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# NAVAL POSTGRADUATE SCHOOL

Monterey, California



## THESIS

AN EXPLORATORY ANALYSIS OF MISCONDUCT  
BEHAVIOR WITHIN THE RADIOMAN RATE AND  
ITS POTENTIAL EFFECT ON SECURITY

by

John Fred Teates

June 1986

Co-Advisors:

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T233196





**REPORT DOCUMENTATION PAGE**

REPORT SECURITY CLASSIFICATION UNCLASSIFIED		1b. RESTRICTIVE MARKINGS	
SECURITY CLASSIFICATION AUTHORITY		3 DISTRIBUTION/AVAILABILITY OF REPORT Approved for public release; distribution is unlimited.	
DECLASSIFICATION/DOWNGRADING SCHEDULE		5 MONITORING ORGANIZATION REPORT NUMBER(S)	
PERFORMING ORGANIZATION REPORT NUMBER(S)		7a NAME OF MONITORING ORGANIZATION Naval Postgraduate School	
NAME OF PERFORMING ORGANIZATION Naval Postgraduate School	6b OFFICE SYMBOL (If applicable) Code 54	7b ADDRESS (City, State, and ZIP Code) Monterey, California 93943-5000	
ADDRESS (City, State, and ZIP Code) Monterey, California 93943-5000		9 PROCUREMENT INSTRUMENT IDENTIFICATION NUMBER	
NAME OF FUNDING / SPONSORING ORGANIZATION	8b OFFICE SYMBOL (If applicable)	10 SOURCE OF FUNDING NUMBERS	
ADDRESS (City, State, and ZIP Code)		PROGRAM ELEMENT NO	TASK NO
		PROJECT NO	WORK UNIT ACCESSION NO

**TITLE (Include Security Classification)** AN EXPLORATORY ANALYSIS OF MISCONDUCT BEHAVIOR WITHIN THE RADIOMAN RATE AND ITS POTENTIAL EFFECT ON SECURITY

**PERSONAL AUTHOR(S)**  
Swenson, John F.

<b>TYPE OF REPORT</b> Master's Thesis	<b>13b TIME COVERED</b> FROM _____ TO _____	<b>14 DATE OF REPORT (Year, Month, Day)</b> 1986 June	<b>15 PAGE COUNT</b> 116
--	--	--	-----------------------------

**SUPPLEMENTARY NOTATION**

COSATI CODES			18 SUBJECT TERMS (Continue on reverse if necessary and identify by block number)
FIELD	GROUP	SUB-GROUP	
			Security, Clearances, Radioman Rate, Personal Security, Stilwell Commission, ENTNAC, AFQT, ASVAB, Misconduct, OPNAVINST 5510

**ABSTRACT (Continue on reverse if necessary and identify by block number)** An exploratory analysis of misconduct charges within the Radioman rate was conducted to determine whether these individuals constituted a potential threat to the security of classified information. Two aspects of personnel security examined were pre-service screening procedures and command administrative processes.

It was concluded that ASVAB scores and AFQT percentiles were not good predictors of security risks. Pre-service moral character behaviors and in-service interviews did indicate something about an individual's attitude toward rules and regulations. There appeared to be some inconsistency in the application of moral waiver standards. The administrative separation process is deliberate and structured. Commands that provided succinct and accurate recommendations for separation were responded to in a more timely manner.

<b>DISTRIBUTION/AVAILABILITY OF ABSTRACT</b> <input checked="" type="checkbox"/> UNCLASSIFIED/UNLIMITED <input type="checkbox"/> SAME AS RPT <input type="checkbox"/> DTIC USERS		<b>21 ABSTRACT SECURITY CLASSIFICATION</b> UNCLASSIFIED	
<b>NAME OF RESPONSIBLE INDIVIDUAL</b> Thomas G. Swenson		<b>22b TELEPHONE (Include Area Code)</b> (408) 646-2686	<b>22c OFFICE SYMBOL</b> 54Sw

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An Exploratory Analysis of Misconduct Behavior within the  
Radioman Rate and its Potential Effect on Security

by

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Lieutenant Commander, United States Navy  
B. S., Southwest Texas State University, 1973

Submitted in partial fulfillment of the  
requirements for the degree of

MASTER OF SCIENCE IN MANAGEMENT

from the

NAVAL POSTGRADUATE SCHOOL  
June 1986

## ABSTRACT

An exploratory analysis of misconduct discharges within the Radioman rate was conducted to determine whether these individuals constituted a potential threat to the security of classified information. Two aspects of personnel security examined were pre-service screening procedures and command administrative processes.

It was concluded that ASVAB scores and AFQT percentiles were not good predictors of security risks. Pre-service moral character behaviors and in-service interviews did indicate something about an individual's attitude toward rules and regulations. There appeared to be some inconsistency in the application of moral waiver standards. The administrative separation process is deliberate and structured. Commands that provided succinct and accurate recommendations for separation were responded to in a more timely manner.

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TABLE OF CONTENTS

I. INTRODUCTION ----- 8

    A. PURPOSE ----- 8

    B. OVERVIEW ----- 8

    C. GENERAL DESCRIPTION OF THE THESIS ----- 9

    D. OBJECTIVES OF THE THESIS ----- 11

    E. DEFINITION OF TERMS ----- 11

    F. THESIS OUTLINE ----- 13

II. LITERATURE REVIEW AND BACKGROUND ----- 15

    A. OVERVIEW ----- 15

    B. PURPOSE ----- 16

    C. LITERATURE REVIEW ----- 16

    D. BACKGROUND ----- 18

        1. Service Accession Screening ----- 18

        2. The Administrative Separation Process ----- 38

    E. CHARACTERIZATION OF SERVICE ----- 44

III. METHODOLOGY ----- 47

    A. OVERVIEW ----- 47

    B. DATA BASE ----- 47

    C. DATA COLLECTION ----- 48

    D. CASE ANALYSIS ----- 50

IV. RESULTS AND ANALYSIS ----- 53

    A. OVERVIEW ----- 53

    B. DEMOGRAPHIC RESULTS ----- 53

C.	DEFENSE INVESTIGATIVE SERVICES RESULTS -----	58
D.	ARMED SERVICES VOCATIONAL APTITUDE BATTERY ---	61
E.	MORAL WAIVER RESULTS -----	67
F.	ADMINISTRATIVE SEPARATION RESULTS -----	69
G.	NONJUDICIAL PUNISHMENT RESULTS -----	72
V.	CONCLUSIONS AND RECOMMENDATIONS -----	78
A.	CONCLUSIONS -----	78
B.	RECOMMENDATIONS -----	82
C.	AREAS FOR FURTHER RESEARCH -----	83
APPENDIX A:	RECORD OF MILITARY PROCESSING--ARMED FORCES OF THE UNITED STATES -----	85
APPENDIX B:	USN ALCOHOL AND DRUG ABUSE SCREENING CERTIFICATE -----	92
APPENDIX C:	RECRUITER'S REQUEST FOR ELIGIBILITY WAIVER -----	96
APPENDIX D:	DRUG AND ALCOHOL ABUSE STATEMENT OF UNDERSTANDING -----	97
APPENDIX E:	POLICE RECORD CHECK -----	99
APPENDIX F:	PERSONNEL SECURITY QUESTIONNAIRE -----	100
APPENDIX G:	REQUEST FOR PERSONNEL SECURITY INVESTIGATION -----	103
APPENDIX H:	MORAL BEHAVIOR STANDARDS -----	105
APPENDIX I:	SUMMARY OF PUNITATIVE ARTICLES -----	109
	LIST OF REFERENCES -----	113
	INITIAL DISTRIBUTION LIST -----	115

LIST OF TABLES

I.	PERSONNEL SECURITY INVESTIGATIONS -----	28
II.	NAVY MORAL STANDARDS -----	35
III.	MORAL WAIVER CODES -----	37
IV.	PERCENTAGE OF HIGH SCHOOL GRADUATES AMONG RECRUITS WITH AVERAGE SCORES ON THE ASVAB WORD KNOWLEDGE TEST -----	57
V.	ACTIVE DUTY ENLISTED NAVAL PERSONNEL-- RADIOMAN RATE -----	63
VI.	AFQT CATEGORIES BY STUDY SAMPLE -----	64
VII.	DISTRIBUTION OF NJP'S, VIOLATIONS AND MONTHS TO FIRST NJP BY AFQT CATEGORY -----	65
VIII.	DISTRIBUTION OF NJP'S, VIOLATIONS AND MONTHS TO FIRST NJP BY HIGH SCHOOL GRADUATE AND NON- HIGH SCHOOL GRADUATE, AFQT CATEGORIES -----	66
IX.	COMPARISON OF UCMJ VIOLATIONS TO MORAL WAIVER ACCESSION GROUPS -----	76

## LIST OF FIGURES

1. Composition of Armed Services Vocational Aptitude Battery -----	22
2. The Armed Forces Qualification Test Profile -----	23
3. First Term Enlistment Screening Phases -----	30
4. Moral Waiver Review Level -----	34
5. Articles Applied in Misconduct Charges -----	39



## I. INTRODUCTION

### A. PURPOSE

The purpose of this thesis is to conduct an exploratory analysis of misconduct discharges within the Radioman rate in a three year period to determine whether these individuals constituted a potential threat to the security of classified information. Two aspects of personnel security are examined, pre-service screening procedures and Command administrative processes applied to individuals who exhibit misconduct behavior.

### B. OVERVIEW

Misconduct separation was chosen because it offered a diversity of reasons for discharge, compared to homosexuality, court-martial, or character behavioral disorders, which have specific procedures and automatically require separation.

Areas examined in pre-service screening include oral and written interview procedures associated with the Armed Forces application process, Entrance National Agency Checks, Personnel Security Questionnaires and moral waivers. The administrative process includes: (1) defining what actions constitute misconduct behavior, (2) enlisted administrative separation procedures, and (3) command responsibilities in the discharge process.

To understand misconduct and its potential effect on security, a framework of the system must be established. Examining pre-service administrative processes will enlighten the reader to the screening process employed in selecting individuals for the Radioman rate.

In cases where a pattern of misconduct is substantiated by evidence, an understanding of the fundamental administrative processes will show legal steps available to the command for separating the service member from classified information.

The design of the thesis research is to demonstrate that present methods of protecting classified information are consistent with the objectives of the Department of the Navy's Information and Personnel Security Program, are functionally adequate and are effective if properly administered. The importance of the research is to show that, in spite of recent reports of public disclosures of classified information and espionage, the methodology of selecting individuals for positions of trust and responsibility is basically sound and confidence in the process should be maintained.

### C. GENERAL DESCRIPTION OF THE THESIS

Responding to a series of recent disclosures of classified information to foreign governments, Secretary of Defense Casper Weinberger established the Department of

Defense (DoD) Security Review Commission (often referred to as the Stilwell Commission). The purpose of the Stilwell Commission was to:

Conduct a review and evaluation of DoD security policies and procedures and identify any systematic vulnerabilities or weaknesses in DoD security programs including an analysis of lessons learned from incidents which have occurred recently, and make recommendations for change, as appropriate. (Stilwell, 1985, p. 1)

This commission took under its purview virtually every aspect of security, from procedures used to grant clearances through the system of document classification. The Commission found that current procedures are adequate to accomplish the objective of protecting classified documents from unauthorized individuals, while noting that attention to those procedures could be improved.

The Stilwell Commission, in its investigation of DoD policy and procedures, charged "the professionalism of security personnel must be enhanced" (Stilwell, 1985, p. 12). The Commission found DoD lacking prescribed minimal levels of training for security personnel. In most cases, training is narrow in scope, inadequate and not mandatory. Because of the very nature of security and what it encompasses, many of the individuals performing security duties do not appreciate nor understand the full implication of the program they are/were responsible for administering. The Stilwell Commission recommended DoD "establish training standards, direct development of basic courses of

instruction for the several security disciplines and prescribe requirements for certification" (Stilwell, 1985, p. 13).

The security and protection of classified information is the responsibility of each individual who has a clearance. This cannot be underscored enough. A key to substantial improvement in our security posture is continuing attention to the administration of existing programs.

#### D. OBJECTIVES OF THE THESIS

The principal focus of this paper lies in two areas. First, given the present selection process, are pre-service screening procedures consistent with the Department of Defense and the Department of the Navy's objectives in protecting classified information? Second, are present administrative processes inadequate or too detailed and complex and therefore indirectly contributing to the potential compromise of information? Current regulations, directives and literature were reviewed in an attempt to answer these questions.

#### E. DEFINITION OF TERMS

Some of the frequently used terms in this thesis are defined in this section.

1. Access: The ability and opportunity to obtain knowledge or possession of classified information.

2. AFQT: Armed Forces Qualification Test. Consisting of verbal and mathematical subtests from the ASVAB. The test score is used in determining qualification for the Armed Forces. The AFQT yields 5 categories representing ability levels indicative of success in military training.
3. ASVAB: Armed Services Vocational Aptitude Battery. The ASVAB is a set of short, relatively homogeneous ability tests designed to be used for two broad applications: (1) selection and classification of applicants for military enlistment, and (2) vocational guidance in high schools.
4. Classified Information: Official information which has been determined to require, in the interest of national security, protection against disclosure and which has been so designated.
5. Clearance: An administrative determination by competent authority that an individual is eligible for access to classified information of a specific classification category.
6. Compromise: A security violation which has resulted in confirmed or suspected exposure of classified information or material to an unauthorized person.
7. First Term Enlisted: An individual who is serving on an initial contract in the regular Navy. This includes personnel with prior active service in other Services, in the Naval Reserve or as a USN-Selectee.
8. Misconduct: A pattern of minor violations of the UCMJ, or involvement in incidents of a discreditable nature with civil and/or Naval authorities, or a pattern of dishonorable failure to pay just debts or provide adequate support to dependents.
9. Moral Standards: These are categories of character standards employed by all services for the purpose of determining whether certain patterns of past behavior render an individual eligible or ineligible for enlistment. The specific patterns of offenses for which each type of moral waiver may be given vary across Services.
10. Personnel Security Clearance: An administrative determination by competent authority that an individual is eligible for access to classified information of a specific classification category.

11. Secret: The second highest level of classification, applied only to that information or material of which unauthorized disclosure could result in serious damage to the United States, its diplomatic, military, and intelligence efforts.
12. Security: A protected condition of classified information which prevents unauthorized persons from obtaining information of direct or indirect military value.
13. Top Secret: The highest level of classification applied only to that information or material of which unauthorized disclosure could result in exceptionally grave damage to the United States, its diplomatic, military, and intelligence efforts.
14. Non-Judicial Punishment: The imposition of disciplinary punishment for a minor offense without the intervention of a court martial. Discipline may be in conjunction with or in lieu of administering admonition or reprimand. Also known as Article 15 punishment.

#### F. THESIS OUTLINE

Chapter I provides a brief overview of the thesis, the purpose of the study, a general description and definitions of some of the key terms found throughout the thesis.

Chapter II briefly describes some of the pertinent literature on the subject, and provides background information on service accession screening, Armed Services Vocational Aptitude Battery tests, screening procedures and describes the administrative separation process. A basic description of the data base, data collection and methodology applied in case analysis is provided in Chapter III. Chapter IV contains the results and analysis of the cases by demographic findings, and specific topics such as

ASVAB, AFQT, moral waivers, and administrative separation.  
Conclusions of the study and recommendations are provided in  
Chapter V.

## II. LITERATURE REVIEW AND BACKGROUND

### A. OVERVIEW

The fundamental policy of the personnel security program applies primarily to eligibility for access to classified information or assignment to sensitive duties that are subject to investigation under the provisions of OPNAVINST 5510.16, "The Department of the Navy Information and Personnel Security Program Regulation." The regulation's basic policy states:

No person will be given access to classified information or be assigned to sensitive duties unless a favorable determination has been made of his or her loyalty, reliability, trustworthiness, and judgments. The initial determination will be based on a personnel security investigation (PSI) appropriate to the access required or to other considerations of the sensitivity of the duties assigned. (OPNAVINST 5510.16, 1984, p.21-1)

A very important part of the eligibility process is the screening mechanisms potential candidates must satisfy. The process of selecting the individual who best meets the needs of the Navy and at the same time fulfills the obligations required to be a Radioman is lengthy and thorough.

Because the military functions with a human commodity, no amount of screening can prevent boredom, peer pressure, or lack of job satisfaction. When the individual becomes disillusioned or loses a sense of priorities, sooner or



later a clash between the individual's own prerogative and the military's established sense of order is bound to occur.

Thus, equally important to the screening and selection process, is the administration process for separation due to misconduct. Habitual patterns of misconduct not only contribute to the disruption of normal functions, but if allowed to continue unabated could jeopardize the security of classified information.

## B. PURPOSE

This study was undertaken to explore two hypotheses: first, to analyze present screening methods for the Radioman rate to determine if procedures are adequate; and second, to examine the administrative separation process to determine if the system too lenient. Either of these factors could lead to problems in personnel security.

## C. LITERATURE REVIEW

The Stilwell Commission expressed concern about the efficacy of the adjudication process in its present modus operandi. In its report to the Secretary of Defense, the Commission stated in part:

The denial rate is low throughout the DOD but nonetheless varies widely among the military departments....Although adjudication is the final step in determining eligibility for access to classified information, such decisions are made on the basis of vague criteria, and many adjudications are inadequately trained. As a result, it is possible to reach different

adjudicative determinations in applying the same guidelines to a given set of investigative findings. (Stilwell, 1985, p.10)

This finding, in essence, summarized the problems of screening selection, moral standards and remedial alternatives for violations of security rules. Recent unauthorized disclosures of classified material by present and former Radiomen suggested a research of the rate and how individuals could affect security.

A thorough search of the Department of the Navy's current instructions and regulations for information pertaining to selection and adjudication for the Radioman rate produced limited results. Two principal documents reviewed that did discuss personnel security included the Naval Military Personnel Manual (NMPM) and OPNAVINST 5510.16, "The Department of the Navy Information and Personnel Security Program Regulation." In addition, official documentation in each file cited instructions and regulations as a point of reference. These references were examined for applicability to the case and served as a learning source with respect the way the military structure is organized to handle misconduct.

A literature review of moral standards and waivers was conducted to determine what criteria are applied to screen individuals for acceptance or rejection from admission into military service. This provided a better understanding of the individual cases, and development of character profiles.

From the ideas expressed in the Commission's report it appeared there were two critical areas of personnel security that should be examined: the screening selection process and the administrative separation process of individuals considered security risks by reason of misconduct.

#### D. BACKGROUND

##### 1. Service Accession Screening

The principal objective of personnel security determination is to ensure that:

The loyalty, reliability, judgment, and trustworthiness of those with access to classified information or those assigned to sensitive duties are such that entrusting them with classified information or assigning them to sensitive duties is clearly consistent with the interest of National security. (OPNAVINST 5510.16, 1984, p. 22-1)

A very important part of the determination process is the screening mechanisms employed to identify potential candidates whose personal background is inconsistent with the objectives of the program. First-term enlistees will, under normal circumstances, be required to participate in a combination of oral and written interview sessions. The sessions are conducted at Military Entrance Processing Stations (MEPS) and the Basic Recruit Training Centers, at Orlando, Florida, Great Lakes, Illinois, and San Diego, California.

The oral and written questions are intended to cover every aspect of an individual's history, with emphasis on

involvement with civilian law enforcement and drug abuse. Every effort is made to ensure that only qualified individuals are granted access to classified material and positions of trust.

The screening process begins at the recruiting station. Every applicant for the Armed Forces must, as part of the screening process, take a written examination to determine mental qualification (ASVAB). If the applicant is successful, the next step required is to fill out a six page form, "The Record of Military Processing--Armed Forces of the United States (DD 1966)". Appendix A contains an example of the forms.

