safety and Occupational Health Program, OPNAVINST 5100.8G
Navy Occupational Safety and Health (NAVOSH) Manual, OPNAVINST 5100.23B

Marine Corps Instructions

Real Property Facilities Manual, Vol. V, MCO 11000.8B

United States Code

Clean Air Act, 42 U.S.C. §§ 7401-7642
Clean Water Act, 33 U.S.C. §§ 1251-1387
Coastal Zone Management Act, 16 U.S.C. §§ 1451-1464
Comprehensive Environmental Response, Compensation, and Liability Act, 42 U.S.C. §§ 9601-9675
Emergency Planning and Community Right to Know Act, 42 U.S.C. §§ 11001-11050
Federal Insecticide, Fungicide, and Rodenticide Act, 7 U.S.C. § 136-136y
National Environmental Policy Act, 42 U.S.C. §§ 4321-4370a
Ocean Dumping Act, 33 U.S.C. §§ 1401-1445
Resource Conservation and Recovery Act, 42 U.S.C. §§ 6901-6991i
Safe Drinking Water Act, 42 U.S.C. § 300f-300j-11
Toxic Substances Control Act, 15 U.S.C. §§ 2601-2654

Executive Orders

Executive Order 12088, Federal Compliance with Pollution Control Standards

Code of Federal Regulations

National Environmental Policy Act regulations for the Department of the Navy, 32 C.F.R. § 775

Chapter XIV
PAYMENTS DUE MENTALLY INCOMPETENT MEMBERS, PHYSICAL EXAMINATIONS OF SUCH MEMBERS, AND TRUSTEE DESIGNATIONS

1401 PURPOSE

1402 SCOPE

1403 AUTHORITY TO APPOINT TRUSTEES

1404 PROCEDURES

a. Competency Board
b. Records

1405 PROCEDURES FOR DESIGNATION OF A TRUSTEE

1406 TRAVEL ORDERS

1407 STATUS OF PAY ACCOUNT

1408 EMERGENCY FUNDS AND HEALTH AND COMFORT

1409 REPORTS AND SUPERVISION OF TRUSTEES

a. Accounting reports
b. Failure to submit a report and default

CHAPTER XIV

PAYMENTS DUE MENTALLY INCOMPETENT MEMBERS, PHYSICAL EXAMINATIONS OF SUCH MEMBERS, AND TRUSTEE DESIGNATIONS

****

As a result of a recent organizational change in the Office of the Judge Advocate General, the functions under Chapter XIV have been transferred to:

Office of General Counsel (Code DG)
Defense Finance and Accounting Service (DFAS), Cleveland Center
P.O. Box 998006
Cleveland, OH 44199-8006
(216) 522-5396, DSN 580-5396

Revision of this chapter will be contained in Change 4 of the JAGMAN.

****

Chapter XIV

PAYMENTS DUE MENTALLY INCOMPETENT MEMBERS, PHYSICAL EXAMINATIONS OF SUCH MEMBERS, AND TRUSTEE DESIGNATIONS

1401 PURPOSE

Each year hundreds of servicemembers become mentally incompetent due to injury or disease. Members determined unfit for duty because of mental incompetence will be processed for placement on the Temporary Disability Retired List (TDRL) or discharged. Disposing of the member's pay is an immediate issue confronting commanding officers, especially if the member has dependents. This chapter explains how to appoint trustees to receive the incompetent member's pay for the benefit of the member and dependents, as well as how to obtain emergency funds pending the appointment of a trustee.

1402 SCOPE

a. The Secretary of the Navy has authority to designate a trustee in the absence of notice that a legal committee, guardian, or other legal representative has been appointed by a State court of competent jurisdiction. 37 U.S.C. §§ 601-604. Trustees receive the active duty pay and allowances, amounts due for accrued or accumulated leave, and retired pay or retainer pay, that are otherwise payable to a member found by competent medical authority to be mentally incapable of managing his affairs.

b. "Member" as used in this chapter refers to:

(1) Members of the Navy or Marine Corps on active duty (other than for training) or on the retired list of the Navy or Marine Corps; and

(2) Members of the Fleet Reserve or Fleet Marine Corps Reserve.

1403 AUTHORITY TO APPOINT TRUSTEES

The Judge Advocate General or his designee is authorized to act for the Secretary of the Navy to appoint trustees to receive and administer Federal monies for members and to carry out the provisions of this chapter.

1404 PROCEDURES

a. Competency Board

(1) The commanding officer of the cognizant naval medical facility will convene a board of not less than three medical officers or physicians, one of whom will be a psychiatrist, when there is evidence that a member who is a patient in the naval medical facility may be incapable of handling his affairs. The board will be convened in accordance with Chapter 18, Manual of the Medical Department. The board may include members of the Reserve components on active or inactive duty. When active duty Navy or Marine Corps members are hospitalized in non-naval medical facilities, the regional Naval Office of Medical/Dental Affairs will ensure compliance with Chapter 18.

(2) The Judge Advocate General or his designee may direct the commanding officer of any naval medical facility, or request the commanding officer of another service medical facility or administrator of a Department of Veterans Affairs medical facility, to convene a board in accordance with this section to determine the mental capability of a member to manage his affairs.

