U.S. ARMY SERGEANTS MAJOR ACADEMY (BNCOC)

OCT 04

BNCOC STUDENT PACKAGE 2

Stand Alone Common Core

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BNCOC STUDENT PACKAGE 2

L340	Develop a Cohesive Team
L337	The Army Health Promotion Program at The Unit
L329	Financial Management
T330	Supervise Squad-Level PMCS
L331	Conduct a Military Briefing
T323	Training Management at the Squad Level
W324	Leader's Responsibilities in a Chemical Environment
W326	Intelligence and Electronic Warfare (IEW) Operations
W332	Establishment of a Check Point
W333	React to Possible Improvised Explosive Devices (IEDs)

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HANDOUTS FOR LESSON 1: L340 version 1

This appendix contains the items listed in the table--

Title/Synopsis	Page
SH-1, Advance Sheet	SH-1-1
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Student Handout 1

Advance Sheet

Overview

This lesson uses a practical exercise approach. As a leader faced with a situation that requires you to develop cohesive teams, you must know the characteristic of good teams, determine the stages of team building and develop a plan to improve cohesion.

Learning Objective

Terminal Learning Objective (TLO):

Action:	Develop a cohesive team.
Conditions:	As a small unit leader given a situation in which you are responsible for developing soldiers into a cohesive platoon-sized element.
Standards:	Demonstrated the skills required to developed a plan to develop a cohesive platoon-sized element by: • Identifying the characteristics of a good team. • Determining the appropriate team building stage of your team. • Developing a plan to improve team cohesion. IAW FM 22-100 and SH-2.

ELO A Identify the characteristics of a good team.
ELO B Determine the appropriate team building stage of your team.
ELO C Develop a plan to improve team cohesion.

Assignment(s)

The student assignments for this lesson are:

Before class--

- Read and study Student Handouts 1 thru 3.
- Complete PE-4 (p C-15) prior to class starting..

During class--

- Participate in class discussion and complete the Practical Exercises.

After Class--

- Review all material covered in class.
- Prepare for end of course test.
- Turn in all recoverable materials after examination for this lesson.
- Participate in after action review for this lesson.

Additional Subject Area Resources	None
Bring to Class	You must bring the following materials to class. • PE-4 completed. • All reference material received. • Pen or pencil and writing paper.

Student Handout 2

Extracted Material from FM 22-100

This student handout contains six pages of extracted material from the following publication:

FM 22-100, Army Leadership, 19 Aug 1999

Chapter 5 pages 5-18 thru 5-23

Disclaimer: The training developer downloaded the material from the General Dennis J. Reimer Training and Doctrine Digital Library Home Page. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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being sensitive to your subordinates' professional development and cultural needs is part of the cultural awareness leader attribute. As an Army leader, you must know your people and take advantage of every resource available to help your subordinates develop as leaders. This includes other leaders who have skills or attributes different from your own.

Coaching involves a leader's assessing performance based on observations, helping the subordinate develop an effective plan of action to sustain strengths and overcome weaknesses, and supporting the subordinate and the plan.

5-97. You can consider coaching to be both an operating and an improving leader action. It's less formal than teaching. When you're dealing with individuals, coaching is a form of specific instance counseling (which Appendix C discusses). When you're dealing with all or part of a team, it's generally associated with AARs (which you read about earlier in this chapter).

5-98. Coaching follows naturally from the assessing leader action. As you observe your subordinates at work, you'll see them perform some tasks to standard and some not to standard. Some of their plans will work; some won't. Your subordinates know when you're watching them. They expect you to tell them what they need to do to meet the standard, improve the team's performance, or develop themselves. You provide this sort of feedback through coaching. And don't limit your coaching to formal sessions. Use every opportunity to teach, counsel or coach from quarterly training briefings to AARs. Teaching moments and coaching opportunities occur all the time when you concentrate on developing leaders.

Mentoring and Developing Tomorrow's Army

5-99. Mentoring is demanding business, but the future of the Army depends on the trained and effective leaders whom you leave behind. Sometimes it requires you to set priorities, to balance short-term readiness with long-term leader development. The commitment to mentoring future leaders may require you to take risks. It requires you to give subordinates the opportunity to learn and develop themselves while using your experience to guide them without micromanaging. Mentoring will lead your subordinates to successes that build their confidence and skills for the future.

5-100. Mentoring isn't something new for the Army. Past successes and failures can often be traced to how seriously those in charge took the challenge of developing future leaders. As you consider the rapid pace of change in today's world, it's critical that you take the time to develop leaders capable of responding to that change. The success of the next generation of Army leaders depends on how well you accept the responsibility of mentoring your subordinates. Competent and confident leaders trained to meet tomorrow's challenges and fight and win future conflicts will be your legacy.

5-101. As you assume positions of greater responsibility, as the number of people for whom you are responsible increases, you need to do even more to develop your subordinates. More, in this case, means establishing a leader development program for your organization. It also means encouraging your subordinates to take actions to develop themselves personally and professionally. In addition, you may have to provide time for them to pursue self-development. (FM 25-101 discusses leader development programs.)

What have YOU done TODAY to develop the leaders of tomorrow's Army?