In addition to the DD 1966 the applicant will fill out a detailed Statement of Personnel History (SPH) or Personnel Security Questionnaire (PSQ), and be interviewed by a qualified interviewer at a MEPS.

Later, when the individual is at basic training, many of the same questions are asked again as the prospective radioman completes a detailed SPH/PSQ as a prerequisite for a Background Investigation (BI). The reason for this repetitiveness is because the time between the initial application at the MEPS and the completion of the SPH/PSQ at basic training can be as short as one month or more than one year, if the individual is in the Delayed Entry Program. In addition, the screening process is intentionally redundant. Additional precautions have been

incorporated into the security program to ensure candidates are consistent in their responses throughout the screening process. Deviations and inconsistency may provide an important clue to the individual's loyalty, reliability, trustworthiness and judgment.

As the first step in the screening process, the applicant is required to take a written examination called the Armed Services Vocational Aptitude Battery (ASVAB). It is a set of short, relatively homogeneous aptitude tests. The tests results are used to:

1. Determine the suitability and eligibility of individuals for enlistment in the armed services, and
2. Provide individual aptitude data as a basis for military training and job classification.

During the timeframe of this study, there were two versions of ASVAB tests in use. The student test, ASVAB-5, was designed to be offered in a testing program for high schools and community colleges. Results of the test provided recruiters with prospective leads for later contact and career guidance. Because the testing environment was generally less than optimal (i.e. school auditorium or cafeteria), test scores were not necessarily an accurate indicator of an individual's abilities. The production tests, ASVAB-6 through 10, were administered by MEPS civilian or military testers in a controlled environment.

According to the ASVAB Test Manual (DoD 1304.12AA) of 1 July 1984, ASVAB Forms 5, 6, and 7 were introduced to

provide some measure of testing standardization and replace the service-unique classification batteries administered before entry into basic training. ASVAB Forms 6 and 7 were implemented in the MEPS in January 1976 and Form 5 was introduced into the high school program in July 1976 (ASVAB Test Manual, 1984, p. 4). In 1980, ASVAB Forms 8, 9, and 10 were introduced as replacements for Tests 6 and 7 as military selection and classification measures. Forms 8, 9, and 10 were designed to be more accurate at lower levels of ability than were the predecessor tests. They provided a broader measure of verbal skill than did the earlier forms. All versions of the ASVAB's found in this study were scheduled for replacement by newer versions in 1984. The composition of the Armed Services Vocational Aptitude Battery Forms in use between 1976-1984 is shown in Figure 1.

Verbal and numerical test scores are used to compute an Armed Forces Qualification Test (AFQT) percentile score. The AFQT percentile score is used by all Services as an indicator of general trainability. The composite score contains measures of numeric, verbal, and reasoning factors, as well as, a measure of reading ability. A score of 50 is considered average (percentile scale based upon a normal statistical curve). The Armed Forces Qualification Test Profile, Figure 2, describes the relationship between AFQT categories and overall ability. Because the AFQT score establishes the applicant's qualifications for enlistment,

ASVAB 5<sup>1</sup>, 6, 7<sup>2</sup>  
(1976-84)

ASVAB 8, 9, 10<sup>3</sup>  
(1980-84)

- |                                  |   |
|----------------------------------|---|
| 1. General Information (GI)      |   |
| 2. Numerical Operations (NO)     | Numerical Operation (NO)                  |
| 3. Attention to Detail (AD)      | Coding Speed (CS)                         |
| 4. Arithmetic Reasoning (AR)     | Arithmetic Reasoning (AR)                 |
| 5. Word Knowledge (WK)           | *Word Knowledge (WK)                      |
| 6. Space Perception (SP)         | *Paragraph Comprehension (PC)             |
| 7. Mathematics Knowledge (MK)    | Mathematics Knowledge (MK)                |
| 8. Electronics Information (EI)  | Electronics Information (EI)              |
| 9. Mechanical Comprehension (MC) | Mechanical Comprehension (MC)             |
| 10. General Science              | General Science (GS)                      |
| 11. Shop Information (AI)        | Automotive/Shop (AS)                      |
| 12. Automotive Information (AI)  | *WK & PC are sometimes called Verbal (VE) |

<sup>1</sup>ASVAB 5 High School Form

<sup>2</sup>ASVAB 6, 7 Production Form  
Identical in content to Form 5

<sup>3</sup>Production Forms

Figure 1.  
Composition of Armed Services Vocational Aptitude Battery  
Forms in Use Between 1976-1984  
Source: ASVAB Test Manual, (DoD 1304.12AA), 1 July 1984

both recruiter and applicant have a strong interest in the applicant's test.

<u>PERCENTILES</u>	<u>AFQT CATEGORIES</u>	<u>OVERALL ABILITY</u>
93 - 99	I	Very High
65 - 92	II	High
50 - 64	IIIA	High Average
31 - 49	IIIB	Low Average
10 - 30	IV	Low
1 - 9	V	Not Qualified

ASVAB TESTS USED FOR AFQT SCORES

<u>ASVAB 5, 6, 7</u>	<u>ASVAB 8, 9, 10</u>
Word Knowledge	Word Knowledge
+	+
Arithmetic Reasoning	Paragraph Comprehension
+	+
Space Perception	Arithmetic Reasoning
	+
	One-Half Numerical Operations

Figure 2.  
Armed Forces Qualification Test (AFQT) Profile

SOURCE: ASVAB TEST MANUAL (DOD 1304.12AA), 1 JULY 1984

At the time the Record of Military Processing is being completed, three additional forms require completion. They include a USN Alcohol and Drug Abuse Screening



Certificate, a Drug and Alcohol Abuse Statement of Understanding, and a Police Record check.

The USN Alcohol and Drug Abuse Screening Certificate (called Annex A to DD Form 1966 and referred to as Certificate) is designed to obtain information which is used to determine enlistment and program eligibility. An example of this form can be found in Appendix B. The Certificate provides a series of definitions relating to alcohol use, drugs and stimulants. The applicant reads each question, looks at the appropriate definition relating to the question and initials the applicable "yes" or "no" answer.

One aspect worth noting is that some forms of pre-service drug abuse (use) may be waiverable. The decision to grant a waiver will normally be made at the Recruiting Area headquarters. In some instances, the decision may be deferred to the Commander, Naval Recruiting Command. A significant input into that decision is the recruiter's recommendation. This is a single-page form requesting an enlistment eligibility waiver. An example of this form is contained in Appendix C.

The Drug and Alcohol Abuse Statement of Understanding (OPNAV 5350/1) found in Appendix D is designed for first-term enlistees and ex-servicemen reenlisting. The content of the form is different from the Certificate. Whereas the Certificate is designed to determine the extent of use and kinds of drugs used, the Statement of

Understanding stresses the responsibility of drug abuse (use) and the Navy's policy of zero-tolerance.

The third document is the Police Record Check (DD 369). This document is used to gather information from an individual's police or juvenile record, including minor traffic violations and lets the MEPS know if the applicant is undergoing court action of any kind or has any outstanding warrants. Appendix E provides an example of the document. Police Record Checks are mailed to police, sheriff, highway patrol departments, and to county court records archives where the applicant listed previous residences in the Record of Military Processing. There is a mandatory 14-day waiting period before an individual can be sent to basic training. In most cases, the individual is in the Delayed Entry Program so the 14-day period is not applicable.

Occasionally an applicant is accepted for direct entry. In this case, the 14-day waiting period would be in effect. If no reply is received within 14 days, the individual is shipped to basic training.

It was learned that in some instances, the law enforcement and court records of individuals are inaccessible and would be made available in special circumstances. Several counties and States have laws restricting or prohibiting access to an individual's record unless the individual is applying for a civilian or military

position in law enforcement. The problem of access to such records goes beyond just the recruiting station level. Defense Investigative Service (DIS) investigators doing background investigations for the Department of the Navy, generally receive excellent cooperation both from official and private sources of information. There is a long-standing problem, however, with several states and local jurisdictions that refuse to provide DIS with certain criminal history information concerning the subjects of background investigations. The Stilwell Commission recognized this problem and commented:

Frequently these problems arise from state or local law, or the interpretations of such law made by local authorities, precluding the release of criminal history data which did not result in convictions...even though the subject consented to the release of such data. Where this problem exists, DoD is forced to determine the clearance without benefit of potentially significant criminal history data. (Stilwell, 1985, p. 33)

Because of this anomaly, recruiters, DIS investigators and recruiting interviewers are obliged to pay special attention to the applicant's written and oral responses.

As part of the investigative process, an Entrance National Agency Check (ENTNAC) is initiated on first-term enlistees at the MEPS. The primary objective of the ENTNAC is to determine suitability for entry into the service.

If the ENTNAC is favorably completed and evaluated and the member is a candidate for access, a Record of

Clearance is completed and a clearance is issued at the highest level the investigation and adjudication of the case permit. If the ENTNAC results cannot be favorably evaluated, the case is returned to the originating command or DIS for further investigation. The Bureau of Naval Personnel (BUPERS) basic policy on ENTNACs states:

Clearances are not issued or denied in the case of first-term enlistees until/unless they are actually candidates for access. If information is developed during the ENTNAC process that currently does not permit making a favorable determination, a decision concerning clearance eligibility can usually be delayed pending further observation and evaluation of service performance. A page 13 entry will have less stigma than an out-right clearance denial on a new recruit who has not had an opportunity to prove himself or herself in the military. (BUPERS Notice 5521. 1980, p. 1)

Each successive investigation builds upon the results of the previous one. Thus, the ENTNAC is an integral part of the Background Investigation and/or the Special Background Investigation. At no time in the process does the report constitute a granting or denial of a clearance. Adjudication (for radiomen) is determined at the Naval Military Personnel Command.

From Table I, Personnel Security Investigations, one can begin to appreciate the complexity of the investigation process. Completion time varies as the level of investigation rises. Generally, investigations take 30 to 45 days to complete, however, they may last longer depending upon circumstances in the case.

TABLE I.  
PERSONNEL SECURITY INVESTIGATIONS

National Agency Check (NAC) [CONFIDENTIAL and SECRET]

FBI Main file  
Criminal Investigation Division file  
Defense Central Index of Investigations (DCII) [index  
of all 22 million investigative files held by DoD]  
Other federal agencies as appropriate

Standard Background Investigation (BI) [TOP SECRET]

NAC  
Employment  
Education  
Listed References  
Developed References  
Credit records  
Local criminal justice records  
[Covers the last 5 years, or since 18th birthday, if  
shorter]

Interview Oriented Background Investigation (IBI) [TOP  
SECRET for military]

NAC  
Local Agency checks  
Credit check  
3 Employment references  
3 Developed references  
Interview of Subject  
Selected scoping as required

SOURCE: THOMAS O'BRIEN, DIRECTOR, DIS FROM A PREPARED SPEECH BEFORE A SUBCOMMITTEE ON  
INVESTIGATIONS OF THE COMMITTEE ON GOVERNMENT AFFAIRS, 99TH CONG., 1ST SESS., 1985.

The final phase of the selection screen for the prospective radioman is an interview conducted at basic training. Each Radioman recruit is first required to complete a Statement of Personal History (SPH) or Personnel Security Questionnaire (PSQ) (DD 390). An example of the

DoD Personnel Security Questionnaire is contained in Appendix F. This procedure is similar to the process conducted at the MEPS. Prior to the interview the Command Security Manager will conduct a local records check to include personnel, base/military police, medical and security files for any unfavorable information. At the interview, the Record of Military Processing forms, the Certificate, the Statement of Understanding and Police Record Check(s), is available, plus the results of the local records check are then reviewed with the applicant to ensure completeness and accuracy. Particular emphasis is placed on drug and alcohol abuse (use), civil misdemeanor arrests and convictions in which a penalty was involved. Inconsistencies are probed and corrected. Major discrepancies such as dates, former residences, or police/juvenile records not previously disclosed by the applicant are noted for resolution. When the interviewer is satisfied, the Command Security Manager will then prepare a Request for Personnel Security Investigation (PSI) (DD 1879) and submit it to DIS. This particular form constitutes the cover letter for the impending BI. Appendix G provides an example of the Request for Personnel Security Investigation.

The PSI and copies of the interview session are then sent to the nearest DIS field office. At this point, the field investigations for the BI begin. Figure 3 summarizes

PHASE ONE: INITIAL SCREEN

<u>MEPS/RECRUITING STATION</u>	<u>RECORD OF MILITARY PROCESSING</u>
	<u>STATEMENT OF UNDERSTANDING</u>
	<u>DRUG/ALCOHOL CERTIFICATE</u>
	<u>POLICE RECORD CHECK</u>

PHASE TWO: INITIAL SCREEN/VERIFICATION

<u>MEPS</u>	<u>ENTRY LEVEL NAC</u>
	<u>INTERVIEW</u>

PHASE THREE: BACKGROUND INVESTIGATION

<u>BASIC TRAINING CENTER</u>	<u>SPH/PSQ</u>
	<u>INTERVIEW</u>
	<u>FIELD INVESTIGATION</u>

ACCESS AUTHORIZATION

Figure 3.  
First Term Enlistment Screening Phases

the First-term Enlistment Screening Phase of the screening selection process.

Individuals are conditionally accepted into the Radioman rate pending completion of a BI. The BI is a prerequisite to a top secret clearance. Each prospective Radioman must be eligible for a top secret clearance. Every individual in this study received a BI as prescribed by OPNAVINST 5510.16. All investigations were conducted by DIS agents. Cases for which there are no questions or challenges are approved on the merits of the investigation and assigned a code of 1A1. Only in two instances did individuals not receive a top secret clearance after being awarded a 1A1 code by the adjudicator. The reason for this is not clear. Both applicants received favorable ENTNAC reports, and passed their personal interview with a DIS agent. Background cases requiring additional investigation because of suspicious or questionable information are marked with an appropriate code. Two such cases were uncovered during analysis. Both cases were assigned the code 1N3, indicating pre-service derogatory information existed. The details of these two cases will be explained in Chapter IV.

All of the Services set moral character standards for enlistment. These standards deal primarily with commission of criminal offenses, sexual conduct and drug abuse. For the purpose of this study behavioral patterns and moral standards were considered interchangeable.



Moral standards establish the foundation for enlistment, from the application and interview process to the moral waivers and finally the adjudication process for clearances. The significance of moral standards can be summed up as follows:

At a time when the costs of selecting, training and equipping new recruits is extremely high, it is important to try to minimize the enlistment of accessions who will fail to complete their first term. (Means, 1983, p. ii)

Presently the Navy recognizes eight categories of waivers. These waivers are also recognized on a DoD-wide basis:

1. Minor traffic offenses,
2. One or two minor non-traffic offenses (e.g. disturbing peace),
3. Three or more minor non-traffic offenses,
4. Non-minor misdemeanors (e.g. indecent exposure),
5. Juvenile felonies,
6. Adult felonies,
7. Preservice drug abuse,
8. Preservice alcohol abuse,

Applicants must be granted authorization to enlist prior to receiving the oath of enlistment. Before such authorization is granted, information about an applicant's past behavior (for the moral character determination) is first obtained through the recruiter-applicant interview. Further information is provided on the enlistment

application, the Certification and the Statement of Understanding. Serious derogatory information means processing of the applicant is held in abeyance until a police record check is completed. In a study on Moral Standards for Enlistment, Means reported:

Certain patterns of past behavior will render an individual ineligible for service; other patterns deemed less serious, do not eliminate an applicant, but require individual review and the granting of a moral waiver (Means, 1983, p.v.).

Moral waiver requests are initiated at the recruiting station and then proceed up through the various levels of the recruiting hierarchy. The authority to approve moral waiver requests is delegated to varying levels in the Service chain of command, depending upon the seriousness of the offense(s). At these levels the request is either turned down or a recommendation is made to grant the waiver.

In general, higher levels of authority are required to grant waivers for more serious offenses or for frequent offenders. These waivers are accordingly more expensive to process, but they are also less frequently requested. (Means, 1983, p. 11)

When sufficient information has been collected, a waiver request is submitted from the recruiting station up to the appropriate level of the recruiting command. The moral waiver review hierarchy is shown in Figure 4.

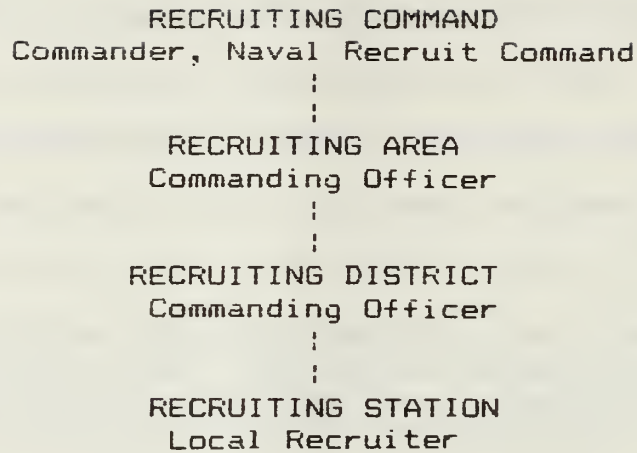


Figure 4.  
Moral Waiver Review Level

SOURCE: MEANS, MORAL STANDARDS FOR MILITARY ENLISTMENT:  
SCREENING PROCEDURES AND IMPACT, HMMRO, 1983.

Waivers need to be reviewed by each interviewing level and a recommendation written for the relevant approving authority. The Commander, Naval Recruiting Command approves or disapproves all felony waiver requests (adult or juvenile). The Recruiting Area Commander deals with waiver requests for two nonminor misdemeanors. All other moral waiver requests are dealt with at the recruiting district level. Table II provides an overview of the Moral Standards presently recognized within the Navy recruiting process, and the level of Waiver Authority for certain behavior standards. A more detailed look at some of the moral behavior standards presently recognized can be found in Appendix H. The Navy uses the classification of the

TABLE II.  
NAVY MORAL STANDARDS

Key:	N - NO waiver needed
	W - Waiver needed and may be granted
	I - Ineligible, non-waivable

Navy Moral Standards

<u>Behavior</u>	<u>Waiver Status</u>	<u>Level of Waiver Authority</u>
1. Traffic offenses <sup>a</sup>		
0-3 in a single year	N	NA
4 or 5 in a single year	W	Cdr, Recruiting District
6 or more in a single year	I	NA
2. Minor (non-traffic) misdemeanors		
1-4 violations	W	Cdr, Recruiting District
5 or more	I	NA
3. Nonminor misdemeanors		
1 misdemeanor	W	Cdr, Recruiting District
2 misdemeanors	W	Cdr, Recruiting Area
3 misdemeanors	I	NA
4. Juvenile felony <sup>b</sup>		
1 or more	W	Cdr, Recruiting Command
5. Adult felony		
1 or more	W	Cdr, Recruiting Command
6. Combinations of offenses	W	Varies <sup>c</sup>
7. Drug-abuse related conviction	W	Varies <sup>d</sup>
8. Alcohol abuse leading to civil conviction	W	Varies <sup>d</sup>
9. Marijuana <sup>e</sup>		
Use without conviction or dependence	N	NA
Possession conviction	W	Varies <sup>d</sup>
Trafficking conviction	I	NA
10. Narcotics <sup>e</sup>		
Use without conviction or dependence		
Over 12 months ago	W	Cdr, Recruiting District
Within last 12 months	I	NA
Possession conviction	W	Varies <sup>d</sup>
Trafficking conviction	I	NA
11. Other drugs <sup>d</sup> (hallucinogens, barbiturates, amphetamines)		
Use without conviction or dependence		
Over 12 months ago	N	NA
6-12 months ago	W	Cdr, Recruiting District
Within last 6 months	I	NA
Possession conviction	W	Varies <sup>d</sup>
Trafficking conviction	I	NA

Source: COMNAVCRTTCOMINST 113088 ON-18, 15 March 1983

<sup>a</sup>Includes improper parking.