(3) A finding of restoration of competency or capability to manage personal and financial affairs may be accomplished in the same manner specified in Chapter 18, Manual of the Medical Department, except that the board may consist of one or two medical officers or physicians, one of whom must be a psychiatrist.

(4) At least one officer on the board, preferably the psychiatrist, will personally observe the member and ensure that the member's medical record, particularly that portion concerning his mental health, is accurate and complete.

(5) The requirement for the competency board is in addition to and separate from the medical board procedures. Each board member will sign the report of the board and will certify whether the member is or is not mentally capable of managing his affairs. After approval by the convening authority, the original board report is forwarded to the Judge Advocate General.

b. Records

(1) The convening authority will forward the original of each board report to the Judge Advocate General, Department of the Navy, 200 Stovall Street, Alexandria, VA 22332-2400.

(2) In the case of a finding that a member is not mentally capable of managing his affairs, the forwarding endorsement will set forth the name, relationship, address, and telephone number(s), of the member's next of kin and any other data to help identify a prospective trustee.

1405 PROCEDURES FOR DESIGNATION OF A TRUSTEE

a. Upon receipt of a report of a board convened under section 1404 that a member has been found mentally incapable of managing his affairs, the Judge Advocate General or his designee will initiate action to appoint a trustee, provided no notice of appointment of a committee, guardian, or other legal representative by a State court of competent jurisdiction has been received by the Judge Advocate General. The Judge Advocate General or his designee may direct any Navy or Marine Corps activity to appoint an officer to interview a prospective trustee and make recommendations concerning suitability. The Judge Advocate General will provide the interviewing officer with complete instructions pertaining to the interview of the prospective trustee, including the forms required to be completed by the prospective trustee that will be returned by the interviewing officer to the Judge Advocate General.

b. The interviewing officer will:

(1) Determine whether the prospective trustee can obtain an appropriate bond as directed by the Judge Advocate General or his designee;

(2) Ascertain that the prospective trustee is willing to execute an affidavit acknowledging that all monies will be applied to the use and benefit of the member and his legal dependents and that no fee, commission, or charge, for any service performed by the trustee, except for payment of the required bond, will be paid from Federal monies received by the trustee.

(3) Forward recommendations to the Judge Advocate General for appropriate action.

1406 TRAVEL ORDERS

The Chief of Naval Personnel or the Director, Personnel Management Division, Headquarters, Marine Corps, may issue travel orders to a member to appear before an examining board convened to determine whether the member is mentally capable of managing his affairs. In the case of permanently retired members, however, travel for an appearance before a board convened pursuant to section 1404, above, will be at no cost to the Government unless the Judge Advocate General or his designee determines that unusual hardship exists and requests that appropriate authority fund the travel expenses.

1407 STATUS OF PAY ACCOUNT

a. Upon notification by the commanding officer of the medical facility preparing the incapacitation determination that a member has been declared mentally incompetent to manage his affairs, the cognizant disbursing officer will take appropriate action and immediately send the member's personal financial record to the appropriate finance center following the guidelines in the Department of Defense Military Pay and Allowances Entitlements Manual, Part Four, Chapter 2. The Judge Advocate General or his designee will then direct the appropriate finance center to suspend the member's pay. Thereafter, the Judge Advocate General or his designee will direct payment of monies to:

(1) The appointed trustee;

(2) The legal representative appointed by a State court of competent jurisdiction; or

(3) Directly to the member following a determination that the member is capable of managing his affairs.

b. The Commanding Officer, Navy Finance Center, or Commanding Officer, Marine Corps Finance Center, will notify the Judge Advocate General of any fact affecting the pay of a member mentally incapable of managing his affairs. This includes waiver of retired pay in favor of Veterans Administration compensation; death of the member; death of the trustee; or, notice of appointment of a legal representative by a State court of competent jurisdiction. At the request of the Judge Advocate General or his designee, the appropriate finance center will report all disbursements from the member's account.

c. The Navy or Marine Corps Finance Center will seek direction from the Judge Advocate General when information from other sources indicates a member is not competent to manage his affairs.

1408 EMERGENCY FUNDS AND HEALTH AND COMFORT

a. Until a trustee is appointed, the Judge Advocate General or his designee may appoint the member's commanding officer or other appropriate official to receive emergency funds up to $1,000.00 from the pay account of the member without bond. The money will be used for the benefit of the member and his legal dependents.

b. The commanding officer of any naval medical facility may designate an officer of the command to receive and account for up to $35.00 per month for the health and comfort of a member who is found mentally incapable of handling his affairs and who is a patient at the naval medical facility, if:

(1) A trustee has not been designated under this chapter and a committee, guardian, or other legal representative has not been appointed by a State court of competent jurisdiction;

(2) The member has no other funds available for use in his own behalf; and

(3) The funds are necessary for the purchase of items necessary for the health and comfort of the member.

c. This section will be cited on the pay voucher as authority for payment and receipt of such funds.

1409 REPORTS AND SUPERVISION OF TRUSTEES

a. Accounting reports. The trustee designated under this chapter will submit accounting reports annually or at such other times as the Judge Advocate General or his designee directs. The Judge Advocate General will provide forms to be used by trustees for the required accounting report. The report will account for all funds received from the Navy or Marine Corps on behalf of the member. When payments to a trustee are terminated for any reason, the trustee will submit a final accounting report to the Judge Advocate General. Upon approval of the final accounting report, the trustee and the surety will be discharged from liability.

b. Failure to submit a report and default. If an accounting report is not received by the date designated by the Judge Advocate General or his designee, or an accounting is unsatisfactory, the Judge Advocate General or his designee will notify the trustee in writing. If a satisfactory accounting is not received by the Judge Advocate General within the time specified, the trustee will be declared in default of the trustee agreement and will become liable for all unaccounted trustee funds. If a trustee is declared in default of the trustee agreement, the appropriate finance center will be directed to terminate payments to the trustee and, if necessary, a successor trustee may be appointed. The trustee and surety will be notified in writing by the Judge Advocate General or his designee of the declaration of default. The notification will state the reasons for default, the amount of indebtedness to the Government, and will demand payment for the full amount of indebtedness. If payment in full is not received by the Judge Advocate General within an appropriate period of time from notification of default, the account may be forwarded to the Department of Justice for recovery of funds through appropriate civil action.

INDEX

Accused--See also Parties
release of information concerning.....0142
request for immediate execution of discharge.....0165, A-1-1
service of decision of Court of Criminal Appeals.....0164

Accuser.....0129

Acknowledgements--See Notarial acts

Action on JAGMAN investigative reports--See Convening authority

Administrative action, nonpunitive.....0102

Administrative fact finding bodies--See Article 139 investigations; courts of inquiry; fact-finding bodies; and investigations

Admiralty claims
adjudication..... 1216, 1217
administration.....1215
admiralty incidents.....1203
affirmative claims.....1217-1219
Coast Guard investigations.....1224
damages.....1209
evidence.....1207, 1208
foreign claims.....0812, 1216
foreign government.....1223
intragovernment incidents.....1222
liability of the Navy.....1212
National Transportation Safety Board investigations.....1224
personal injury.....1210
pilotage.....1221
private parties, dealings with.....1211
reports.....1204, 1205
salvage.....1220
settlement authority.....1213, 1217
statute of limitation.....1214, 1218
surveys.....1206
towage.....1221

Advance Payments..... 0821

Advice
prior to imposition of NJP..... 0109
after imposition of NJP.....0110e

Affidavits--See Notarial acts: sworn instruments

Aircraft Accident Investigation.....0242

Appeals
letters of censure or reprimand....0114g, 0116
nonjudicial punishment.....0116, 0117

Apprehension
of retired, reserve, and discharged personnel.....0123c
by civilian agents of Naval Criminal Investigative Service 0168

Arrest in quarters..... 0111f

Article 15--See Nonjudicial punishment

Article 69, application for relief.....0162

Article 73, new trial petition.....0163

Article 138 complaints--See Complaints of wrong

Article 139 investigations
action where offenders are members of different commands.....0407
action where offenders are members of one command.....0406
claims not cognizable..... 0403
complaint by the injured party and investigation..... 0405
effect of court-martial proceedings..... 0409
limitation on claims..... 0404
reconsideration.....0408
redress of injuries to property.....0401
scope.....0401
statutory authority.....0402

Article 1150 complaints--See Complaints of wrong

Attachments, warrant of.....0147

Attorney's fees
charged by civilian lawyers.....0710

Bail--See also Delivery of personnel

Boards and boards of investigation--See Article 139 investigations; fact-finding bodies; and investigations

Bread and water..... 0111c

Censure--See also Administrative action and Sentences.....0105, 0114

Charges, forwarding of.....0128

Check list of information required when investigating specific types of incidents
admiralty--See also Chapter XII.....0244, ...0246, 0247
aircraft accidents.....0242
Article 139 investigations--redress of injuries to property.....0401
automobile accidents.....0243
claims for or against the government.....0251
collisions, ship.....0247
death of reservists.....0253
disease or injury of reservists.....0253
explosions.....0245
firearm accidents.....0254
fires.....0249
flooding of a ship.....0248
health care incidents.....0252
loss of government funds or property.....0250
loss or stranding of a ship.....0246
pollution incidents.....0255a
postal violations.....0255d
redress of injuries to property--Article 139 investigations.....0401
reservists; injury, disease or death of..... 0253
security violations.....0255c
ship collisions.....0234, 0247
ship flooding.....0248
ship loss or stranding.....0246
sonic booms.....0251f
vehicle accidents.....0243

Citizenship.....1008

Civilian witness fees.....0144

Claims generally--See also Admiralty claims; Article 139 investigations; Federal tort claims; foreign claims; Medical Care Recovery Act claims; military claims; personnel claims; nonappropriated fund claims; "nonscope" law claims; and redress of injuries to property.
reports
admiralty..... 1204, 1205