<sup>b</sup>Handled as though offense committed by an adult.

<sup>c</sup>Applicants with offenses in more than one category (whose number of offenses in any one category does not exceed the maximum for that category) require a waiver at the level stipulated for the most serious offense type committed.

<sup>d</sup>Treated as civil conviction, felony or misdemeanor, as stipulated by state law.

<sup>e</sup>Stricter standards apply for Nuclear Field, submarine duty, and sensitive nuclear weapons programs.

SOURCE: Means, Moral Standards for Military Enlistment: Screening Procedures and Impact, HumRRO, 1983.

offense (i.e. felony or misdemeanor) used by the State in which it was committed. Some Services prefer to use the size of the penalty imposed, or a set of guide lists.

Five moral waiver codes were associated with this study: YYY, DDD, DXD, RXD, and YXB. Each code includes three digits: the first represents the type of waiver, the middle digit concisely explains the waiver and the third identifies the level of waiver authority review. These codes, and instructions on the appropriate issuance of a particular code, are part of the recruiter's enlisted recruiting manual. When a waiver request is forwarded through the approval hierarchy, it is possible, though not likely, a moral waiver code could be changed.

Factors considered when deciding on a moral waiver code can include education level, aptitude, experience, age, activities other than school work, school record, letters of reference, and personal interviews. (Means, 1983, p. 13)

Two general statements can be made regarding the waiver decision criteria: They are vague enough to give the decision maker room for subjective evaluations, and they encompass both the value of the applicant to the Service (education and aptitude level) and the likelihood the individual will misbehave after accession. The Moral Waiver Codes associated with this study and a definition of each digit is provided in Table III.

TABLE III  
MORAL WAIVER CODES

- YYY: No waiver required, not applicable to the applicant
- DDD: D--Minimally acceptable moral qualifications  
D--Other non-minor misdemeanors  
D--Commanding Officer, Naval Recruiting District
- DXD: D--Minimally acceptable moral qualifications  
X--Non-drug related minor traffic or minor  
misdemeanor  
D--Commanding Officer, Naval Recruiting District
- RXD: R--Unknown, this digit is no longer used  
X--Non-drug related minor traffic or minor  
misdemeanor  
D--Commanding Officer, Naval Recruiting District
- YXB: Y--Type of waiver not applicable  
X--Non-drug related minor traffic or minor  
misdemeanor  
B--Commander, Naval Recruiting Command

SOURCE: COMNAVCRUITCOMINST 1130.8B CH-24, 31 MARCH 1986

The predominant waiver code in the study was YYY. This code represents an enlistment for which no serious derogatory information exists and therefore a waiver was not required. Chapter IV provides an analysis of the codes as they applied to the cohort. Based upon the redundancy of the screening process, it should be apparent every attempt possible to detect the undesirable recruit is tried, from service entry to basic training. Many of the procedures are purposefully designed to be redundant to ensure consistency in the answers DIS receives. In some instances the SPH/PSQ's and interviews make up the best information

available to DIS. Once the individual has successfully cleared the screening process and investigations, it can be reasonably assumed the individual is prepared to work in a classified and sensitive environment.

## 2. The Administrative Separation Process

The second critical aspect of personnel security relates to individuals who were successfully screened, but later developed patterns of behavior inconsistent with the objectives of the Radioman rate and were administratively separated by reason of misconduct. From the literature review, several interesting facts were learned.

The misconduct charge has no single definition. Rather it has a "fluid" definition; it lacks precise terminology and can be applied broadly to several articles of the Uniform Code of Military Justice (UCMJ). Further, the Naval Military Personnel Manual (referred to as the Manual) identifies the nature of the offense and number of violations of the UCMJ before the charge of misconduct can be applied.

There were 17 punitive articles, as defined by the Manual, captured under the misconduct charge in this study. Figure 5 lists the Articles Applied in the Misconduct Charges and overall number of violations. Appendix H provides a Summary of the Articles in accordance with the Uniform Code of Justice.

ARTICLE OF THE UCMJ		NO. VIOLATIONS
ARTICLE	82: Solicitation	: 1
ARTICLE	86: Absent Without Leave	: 16
ARTICLE	87: Missing Movement	: 4
ARTICLE	90: Disrespect toward superior commissioned officer	: 1
ARTICLE	91: Insubordinate conduct toward warrant officer, noncommissioned officer, or petty officer	: 7
ARTICLE	92: Failure to obey order or regulation	: 16
ARTICLE	95: Resistance, breach of arrest, and escape	: 2
ARTICLE	108: Military property of United States Loss, damage, destruction, or wrongful disposition	: 3
ARTICLE	109: Property other than military property of United States Waste, spoilage, or destruction	: 1
ARTICLE	116: Riot or breach of peace	: 3
ARTICLE	117: Provoking speeches or gestures	: 1
ARTICLE	121: Larceny and wrongful appropriation	: 1
ARTICLE	128: Assault	: 4
ARTICLE	134: General Article <sup>1</sup>	: 12

<sup>1</sup>ALL DISORDERS AND NEGLECTS TO THE PREJUDICE OF GOOD ORDER AND DISCIPLINE, ALL CONDUCT OF A NATURE TO BRING DISCREDIT UPON THE ARMED FORCES, CRIMES AND OFFENSES NOT CAPITAL.

Figure 5.  
Articles Applied in Misconduct Charges



The Naval Military Personnel Manual, under article 3630600, states in detail the process of separating enlisted members by reason of misconduct. A member may be found unqualified for further military service by exhibiting a pattern of misconduct. The Manual regards "a pattern of misconduct" as repetitive discreditable involvement with civil and/or Naval authorities. An administrative discharge for misconduct may be authorized based upon one or more of the following circumstances:

1. The service member is involved in a series of minor disciplinary infractions. This includes: (a) at least three but not more than eight minor violations of the UCMJ (non-drug related) within the current enlistment which have been disciplined by punishment under the UCMJ, (b) three or more periods of unauthorized absence of more than three days duration each; or (c) three or more punishments under the UCMJ during the current enlistment.
2. The service member is involved in two or more minor civilian convictions (misdemeanors) within the current enlistment of which the latest civilian conviction occurred while assigned to the parent command.
3. The individual receives three or more punishments under the UCMJ within the current enlistment, the latest offense to have occurred while assigned to the parent command.
4. Any combination of three minor civilian convictions (misdemeanors) and/or punishments under the UCMJ within the current enlistment, the latest conviction to have occurred while assigned to the parent command.
5. Three or more periods of unauthorized absence of more than three days duration each within the current enlistment, the latest offense to have occurred while assigned to the parent command.

6. More than eight minor violations of the UCMJ within the current enlistment which have been disciplined by punishment under the UCMJ.
7. The service member establishes a pattern of dishonorable failure to pay just debts.
8. The member establishes a pattern of dishonorable failure to contribute to the adequate support of dependents or fails to comply with court directed orders, decrees or judgments with respect to the support of dependents.
9. Commission of a serious offense such that a punitive discharge would be supported by the Manual for Courts Martial for committing the same or a closely-related offense.
10. Conviction by civilian authorities or action taken which is equivalent to a finding of guilty and (a) a punitive discharge would be authorized for the same closely related offense under the Manual and (b) the sentence includes confinement for six months or more without regard to suspension or probation. (NMPC, 1983, p. 36-58, 59)

From these statements it can be seen why the definition of misconduct is "fluid." To complicate matters even more, the Manual further authorizes misconduct separations of enlisted personnel by reason of alcohol and drug abuse rehabilitation failure; by reason of drug abuse; and by reason of security.

The administrative separation process is a structured orderly flow of steps. Specific administrative documents must be completed before the next step can be accomplished. Each individual being processed for an administrative separation is guaranteed, according to the Manual, specific procedural rights and privileges. Failure

to execute required responsibilities only further delays the separation process and reflects on the commanding officer's leadership.

Four specific areas consistent throughout the cases, were (1) notification of impending administrative separation procedures; (2) identification of individual rights and privileges; (3) individual briefing with respect to future veteran benefits and appeal processes and (4) rights pertaining to counseling and rehabilitation. Each of these areas were in consonance with the Manual.

The enlisted member being processed for separation by reason of misconduct or any other serious violation of the UCMJ must be provided written notification. This document referred to as "Notification of Processing for Administrative Discharge," is issued to the member by the command and explains the reason this process has been initiated, the characterization of service upon separation, and the basis for the characterization. The service member is then provided a written fact sheet known as "The Statement of Awareness and Request for, or Waiver of Privileges". This sheet explains in non-legal terminology the reason for this separation, and what recourses are available to the member. Included in this document, the service member may elect to accept NJP, or request a summary or general court martial and may waiver his/her rights to

Counsel. This document is signed by the member and submitted to the commanding officer.

Sometime during the separation processing, the member is provided a briefing as to the purpose, authority and responsibilities of the Discharge Review Board, and the Board of Correction of Naval Records.

The fourth critical area is in administrative separations in the area of counseling and rehabilitation. Separation prior to completion of obligated service represents a loss of substantial resources invested in background investigation, training, equipment and related expenses, while also requiring increased accessions. Thus, it is NMPC's policy that commands provide to the service member reasonable efforts at rehabilitation prior to initiation of separation proceedings. According to the NMPC:

Unless separation is mandatory, the potential for rehabilitation and further useful naval service shall be considered by the Separation Authority and where applicable, the Administrative Board. If separation is warranted despite the potential for rehabilitation, consideration should be given to suspension of the separation, if authorized. (NMPC, 1983, p. 36-6)

Evidence in the research suggested this policy was adhered to most often. Further, the NMPC specifically states counselling and/or rehabilitation efforts are a prerequisite to initiation of separation proceedings except

in those cases expressly set forth under specific requirements for separation.

When commands process personnel for administrative separation, strict compliance with sections 3610100 through 3610320 of the NMPC is mandatory to ensure speedy processing, as well as the safeguarding of the rights of both parties (government and member). One of the primary reasons for delays in directing final action on administrative separations was the failure to process a case properly. Timely favorable responses from NMPC were received in instances where a command : (a) closely followed NMPC sections 3630600, 3630620 and Naval Military Personnel Command Instruction 1910.0 series, and (b) the commanding officer took an active role in the preparation of the recommendation for discharge.

#### E. CHARACTERIZATION OF SERVICE

According to the Naval Military Personnel Manual (NMPC), an Other-Than-Honorable (OTH) is the most severe characterization authorized for an administrative separation. The NMPC is specific when determining whether OTH is appropriate. A discharge of OTH is characterized in the following circumstances:

1. When the reason for separation is based upon a pattern of adverse behavior that constitutes a significant departure from the conduct expected.

2. When the reason for separation is based upon one or more acts of omission that constitute a significant departure from the conduct expected.
3. Abuse of a special position of trust or acts or omissions that endanger the security of the United States.
4. The health and welfare of other members of the naval service, or the health and safety of other persons is endangered.
5. Drug abuse, felony convictions and some instances of homosexual conduct.
6. When the reason for separation is based on a pattern of misconduct if the offenses, or one of the offenses is considered by the Commander, Naval Military Personnel Command of such severity to warrant such action . . . . (NMPC, 1983, pp. 36-9, 10)

An OTH characterization generally results in the loss of several veteran benefits and can possibly prejudice situations in civilian life where prior service may have a bearing. In addition, the severity of the OTH prohibits the individual from reenlisting in the armed forces.

If it appears that the Navy bends over backward to keep individuals who disrupt the good order and morale of a command, the following may serve to explain the philosophy. The NMPC requires every Commanding Officer to consider eight factors on the issue of retention or separation:

1. The seriousness of the circumstances forming the basis for consideration of separation and the effect of the member's continued retention.
2. The likelihood that the individual will continue to practice the same lifestyle that prompted the consideration of separation.

3. The likelihood the individual will be a disruptive or undesirable influence on present or future assignments.
4. The ability of the individual to perform duties in a responsible and trustworthy manner and exhibit leadership.
5. The member's rehabilitative potential.
6. The individual's past contribution to the naval service including decorations and awards.
7. Letters of reprimand or admonition, counseling records, records of non-judicial punishments, records of conviction by court-martial and records of convictions and involvement with civil authorities.
8. All other matters deemed relevant by the Commanding Officer, the Administrative Board, and/or the Separation Authority. (NMPC, 1982, p. 36-6)

The requirement that Commanding Officers review their intentions and the process elected (in this case the misconduct process) assures both parties the proceedings will be conducted in a judicious and expeditious manner. Thus, what would appear as an unwieldy, inept system of bureaucratic red tape to the uninformed, is in reality a system designed to proceed deliberately when processing individuals for separation.

### III. METHODOLOGY

#### A. OVERVIEW

The basic approach to this study was to reconstruct, code, and analyze historical data relating to individuals in the Radioman rate who had received misconduct discharges. Enlisted personnel discharge records, Defense Investigative Service reports, service school reports, command reports, enlistment (DEP) documents and ASVAB scores were analyzed for content, and comparisons were made to behavior standards established by the Naval Military Personnel Command. Violations of the Uniform Code of Military Justice (UCMJ) were examined for correlation between pre-service and post-service enlistment problems. This study dealt exclusively with case histories of Radiomen who had top secret clearances and were discharged for reasons of misconduct.

#### B. DATA BASE

The data used in this study were provided by the Defense Manpower Data Center (DMDC), Monterey, California. In order to adequately represent the characteristics of the total population of Radiomen discharged for misconduct and control for variations from the population values as a result of cases not fully representative of the population, a model of probability random sampling was used.



The following criteria were used to obtain 20 cases for study. Cases were selected from a population of Navy-wide (all rates) discharges on the basis of first-term enlistees with an active duty entrance date of February 1979 or later. Further, each case was required to have had a background investigation initiated within 3 months of accession and total active duty service was restricted to 48 months or less. The resultant group was then screened by reason for discharge (misconduct), character of service (other-than-honorable) and social security numbers ending with an odd last digit (1, 3, 5, or 7). This run produced 100 cases meeting the criteria. From this pool, a random sample of 20 cases was then selected by rate (Radioman).

#### C. DATA COLLECTION

Basic biographical facts such as date of birth, age of enlistment, date of enlistment, date of entry into the active duty, sex, race, marital status and education were recorded from service application forms known as the "Record of Military Processing--Armed Forces of the United States." In addition, other data such as aptitude test results (ASVAB), AFQT percentiles, moral waiver codes and drug and alcohol certification were also obtained. Enlistment performance records, service school records, Defense Investigative Service (DIS) reports, summaries of Non-Judicial Punishment (NJP), discharge documents and

documentation pertaining to behavioral characteristics of the subject were analyzed for pertinent data.

Enlisted performance records provided a chronological summary of performance scores, promotions or reductions in rate, dates of NJP, and the names of Commands where the individual served. This latter information was especially helpful in determining whether the individual had accumulated more NJP's while on shore duty or sea duty. The performance reports assisted in determining when NJP was conducted, in those instances where clerical errors (consisting mainly of misdating documents, use of nonstandard abbreviations, or incomplete paperwork) made a chronological reconstruction of events difficult.

The Defense Investigative Service reports provided details such as dates and places clearances were granted, the type of Background Investigation (BI) conducted, the status of BI checks, the type of clearance granted (secret or top secret), and information on interim clearances. The investigative reports sometimes contained useful information of pre-service characteristics of the individual. Because of the subjective nature of the written reports, the information was carefully matched to patterns of behavior in the individual's overall record before conclusions were drawn.

The summaries of Non-Judicial Punishment were analyzed to obtain relevant information helpful in developing

character and behavior profiles. In addition, information such as the article of the UCMJ violated, number of violations and punishment awarded was useful in determining patterns of misconduct. Many of these documents contained Commanding Officer assessments of the individual. The comments, although subjective, did aid in the development of in-service personality profiles.

Since each of the individuals in the study had eventually become an administrative burden, files including correspondence between the Commanding Officer and Naval Military Personnel Command (NMPC) were examined. The correspondence provided a chronological history of communication between units and NMPC with respect to administrative discharges. These offered insight into procedural entitlements and mandatory requirements that must be accomplished by the unit prior to receiving authorization to discharge.

Discharge documents provided data on net active duty time, characterization of service, and reason for discharge. This information coupled with that described above, completed a case history.

#### D. CASE ANALYSIS

Since the cohort sample was characteristically similar, in several respects cases were examined first on an individual basis then taken as a whole and compared against

one another. A sample data base of 20 cases was felt to be representative of other Radiomen rate cases with similar characterization of service and reason for separation. Results were arrived at through study and analysis of behavioral traits in the cases and use of arithmetic means where applicable.

The percentage format was used to present much of the data analysis. The significance of percentages is two fold. First, they simplify understanding by reducing all numbers to a range of from 0 to 100. Secondly, the use of percentages translates the data into standard form, with a base of 100 for relative comparison. A word of caution is advised. Percentages can hide the base from which they are computed. Care must be exercised; a small data base can give the appearance of a sizable difference in results as compared to a larger data base. The percentage results derived reflect the sample cohort in this study. Findings were compared to existing regulations and conclusions derived in much larger studies.

"The study of how one variable affects, or is responsible for changes in another variable is known as Causal Analysis" (Emory, 1976, p. 356). Certain proxy measures such as age, education, AFQT scores, and sea versus shore duty were unalterable factors affecting the service member's attitude, work, disposition and behaviors. Causal analysis was performed where it was felt the proxy measures

had some influence on the behavioral characteristics of the service member.

The foremost caution exercised throughout this study was that the size and demographics of the sample precluded specific conclusions. Where possible, however, derived results were compared to results of other studies and appropriate comments were made as to the findings.

#### IV. RESULTS AND ANALYSIS

##### A. OVERVIEW

This study was undertaken to explore two hypotheses, first to analyze present screening methods for the Radioman rate, to determine if procedures are adequate and second, to examine the administrative separation process to determine if the system is too lenient. Lack of sincere application in either of the above processes could lead to problems in personnel security.

The Radioman rate comprises a variety of responsibilities. Job requirements include message processing (key punch typists), message handling (classification stamping and filing), radio teletype operations, conventional radio communication, satellite communication, conventional equipment maintenance, and other communications duties. Tasking requirements for the Radioman are often wide ranging and complex. Careful screening is required in order to accept only individuals capable of demonstrating responsibility, trustworthiness, and leadership qualities.

##### B. DEMOGRAPHIC RESULTS

The study confined itself to first-term enlistees. Gender composition included 80 percent male (16) and 20

percent female (4). The 20 percent female representation was initially thought to be an over-representation since current female representation, Navy-wide as of 30 September 1985 was between 9-10 percent (NAVPERS 15658(A), 1985, p. 6). As this suggested a possible anomaly, initial assignments to shore or afloat units were examined. Sixty percent (12 service members) received initial shore assignments and 40 percent (8 members) received afloat assignments. All females received shore tours initially. This constituted 20 percent of the cohort. Though appearing to be a relatively high percentage, the number is misleading when the size of the data base is considered.

The result was compared to statistical summaries found in the "Annual Report--Navy Military Personnel Statistics FY-85". As of fiscal year 1985, female enlisted members comprised 13.8 percent of the shore based billets. This percentage has not changed appreciably since fiscal year 1981. This figure represented all rates open to female service members. Further, as of fiscal year 1985, female Radiomen in paygrades E1-E3 made up only 1.89 percent of the active duty enlisted females. Thus, based upon a relatively small study sample, the 20 percent is not an over-representation.

The males were evenly divided between 8 shore and 8 afloat assignments. When compared to the findings in the above mentioned annual report, the numbers were

proportionally consistent. The annual report for fiscal year 1985 reported males occupying 85.7 percent of the shore billets and 97.6 percent of the afloat billets. These numbers have remained stable (plus or minus 2 percent) since fiscal year 1979.

Two explanations may account for the relatively high percentage of females with initial shore assignments found in this study. First, present Navy policy restricts female service members to certain classes of afloat units. As of fiscal year 1985, only 2.4 percent of the females on active duty occupied afloat units. This would explain partially why only females from shore billets were selected. Second, the Radioman rate is one of a limited number of rates open to women because it has a shore billet counterpart to the sea billet. In addition, since fiscal year 1979, female Radiomen have accounted for 2 percent of the active duty female population.

The racial composition of the sample was 70 percent white and 30 percent black. Each case was analyzed on the basis of behavioral characteristics exhibited without regard to race (or sex). No attempts were made to relate race to behavioral characteristics due to insufficient data.

The median age of enlistees was 18.8 years, with a range of seven years. The oldest recruit was signed at 23 years of age, and there were three 17 year old enlistees. Where ages were compared between high school graduates and

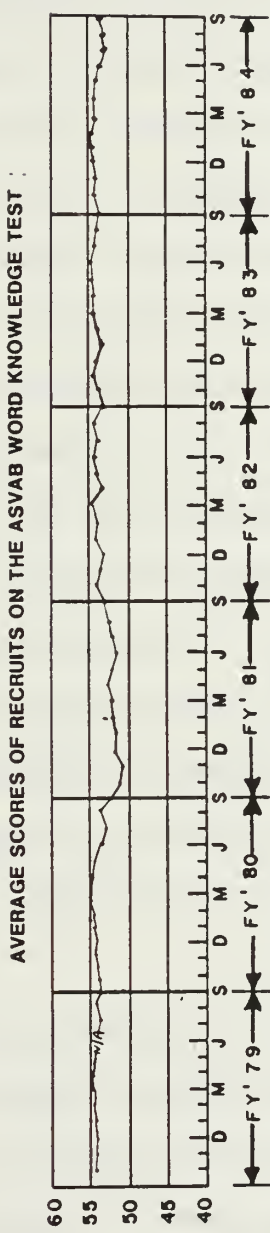
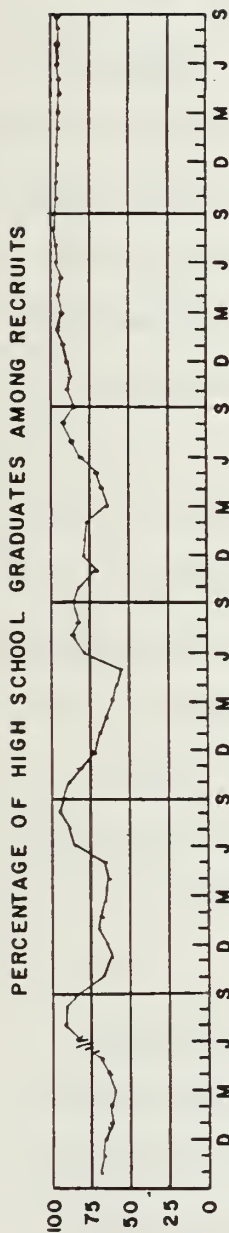


non-graduates, graduates averaged 19 years as compared to 18 years for non-graduates. Two tendencies appeared to emerge from the high school graduate cohort; they either chose to forego post high school education in favor of some employment or enrolled in an institution of higher learning. The non-graduates showed a propensity to join the military as an alternative to either school or civilian employment.

Three-fourths of the subjects possessed high school diplomas (75 percent) as compared to 25 percent who were non-graduates. When cases were grouped by year of accession, results revealed only two years out of five, 1979 and 1981, in which non-high school graduates were also accepted. From an overall perspective, the number of high school graduates compared favorably with the results in Table IV, which identifies the percentage of high school graduates among recruits by fiscal year and their average scores on the ASVAB.

Marital status was not considered a factor in the study. The single service member comprised 90 percent or 18 of the 20 cases. Only 2 cases reported married individuals, each marrying while on active duty. In one case there was only a service entry made in the person's record. No additional information was provided. In the other case the married member was reported absent without leave on three occasions during the seventeen months of marriage. One unauthorized absence was reported for 19 days. No additional information

TABLE IV.  
PERCENT OF HIGH SCHOOL GRADUATES  
AMONG RECRUITS AND AVERAGE SCORES  
ON THE ASVAB WORD KNOWLEDGE TEST



AVERAGE SCORES OF RECRUITS ON THE ASVAB AND PERCENTAGE OF HIGH SCHOOL GRADUATES V														
FISCAL YEAR	NUMBER TESTED	VE	ABITE	SE. S. GRADES	FISCAL YEAR	NUMBER TESTED	VE	ABITE	SE. S. GRADES	FISCAL YEAR	NUMBER TESTED	VE	ABITE	SE. S. GRADES
1979	5695	54.33	53.59	69.04	1981	7293	52.30	52.15	79.93	1983	670	52.96	54.15	89.38
OCT	4441	54.28	53.40	65.60	OCT	1979	52.37	52.34	79.93	OCT	670	52.96	54.15	89.38
NOV	6492	54.10	53.35	62.55	NOV	1979	52.37	52.34	79.93	NOV	670	52.96	54.15	89.38
DEC	6492	54.10	53.35	62.55	DEC	1979	52.37	52.34	79.93	DEC	670	52.96	54.15	89.38
JAN	6492	54.10	53.35	62.55	JAN	1979	52.37	52.34	79.93	JAN	670	52.96	54.15	89.38
FEB	4287	54.29	53.25	64.80	FEB	1979	52.37	52.34	79.93	FEB	670	52.96	54.15	89.38
MAR	3913	54.48	53.37	59.59	MAR	1979	52.37	52.34	79.93	MAR	670	52.96	54.15	89.38
APR	5074	54.32	53.53	60.72	APR	1979	52.37	52.34	79.93	APR	670	52.96	54.15	89.38
MAY	4287	54.32	53.53	60.72	MAY	1979	52.37	52.34	79.93	MAY	670	52.96	54.15	89.38
JUN	4287	54.32	53.53	60.72	JUN	1979	52.37	52.34	79.93	JUN	670	52.96	54.15	89.38
JUL	7851	53.27	52.62	88.20	JUL	1979	52.37	52.34	79.93	JUL	670	52.96	54.15	89.38
AUG	5311	53.22	52.61	86.23	AUG	1979	52.37	52.34	79.93	AUG	670	52.96	54.15	89.38
SEP	17786	53.94	52.32	79.14	SEP	1979	52.37	52.34	79.93	SEP	670	52.96	54.15	89.38
1980	8793	53.40	52.65	66.38	1982	1327	53.32	54.37	77.16	1984	6921	53.94	54.07	98.87
OCT	11045	53.51	52.77	59.57	OCT	1327	53.32	54.37	77.16	OCT	6921	53.94	54.07	98.87
NOV	8032	53.73	52.79	63.01	NOV	1136	53.17	54.25	73.70	NOV	6921	53.94	54.07	98.87
DEC	12868	53.84	52.93	64.91	DEC	603	52.28	53.07	76.89	DEC	6921	53.94	54.07	98.87
JAN	11683	53.77	52.85	64.86	JAN	614	53.16	54.09	72.29	JAN	6921	53.94	54.07	98.87
FEB	11683	53.77	52.85	64.86	FEB	278	53.54	53.55	70.98	FEB	6921	53.94	54.07	98.87
MAR	9830	54.14	53.15	63.29	MAR	278	53.54	53.55	70.98	MAR	6921	53.94	54.07	98.87
APR	10818	54.05	53.04	64.41	APR	160	52.71	52.61	71.67	APR	6921	53.94	54.07	98.87
MAY	13943	53.57	52.95	68.79	MAY	229	53.27	53.53	74.09	MAY	6921	53.94	54.07	98.87
JUN	15903	53.57	53.37	68.79	JUN	189	53.13	53.69	91.30	JUN	6921	53.94	54.07	98.87
JUL	15903	53.57	53.37	68.79	JUL	1346	53.63	53.63	92.41	JUL	6921	53.94	54.07	98.87
AUG	13648	53.66	53.35	92.41	AUG	414	52.79	53.30	87.64	AUG	6921	53.94	54.07	98.87
SEP	13648	53.13	52.90	89.03	SEP	414	52.79	53.30	87.64	SEP	6921	53.94	54.07	98.87

V SCORES REFERRED ARE NAVY STANDARD SCORES, IN WHICH THE AVERAGE OF VAR-TIME RECRUITS IS 50 AND THE STANDARD DEVIATION IS 10.

Source: Department of the Navy, Annual Report--Navy Military Personnel Statistics FY-85, September 1985

could be found to support a cause and effect relationship between the unauthorized absences and marriage.

### C. DEFENSE INVESTIGATIVE SERVICES (DIS) RESULTS

DIS BI field investigations took an average of 3.4 months to complete. Investigations ranged from 1 month (7 cases) to as long as 8 months (2 cases). Investigative results in the latter 2 cases revealed in one the applicant had voluntarily applied for psychological counseling prior to enlistment. The individual was reportedly diagnosed as experiencing combinations of anxiety, depression, mood swings and troubled interpersonal relationships.

The counseling physician suggested the applicant's personality problem could be overcome in a structured environment such as the military. This individual's record was above the average of the study with an AFQT of 72, 30 months of active duty and only 3 NJP's. However, missing ship's movement and marijuana use led to an administrative separation. The other case reflected a normal routine investigation.

Each member received a BI as a prerequisite for a top secret clearance. Two types were noted in the study, the standard Background Investigation (BI) and the Interview oriented Background Investigation (IBI). Two cases among the study were found to contain derogatory information. Both required moral waivers, one from the command officer of

the Naval Recruiting District and the other from Commander, Naval Recruiting Command. In one case, the individual had established a high school reputation as a juvenile delinquent, a "hothead" and "hardnose". Out of anger, the individual slashed the vehicle tires of a high school coach. Found guilty, the individual received a six-month suspended sentence except for 9 days in jail. The high school principal would not recommend this individual for a position of trust. Further, at the time of enlistment, the individual did not report on the SPH the previous arrest and conviction and signed an alcohol and drug certificate attesting to non-use of the substances. This individual was already in the DEP at the time of the tire slashing. At the basic training interview session with a DIS agent, the member admitted to purposely omitting the conviction and long time use of marijuana in order to be admitted into the Navy. This non-HSG accumulated 5 NJP's in only 23 months of active duty service, received a waiver from the Recruiting District level and eventually received a top secret clearance.

In the second case, a routine police record check by DIS indicated the subject had been arrested for indecent exposure on an elementary playground. At the time of his interview at basic training, the member denied this activity. Subsequent investigation revealed that the member's brother had committed the act and had used the

member's name to avoid prosecution. The service member was eventually cleared of any wrong doing, however this derogatory information continued to exist in the service record. This HSG accumulated 8 NJP's in 34 months of active service, and received a waiver from the Commander, Naval Recruiting Command. No record of clearance existed in the files; the assumption being the individual did eventually receive some form of clearance. In performance reports the member was characterized as immature, required constant supervision, demonstrated a lax personal appearance and possessed a surly demeanor to all supervisors.

There were 16 top secret clearances documented in the study. Two individuals received secret clearances. Both had received favorable recommendations based upon their ENTNAC's and interviews. The reason these individuals received only a secret clearance could not be determined from the information available. Common practice is to provide a clearance only to the level necessary to accomplish assigned tasks. The remaining 2 cases were lacking in documentation.

Every individual in the study received a minimum of 1 reduction in rate. The study average was 1.5 reductions per person with a range from 1 to 3 reductions. The advancement and separation rates among the cohorts revealed the following:

ADVANCEMENTS

4: advanced to RM3 (E-4)  
9: advanced to RMSN  
7: advanced to RMSA

SEPARATION RATES

2: separated as an RMSN (E-3)  
7: separated as an RMSA (E-2)  
11: separated as an RMSR (E-1)

D. ARMED SERVICES VOCATIONAL APTITUDE BATTERY (ASVAB)

This area of the study was closely analyzed because of the role--or lack of role the ASVAB played in the selection process. It was originally assumed the Armed Forces Qualification Test (AFQT) percentile derived from the ASVAB scores, would play a significant part in the selection process of applicants for the Radioman rate. Analysis suggested otherwise.

Some general statements can be made with respect to the ASVAB tests and test scores analyzed in these case histories. Review of the cohort data indicated applicants were administered ASVAB Forms 5 through 10.

The mean AFQT percentile of the cohort was 55.75 percent, with a high of 90 and a low of 27 percent. The percentiles were examined to determine if: 1) there was a correlation between them and admission into the Radioman rate, 2) they were used as a screening device, and 3) the percentiles had any significance. In response to the first question, the answer is no. In all but one case the mental category was IIIB or above. A single case reported a score of 27 which equates to mental category IV or low mental aptitude. However, the person was admitted into the

Radioman rate, for which qualifications are generally high. To be considered acceptable, an individual must score a total of 144 points based upon the numerical operations, attention-to-detail, and word knowledge subtests for ASVAB Forms 5, 6, and 7 or numerical operations, coding speed, word knowledge and paragraph comprehension for Forms 8, 9, and 10. Everyone in the study scored above the minimum 144 except for one individual who scored a 140. This person, however scored above the mean in every subtest except attention-to-detail and was waived into the rate.

The ASVAB Word Knowledge Test score mean for the whole cohort was 53.8. When the sample was sorted by enlistment years, the mean score ranged from 50.5 to 69. These results compared favorably with the average scores of recruits in the ASVAB Word Knowledge Test found in Table IV. The study results were as follows:

<u>ENLISTMENT YEAR</u>	<u>WORD KNOWLEDGE SCORES</u>
1978	69.0
1979	54.2
1980	50.0
1981	53.0
1982	61.0

Were the ASVAB subtest scores and AFQT percentiles used as screening devices? According to a recruiter, the answer depends upon quotas. Where a rate is meeting its fill objective, the requirements for admission will be less lenient. The converse is true when recruiting is not meeting fill objectives. Nothing in the data refuted the recruiter's comments. A review of the "Annual Reports--Navy Military Personnel Statistics" for fiscal years 1979-1985 revealed only two years, 1980-1981, where a decrease in Radioman manpower was significant. Table V, Active Duty Enlisted Naval Personnel--Radioman Rate, summarizes the findings of the review by fiscal year and total current authorizations. The table takes into account only individuals rated RMSR through RMSN.

TABLE V.  
ACTIVE DUTY ENLISTED NAVAL PERSONNEL--RADIOMAN RATE  
(RMSR-RMSN INCLUSIVELY)

<u>Fiscal Year</u>	<u>Current Authorizations</u>	
	<u>Total</u>	<u>Percent Onboard</u>
1985	3079	94.8
1984	3245	85.1
1983	3295	83.0
1982	2959	81.1
1981	2821	71.7
1980	2803	65.4
1979	2809	93.1
1978	3002	98.0

SOURCE: ANNUAL REPORT--NAVY MILITARY PERSONNEL STATISTICS FY-85, (NAVPERS 15658(A)).



When the cohort accessions were grouped by enlistment year, non-high school graduates were accepted only in calendar years 1979 and 1981. Turning to Table V., 1979 and 1981 correspond to good years for current authorizations percent onboard. For example, 1979 reflected a 93.1 percent manning level but when compared to 1978 data it reflected a -5.0 percent decrease in manning rate; whereas, 1982 showed a strong +13.1 percent increase from 1981. Do these figures reflect a policy change to recruit more individuals to meet end strengths as well as rate strengths? There are insufficient data in this study to indicate otherwise. However, speculation is left to the reader. In order to determine where the study AFQT strengths were grouped, the sample was divided by AFQT percentile. Table VI provides a look at the AFQT categories by study sample.

TABLE VI.  
AFQT CATEGORIES BY STUDY SAMPLE  
(N=20)

<u>AFQT Category</u>	<u>Number</u>	<u>Percentage</u>
II	7	35.0
IIIA	5	25.0
IIIB	7	35.0
IV	1	5.0

As evidenced above, AFQT categories II and IIIB dominated this study. Do the percentiles in this table have any significance? Within the group of Radiomen with a BI initiated within 3 months of accession and discharged for

misconduct within a 48 month period, it appears doubtful. However, the sample for this study was small, and represented only a portion of the individuals in the Radioman rate that were discharged during this time period. An unqualified "no" is not justified.

Since AFQT percentiles did not appear to be directly associated with any screening process in this study, were they possibly associated with other results found in the study such as numbers of NJP's or numbers of violations of the UCMJ? Table VII displays the Distribution of NJP's, Violations and Months to First NJP by AFQT Category. The results are presented as averages per individual. Distribution of results appeared to be homogeneous, with one exception, indicating no single AFQT category had an advantage over the other in this study. Category II, the exception, was slightly less likely to face NJP as compared to the other categories. The reason for this was never apparent in the data.

TABLE VII.  
DISTRIBUTION OF NJP'S, VIOLATIONS AND MONTHS  
TO FIRST NJP BY AFQT CATEGORY

Categories:	II	IIIA	IIIB	IV
Number of NJP's	4.0	4.6	5.0	6.0
Number of Violations	8.4	6.8	7.3	11.0
Months to First NJP	14.4	13.0	14.8	12.0
N=	(7)	(5)	(7)	(1)

Since the distribution of UCMJ infractions did not produce any significant deviations, AFQT categories were then compared to high school and non-high school graduates by distribution of UCMJ violations. Table VIII provides a comparison of the Distribution of NJP's, Violations, and Months to First NJP by HSG and NHSG According to AFQT.

TABLE VIII.  
DISTRIBUTION OF NJP'S, VIOLATIONS AND MONTHS TO FIRST NJP BY HIGH SCHOOL GRADUATE AND NON-HIGH SCHOOL GRADUATE, AFQT CATEGORIES

Categories	II		IIIA		IIIB		IV
	<u>HSG/NHSG</u>		<u>HSG/NHSG</u>		<u>HSG/NHSG</u>		<u>HSG</u>
Number of NJP's	4.2/ 3.0		4.0/4.5		5.0/ 5.0		6
Number of Violations	9.2/ 7.0		6.3/7.5		6.8/ 8.5		11
Months to First NJP	12.8/24.0		17.0/7.0		13.8/17.5		12
N=	(6)	(1)	(3)	(2)	(5)	(2)	(1)

The distribution among HSG and NHSG also appeared to be homogeneous except for months to first NJP. The Category II HSG appeared to set the pace for first NJP's, 12.8 months, which was a month sooner than the category IIIB HSG (13.8). Although the lowest rate to first NJP was Category IV, it was a single case and could not be considered representative. These results do not indicate nor represent the entire population of Radiomen, but leave the reader with the suggestion that AFQT categories are not significant influences or good predictors of potential security risks.

## E. MORAL WAIVER RESULTS

Five separate moral waivers were associated with the study. Sixteen YYY waivers (80 percent) were granted. Three of the remaining four required waivers by the Commanding Officer, Naval Recruiting District (DDD, DXD, RXD) and one required approval from the Commander, Naval Recruiting Command (YXB).

The individual who received the DDD waiver was a high school graduate, a 20 year old male with an AFQT category of IIIB. A review of the DIS investigation report revealed the individual had been arrested and arraigned on a charge of theft while attending college. He was positively identified, found guilty and fined. One month later, the same individual was arrested and found guilty of excessive speeding. Two months later, he successfully enlisted in the Navy.

In the case where a waiver of DXD was granted, the applicant was an 18 year old male non-high school graduate with an AFQT category of IIIA. The applicant's BI revealed a pattern of substantial problems with authority figures prior to service entry. A star athlete, he exhibited an apathetic attitude toward high school after being removed from sports due to academic deficiencies. Subsequently, a pattern of negative behavioral attitudes emerged. The individual was suspended twice for possession of alcoholic beverages, destruction of private property, and suspension

for smoking marijuana. The principal refused recommendation for a position of trust, whereas the vice-principal did make a recommendation provided the young man was in a proper environment and received proper discipline. The subject signed documents attesting there was no pre-service drug use and explicitly failed to acknowledge conviction for damaging private property. Despite this background, he was granted a waiver and served 23 months of a 48 month enlistment.