Class A aircraft accident JAGMAN investigations 0242c

Classified material, information..... ..... .0126,.0138d, 0144, 0150c, 0159a

Clear and Convincing Evidence Standard.....0215b

Coast Guard investigations.....1224

Command investigations. See also checklist of information required; death cases; line of duty/misconduct investigations
classification.....0217b
convening authority.....0209c
convening orders.....0209d, 0212, A-2-c

convening authority endorsement..... 0209g
costs..... 0213c
disciplinary action..... 0218
evidence, types and safekeeping..... 0215c
experts and other technical support..... 0213b
GCMCA review..... 0209h
internal report..... 0209g
investigating officer..... 0213a
investigative report..... 0217, A-2-c
limitations on use..... 0209b
NCIS investigations..... 0204c, 0209d, 0217h
oaths..... 0214
photographs.....0215c, 0217h, 0233d, 0241b
privacy act compliance..... 0216, A-2-e
purpose..... 0209a
release of investigations..... 0220
retention of copies..... 0209g, 0209h
routing and copies... 0209g, 0209h, 0219, 0241
signing..... 0217g
standards of proof..... 0215
time limits..... 0209f, 0209g, 0209h
witnesses and warnings..... 0215d

Companion court-martial cases..... 0151a

Competency boards.....1404
See Mentally incompetent personnel

Complaints of wrong
administrative discharge.....0304
application.....0303, 0306
area coordinator.....0305
article 1150.....0302
article 138.....0302
authority.....0302
boards.....0304
Chief of Naval Operations.....0303e
cognizable.....0304f, 0304
collateral attack.....0304
Commandant of the Marine Corps.....0308
commanding officer.....0303, 0305, 0306
commplainant.....0305, 0306, 0307
copies to complainant.....0306, 0307
court-martial.....0304, 0307
definitions.....0303
delay.....0306, 0307
delegation.....0310
endorsements.....0306, 0308
enlisted evaluations.....0304
final actions.....0304, 0310
fitness reports.....0304
form.....0306
GCMA.....0303, 0308
inquiry.....0303, 0307
intermediate superiors.....0305
joinder, misjoinder.....0306, 0307
military records.....0304
nonjudicial punishment.....0304
not cognizable.....0304, 0307
policy.....0304
reassignment of respondent or complainant.0305
rebuttal.....0307
redress.....0303, 0306, 0307
relief for cause.....0304
reports.....0307
respondent.....0303, 0305
return.....0307
Secretary of the Navy..... 0310
time limits.....0306, 0307
withdrawal.....0306
wrong.....0303, 0304

Confinement
changing place of.....0157

Convening authority
action on court-martial cases.....0151
action on JAGMAN investigation.....0209,
.....0210, 0211
admiralty investigations.....1205
competency boards.....1404
copies of JAGMAN investigative reports; routing
of.....0209g, 0210g, 0211j, 0219
designation of by the Secretary of the
Navy.....0120
line of duty/misconduct cases.....0231
major incident.....0211b
restriction on exercise of court-martial
jurisdiction.....0122
routing of JAGMAN investigative
reports;.....0209g, 0210g, 0211j, 0219

Copies of JAGMAN investigative
reports; routing of.....0209, 0210, 0219

Copy, certified as true--See Notarial acts

Correctional custody..... 0111

Counsel--See also Legal assistance program,
Attorneys
appearance before civil courts.....0627
Federal Magistrates Act.....0625, 0626
individual military counsel.....0130b, 0131
oaths, courts-martial.....0130b
pretrial confinement.....0127

Courts-martial
accused
release of information concerning... 0142a
request for immediate execution of
discharge.....0165, A-1-l
service of decision of Court of Criminal
Appeals.....0164
accuser.....0129
application for new trial under Art. 73..0163
application for relief under Art. 69.....0162
appointing orders--See Convening orders
charges, forwarding of.....0128
civilian witness fees.....01461
classified material/information.....
.....0126, 1038d, 0144, 0150c, 0159a
common or joint trial, review of.....0155a
companion cases tried separately.....0151a
concurrent jurisdiction over major
Federal offenses.....0124
convening authorities, designation of....0120
convening authority action.....0151, 0152
costs.....0145
expert witness fees.....0146
fleet reserve and fleet Marine Corps
reserve.....0123
forfeitures.....0152a
immunity.....0138, A-1-i
indebtedness--See setoff
information, release of.....0142
interpreters.....0130d
jurisdiction
concurrent over major Federal
offenses.....0124
over reserve component
personnel.....0123
over retired and discharged members...0123
military judge
oaths.....0130
new trial petition.....0163
oaths.....0130
presentencing data.....0141
pretrial agreement.....0137
pretrial restraint, reserve component
personnel.....0123
promulgating orders.....0155, 0156
promulgation package, NMCAA decision.....0155
public trial.....0143
records of trial
authentication.....0150a
disposition after review in field.....0153
filing.....0154
release under FOIA.....0505c, 0528b
security classification.....0150c
reserve component personnel
inactive duty training convening
authority..... 0123
jurisdiction over.....0123d
pretrial restraint over.....0123c
punishment limitations.....0134
release from active duty after trial..0134
retention on active duty after trial..0134
restrictions on exercise of jurisdiction
cases involving national security.....0126
major Federal offenses.....0125
prior adjudication in civilian court..0124
retired personnel.....0123
units attached to a ship.....0122b
retired personnel.....0123
review.....0151
sentences, See Sentences
setoff of indebtedness.....0167

spectators, exclusion of.....0143
superior competent authority, definition..0129
units attached to a ship.....0122b
warrants of attachment.....0147
witnesses.....0138, 0146