The applicant who received a waiver of YXB provided an interesting study of how derogatory information can be misleading. This individual was a high school graduate, 23 year old male who qualified as a category IIIA. The DIS investigation reported two routine speeding tickets and police department records indicating the individual had been arrested and charged with indecent exposure on an elementary school playground. DIS investigated further and discovered that the service member's brother had been charged with the violation. At the time of arrest, however, the brother used the service member's name. This individual completed 34 months of a 48 month tour. Research of the BI report and a check of the local recruiter's enlistment manual did not clarify why the individual received a waiver of YXB.

The fourth individual in the study to receive a waiver was a non-high school graduate, 17 year old male with an AFQT classification of IIIB. This individual was assigned a waiver code RXD. A local check of the enlistment manual

misconduct within a 48 month period, it appears doubtful. However, the sample for this study was small, and represented only a portion of the individuals in the Radioman rate that were discharged during this time period. An unqualified "no" is not justified.

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Number of Violations	9.2/ 7.0		6.3/7.5		6.8/ 8.5		11
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The fourth individual in the study to receive a waiver was a non-high school graduate, 17 year old male with an AFQT classification of IIIB. This individual was assigned a waiver code RXD. A local check of the enlistment manual

revealed the digit R is no longer used and therefore could not be correlated to a type of waiver. This individual's background consisted of numerous short-term employments blamed on dismissals for habitual absenteeism. There was one reported traffic citation for careless driving. Apparently, the R represented some minimum level of acceptable responsibility required.

In her study on moral waiver accessions for military enlistments, Means found that:

Compared to accessions without moral waivers, moral waiver accessions are slightly less likely to be high school graduates, less likely to have AFQT scores in the lowest acceptable category (AFQT Category IV), more likely to be male, more likely to be age 19 or older, and more likely to be white. (Means, 1983, pp. vii-viii)

The waiver cases in the present study came very close to meeting the same criteria. Among the cases receiving YYY, three admitted to using/abusing narcotics, dangerous drugs or marijuana as defined in the Certificate (Annex A to DD 1966). Though not specifically mentioned in their files, it must be assumed the applicants had not used, abused or experimented with drugs or narcotics within six months of enlisting. Based on the information in the cases, this cannot be proved either way.

#### F. ADMINISTRATIVE SEPARATION RESULTS

When NMPC decides to characterize type of service as either honorable, general or other-than-honorable, it

assigns a separation code. This code is used for internal statistical purposes and further characterizes the type of misconduct. The codes that predominated in this study were:

1. HKA - Frequent involvement of a discreditable nature with civilian or military authorities.
2. HKQ - Misconduct by reason of serious offense.
3. HKK - Misconduct by reason of drug abuse.
4. JKN - Minor military infractions.

Results of the study indicated 70 percent of the individuals (14 cases) were coded HKA, whereas 20 percent (4 cases) were coded HKQ. The two remaining codes made up 5 percent each of the other cases in the study.

Along with the misconduct charge, NMPC will also assign a characterization or description of service. Characterization of services is commonly referred to as type of discharge. Characterization of service for this study was Other Than Honorable (OTH).

Correspondence plays an important part in the separation process. It ensures all parties to a separation are fully appraised of developments. In this study analysis of the data revealed the mean number of written communications between service members and the command to be 2.8 with a high of 10 in one case. This indicated the command's overwhelming desire to ensure the individual was fully aware of the actions being taken and the consequences of such actions. Correspondence between commanding officers and

Naval Military Personnel Command averaged 3.4 messages with a high of 6 in one case and 2 being the general number. Messages from the commanding officers to NMPC were generally Recommendations for Discharge. If approved, a simple one page message directing discharge and recoupment of funds due the U.S. Treasury would be sent.

The key to an expeditious separation was in the completeness and accuracy of the commanding officer's Recommendation for Discharge to NMPC. Recommendation messages that were succinct and accurate were responded to in a more timely manner.

Administrative separation processes were delayed in four cases of the study because commands had failed to provide such items as: proof the service member had declined rehabilitation help, or evidence of required counselling and warnings in regard to identified deficiencies in performance and/or conduct. These are both requirements of section 3630600 of the NMPC. In one of the four cases, the Statement of Awareness was misdated with respect to the administrative process in progress. In another case, NMPC requested additional clarification on the reason an administrative separation was being sought. It appeared that the significant difference between commands expeditiously processing individuals was in the attention paid to detail. In those instances where a command: (a) closely followed NMPC sections 3630600, 3630620, and Naval

Military Personnel Command Instruction 1910.1 series, and (b) the commanding officer took an active role in the preparation of the recommendation, the discharge authorization from NMFC averaged 13 days. In the four cases where action was held in abeyance, it took an average of 40 days from the initial recommendation to authorization for discharge. The best way to summarize this section is to remind the reader of a most appropriate saying, "No job is complete until the paperwork is finished."

#### 6. NONJUDICIAL PUNISHMENT RESULTS

A relevant factor in this study was the imposition of nonjudicial punishment. The implicit suggestion is that the individuals in this study violated the UCMJ, their positions of trust and responsibility and placed themselves in a vulnerable position where risk to security was increased.

Nonjudicial Punishment (NJP) is a disciplinary measure more serious than administrative corrective measures such as counseling, admonitions, reprimands, extra military instruction and administrative withholding of privilege, but less serious than trial by court-martial. According to the Manual for Courts-Martial:

Nonjudicial punishment provides commanders with an essential and prompt means of maintaining good order and discipline and also promotes positive behavior changes in service members without the stigma of a court-martial conviction. (Manual for Courts-Martial, United States, 1984, p. v-1)

The two most violated articles throughout the study were Article 86 (Absence without leave (UA)) and Article 92 (Failure to obey an order or regulation). Among the cohort there were 60 infractions of Article 86 and 34 of Article 92.

With respect to personnel security, Article 86 commanded the most attention. This Article has serious implications when a person is unaccounted for, and even greater significance when the person maintains access to classified information. Violation of the Article is considered serious enough for it to be addressed separately in the Department of the Navy Information and Personnel Security Program Regulation (OPNAVINST 5510.16). The program regulation is specific on unauthorized absentees:

When a member of the Department of the Navy who has had access to classified information is on unauthorized absence, the commanding officer must conduct an inquiry to determine if there are any indications that the individual's activities, behavior or associations may be inimical to the interests of national security. If there are such indications, report all available information by the quickest means to the nearest Naval Investigative Service for action and to the Director, Naval Investigative Service for information. The Naval Investigative Service will initiate an investigation immediately. (OPNAVINST 5510.16, 1984, pp. 51-52)

There was nothing in any of the cases that indicated the commanding officer initiated an investigation as a result of a Radioman being absent without leave. Unauthorized absenteeism ranged from 20 minutes up to 28 days. One

Radioman was declared a deserter. Examination of that case revealed the individual was a routine drug (marijuana) user and had fraudulently enlisted by failing to acknowledge prior drug use on the Statement of Personal History (SPH). Shortly after the individual was declared a deserter, his RM designator was removed. Although not specifically documented in the person's records, loss of the RM designation presumably meant a loss of top secret access. In another case examined, the individual accumulated eight Article 86's in his enlistment. The first infraction occurred three months after reporting on active duty. In addition, there were four Article 92's and one Article 91. Review of the case indicated the individual routinely failed to obey orders. The commanding officer characterized this individual as extremely immature, requiring excess supervision, constantly failing to meet minimum standards and possessing a surly demeanor towards supervisors. Repeated efforts to administratively separate this individual were fruitless, as NMPC continued to recommend additional counseling. Only after the service member accumulated five Article 86's and two Article 92's in succession was permission granted to proceed with Administrative Separation.

To determine if, through the NJP process, one group posed a greater threat to security than another, three sets of data points were compared. These included individuals

granted moral waivers, individuals who cleared waivers (YYY waivers) but admitted to pre-service drug abuse of infractions of civil law and individuals with YYY waivers and no pre-service violations. Table IX provides results of the Comparison of UCMJ Violations to Moral Waiver Accessions. The article most violated among the three groups was Article 86. Among those granted waivers, the average number of violations of Article 86 was 4.6. The group who cleared waivers but admitted to pre-service infractions averaged 3.1 violations of Article 86. And finally, the third group of individuals with clear waivers and no pre-service derogatory history accumulated 2.8 violations. The violations of Article 92 were not considered significant. Each group accumulated approximately two violations. The total number of violations accumulated (including multiple infractions of the same article) was surprisingly close among the first and third groups at 40 and 37 respectively.

Comparing the number of NJP's per group, the first and second group were close enough to be considered negligible in distinguishing tendencies. It should be noted there was one case in the second group where the individual participated in ten NJP's in 34 months of active duty. This individual tied for first place by accumulating thirteen violations of various articles. The number 4.8 in parenthesis represents the number of NJP's per group if the



TABLE IX  
 COMPARISON OF UCMJ VIOLATIONS TO  
 MORAL WAIVER ACCESSION GROUPS<sup>a</sup>

	Moral Waivers Granted (N=4)	Cleared Waivers <sup>b</sup> Pre-Service History (N=7)	Cleared Waivers No History (N=9)
Article 86	4.6	3.1	3.5
Article 92	2.3	2.6	2.0
Article 134	1.0	1.7	1.4
Total Number of Violations	40.0	56.0	68.0
Total Number of Articles Violated	12.0	11.0	8.0
Months to First NJP	10.8	9.9	19.0
Number of NJP's	5.3	5.5 (4.8) <sup>c</sup>	3.5
Length of Service (months)	32.5	34.9	28.6

Sample N=20

<sup>a</sup> numbers represent group averages

<sup>b</sup> individuals admitting to pre-service drug abuse/infractions

<sup>c</sup> result after removing case with 10 NJP's

outlier of ten was removed from the calculations. Two fewer NJP's and the figure would have dropped to 5.3, equaling the moral waiver group. From the data examined, individuals in the respective groups finished approximately two-thirds of their first term enlistment. While this may appear to project a positive note, the reader is cautioned not to take this information at face value. What it does represent is the time an individual, who is targeted for an administrative separation, can continue to access classified information and remain an ever-constant threat to security.

## V. CONCLUSIONS AND RECOMMENDATION

### A. CONCLUSIONS

The focus of this research effort was on two specific areas, pre-service screening processes and administrative separation processes. The purpose was to examine these areas to learn if, (a) suitable screening procedures existed that would identify individuals as potential risks for the Radioman rate and (b) if already in the rate, can these undesirable individuals be expeditiously separated from active duty before becoming a security risk. Based on this study, the following conclusions are made.

Inconsistencies in the application of regulations and legal statutes regarding enlistment must be corrected. The documentation presented in Chapter II and the analysis provided in Chapter IV made it clear that honest and truthful cooperation was stressed. However, it was noted this was not always the case with applicants. Individuals who knowingly falsified or omitted important information were allowed to continue through the system and eventually become Radiomen with secret or higher clearance. Their behavior early-on clearly indicated unsuitability for a position of trust.

A system of liability for personal actions should be devised and implemented. As a follow-on to the above

conclusion, individuals with the intention of enlisting must be sternly warned that grave consequences exist for knowingly withholding important information pertaining to character behaviors or life style. Documentation discussed in Chapter II and presented in the Appendix Section are clearly marked with warnings regarding falsifying information. The key words in each warning, "if you are found guilty..." implies the individual must first be arraigned then processed through the legal system. This is a costly process with little time or manpower available.

Cooperation among law enforcement jurisdictions and federal agents must be developed. As was pointed out in Chapter II, and identified in the Stilwell Commission, DIS agents do, on the average, receive good cooperation from law enforcement agencies and courthouse facilities. However, in some instances the information received on ENTNAC's and interviews conducted at basic training represent the best available for adjudication. Federal legislation should be introduced that would require local and state law enforcement agencies to cooperate in clearance investigations conducted by the DIS. It is ironic that present law restricts the DIS from fully investigating individuals who will later handle some of this government's sensitive top secret information.

There are some significant inconsistencies in the application of moral waiver codes which reflect upon the

adjudication process that need to be resolved. As was discussed in Chapters II and IV and emphasized in the Stilwell Commission Report, there is concern about the adequacy of the adjudication process. The denial rate is low throughout the DoD and varies widely in each Service. In her report on Moral Enlistment Screening, Means indicated each Service uses different criteria to determine acceptable moral behavior. Standardization of criteria and a central adjudication authority would alleviate some of the present inconsistencies among Services. A fall-out from a centralization adjudication facility would be the availability of standardized statistical data for research purposes.

The professionalism of individuals in the various areas of security needs improvement. Beginning with the instructor at the Radioman Basic "A" school and continuing through the various commands, the lessons learned in past espionage cases, and security training must be continually emphasized. Training is narrow in scope and until recently was not mandatory. Individuals who adjudicate requests for clearances should be reminded of the gravity of their decisions when questionable cases come to the forefront.

More effective action should be taken against those who violate the UCMJ. It was stressed in Chapter IV that the single most offended article was Article 86, Unauthorized Absence (UA). While sanctions are available to remedy

violators, this becomes a question of economics.

Individuals who go into a UA status are not available for work. Those who do return are placed on report and generally receive some type of punishment in the form of reduction-in-rate, or forfeiture of pay, extra duty and restriction. The dilemma faced by the commanding officer is what to do with the individual. More severe punishment is available, however if a harder sentence is pronounced and the individual must serve a period of time in confinement, the work space faces a manpower shortage. If the offender is only lightly punished and returns to work, the command faces either the possibility of the individual getting into trouble again or becoming a security risk. The NMPM is specific with regards to separations. The Manual stresses rehabilitation and counseling prior to separation. In cases where separation is warranted, suspension of the separation is encouraged.

A major revamp of the present screening procedures can not be estimated based upon the analysis of this study. The data base was not sufficient in size to render such conclusions. A similar study to this one, using a much larger data base, might provide key issues worth examining at the policy decision level. Care must be exercised for statistical screens based upon such research as proposed here could be discriminatory in nature.

## B. RECOMMENDATIONS

The present system of tolerance for the individual who falsely or knowingly withholds information should be corrected. In cases where it can be proven the individual did knowingly withhold information, prosecution to the fullest extent possible should be encouraged. The best means to eliminate potential security risks is to prosecute and then widely publicize the results. With a shrinking cohort pool available, this may not be a popular move but may become a necessity.

The present system of moral waivers, accessions and standards should be reviewed. Certain types of traffic violations and other minor nontraffic offenses should not by themselves call an applicant's moral character into question. When an individual in DEP can get into trouble, go to jail, then continue in the system, or a person convicted of robbery can enlist in less than six months after the crime, there raises a question as to how adequate are present processes.

Federal legislation should be introduced that would support the DIS in clearance investigations. Issuing a top secret clearance based upon inconclusive investigations creates an environment for potential security problems. Cooperation among local, state and federal agencies will reduce the probability if the exchange of information can be accomplished.

A central adjudication facility should be created. Presently the Navy has three separate commands adjudicating clearance applications. Commander, Naval Security Group has jurisdiction over sensitive compartmented information, billeting, and adjudicating individuals in the cryptologic rate. Commander, Naval Intelligence Command has clearance approval authority for secret and top secret clearance for individuals in the intelligence rate. Commander, Naval Military Personnel Command is the clearance authority for all other rates requiring a secret or top secret clearance. A central adjudication authority with agreed upon standards would be cost effective and streamline present procedures.

#### C. AREAS FOR FURTHER RESEARCH

One area would be in pre-screening investigations. This research study only scratched the surface of pre-screening investigations. The DIS field work, ENTNAC's, basic training interviews are areas where standardization and improvement could be implemented.

Another area of research is that of moral standards. While minimum moral standards for enlistment, especially those dealing with serious offenses or deviant social behavior should be applied equally to all applicants, the issue of moral character is separate from that of military performance predictions. There are certain behaviors that do indicate something about an individual's attitude, but



there are certain standards applied to predict a person's moral character. This area lacks clear definition.

One other area for future research would be a statistical analysis of attrition of Radiomen based upon other-than-honorable characterizations of service. The Navy's Annual Reports of NMP Statistics provides several columns of attrition rates by pay grade and as a group. Statistics are available on a quarterly basis as well as annual. A long term study could possibly provide predictions based upon a merging of certain pre-service behavioral characteristics.

APPENDIX A  
 RECORD OF MILITARY PROCESSING  
 ARMED FORCES OF THE UNITED STATES

RECORD OF MILITARY PROCESSING - ARMED FORCES OF THE UNITED STATES																Form Approved OMB No 0704-0173 Exp Date: Jun. 30, 1988										
Before completing this form, read Privacy Act Statement, Warning, and Instructions on reverse																										
A. SERVICE PROCESSING FOR				B. STATUS (X one) NPS <input type="checkbox"/> PS <input type="checkbox"/>				C. SELECTIVE SERVICE CLASSIFICATION				D. SELECTIVE SERVICE REGISTRATION NO														
<b>SECTION I - PERSONAL DATA</b>																										
1. SOCIAL SECURITY NUMBER				2. NAME (Last, First, Middle Name (& Maiden, if any), Jr., Sr., etc.)								3. ALIASES														
4. CURRENT ADDRESS (Street, City, County, State, ZIP Code)												5. HOME OF RECORD ADDRESS (Street, City, County, State, ZIP Code)														
6. CITIZENSHIP (X one)						7. SEX						8. POPULATION GROUP														
a. U.S. AT BIRTH (If this box is marked, also X (1) or (2))						a. MALE						a. WHITE														
(1) NATIVE BORN						b. FEMALE						b. BLACK														
(2) BORN ABROAD OF U.S. PARENT(S)						9. ETHNIC GROUP (Specify)						c. ASIAN														
b. U.S. NATURALIZED						10. MARITAL STATUS (Specify)						d. AMERICAN INDIAN														
c. U.S. DERIVED THROUGH NATURALIZATION OF PARENT(S)						11. NUMBER OF DEPENDENTS						e. OTHER (Specify)														
d. U.S. NON-CITIZEN NATIONAL						f. IMMIGRANT ALIEN (Specify)						f. NON-IMMIGRANT FOREIGN NATIONAL (Specify)														
12. DATE OF BIRTH (YYMMDD)				13. RELIGIOUS PREFERENCE (Optional)				14. EDUCATION (Highest Grade Completed)				15. PROFICIENT IN FOREIGN LANGUAGE (Yes or No) (If yes, specify language)														
16. VALID DRIVER'S LICENSE (Yes or No) (If yes, list state, number, and expiration date)									17. PLACE OF BIRTH (City, State and Country)																	
<b>SECTION II - EXAMINATION AND ENTRANCE DATA PROCESSING CODES</b> FOR OFFICE USE ONLY - DO NOT WRITE IN THIS SECTION - GO ON TO PAGE 2, QUESTION 23																										
18. APTITUDE TEST RESULTS																										
a. TEST ID		b. TEST SCORES																								
		GS	AR	WK	PC	NO	CS	AS	MK	MC	EI	VE														
c. AFQT PERCENTILE		GI	NO	AD	WK	AR	SP	MK	EI	MC	GS	SI	AI													
19. DEP ENLISTMENT DATA																										
a. DATE OF DEP ENLISTMENT (YYMMDD)			b. PROJECTIVE DUTY DATE (YYMMDD)			c. ES			d. RECRUITER IDENTIFICATION			e. PROGRAM ENLISTED FOR			f. T-E MOS/AFS											
20. ACCESSION DATA																										
a. ENLISTMENT DATE (YYMMDD)			b. ACTIVE DUTY SERVICE DATE (YYMMDD)			c. PAY ENTRY DATE (YYMMDD)			d. TOE			e. WAIVER			f. PAY GRADE			g. DATE OF GRADE (YYMMDD)			h. ES			i. HIGHEST ED GR COMPL		
j. RECRUITER IDENTIFICATION						k. PROGRAM ENLISTED FOR						l. T-E MOS/AFS			m. PMOS/AFS			n. YOUTH			o. OA			p. TRANSFER TO		
21. SERVICE REQUIRED CODES		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16									
		17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	34									
		35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	52									
		53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	70									

**DD Form 1966**  
**RECORD OF MILITARY PROCESSING**  
**ARMED FORCES OF THE UNITED STATES**

**Privacy Act Statement**

<b>AUTHORITY:</b>	Title 10, United States Code, Sections 504, 505, 508, 510, and 520a, and Title 50 USC Appendix 451 and following section.
<b>PRINCIPAL PURPOSE:</b>	To determine your eligibility for military service.
<b>ROUTINE USES:</b>	This form becomes the principal source document for, and part of, your military personnel records which are used to make decisions related to your training, promotion, assignments, and other personnel management actions.
<b>DISCLOSURE:</b> (Applicants)	Voluntary; however, failure to answer all questions on this form, except "optional" items, may result in denial of your enlistment.
(Selective Service Registrants)	Disclosure of requested information is mandatory except "optional" items, disclosure of which is voluntary.