Court of Criminal Appeals, service of
decision on accused.....0164

Courts and boards of inquiry. See also checklist of information required; death cases; line of duty/misconduct investigations
advance copies 0211l
advisors 0211d
classification.....0217b
convening authority.....0211b, 0211c, 0211e
convening orders..... 0211f
convening authority endorsement..... 0211j
costs..... 0213c
death cases..... 0238
disciplinary action..... 0211j, 0218
evidence, types and safekeeping.....0215c
experts/other technical support.. 0211d, 0213b
major incident..... 0211a, A-2-a
membership..... 0211b, 0211c
NCIS investigations..... 0217h
oaths..... 0214
parties..... A-2-b
photographs..... 0215c, 0217h, 0233d, 0241b
privacy act compliance.....0216, A-2-e
release of investigations..... 0220
retention.....0211j
review..... 0211k
routing and copies... 0211j, 0211k, 0219, 0241
standards of proof..... 0215
subpoena power..... 0211b, 0211c
time limits.....0211i, 0211j, 0211k
witnesses and warnings.....0215d

Customs, duties and import/export restrictions
abuse of privilege.....1102
alcoholic beverages from
Puerto Rico.....1117
articles accompanying returning residents.....1106
alcoholic beverages.....1106c, 1117
articles exempted.....1106-1110
basis for exemption.....1102
eligibility for exemption.....1103
family grouping.....1106
frequency of exemption.....1107b
time requirements.....1106
tobacco.....1106c, 1109
articles accompanying nonresidents
alcoholic beverages.....1106c
articles exempted.....1107b
basis for exemption.....1107a
eligibility for exemption.....1107a
frequency of exemption.....1107
gifts.....1107
tobacco.....1107
commanding officers, action by.....1103, 1104
export controls.....1118, 1119
foreign countries, gifts sent from
alcoholic beverages..... 1110b
basis for exemption.....1110a
bona fide required.....1110b
eligibility for exemption.....1110a
mailing.....1110c
tobacco..... 1110b
value.....1110b
nonresidents.....1107b
household goods
alcoholic beverages.....1108b
articles exempted.....1108b
basis for exemption.....1108a
eligibility for exemption.....1108a
extended duty required.....1108a
hardships.....1108c
interim returns.....1108a
possession abroad.....1108b
tobacco.....1108b
waiver, hardship cases.....1108c
privately owned motor vehicles,
importation of Federal safety standards.....1114
privately owned firearms and
ammunition.....1116
privately owned pleasure boats,
Federal safety standards.....1115
prohibited articles.....1111
prosecution.....1102f
restricted articles.....1111, 1112
sea-store cigarettes.....1109
State laws.....1117
tobacco from Puerto Rico.....1117
violations.....1102

Damages
admiralty claims.....1209
Article 139 investigations--redress of injuries to property..0401, 0402, 0404
Federal tort claims.....0805
foreign claims.....0813
measure of.....0813

Death cases, administrative investigations. See also command investigations; courts and boards of inquiry; litigation-report investigations
autopsies.....0236
civilians.....0235
courts and boards of inquiry.....0211,0238
enemy action.....0235a
"friendly fire" incidents.....0235b
independent review.....0239
investigation required.....0235b
investigations not required.....0235a
limited investigation.....0235c
line of duty/misconduct determinations prohibited.....0237
major incidents.....0204, 0211, 0238, A-2-a
NCIS notification.....0234b
photographs.....0241b
release of death investigations.....0234d
routing, special considerations.....0241
special considerations.....0234a
standard of proof.....0240
time limits.....0234c
unavailability of documents.....0236b

Definition (as used in JAG Manual)
action JAG designees.....0802
claim (Foreign Claims Act).....0808
command investigation.....0209
court of inquiry.....0211
litigation report investigation.....0210
line of duty.....0223
major incident.....0204, 0211, A-2-a
misconduct.....0224
scope of employment.....0811d
service of process.....0616

Delivery of personnel--See also Service of process
agreement to deliver.....0608a
Federal authorities.....0608b
State authorities.....0607
Article 14..... 0607a, 0613
authority to deliver.....0608a
bail.....0611
beyond territorial limits of requesting State 0604
extradition, waiver of.....0604b
fugitive warrants.....0604c
foreign authorities.....0609
habeas corpus. 0615
interstate agreement on Detainers Act..... .....0607b, 0614
interviewing naval personnel by Federal civilian.....0612
JAG authority.....0606
own recognizance.....0611
personnel released by civil authorities on bail or their own recognizance.....0611
personnel serving sentence of court-martial 0613
refusal of delivery.....0610b
reports
habeas corpus..... 0615
refused delivery..... 0610
serving sentence of state court..... 0614
stationed outside the U.S.....0605
territorial limits of requesting State..... .....0603, 0604

Detainers Act (18 U.S.C.A. App.)
generally.....0607, 0610c, 0614b

Disposition (Routing) of JAGMAN
investigative reports...0209, 0210, 0211, 0219

Effective date of sentence.....0113, 0152

Embarked units, convening courts-martial.....0122b

Evidence
admiralty.....1207
claims.....0804, 0805
administrative investigations.....0215