**WARNING**

Information provided by you on this form is FOR OFFICIAL USE ONLY and will be maintained and used in strict compliance with Federal laws and regulations. The information provided by you becomes the property of the United States Government, and it may be consulted throughout your military service career, particularly whenever either favorable or adverse administrative or disciplinary actions related to you are involved.

YOU CAN BE PUNISHED BY FINE, IMPRISONMENT OR BOTH IF YOU ARE FOUND GUILTY OF MAKING A KNOWING AND WILLFUL FALSE STATEMENT ON THIS DOCUMENT.

**INSTRUCTIONS**

(Read carefully BEFORE filling out this form.)

1. Read Privacy Act Statement above before completing form.
2. Type or print LEGIBLY all answers; If the answer is "None" or "Not Applicable," so state. "OPTIONAL" questions may be left blank.
3. List all responses requiring dates (schools, employment/residences) in chronological order beginning with present or the most recent and work backwards. Show all (employers/residences) for the last five years or since 13th birthday. Give inclusive dates for each period of residence/employment/school. If additional space is needed for any answer, continue it in Item 39, "Remarks."
4. Unless otherwise specified, write all dates as 6 digits (with no spaces or marks) in YYMMDD fashion. February 13, 1985 is written 850213.

APPENDIX A (cont'd)

NAME					SOCIAL SECURITY NUMBER				
<b>SECTION III - OTHER PERSONAL DATA</b>									
23. CITIZENSHIP <i>(You must provide your recruiter with the necessary documents to confirm your answers.)</i>									
a. BIRTH CERTIFICATE						b. NATIVE COUNTRY			
(1) FILE NUMBER		(2) ISSUING COUNTY		(3) ISSUING STATE					
c. IF ALIEN, GIVE ALIEN REGISTRATION NUMBER AND LAST ADDRESS FURNISHED TO IMMIGRATION AND NATURALIZATION SERVICE (INS)						d. DATE/PORT OF ENTRY INTO THE U.S. <i>(if applicable)</i>			
24. EDUCATION <i>(List all high schools and colleges attended. If none attended, show last school attended.)</i>									
a. FROM <i>(YYMM)</i>	b. TO <i>(YYMM)</i>	c. NAME OF SCHOOL			d. LOCATION			e. GRADUATE	
								YES	NO
25. RESIDENCES <i>(List all for the last five years or since 13th birthday, whichever is shorter.)</i>									
a. FROM <i>(YYMM)</i>	b. TO <i>(YYMM)</i>	c. STREET ADDRESS			d. CITY		e. STATE	f. ZIP CODE	
	PRESENT								
26. EMPLOYMENT <i>(Show all periods of employment and unemployment during the last five years.)</i>									
a. FROM <i>(YYMM)</i>	b. TO <i>(YYMM)</i>	c. NAME OF EMPLOYER			d. ADDRESS <i>(include Zip Code)</i>		e. NAME OF IMMEDIATE SUPERVISOR	f. JOB TITLE	
	PRESENT								
27. RELATIVES									
a. NAME <i>(Last, First, Middle Initial)</i>		b. DEPN		c. DATE OF BIRTH <i>(YYMMDD)</i>	d. PLACE OF BIRTH		e. PRESENT ADDRESS		f. CITIZENSHIP
		YES NO							
FATHER									
MOTHER <i>(Maiden Name)</i>									
SPOUSE <i>(Maiden Name, if applicable)</i>									
CHILDREN									

APPENDIX A (cont'd)

NAME		SOCIAL SECURITY NUMBER	
28. Are you now or have you ever been in any regular or reserve branch of the Armed Forces or in the Army National Guard or the Air National Guard? (Give your recruiter the appropriate DD Form 214 and/or DD Form 215 or NGB Form 22 for review.)		YES	NO
29. Are you now or have you ever been divorced or legally separated? If "YES," enter in item 39, "REMARKS," the date, place and court which granted divorce or legal separation.			
30. Is any court order or judgment in effect that directs you to provide support for children or alimony? If "YES," enter in item 39, "REMARKS," the date, place, and court which granted alimony or support, including orders resulting from paternity suits.			
31. Have you ever been arrested, apprehended, charged, cited or held by Federal, State, military or other law enforcement or juvenile authorities, regardless of whether the citation was dropped or dismissed or you were found not guilty? Include all courts-martial or non-judicial punishment while in military service. If "YES," enter details in item 35.			
32. As a result of being arrested, apprehended, charged, cited or held by Federal, State, military or other law enforcement or juvenile authorities, have you ever been convicted, fined by or forfeited bond to a Federal, State or other judicial authority or adjudicated a youthful offender or juvenile delinquent (regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record); or have you been released from parole, probation, juvenile supervision or given a suspended sentence or relieved of charges pending on condition that you apply for or enlist in the United States Armed Forces? If "YES," enter details in item 35.			
33. Have you ever been detained, held in, or served time in any jail or prison, reform or industrial school, or a juvenile facility or institution under the jurisdiction of any city, state, Federal or foreign country? If "YES," enter details in item 35.			
34. Have you ever been a ward, or are you now under suspended sentence, parole, or probation or awaiting any action on criminal/civil charges against you? If "YES," enter details in item 35.			
35. <b>LAW VIOLATIONS.</b> Explain below "YES" answers given in items 31 through 34 above (Include all incidents with law enforcement authorities even if the citation or charge was dropped or dismissed or you were found not guilty or you have been told by recruiting personnel or anyone else that the incident was not important enough to list.)			
a. DATE (YYMMDD)	b. NATURE OF OFFENSE OR VIOLATION	c. PLACE OF OFFENSE	d. NAME AND LOCATION OF COURT
			e. PENALTY IMPOSED OR OTHER DISPOSITION IN EACH CASE
36. <b>CHARACTER AND SOCIAL ADJUSTMENT:</b> If your answer to every question is truthfully "NO," indicate so in the appropriate space. If your answer is "YES," indicate so in the appropriate space and give details in item 39, "REMARKS." A "YES" answer will not necessarily disqualify you for enlistment; it will depend on the circumstances surrounding the situation.		YES	NO
a. Questions (1), (2), and (3) below concern possession, supply, use without a prescription of marijuana, narcotics, LSD or other dangerous drugs. A "Yes" answer to (3) has no bearing on your eligibility to enlist or be commissioned but is essential to accurate job classification. Additional screening will occur during basic training or officer training school.			
(1) Have you ever used narcotics, LSD or other dangerous drugs?			
(2) Have you ever been a supplier of narcotics, LSD or other dangerous drugs or marijuana?			
(3) Have you used marijuana at any time in the past six months?			
b. Has your use of drugs or alcoholic beverages (such as liquor, beer, wine), ever resulted in your loss of a job, arrest by police, or treatment of alcoholism?			
c. Are you a homosexual or a bisexual? ("Homosexual" is defined as: sexual desire or behavior directed at a person(s) of one's own sex. "Bisexual" is defined as: a person sexually responsive to both sexes.)			
d. Do you intend to engage in homosexual acts (sexual relations with another person of the same sex)?			
e. Are you a conscientious objector? That is, do you have, or have you ever had, a firm, fixed, and sincere objection to participation in war in any form or to the bearing of arms because of religious training or belief?			
f. Have you ever been rejected for enlistment, reenlistment, or induction by any branch of the Armed Forces of the United States?			
g. Are you now, or have you ever been, a deserter from any branch of the Armed Forces of the United States?			
h. Are you now, or have you ever been, a member of the Communist Party or any Communist organization? Are you now, or have you ever been, affiliated with any organization, association, movement, group or combination of persons which advocates the overthrow of our constitutional form of government or which has adopted the policy of advocating the commission of acts of violence to deny other persons their rights under the Constitution of the United States or which seeks to alter the form of government of the United States by unconstitutional means? (If "YES," give details in item 39, "REMARKS.")			



APPENDIX A (cont'd)

NAME		SOCIAL SECURITY NUMBER	
<b>SECTION V - CERTIFICATION</b>			
<b>40. CERTIFICATION OF APPLICANT</b> <i>(Your signature in this block must be witnessed by your recruiter)</i>			
<p>a. I certify that the information given by me in this document is true, complete, and correct to the best of my knowledge and belief. I understand that I am being accepted for enlistment based on the information provided by me in this document; that if any of the information is knowingly false or incorrect, I could be tried in a civilian or military court and could receive a less than honorable discharge which could affect my future employment opportunities.</p>			
b. TYPED OR PRINTED NAME (Last, First, Middle Initial)		c. SIGNATURE	d. DATE SIGNED (YYMMDD)
<b>41. DATA VERIFICATION BY RECRUITER</b> <i>(Enter description of the actual documents used to verify the following items.)</i>			
a. NAME (X one)	b. AGE (X one)	c. CITIZENSHIP (X one)	
(1) BIRTH CERTIFICATE	(1) BIRTH CERTIFICATE	(1) BIRTH CERTIFICATE	
(2) OTHER (Explain)	(2) OTHER (Explain)	(2) OTHER (Explain)	
d. SOCIAL SECURITY NUMBER (X one)	e. EDUCATION (X one)	f. OTHER DOCUMENTS USED	
(1) SSN CARD	(1) DIPLOMA		
(2) OTHER (Explain)	(2) OTHER (Explain)		
<b>42. CERTIFICATION OF WITNESS</b>			
<p>a. I certify that I have witnessed the applicant's signature above and that I have verified the data in the documents required as prescribed by my directives. I further certify that I have not made any promises or guarantees other than those listed and signed by me. I understand my liability to trial by courts-martial under the Uniform Code of Military Justice should I effect or cause to be effected the enlistment of anyone known by me to be ineligible for enlistment.</p>			
b. TYPED OR PRINTED NAME (Last, First, Middle Initial)	c. PAY GRADE	d. RECRUITER I.D.	e. SIGNATURE
			f. DATE SIGNED (YYMMDD)
<b>43. SPECIFIC OPTION / PROGRAM ENLISTED FOR, MILITARY SKILL, OR ASSIGNMENT TO A GEOGRAPHICAL AREA GUARANTEES</b>			
<p>a. SPECIFIC OPTION / PROGRAM ENLISTED FOR: <i>(Completed by Guidance Counselor, MEPS Liaison NCO, etc., as specified by sponsoring service - use clear text English.)</i></p>			
<p>b. I fully understand that I will not be guaranteed any specific military skill or assignment to a geographic area except as shown in Item 43.a. above and annexes attached to my Enlistment/ Reenlistment Document (DD Form 4).</p>			c. APPLICANT'S INITIALS
<b>44. CERTIFICATION OF RECRUITER OR ACCEPTOR</b>			
<p>a. I certify that I have reviewed all information contained in this document and, to the best of my judgment and belief, the applicant fulfills all legal policy requirements for enlistment. I accept him/her for enlistment on behalf of the United States <i>(Enter Branch of Service)</i> _____, and certify that I have not made any promises or guarantees other than those listed in Item 43 above. I further certify that service regulations governing such enlistments have been strictly complied with and any waivers required to effect applicant's enlistment have been secured and are attached to this document.</p>			
b. TYPED OR PRINTED NAME (Last, First, Middle Initial)	c. PAY GRADE	d. RECRUITER I.D. OR ORGANIZATION	e. SIGNATURE
			f. DATE SIGNED (YYMMDD)
<b>SECTION VI - RECERTIFICATION</b>			
<b>45. RECERTIFICATION BY APPLICANT AND CORRECTION OF DATA AT THE TIME OF ACTIVE DUTY ENTRY</b>			
<p>a. I have reviewed all information contained in this document this date. That information is still correct and true to the best of my knowledge and belief. If changes were required, the original entry has been marked "See Item 45" and the correct information is provided below.</p>			
b. ITEM NUMBER	c. CHANGE REQUIRED		
d. WITNESS		e. APPLICANT	
(1) TYPED OR PRINTED NAME	(2) PAY GRADE	(1) SIGNATURE	(2) DATE SIGNED (YYMMDD)
(3) SIGNATURE			

APPENDIX A (cont'd)

NAME		SOCIAL SECURITY NUMBER	
<b>NOTE</b>			
USE THIS DD FORM 1966 PAGE ONLY IF EITHER SECTION APPLIES TO THE APPLICANT'S RECORD OF MILITARY PROCESSING.			
<b>SECTION VII - PARENTAL / GUARDIAN CONSENT FOR ENLISTMENT</b>			
46. PARENT / GUARDIAN STATEMENT(S) (Line out portions not applicable)			
a. I/we certify that (Enter name of applicant) _____  has no other legal guardian other than me / us and I / we consent to his / her enlistment in the United States (Enter Branch of Service) _____  I/we certify that no promises of any kind have been made to me/us concerning assignment to duty, training, or promotion during his/her enlistment as an inducement to me/us to sign this consent. I/we hereby authorize the Armed Forces representatives concerned to perform medical examinations, other examinations required, and to conduct records checks to determine his/her eligibility. I/we relinquish all claim to his/her service and to any wage or compensation for such service.		b. <b>FOR ENLISTMENT IN A RESERVE COMPONENT.</b>  I/we understand that, as a member of a reserve component, he/she must serve minimum periods of active duty for training unless excused by competent authority. In the event he/she fails to fulfill the obligations of his/her reserve enlistment, he/she may be recalled to active duty as prescribed by law. I/we further understand that while he/she is in the ready reserve, he/she may be ordered to extended active duty in time of war or national emergency declared by the Congress or the President or when otherwise authorized by law.	
c. PARENT			
(1) TYPED OR PRINTED NAME (Last, First, Middle Initial)		(2) SIGNATURE	(3) DATE SIGNED (YYMMDD)
d. WITNESS			
(1) TYPED OR PRINTED NAME (Last, First, Middle Initial)		(2) SIGNATURE	(3) DATE SIGNED (YYMMDD)
e. PARENT			
(1) TYPED OR PRINTED NAME (Last, First, Middle Initial)		(2) SIGNATURE	(3) DATE SIGNED (YYMMDD)
f. WITNESS			
(1) TYPED OR PRINTED NAME (Last, First, Middle Initial)		(2) SIGNATURE	(3) DATE SIGNED (YYMMDD)
47. VERIFICATION OF SINGLE SIGNATURE CONSENT			
<b>SECTION VIII - STATEMENT OF NAME FOR OFFICIAL MILITARY RECORDS</b>			
48. NAME CHANGE. If the preferred enlistment name (name given in Item 2) is not the same as on your birth certificate, and it has not been changed by legal procedure prescribed by state law, and it is the same as on your social security number card, complete the following:			
a. NAME AS SHOWN ON BIRTH CERTIFICATE		b. NAME AS SHOWN ON SOCIAL SECURITY NUMBER CARD	
c. I hereby state that I have not changed my name through any court or other legal procedure; that I prefer to use the name of _____ by which I am known in the community as a matter of convenience and with no criminal intent. I further state that I am the same person as the person whose name is shown in Item 2.			
d. WITNESS		e. APPLICANT	
(1) TYPED OR PRINTED NAME	(2) PAY GRADE	(1) SIGNATURE	(2) DATE SIGNED (YYMMDD)
(3) SIGNATURE			



APPENDIX B  
USN ALCOHOL AND DRUG ABUSE  
SCREENING CERTIFICATE

USN ALCOHOL AND DRUG ABUSE SCREENING CERTIFICATE  
NAVCROUTE 1133/7 (Rev. 12/82) (Replaces items 35a-35c of DD Form 1966)

This form is affected by the Privacy Act of 1974. See Section VIII of this form for Privacy Act statement.

I. INTRODUCTION

Drug abuse by Navy personnel is prohibited. The purpose of this certificate is to obtain information which will help you and the Navy determine your enlistment and program eligibility. You should be completely honest in completing this certificate. If you are truthful now, no action can or will be taken against you as the result of any information you may reveal. Your statement will be used only by the Navy and will not be released to any outside agency or person not authorized by you. You are cautioned that should you conceal alcohol or drug abuse information at this time and it is discovered after your enlistment, punitive action may be taken against you based upon the false statements you have made.

II. DEFINITIONS

Alcohol Abuse. The use of alcohol to an extent that it has an adverse effect on the user's health or behavior, family, community, or the Navy, or leads to unacceptable behavior as evidenced by an alcohol-related incident (or incidents).

Alcohol/Drug Dependent. Having a psychological and/or physiological reliance on alcohol or drugs resulting from use on a periodic or continuing basis. (See also "Physical/Psychological Dependence.")

Alcohol-related Incident. Any incident in which alcohol is a factor. Examples include driving while intoxicated (DWI), driving under the influence (DUI), drunk-in-public and other types of alcohol-related incidents, particularly those requiring medical care, or involving a public or domestic disturbance.

Alcoholic. An individual who is alcohol dependent.

Depressants. Sedative-hypnotic drugs of diverse chemical structure, all capable of inducing varying degrees of behavioral depression. Depending on dose, can cause sedative, tranquilizing, hypnotic (sleep) or anesthetizing effect. Most common categories of depressants include: barbiturates (e.g., phenobarbital, secobarbital), tranquilizers or the benzodiazepines and methaqualone.

Drug Abuse. Any illicit use or possession of drugs.

Drug Abuser. One who has illicitly used, or possessed, any narcotic substance, marijuana, or other drug.

Drugs. Marijuana, narcotics and all other controlled substances as listed in Schedules I-V established by Section 202 of the Comprehensive Drug Abuse Prevention and Control Act of 1970, Title 21, U.S.C. Section 812 as updated and republished under the provisions of that Act.

Drug Trafficking or Supplying. The wrongful distribution (includes sales or transfer) of a controlled substance, and/or the wrongful possession or introduction into a military unit, base, station, ship, or aircraft of a controlled substance with the intent to distribute.

Hallucinogens/Psychedelics. A group of diverse, heterogeneous compounds all with the ability to induce visual, auditory, or other hallucinations and to separate the individual from reality. Depending on substance and dose, can cause disturbances in cognition and perception. Most common categories are: LSD; mescaline and peyote; psilocybin; and psychedelic amphetamine variants (STP, MDA). Although a unique drug, for purposes of this certificate phencyclidine (PCP) will be labeled in this general drug class.

ANNEX A TO DD FORM 1966 DATED \_\_\_\_\_

## APPENDIX B (cont'd)

USN ALCOHOL AND DRUG ABUSE SCREENING CERTIFICATE - Page 2  
 NAVCRUIT 113377 (Rev. 12'82)

### DEFINITIONS (continued)

**Marijuana.** Any intoxicating product of the hemp plant, cannabis (including hashish), or any synthesis thereof. For purpose of this certificate the term marijuana and cannabis are used interchangeably.

**Narcotics.** Any opiate or opiate derivatives, including their synthetic equivalents. Included as opiates are morphine, codeine, heroin, Methadone, Talwin, Percodan, Darvon, etc.

**Physical/Physiological Dependence.** An alteration to an individual's physiology or state of adaptation to a drug or alcohol that manifests itself in continued use, the development of tolerance, leads to a state of impaired capability to perform normal functions, and results in withdrawal symptoms when the drug is discontinued abruptly.

**Psychological Dependence.** The craving or need for the mental or emotional effects of a drug that manifests itself in repeated use and leads to a state of impaired capability to perform normal functions.

**Stimulant.** Widely diverse category made up of central nervous system stimulant drugs that increase the behavioral activity of an individual. Most common categories of abused stimulants include cocaine and amphetamines.

### III. RECERTIFICATION

Immediately before commencement of active duty in the Regular Navy or active duty/active duty for training Naval Reserve, all personnel must complete Section V of this certificate.

IV. CERTIFICATION	INITIALS	
	YES	NO
1. I have used narcotics; stimulant, depressant, or hallucinogens/psychedelics drugs; (as defined on this certificate).		
2. I have used marijuana in the past.		
3. I am presently using marijuana or other drugs.		
4. I have used stimulant, depressant, or hallucinogens/psychedelics drugs over one year ago.		
5. I have been convicted of a drug abuse offense.		
6. I have been convicted of an alcohol related offense.		
7. I have used stimulant, depressant, or hallucinogens/psychedelics drugs between six months and one year ago.		
8. I have used stimulant, depressant, or hallucinogens/psychedelics drugs within the past six months.		
9. I have used narcotics over one year ago.		
10. I have been psychologically or physically dependent upon drugs or alcohol.		
11. I have been a trafficker (supplier) of illegal drugs.		
12. I have used narcotics within the past year.		
I understand that some forms of pre-service drug abuse (use) may be waivable. I request an individual evaluation for waiver consideration.	YES	NO
Typed/printed Name of Applicant (Last, first, middle)	SSN	

APPENDIX B (cont'd)

USN ALCOHOL AND DRUG ABUSE SCREENING CERTIFICATE - Page 3  
 NAVCRUIT 1133/7 (Rev. 12/82)

Knowing and understanding all the information contained above, and realizing that this document will be used to determine my enlistment and program eligibility, I hereby state that the above information as to my previous alcohol and drug involvement is true and complete to the best of my knowledge. I will not abuse any illegal drugs or controlled substances while in the service of my country. I certify that I have completed this form honestly, without concealing any information, and of my own free will.

Date	Typed/printed Name of Applicant and SSN	Signature
------	---	-----------

RECRUITER (AND WITNESSES): I certify that the above individual signed this certificate of his/her own free will after telling me/us his/her answers are true.

Date	Typed/printed Name of Recruiter (and Witnesses) and Title	Signature(s)
	..... (witnesses)	..... Signature

V. RECERTIFICATION. Pre-service alcohol and drug abuse recertification for personnel enlisting Regular Navy or entering ACDU/ACDUTRA Naval Reserve from the Delayed Entry Program and/or completing enlistment processing.

	INITIALS	
	YES	NO
1. I have reread and fully understand all the information contained in the USN Alcohol and Drug Abuse Screening Certificate.		
2. I hereby state that there has been no change in my status since I provided original drug abuse information on ...		
3. I request an individual evaluation.		
4. I recertify that I have completed this form honestly, without concealing any information, and of my own free will.		

Date	Typed/printed Name of Enlistee and SSN	Signature
------	--	-----------

MEPS LIAISON P.O. (AND WITNESSES): I certify that the above individual signed this certificate of his/her own free will after telling me/us the answers in this section are true.

Date	Typed/printed Name of MEPS LPO (and witnesses) and Title	Signature(s)
	..... (witnesses)	..... Signature

VI. PRE-SERVICE ALCOHOL AND DRUG ABUSE WAIVER INFORMATION

PRE-SERVICE ALCOHOL AND DRUG ABUSE WAIVER (check one)  REQUIRED  NOT REQUIRED

Date	Typed/printed Name of Recruiter and SSN	Signature
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APPENDIX B (cont'd)

USN ALCOHOL AND DRUG ABUSE SCREENING CERTIFICATE - Page 4  
 NAVCRUIT 1133'7 (Rev. 12/82)

VII. PRE-SERVICE ALCOHOL AND DRUG ABUSE WAIVER AUTHORIZATION  
 PRE-SERVICE ALCOHOL AND DRUG ABUSE WAIVER (check one)  GRANTED  NOT GRANTED FOR ENLISTMENT  
 IN FOLLOWING PROGRAM

PROGRAM

Date	Typed/printed Name of CO, NAVCRUITDIST (and COMNAVCRCUITCOM, if required)	Signature
	..... (COMNAVCRCUITCOM)	..... Signature

VIII. PRIVACY ACT STATEMENT

- Authority. The authority to request this information is contained in Sections 504, 505, 508, 510, 511 and 802 of Title 10, United States Code as amended.
- Principal Purpose or Purposes. The information in this document is used to determine your present enlistment and program eligibility. The information provided by you on this document is FOR OFFICIAL USE ONLY and will be maintained and used in strict confidence in accordance with Federal Law and Regulations.
- Routine Uses. The information provided by you will become a permanent part of your Service Record. This information constitutes the minimum required to determine your present enlistment and program eligibility. The information provided by you on this document is FOR OFFICIAL USE ONLY and will be maintained and used in strict confidence in accordance with Federal Law and Regulations.
- Whether Disclosure is Mandatory or Voluntary and Effect on Individual for Not Providing Information. The information requested is of a personal and confidential nature, and you do not have to provide such information unless you voluntarily wish to enlist in the Armed Forces of the United States. Failure to answer completely any of the questions or to provide the information requested in this form may result in an inability to fairly evaluate your enlistment and program eligibility and subsequent denial for enlistment.

APPENDIX C  
RECRUITER'S REQUEST FOR ELIGIBILITY WAIVER

\_\_\_\_\_  
(Date)

From: Recruiter in Charge, NRS \_\_\_\_\_  
To: Commanding Officer/Officer in Charge, \_\_\_\_\_  
Subj: Enlistment eligibility waiver request ICO \_\_\_\_\_  
NAME, RATE\*, AND \_\_\_\_\_  
SSAN REQUIRED) \*if applicable

Ref: (a) COMNAVCRUITCOMINST 1130.8B (CRUITMAN-ENL)

Encl: (1) Pre-enlistment kit

1. In accordance with reference (a), enclosure (1) is forwarded for consideration of an enlistment eligibility waiver for \_\_\_\_\_

2. In support of this request, the following information is provided

a. Education/Test:

(1) Education Level: \_\_\_\_\_

(2) AFQT: \_\_\_\_\_

(3) SCREEN: \_\_\_\_\_

b. Race: \_\_\_\_\_ Ethnic: \_\_\_\_\_ Age: \_\_\_\_\_

c. Marital Status: \_\_\_\_\_ Dependents: \_\_\_\_\_

3. Enlistment Recommendations (justify thoroughly validation for waiver approval):

APPENDIX D

ORIGINAL SIGNED COPY OF THIS FORM MUST BE PRINTED ON BOTH SIDES RATHER THAN ON TWO SEPARATE PAGES

OPNAVINST 5350.4

## DRUG AND ALCOHOL ABUSE STATEMENT OF UNDERSTANDING

### PRIVACY ACT STATEMENT

The Navy is responsible for preventing drug and alcohol abuse by its members and for disciplining those who promote or engage in drug and alcohol abuse. Navy personnel are subject to drug and alcohol testing methods, including urinalysis, to enforce this policy. Authority to obtain your social security number, which will be used for identification and filing, is provided by 5 USC 301 and Executive Order 9397 (NOTAL). Disclosure of your social security number is voluntary. Failure to disclose this information, however, will result in termination of the process for which this statement is required.

I, _____ understand that: <small>(Full name - first middle last)</small>	INITIALS
1. Service in the United States Navy or Naval Reserve places me in a position of special trust and responsibility.	
2. Drug abuse by members of the United States Navy is against the law; and drug and alcohol abuse, in general, violates Navy standards of behavior and duty performance and will not be tolerated.	
3. The illegal or improper use of alcohol, marijuana and other controlled substances endangers my health and the safety of other Navy men and women.	
4. If I illegally or improperly use or possess alcohol or drugs, including marijuana, appropriate disciplinary and/or administrative action may be taken against me. In the case of drugs, this action may include trial by court-martial or administrative separation from the Navy. Administrative separation for drug abuse or separation in lieu of trial by court-martial could result in an other than honorable discharge. Conviction by a court-martial of a drug-related offense may lead to a punitive separation. This can result in a denial of education benefits, home loan assistance, and other benefits administered by the VA. Additionally, a person receiving such a separation or discharge can expect to encounter substantial prejudice in civilian life in situations where the character of separation or discharge received from the Armed Forces may have a bearing.	
5. (Initial applicable section only -- a, b, or c)	
<p>a. (OFFICERS PRE-COMMISSIONING PROGRAMS)</p> <p>I understand the U. S. Navy's intolerance of substance abuse and that I will be screened by urinalysis testing for the presence of marijuana or drugs within thirty days of reporting for training. I further understand that a single detection of drug abuse after entry will result in disenrollment from an officer program and separation from the Navy.</p>	
<p>b. (CHIEF PETTY OFFICERS)</p> <p>I understand that the Navy's policy of zero-tolerance towards drug and alcohol abuse by its leaders will result in administrative or disciplinary action and may result in my separation.</p>	

APPENDIX D (cont'd)

<b>DRUG AND ALCOHOL ABUSE STATEMENT OF UNDERSTANDING (Continued)</b>		
<b>5 c. (ENLISTED, E-1 THROUGH E-6)</b> I understand that the Navy does not tolerate drug or alcohol abuse by its members and will take disciplinary action against those who promote or engage in drug abuse. Pertaining to my enlistment into the Navy, I further understand that:	<b>INITIALS</b>	
(1) The Navy drug urinalysis test can detect the use of illegal drugs, including marijuana, up to 30 days following such use		
(2) The drug urinalysis test will be given to all personnel within 48 hours of arrival at the Recruit Training Center and at other periodic follow-on times as necessary		
(3) If I am found to have positive test indications of marijuana use, I shall be strongly warned, and if any follow-on tests indicate continued drug abuse, it will be cause for my separation from the Navy		
(4) Any drug urinalysis test showing positive indication of any drug use, other than marijuana, shall be cause for my being processed for discharge from the Navy		
(5) Detection of drug abuse may disqualify me from certain occupations or programs for which I enlisted and I may either be reassigned to another program or processed for separation from the Navy at the option of the Navy.		
<b>CERTIFICATION</b> <b>I HAVE READ AND FULLY UNDERSTAND ALL THE INFORMATION CONTAINED ON BOTH SIDES OF THIS FORM</b>		
TYPED/PRINTED NAME (Last, First, Middle)	SIGNATURE	DATE
SSN	GRADE/RANK (if applicable)	
<b>CERTIFYING OFFICIAL AND WITNESS</b> <b>I CERTIFY THE ABOVE INDIVIDUAL SIGNED THIS CERTIFICATE IN MY PRESENCE</b>		
TYPED/PRINTED NAME AND TITLE OF OFFICIAL CERTIFYING	SIGNATURE	DATE
TYPED/PRINTED NAME AND TITLE OF WITNESS	SIGNATURE	DATE
REMARKS		

OPNAV 5350/1 (5-82) (Back) ORIGINAL SIGNED COPY OF THIS FORM MUST BE PRINTED ON BOTH SIDES RATHER THAN ON TWO SEPARATE PAGES







APPENDIX F (cont'd)

14 a. MARITAL STATUS		b. NAME(S) OF FORMER SPOUSE(S)		c. DATE(S) OF PRIOR MARRIAGE(S)		d. PLACE		
MARRIED	UNMARRIED							
LEGALLY SEPARATED	DIVORCED	e. DATE OF DIVORCE		f. COURT		g. LOCATION		
15. EDUCATION (List in chronological order, beginning with the last school attended.) (See DETAILED INSTRUCTIONS.)								
a. DATES		b. NAME OF SCHOOL		c. ADDRESS		d. MAJOR	e. DEGREE	
FROM	TO							
16. CREDIT REFERENCES (Complete this item only if you lived overseas within the past 5 years. List 3 individuals and/or firms who have extended credit to you during that time period.) (See DETAILED INSTRUCTIONS.)								
a. NAME		b. ACCOUNT NUMBER		c. NUMBER AND STREET		d. CITY	e. STATE	f. ZIP CODE
17. CHARACTER REFERENCES (List 3 good friends, co-workers, colleagues, classmates, etc.) (See DETAILED INSTRUCTIONS.)								
a. NAME		b. FROM	c. TO	d. NUMBER AND STREET		e. CITY	f. STATE	g. ZIP CODE
18. REMARKS (Attach additional sheets, if necessary.)								

REPRODUCED AT GOVERNMENT EXPENSE

APPENDIX F (cont'd)

REPRODUCED AT GOVERNMENT EXPENSE

19 ORGANIZATIONS				
a. (List all organizations, except those referred to in b. below in which you hold or have held membership.)				
i. NAME	ii. ADDRESS	iii. TYPE	iv. FRDM	v. TD
b. ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.)				
Yes   No				
	i. Are you now or have you ever been a member of the Communist Party or any Communist organization?			
	ii. Are you now or have you ever been affiliated with any organization, association, movement, group, or combination of persons which advocates the overthrow of our constitutional form of government or which has adopted the policy of advocating or approving the commission of acts of force or violence to deny other persons their rights under the Constitution of the United States or which seeks to alter the form of government of the United States by unconstitutional means?			
20 MEDICAL/FINANCIAL ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.)				
Yes   No				
	a. Have you ever used any narcotic, depressant, stimulant, hallucinogen (to include LSD or PCP), or cannabis (to include marijuana or hashish), except as prescribed by a licensed physician?			
	b. Have you ever been involved in the illegal purchase, possession, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis?			
	c. Has your use of alcoholic beverages (such as liquor, beer, wine) ever resulted in the loss of a job, arrest by police, or treatment for alcoholism?			
	d. Have you ever been a patient (whether or not formally committed) in any institution primarily devoted to the treatment of mental, emotional, psychological, or personality disorders?			
	e. Have you ever petitioned to be declared bankrupt?			
21 ARRESTS ("Yes" answers must be explained in accordance with the DETAILED INSTRUCTIONS.)				
Yes   No				
	a. Have you ever been arrested, charged, cited, or held by Federal, State, or other law enforcement or juvenile authorities, regardless of whether the citation was dropped or dismissed or you were found not guilty? Include all court martial or non-judicial punishment while in military service. (You may exclude minor traffic violations for which a fine or forfeiture of \$100 or less was imposed.)			
	b. As a result of being arrested, charged, cited, or held by law enforcement or juvenile authorities, have you ever been convicted, fined by or forfeited bond to a Federal, State, or other judicial authority or adjudicated a youthful offender or juvenile delinquent (regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record)?			
	c. Have you ever been detained, held in, or served time in any jail or prison, or reform or industrial school or any juvenile facility or institution under the jurisdiction of any city, state, federal, or foreign country?			
	d. Have you ever been awarded, or are you now under suspended sentence, parole or probation, or awaiting any action on charges against you?			
i. DATE	ii. NATURE OF OFFENSE OR VIOLATION	iii. NAME AND LOCATION OF POLICE AGENCY	iv. NAME AND LOCATION OF COURT	v. PENALTY IMPOSED OR OTHER DISPOSITION IN EACH CASE
I CERTIFY THAT THE ENTRIES MADE BY ME ARE TRUE, COMPLETE, AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF AND ARE MADE IN GOOD FAITH. I UNDERSTAND THAT A KNOWING AND WILLFUL FALSE STATEMENT ON THIS FORM CAN BE PUNISHED BY FINE OR IMPRISONMENT OR BOTH. (See U.S. Code, Title 18, Section 1001.)				
DATE		SIGNATURE OF PERSON COMPLETING FORM		

APPENDIX G  
REQUEST FOR PERSONNEL SECURITY INVESTIGATION

REQUEST FOR PERSONNEL SECURITY INVESTIGATION		2 CODE	3 REQUESTER FILE NO	4 DATE OF REQUEST
1 FROM:		5 THIS REQUEST IS FOR:		
TO: Personnel Investigations Control Center Defense Investigative Service P O Box 454 Baltimore, Maryland 21203		<input type="checkbox"/> LIMITED INQUIRY <input type="checkbox"/> BACKGROUND INVESTIGATION (BI) <input type="checkbox"/> SPECIAL BACKGROUND INVESTIGATION (SBI) <input type="checkbox"/> BI BRING UP <input type="checkbox"/> SBI BRING-UP <input type="checkbox"/> OTHER (Specify in Remarks)		
7 RETURN RESULTS TO: (Include ZIP Code)		8 REASON FOR INVESTIGATION:		
		<input type="checkbox"/> ACCESS TO MATERIAL CLASSIFIED (Confidential) (Secret) (Top Secret) <input type="checkbox"/> NUCLEAR REASON POSITION <input type="checkbox"/> IMMIGRANT ALIEN CLEARANCE REQUIREMENT <input type="checkbox"/> SENSITIVE COMPARTMENTED INFORMATION <input type="checkbox"/> SIOP/ESI <input type="checkbox"/> PRESIDENTIAL SUPPORT <input type="checkbox"/> OTHER (Continue in Remarks)		
DO NOT COMPLETE - BLOCKS CIRCUMSCRIBED BY HEAVY BLACK LINE ARE FOR DIS INTERNAL USE ONLY				
CCN (Case Control Number) (1-15)		(16-22)		
23	24	6 NAME (Last-First-Middle) (Last Name only in Capital)		
23	24	8 OTHER NAMES USED OR KNOWN BY (Continue in Remarks)		
10 DATE OF BIRTH (Y-M-D)	11 SSN	12 FORMER SERVICE NO	13 SEX	PB (72-73) PC (74-75) SV (76) CR (77-78)
14 PLACE OF BIRTH (City, State)	15 SERVICE	16 RANK/RATE/GRADE	R A I N	
17 LOCAL FILES:		DIS NON-ACCEPTANCE STAMP		
<input type="checkbox"/> PERSONNEL. <input type="checkbox"/> BASE/MILITARY POLICE. <input type="checkbox"/> MEDICAL. <input type="checkbox"/> SECURITY. RERE REVIEW ON _____ (Date) AND REVEALED: <input type="checkbox"/> NO UNFAVORABLE INFORMATION <input type="checkbox"/> UNFAVORABLE INFORMATION SUMMARIZED IN "REMARKS" BELOW				
18 HISTORY OF GOVERNMENT EMPLOYMENT, CURRENT MILITARY SERVICE.				
INDICATED ON ATTACHED PERSONAL HISTORY FORM IS <input type="checkbox"/> CORRECT <input type="checkbox"/> PARTIALLY CORRECT <input type="checkbox"/> COULD NOT BE VERIFIED. (If other than correct is checked, explain in remarks.)				
19 PRIOR INVESTIGATION: <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNKNOWN (If Yes, reflect type, when made, by whom, and file No.)		DIS CLOSING STAMP		
20 REMARKS: (Use Continuation Sheets as Required)				
DESIRE ADVANCE NOTIFICATION OF NAC RESULTS: <input type="checkbox"/> YES <input type="checkbox"/> NO		REFER TO THIS CASE BY "NAME-SSN-CCN"		
21 ENCLOSURE(S)	22 AUTHORIZED BY:  _____ (Signature)  _____ (Type Name, Title and Telephone Number)			

DD FORM 1 MAY 75 1879

REPLACES DD FORM 1879 (TEST) 1 SEP 72, WHICH IS OBSOLETE. S/N 0102-LF-068-0100

# APPENDIX G (cont'd)

## INSTRUCTIONS FOR COMPLETING DD FORM 1879

### 1. GENERAL

- a. DD Form 1879 is the only form authorized for use in requesting personnel security investigations. Its use is restricted to actions involving individuals and it will not be used to request investigations of impersonal subjects (incidents, events or organizations) or complaint type investigations.
- b. Distribution. The original and two carbon copies of the DD Form 1879 will be forwarded to the Defense Investigative Service (DIS) address reflected on the front of the form.
- c. Enclosures. The following documents must accompany each initial request for investigation and each request for a bring-up investigation:
  - (1) Military and Civilian Personnel Other than DISCO
    - DD Form 398 - BI and SBI - Original and 4 typed copies using black carbon paper
    - FD Form 258 - BI and SBI - One signed copy
    - DD Form 1584 - BI and SBI - Original and 3 copies fully completed on the Subject
    - DD Form 1584 - SBI only - Original and 3 copies completed through item b on Subject's spouse and former spouses)
    - DD Form 1584 - SBI only - Original and 3 copies completed through item b on each member of Subject's immediate family who is an alien, immigrant alien, or naturalized US citizen, 18 years of age or older, regardless of whether or not the individual is currently residing in the US. (Immediate family includes children by birth, adoption, or marriage; natural adopted, foster or stepparents; brothers and sisters by birth, adoption, or remarriage of either parent.)
  - (2) DISCO Personnel: Same as (1) above except that DD Form 49 is substituted for DD Form 398.
- d. The same DD Form 1879 will not be reused to request additional investigation on a Subject after the DIS has indicated that the investigative action has been completed. If the requester determines that the investigative results are inadequate for the action contemplated, a new DD Form 1879 must be submitted. It is imperative that identifying data concerning the Subject be accurately transcribed to the new DD Form 1879. Spelling of names, date and place of birth, and all serial/social security numbers must be double checked. State specifically, in item 20, the additional investigation desired and substantiate the requirements for such investigation.