Execution of sentences.....0152

Exhibits--See Evidence

Expanded legal assistance program--See legal assistance program

Expert as member of
investigations.....0213

Expert witnesses.....01461, 0211e

Extradition--See Delivery of personnel

Extra duties.....0111d

Federal Calims Collection Act--See general claims

Federal Magistrates Act.....0625, 0626

Federal Tort Claims Act--See general claims

Fees
charged by civilian attorneys.....0710
civilian witnesses in courts-martial.....0146
expanded legal assistance program.....0711
legal assistance generally.....0708

Firearms, injuries caused by.....0254

Fires.....0249

Flooding, ship.....0248

FOIA--See Freedom of Information Act

Foreign claims
admiralty claims..... 1216
claims not payable..... 0812
claims payable..... 0811
computing payment..... 0813
definition..... 0808
filing the claim..... 0810
foreign claims commissions..... 0814
processing of cases..... 0815
reports required..... 0816
statutory authority..... 0809

Foreign criminal jurisdiction..... 1010

Foreign environmental concerns..... 1006

Foreign litigation..... 1007

Forfeitures, Fines--See also Sentences
effective date..... 0112b, 0152
initial review and action on..... 0151a

Forms
court-martial..... 0148

Freedom of Information Act
action by IDA.....0511
action by release authorities.....0510
affirmative claims files.....0528c
background.....0503
citing FOIA.....0501
definitions.....0504
exemptions.....0506
fees.....0512
litigation, requests when in.....0525
mailing lists.....0508
nonjudicial punishment results.....0509
policy.....0502
records of trial.....0505
responsibilities.....0505

Fugitive warrants.....0604c

General claims
action by receiving command.....0806
action when suit filed.....0807
advance payments.....0821e
death cases.....0803, 0804
Federal Claims Collection Act.....0802a
Federal Tort Claims Act.....0802a
foreign claims--See generally foreign claims
generally.....0803
investigations.....0803, 0804
mail claims.....0802a
measure of damages.....0805, 0813
Medical Care Recovery Act.....0802a
Military Claims Act.....0802a
Military Personnel and Civilian Employees' Claims Act.....0802a
Nonscope Claims Act.....0802a
presentment.....0810
proper claimants.....0808
responsibilities.....0802
scope.....0801
scope of employment.....0804c, 0811d
single service responsibility.....0810

Gifts--See Customs, duties, and import/export restrictions

Grant of immunity.....0138, 0139, 0140, A-1-i

Guns, injuries caused by.....0254

Habeas corpus.....0615

Humanitarian assistance.....1002

Immigration.....1008

Immunity from prosecution or use of
testimony.....0139

Incidents at sea.....1002

Incompetency
See Mentally incompetent personnel

Indebtedness, setoff against pay.....0167

Information--See Freedom of Information Act and Privacy Act

Injury--See also Line of duty

Insanity--See Line of duty

International agreements.....1003

International environmental concerns.....1006

Interrogation of criminal suspects form.....
.....0170, A-1-m

Interstate Agreement on Detainers Act.0607b, 0613b

Interviewing of naval personnel by Federal
civilian investigative agencies.....0612

JAG Manual investigations--See Ch. II

Joint regulations on claims collection.....0810

Judge Advocate General
Article 69, UCMJ petition.....0162
new trial petition, action on.....0163
permission for court-martial after civil adjudication.....0124

Law of the sea.....1002

Lawful permanent resident.....1008

Legal Assistance Program
attorneys, legal assistance
appearance before civilian courts.....0708a, 0711
basic duties.....0708
fees, prohibition.....0710
professional conduct.....0704

compensation, generally.....0710
eligibility for.....0706
expanded legal assistance program.....0711
appearance before civilian courts....0711a
eligibility.....0711b
fees
charged by civilian attorneys.....0710
prohibited for legal assistance attorneys
.....0710
files, case.....0707
limitations on assistance
subject to availability basis.....0701d
business related legal advice.....0709a
domestic relations cases.....0708a
military criminal matters.....0709b
opposing parties.....0709c
representation before civilian
courts.....0708a, 0711
telephone inquiries.....0709e
third parties, advice to 0709f
U.S., proceedings involving.....0709d
non-lawyer personnel.....0705
privileged service.....0707
providers, legal assistance.....0703
purpose.....0701
records, office.....0707
referrals.....0710
scope.....0701
services provided.....0708
supervision
of legal assistance program.....0702a
of legal assistance officer.....0702b

Letters of
censure.....0105, 0113c, 0114, A-1-a, A-1-g

Liaison with the U.S. Attorney.....0624

Line of duty/misconduct investigations. See also command investigations; courts and boards of inquiry; litigation-report investigations
checklist.....0233
command investigation required.....0230d
convening authority action.....0231a
disability retirement & severance pay....0231c
disease, alcohol & drug-induced.....0227c
drug abuse.....0227
extension of enlistment.....0231c
forfeiture of pay.....0231c
GCMCA action.....0231b
health record entry.....0230c
intoxication.....0227
line of duty, definition of.....0223
loss of longevity & retirement multiplier0231c
mental responsibility.....0226
misconduct, definition of.....0224
possible findings.....0225b
preliminary inquiry required.....0230a
privacy act compliance.....0216, A-2-e
relationship, disciplinary action.....0229
relationship, line of duty & misconduct...0225
refusal of medical/dental treatment.....0228
reporting results of preliminary inquiry.0230b
reservists, special considerations.....0232
service member's rights.....0231a
suicide attempts & gestures.....0226c
unauthorized absence.....0223c
VA benefits.....0231c
warnings.....0215d, 0216, 0221b, A-2-g
when required.....0221
why required.....0222