### 2. DETAILED INSTRUCTIONS

- a. Item 1. Enter the designation and address, to include zip code, of the headquarters, unit, or activity submitting the request for investigation.
  - b. Item 2. Enter the Unit Identification Code (UIC) or Personnel Accounting System (PAS) code assigned by the Military Services to the headquarters, unit, or activity submitting the request for investigation.
  - c. Item 3. To be used by the requester for its internal filing system.
  - d. Item 4. Enter the date the requester dispatches the request form.
  - e. Item 5. Check only one block. Requesters who required an expanded background investigation (EBI) prior to the establishment of DIS will check the special background investigation (SBI) block. Limited inquiry will be checked when the requester desires expansion of a National Agency Check or other limited investigation not specifically related to clearance action. Requesters requiring additional investigation will check the "Other" block and in item 6 after "Other", indicate "Added Coverage".
  - f. Item 6.
    - (1) If the reason for the investigation is to grant access to classified information, the first block in this item must be checked, and the highest degree of access indicated by lining out the other degree.
    - (2) When the requested investigation is for access to CONFIDENTIAL or SECRET information, one of the subsequent blocks in this item must be checked as additional justification for conducting the investigation. For example, a background investigation for access to CONFIDENTIAL or SECRET information is not normally required. However, a background investigation for access to CONFIDENTIAL or SECRET information is conducted for certain nuclear weapon positions, and also when there is an immigrant alien clearance requirement.
    - (3) If there are additional reasons for requesting an investigation for access to TOP SECRET information, then the appropriate additional blocks in this item must be checked. For example, if Subject is to be given access to sensitive compartmented information or will be engaged in Presidential Support activities, the first block of this item will be checked with the words CONFIDENTIAL and SECRET lined out, and the appropriate block for sensitive compartmented information or Presidential Support will also be checked.
    - (4) If the block marked "Other" is checked, specify in the space provided, or in item 20, the exact reason for the investigation.
  - g. Item 7. (Return results to) Complete this block even though the information may be the same as that contained in item 1. The results of an investigation on a Subject who is the commanding officer or who is the authority to grant security clearance will be provided to the next senior in the chain of command for the Subject.
- THE ENTRIES IN ITEMS 8 THRU 16 ARE THE ITEMS OF INFORMATION WHICH WILL BE USED FOR ENTRIES IN THE DEFENSE CENTRAL INDEX OF INVESTIGATIONS (DCII); THEREFORE, IT IS IMPERATIVE THAT THEY BE COMPLETELY ACCURATE.
- h. Item 8. The Subject's name will be entered in the following order: Last name, first name, middle name, with the last name only in capital letters.
  - i. Item 9. Each name entered will be identified as to type, e.g.
    - nee - BLACK, Virginia Jean
    - Also Known As (AKA) - BLACK, Robert Joseph - Mrs
    - Alias - SCHWARTZ, Jenny
  - j. Item 10. Enter date of birth in order of year, month, and day. Do not use numerical code for month, spell out using standard abbreviation (e.g., Jan, Feb, etc). Cite complete year (1974). Example: 1906 Jan 14.
  - k. Item 11. Enter social security number. Include dashes.
  - l. Item 12. If Subject is military or former military, enter all previous service numbers.
  - m. Item 13. Enter "M" for male or "F" for female.
  - n. Item 14. For those Subjects born in the United States, list the city and state. In case of foreign birth, list the city and the political division of the country which differentiates cities of the same name and country; e.g., Oberursel/Tamara, Hesse, Germany.
  - o. Item 15. Enter DoD component with which Subject of the investigation is affiliated (USA, USN, USAF, NSA, DIA, DSA, etc.)
  - p. Item 16. Enter grade for military personnel (O-1, E-2, etc.); for DoD civilian employees enter pay scale (GS-1, WB-1, etc.); for industrial personnel enter "Civ".
  - q. Item 17. The review of local files will be indicated by checks in the applicable blocks. If unfavorable information is developed, summarize it in item 20. If there is evidence of past or present mental or nervous disorder or emotional instability, set forth full details in item 20. If no records were reviewed, indicate the reason they were not reviewed in item 20 and state where the records are located.
  - r. Item 18. Verification, partial verification, or non-verification of US Government employment or current military service will be indicated by a check in the appropriate block. The DIS will not verify US Government employment or current military service when the requester indicates that it has been verified as listed on the personal history form. If the requester indicates that US Government employment or current military service has not been verified or has been only partially verified, the DIS will accomplish full verification.
  - s. Item 19. Enter information as to types of any previous investigation, dates thereof, file numbers, and agencies conducting the investigations. If unknown, so state.
  - t. Item 20. Enter information necessary to clarify entries in preceding items and to list additional names when there is insufficient space in item 9. Indicate in this item what specific additional investigation is required when submitting a request for additional investigation. This item may be continued on plain bond paper.
  - u. Item 21. Enter the number and identification of enclosures.
  - v. Item 22. (Authorized By) Under no circumstances will an individual request his own investigation. Any request for investigation on a commanding officer or other competent authority authorized to grant security clearances will be submitted by the next senior in the chain of command.

APPENDIX H  
MORAL BEHAVIOR STANDARDS

**Guide List of Typical Minor Traffic Offenses**

Blocking or retarding traffic	Faulty equipment (defective exhaust, horn, lights, mirror, muffler, signal device, steering device, tailpipe, or windshield wipers)
Careless driving	
Crossing yellow line; driving left of center	Following too closely
Disobeying traffic lights, signs, or signals	Improper backing; backing into intersection or highway; backing on expressway; backing over crosswalk
Driving uninsured vehicle	Improper blowing of horn
Driving with expired plates or without plates	Improper parking (restricted area, fire hydrant, double parking)
Driving without license or with suspended or revoked license	Improper passing: passing on right, in no-passing zone; passing parked school bus; pedestrian in crosswalk (when not treated as reckless driving)
Driving without registration or with improper registration	
Driving wrong way on one-way street	Improper turn
Failure to comply with officer's directives	Invalid or unofficial inspection sticker; failure to display inspection sticker
Failure to have vehicle under control	Leaving key in ignition
Failure to keep to right or in line	License plates improperly displayed or not displayed
Failure to signal	Operating overloaded vehicle
Failure to stop for or yield to pedestrian	Racing, dragging, contest for speed (when not treated as reckless driving)
Failure to submit report following accident	Speeding (when not treated as reckless driving)
Failure to yield right-of-way	Spinning wheels; improper start; zigzagging or weaving in traffic (when not treated as reckless driving)

**Note:** It would be impractical to prepare an all-inclusive list of minor traffic offenses valid for all states. The above list is intended as a guide. Offenses of a similar nature and traffic offenses treated as minor by local law enforcement agencies should be treated as minor.

**Source:** Findings and Recommendations of the Study Group on Moral Standards. Washington, D.C.: OASD (Manpower), 1966.

**Source:** Means, Moral Standards for Military Enlistment: Screening Procedures and Impact, HumRRO, 1983

## APPENDIX H (cont'd)

### Guide List of Minor Nontraffic Offenses

Abusive language under circumstances to provoke breach of peace	Malicious mischief: painting water tower, throwing water-filled balloons, throwing rocks on highway, throwing missiles at athletic contests, or throwing objects at vehicle
Carrying concealed weapon (other than firearm); possession of brass knuckles	
Curfew violation	Nuisance, committing
Discharging firearm through carelessness	Poaching
Discharging firearm within municipal limits	Possession of cigarettes by minor
Disobeying summons	Possession of indecent publications or pictures
Disorderly conduct; creating disturbance; boisterous conduct	Purchase, possession, or consumption of alcoholic beverages by minor
Disturbing peace	Removing property under lien
Drinking liquor on train (other than club car)	Removing property from public grounds
Drunk in public; drunk and disorderly	Robbing orchard
Dumping refuse near highway	Shooting from highway
Fighting; participating in affray	Shooting on public road
Fornication	Simple assault
Illegal betting or gambling; operating illegal handbook, raffle, lottery, punch board; matching cockfight	Throwing glass or other material in road
Juvenile non-criminal misconduct: beyond parental control, incorrigible, runaway, truant, or wayward	Trespass to property
Killing domestic animal	Unlawful assembly
Liquor: unlawful manufacture, sale, or possession, or consumption in public place	Using or wearing unlawful emblem
Loitering	Vagrancy
	Vandalism: injuring or defacing public property or property of another; shooting out streetlights
	Violation of fireworks law
	Violation of fish and game laws

**Note:** It would be impractical to prepare an all-inclusive list of minor nontraffic offenses valid for all states. The above list is intended as a guide. Offenses of a similar nature should be treated as minor offenses. In doubtful cases, the following rule should be applied: if the maximum confinement under local law is four months or less, the offense should be treated as minor.

**Source:** Findings and Recommendations of the Study Group on Moral Standards. Washington, D.C.: JASD(Manoover), 1966.

## APPENDIX H (cont'd)

### Guide List of Felonies

Aggravated assault; assault with dangerous weapon; assault intentionally inflicting great bodily harm; assault with intent to commit felony	Indecent assault
Arson	Kidnapping; abduction
Attempt to commit felony	Mail matter: abstracting, destroying, obstructing, opening, secreting, stealing, or taking
Breaking and entering with intent to commit felony	Mails: depositing obscene or indecent matter
Bribery	Maiming; disfiguring
Carnal knowledge of female under 16	Manslaughter
Cattle rustling	Misprison of felony
Check, worthless, making or uttering, with intent to defraud or deceive (over \$100)	Murder
Conspiring to commit felony	Narcotics or habit forming drugs: wrongful possession, use, or sale
Criminal libel	Pandering
Extortion	Perjury; subornation of perjury
Forgery; knowingly uttering or passing forged instrument	Public record: altering, concealing, destroying, mutilating, obliterating, or removing
Graft	Rape
Grand larceny; embezzlement (value over \$100)	Riot
Housebreaking	Robbery
Indecent acts or liberties with child under 16	Sedition; solicitation to commit sedition
	Sodomy
	Stolen property, knowingly receiving (value over \$100)

**Note:** It would be impractical to prepare an all-inclusive list of felonies valid for all states. The above list is intended as a guide. Offenses of comparable seriousness should be treated as felonies. In doubtful cases, the following rule should be applied: if the maximum confinement under local law exceeds one year, the offense should be treated as a felony.

Source: Findings and Recommendations of the Study Group on Moral Standards. Washington, D.C.: OASD (Manpower), 1966.



## APPENDIX H (cont'd)

### Guide List of (Nonminor) Misdemeanors

Adultery	Petty larceny (value \$100 or less); stealing hub caps; snoplifting
Assault consummated by battery	Reckless driving
Bigamy	Resisting arrest
Breaking and entering vehicle	Selling or leasing weapons to minor
Check, worthless, making or uttering, with intent to defraud or deceive (\$100 or less)	Slander
Conspiring to commit misoemeanor	Stolen property, knowingly receiving (value \$100 or less)
Contributing to delinquency of minor	Suffrage rights, interference with
Desecration of grave	Unlawful carrying of firearms; carrying concealed firearm
Driving while drugged or intoxicated	Unlawful entry
Failure to stop and render aid after accident	Unlawful use of long-distance telephone lines
Indecent exposure	Use of telephone to abuse, annoy, harass, threaten, or torment another
Innocent, insulting, or obscene language communicated to a female directly or by telephone	Using boat without owner's consent
Leaving dead animal	wilfully discharging firearm so as to endanger life; snooting in public place
Leaving scene of accident (hit and run)	Wrongful appropriation of motor vehicle; joyriding; driving motor vehicle without owner's consent
Looting	
Negligent homicide	

<sup>a</sup>This group of motor vehicle offenses, and offenses of comparable nature and seriousness but variously described (auto theft, auto larceny, etc.), comprises the familiar case of taking or withholding a motor vehicle without authority and with intent temporarily to deprive the owner of his property. It does not encompass offenses where there is clear evidence that the offender intended permanently to deprive the owner of his motor vehicle. Offenses of the latter nature are included in grand larceny or embezzlement involving a value of over \$100, which are felonies.

**Note:** It would be impractical to prepare an all-inclusive list of nonminor misoemeanors valid for all states. The above list is intended as a guide. Offenses of a comparable seriousness should be treated as non-minor misoemeanors. In doubtful cases, the following rule should be applied: if the maximum confinement under local law exceeds four months but does not exceed one year, the offense should be treated as a non-minor misoemeanor.

**Source:** Findings and recommendations of the Study Group on Moral Standards.  
Washington, D.C.: USDP/Mandpower, 1966.

APPENDIX I  
SUMMARY OF PUNITIVE ARTICLES, UCMJ

ARTICLE 82 SOLICITATION

- (a) Any person subject to this article who solicits or advises another or others to desert or mutiny.
- (b) Any person subject to this article who solicits or advises another or others to commit an act of misbehavior before the enemy or sedition.

ARTICLE 86 ABSENCE WITHOUT LEAVE

Any member of the armed forces who, without authority--

- (1) fails to go to his appointed place of duty at the time prescribed;
- (2) goes from that place; or
- (3) absents himself or remains absent from his unit, organization, or place of duty at which he is required to be at the time prescribed.

ARTICLE 87 MISSING MOVEMENT

Any person subject to this article who through neglect or design misses the movement of a ship, aircraft, or unit with which he is required in the course of duty to move.

ARTICLE 89 DISRESPECT TOWARD SUPERIOR COMMISSIONED OFFICER

Any person subject to this article who behaves with disrespect toward his superior commissioned officer.

ARTICLE 90 ASSAULTING OR WILLFULLY DISOBEYING SUPERIOR COMMISSIONED OFFICER

Any person subject to this article who--

- (1) strikes his superior commissioned officer or draws or lifts up any weapon or offers any violence against him while he is in the execution of his office; or

- (2) willfully disobeys a lawful command of his superior commissioned officer.

ARTICLE 91 INSUBORDINATE CONDUCT TOWARD WARRANT OFFICER,  
NONCOMMISSIONED OFFICER, OR PETTY OFFICER

Any warrant officer or enlisted member who--

- (1) strikes or assaults a warrant officer, non-commissioned officer, or petty officer while that officer is in the execution of his office;
- (2) willfully disobeys the lawful order of a warrant officer, noncommissioned officer, or petty officer; or
- (3) treats with contempt or is disrespectful in language or deportment toward a warrant officer, non-commissioned officer, or petty officer while that officer is in the execution of his office.

ARTICLE 92 FAILURE TO OBEY ORDER OR REGULATION

Any person subject to this article who--

- (1) violates or fails to obey any lawful general order or regulation;
- (2) having knowledge of any other lawful order issued by a member of the armed forces, which it is his duty to obey, fails to obey the order; or
- (3) is derelict in the performance of his duties.

ARTICLE 95 RESISTANCE, BREACH OF ARREST, AND ESCAPE

Any person subject to this article who resists apprehension or breaks arrest or who escapes from custody or confinement.

ARTICLE 108 MILITARY PROPERTY OF UNITED STATES--LOSS,  
DAMAGE, DESTRUCTION, OR WRONGFUL DISPOSITION

Any person subject to this article who, without proper authority--

- (1) sells or otherwise disposes of;

- (2) willfully or through neglect damages, destroys, or loses; or
- (3) willfully or through neglect suffers to be lost, damaged, destroyed, sold, or wrongfully disposed of any military property of the United States.

ARTICLE 109 PROPERTY OTHER THAN MILITARY PROPERTY OF UNITED STATES--WASTE, SPOILAGE, OR DESTRUCTION

Any person subject to this article who willfully or recklessly wastes, spoils, or otherwise willfully and wrongfully destroys or damages any property other than military property of the United States.

ARTICLE 116 RIOT OR BREACH OF PEACE

Any person subject to this article who causes or participates in any riot or breach of peace.

ARTICLE 117 PROVOKING SPEECHES OR GESTURES

Any person subject to this article who uses provoking or reproachful words or gestures towards any other person subject to this article.

ARTICLE 121 LARCENY AND WRONGFUL APPROPRIATION

- (a) Any person subject to this article who wrongfully takes, obtains, or withholds, by any means, from the

possession of the owner or of any other person any money, personal property, or article of value of any kind--

- (1) with intent permanently to deprive or defraud another person of the use and benefit of property or to appropriate it to his own use or the use of any person other than the owner, steals that property and is guilty of larceny; or
  - (2) with intent temporarily to deprive or defraud another person of the use and benefit of property or to appropriate it to his own use or the use of any person other than the owner, is guilty of wrongful appropriation.
- (b) Any person found guilty of larceny or wrongful appropriation shall be punished as a court-martial may direct.

#### ARTICLE 128 ASSAULT

- (a) Any person subject to this article who attempts or offers with unlawful force or violence to do bodily harm to another person, whether or not the attempt or offer is consummated, is guilty of assault and shall be punished as a court-martial may direct.
- (b) Any person subject to this article who--
- (1) commits an assault with a dangerous weapon or other means or force likely to produce death or grievous bodily harm; or
  - (2) commits an assault and intentionally inflicts grievous bodily harm with or without a weapon is guilty of aggravated assault.

#### ARTICLE 134 GENERAL ARTICLE

Though not specifically mentioned in this article, all disorders and neglects to the prejudice of good order and discipline in the armed forces, all conduct of a nature to bring discredit upon the armed forces, and crimes and offenses not capital, of which persons subject to this article may be guilty, shall be taken cognizance of by a general, special or summary court-martial, according to the nature and degree of the offense, and shall be punished at the discretion of that court.

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