Litigation report investigations. See also checklist of information required; death cases; line of duty/misconduct investigations
classification 0217b
consultation with judge advocate..0210a, 0210b
convening authority.....0210c
convening orders.....0210d, 0212, A-2-d
convening authority endorsement.....0210g
costs.....0213c
disciplinary action.....0218
evidence, types and safekeeping.....0215c
experts and other technical support.....0213b
FOUO markings.....0210e, 0210g, 0210h
GCMCA review.....0210b
investigating officer.....0213a
investigative report.....0217, A-2-d
NCIS investigations.....0204c, 0217h
oaths.....0214
photographs.....0215c, 0217h, 0233d, 0241b
privacy act compliance.....0216, A-2-e
purpose.....0210a
release of investigations.....0220
retention of copies.....0210g, 0210h
routing and copies...0210g, 0210h, 0219, 0241
signing.....0217g
standards of proof.....0215
supervision by judge advocate.....0210c
time limits.....0210f, 0210g, 0210h
witnesses and warnings.....0215d

Major incidents
defined.....0211a, A-2-a
death cases.....0238
preliminary inquiry.....0204
procedures for.....0204, 0211
standard of proof.....0215

Marriage overseas.....1008

Medical Care Recovery Act--See General claims

Mentally incompetent personnel, payments due
authority to designate trustee.....1403
emergency funds.....1408
health and comfort.....1408
interviewing officer duties and
recommendation.....1405
medical exams, procedures for.....1404
pay account, status of.....1407
reports.....1409
statutory authority.....1402
trustee
authority to designate.....1403
procedure for designation.....1405
reports.....1409
supervision of.....1409

Military Care Recovery Act--See General claims

Military Claims Act--See General claims

Misconduct--See Line of duty

Multiservice command
appeal of NJP, authority to act on.....0117c
designation of NJP authority.....0106d

National security; cases involving
definition of.....0126, 0159
disposition of.....0126
immunity grants.....0138d
investigation required.....0126
notification required.....0126
pretrial agreements.....0126
remission and suspension of sentences....0158

National Transportation Safety Board.....1224

Naturalization.....1008

Naval Criminal Investigative Service (NCIS)
apprehension by agents of.....0168

Naval operations..... 1002

Naval warfare.....1002

New trial under Art. 73, UCMJ, petition for...0163

Nonjudicial punishment
acknowledgement of rights.A-1-b through A-1-d
advice
after imposition.....0110e
before hearing.....0109
announcement of disposition.....0115
appeals.....0116, 0117, A-1-f
authority to impose.....0106
effective date and execution of
punishments.....0113
guide for.....0110, A-1-e
hearing requirements.....0110
jurisdiction.....0107
letters of censure.....0114, A-1-a, A-1-g
mitigation.....0118
multiservice commander.....0106d, 0117c
nonpunitive measures.....0111

officer NJP report.....A-1-Q
prior adjudication in civil court.....0108b
procedures.....0110
punishments.....0111
record of punishment.....0119
refusal of.....0109
remission.....0118
reserve component personnel, jurisdiction over.....0112
standard of proof.....0110b
successor in command, defined.....0118a
suspension.....0118b
vacation of suspension.....0118d

Nonscope Claims Act--See General claims

Notarial acts
acknowledgements.....0906, 0908
copy, certified as true.....0908j
Federal authority.....0902a
instructions
general.....0908
special.....0910
legal effectiveness.....0902, 0903c
non-Federal authority.....0903a
notary logs.....0909
scope.....0901, 0904
seals.....0908
State laws, summary of.....0910
sworn instruments.....0907, 0908
Uniform Law on Notarial Acts.....0905
Uniform Recognition of Acknowledgements Act.....0905
witnesses.....0908g

Nuclear weapons.....1002

Oaths.....0130, 0214

Official records, production of
certificates of full, faith, and credit...0529
court order
absence of.....0528
response to.....0525
Privacy Act.....0523

Parties.....A-2-b

Passport.....1008

Pay
forfeiture.....0112, 0152a
setoff of indebtedness against.....0167
suspension of, mentally incompetent personnel.....1407

Payments due mentally incompetent personnel
See Mentally incompetent personnel

Photographs
administrataive investigations..... 0215c 0217h, 0233d, 0241d
admiralty matters.....1207

Pilotage.....1221

Political asylum.....1005

Pollution.....1006, 1309

Postal violations, investigation of.....0802

Preliminary inquiry. See also checklist of information required; command investigations; courts and boards of inquiry; death cases; line of duty/misconduct investigations
consulting with judge advocate.....0206
convening authority.....0204d
format.....0204e, A-2-h
ISIC review.....0204i
line of duty/misconduct cases.....0230a
major incidents.....0204g, A-2-a
method of conducting.....0204e
NCIS investigatons.....0204c
no further action.....0207
options upon completion.....0205
purpose.....0204b
reporting results.....0204h
time limits.....0204f

Preponderance of Evidence..... 0215

Pretrial agreements.....0137

Pretrial restraint.....0127

Prisoners of war, claims by.....0811d, 0812c

Privacy Act
background.....0514
citing the Privacy Act.....0501
collection of information.....0520
definitions.....0515
disclosure accountings.....0519
disclosure to others.....0518
policy.....0513
Privacy Act statement.....0520
procedures.....0517
responsibilities.....0516
safeguarding personal information.....0521

Privacy Act statement--See admiralty claims; Article 138 investigations; Article 139 investigations; claims; courts of Inquiry; foreign claims; fact-finding body not required to conduct hearing; fact-finding body required to conduct hearing; grant of immunity; line of duty and misconduct; parties; Privacy Act; witnesses; and official records

Production of official records--See Official records

Promulgating orders, courts-martial..... 0155

Promulgation package, Court of Criminal Appeals decision.....0164

Property, damage to--See Article 139 investigations

Quarantine..... 1002

Records--See Freedom of Information Act and Privacy Act

Redress of injuri^ t property--See Article 139 investigations

Reduction in grade limitation, nonjudicial punishment.....0111

Release of information concerning accused.....0142

Release of official information and testimony for
litigation purposes
certificates of full faith and credit....0529
definitions.....0524
medical and other records of civilian employees..... 0527
policy.....0522
production of official records in the absence of a court order..... 0528
records in the custody of the National Personnel Records Center..... 0526
relationship with FOIA and the Privacy Act..... 0523
responsibilities.....0525

Remission of punishments
courts-martial.....0158
nonjudicial punishment.....0118

Reporters and interpreters
courts-martial.....0130d

Reports
admiralty.....1204, 1205
mentally incompetent personnel.....1409
summary court-martial..... A-1-p

Reserve component personnel, See Nonjudicial punishment; Courts-martial

Retired personnel, Se . Courts-martial

Review
convening authority, court-martial.....0151
relief, application under Art. 69 for....0162

Safety investigations..... 0242b, 0244b

Salvage..... 1220

Scope of employment..... 0811d

Seals--See Notarial acts

Search and seizure forms..... 0170, A-1-n, A-1-o

Search of vessel by foreign authorities..... 1002

Security assistance..... 1004

Security violations, investigations of..... 0255c

Self-incrimination..... 0170

Sentences
- censure..... 0114, A-1-a, A-1-g
- confinement--See Confinement
- convening authority action..... 0151
- discharge
  - convening authority action..... 0151a
  - execution of..... 0157
  - immediate execution..... 0165, A-1-1
- execution of sentence..... 0157
- forfeiture..... 0152
- matters presented before sentencing..... 0141
- national security cases..... 0159a
- remission..... 0158
- suspension..... 0158
- vacation of suspension..... 0160

Service of process and subpoenas upon personnel of the naval establishment--See also Delivery of personnel; Subpoenas
- arising from official duty..... 0616b
- foreign court service of process..... 0616c
- interviewing personnel..... 0620
- leave or liberty granted..... 0616d
- prisoners..... 0619
- reports
  - habeas corpus.....0615b
  - service not allowed.....0616e
  - suits against the U.S.....0621
- witnesses
  - Federal courts.....0618
  - prisoners.....0619
  - State or local courts.....0617

Setoff of indebtedness against pay.....0167

Ship
- collision.....0247
- fires.....0249
- flooding.....0248
- loss or stranding..... 0246

Single service responsibility..... 0810

Solatia..... 1010

Sonic booms, investigation of..... 0251f

Spectators
- courts-martial..... 0143

Statement regarding disease or injury.....
..... 0221b, A-2-g

Status of Forces Agreements..... 1009

Statute of limitation
- admiralty claims..... 1214, 1218
- Article 139 investigations--redress of injuries to property..... 0404
- foreign claims..... 0810

Subpoenas--
See also Service of process..... 1205

Summary court-martial record of trial..... 0150d

Surveys.....1206

Suspension of punishment
- nonjudicial punishment.....0118
- court-martial sentence.....0158
- punitive letters.....0113c

Sworn statements--See Notarial acts: sworn instruments

Temporary refuge.....1005

Third party liability.....0813

Tobacco--See Customs, duties, and import/export restrictions

Towage.....1221

Trustee designations.....1405
See Mentally incompetent personnel

Unauthorized absence.....0223c

Uniform Law on Notarial Acts--See Notarial acts

Uniform Recognition of Acknowledgements Act--See Notarial acts

Vacation of suspension
- nonjudicial punishment.....0118
- court-martial sentence.....0160

Vehicle accidents, investigation of.....0243

Vessels--See Admiralty claims

Visa.....1008

Warning required when interviewing injured service members.....0221b, A-2-g

Warrants of attachment.....0147

Witnesses
- administrative investigations.....0215d
- admiralty.....1210
- civilian witness fees.....0146
- courts-martial.....0146
- expert witnesses.....0146
- Federal courts.....0618
- foreign nationals.....0146
- immunity from prosecution.....0138, A-1-i
- notarial acts.....0908g
- on behalf of the Federal Government.....0618
- prisoners as witnesses.....0619
- Privacy Act.....0216
- State and local courts.....0617
- travel expense and per diem.....0145

Wrongs, complaint of--See Complaints of wrong