BUILDING

Building Teams

5-102. You've heard—no doubt countless times—that the Army is a team. Just how important is it that people have a sense of the team? Very important. The national cause, the purpose of the mission, and all the larger concerns may not be visible from the battlefield.

Regardless of other issues, soldiers perform for the other people in the squad or section, for others in the team or crew, for the person on their right or left. This is a fundamental truth: soldiers perform because they don't want to let their buddies down.

5-103. If the leaders of the small teams that make up the Army are competent, and if their members trust one another, those teams and the larger team of teams will hang together and get the job done. People who belong to a successful team look at nearly everything in a positive light; their winners' attitudes are infectious, and they see problems as challenges rather than obstacles. Additionally, a cohesive team accomplishes the mission much more efficiently than a group of individuals. Just as a football team practices to win on the gridiron, so must a team of soldiers practice to be effective on the battlefield.

5-104. Training together builds collective competence; trust is a product of that competence. Subordinates learn to trust their leaders if the leaders know how to do their jobs and act consistently—if they say what they mean and mean what they say. Trust also springs from the collective competence of the team. As the team becomes more experienced and enjoys more successes, it becomes more cohesive.

Trust Earned

In a 1976 interview, Congressman Hamilton Fish of New York told of his experiences as a white officer with the 369th Infantry Regiment, an all-black unit in the segregated Army of 1917. Fish knew that his unit would function only if his soldiers trusted him; his soldiers, all of whom had volunteered for combat duty, deserved nothing less than a trustworthy leader. When a white regiment threatened to attack the black soldiers in training camp, Fish, his pistol drawn, alerted the leaders of that regiment and headed off a disaster.

"There was one thing they wanted above all from a white officer," [Fish recalled in an interview nearly 60 years later] "and that was fair treatment. You see, even in New York City [home of most of his soldiers] they really did not get a square deal most of the time. But if they felt you were on the level with them, they would go all out for you. And they seemed to have a sixth sense in realizing just how you felt. I sincerely wanted to lead them as real soldiers, and they knew it."

5-105. Developing teams takes hard work, patience, and quite a bit of interpersonal skill on the part of the leader, but it's a worthwhile investment. Good teams get the job done. People who are part of a good team complete the mission on time with the resources given them and a minimum of wasted effort; in combat, good teams are the most effective and take the fewest casualties.

5-106. Good teams—

- Work together to accomplish the mission.
- Execute tasks thoroughly and quickly.
- Meet or exceed the standard.
- Thrive on demanding challenges.
- Learn from their experiences and are proud of their accomplishments.

5-107. The Army is a team that includes members who are not soldiers but whose contributions are essential to mission success. The contributions made by almost 1,600 DA civilians in the Persian Gulf region were all but lost in the celebrations surrounding the military victory against Iraq and the homecoming celebration for the soldiers that followed. However, one safety specialist noted that these deployed DA civilians recognized the need for a team effort:

Patriotism was their drawing force for being there.…We were part of the team supporting our soldiers! The focus is where it should be—on the military. They're here to do the job; we're here to help them.

5-108. People will do the most extraordinary things for their buddies. It's your job as an Army leader to pull each member into the team because you may someday ask that person for extraordinary effort. Team building involves applying interpersonal leader skills that transform individuals into productive teams. If you've done your work, the team member won't let you down.

5-109. Within a larger team, smaller teams may be at different stages of development. For instance, members of First Squad may be used to working together. They trust one another and get the job done—usually exceeding the standard—with no wasted motion. Second Squad in the same platoon just received three new soldiers and a team leader from another company. As a team, Second Squad is less mature; it will take them some time to get up to the level of First Squad. New team members have to learn how things work: they have to be brought on board and made to feel members of the team; they must learn the standards and the climate of their new unit; they'll have to demonstrate some competence before other members really accept them; and finally, they must practice working together. Leaders, who must oversee all this, are better equipped if they know what to expect. Make use of the information on the next few pages; learn what to look for—and stay flexible.

5-110. Figure 5-5 lists things you must do to pull a team together, get it going in the right direction, and keep it moving. And that list only hints at the work that lies ahead as you get your team to work together. Your subordinates must know—must truly believe—that they're a part of the team, that their contribution is important and valued. They must know that you'll train them and listen to them. They don't want you to let them get away with shoddy work or half-baked efforts; there's no pride in loafing. You must constantly observe, counsel, develop, listen; you must be every bit the team player you want your subordinates to be—and more.

5-111. Teams don't come together by accident; leaders must build and guide them through a series of developmental stages: formation, enrichment, and sustainment. This discussion may make the process seem more orderly than it actually is; as with so many things leaders do, the reality is more complicated than the explanation. Each team develops differently: the boundaries between stages are not hard and fast. As a leader, you must be sensitive to the characteristics of the team you're building and of its individual members—your people. Compare the characteristics of your team with the team building stage descriptions. The information that results can help you determine what to expect of your team and what you need to do to improve its capabilities.

Stages of Team Building

5-112. Teams, like individuals, have different personalities. As with individuals, the leader's job isn't to make teams that are clones of one another; the job is to make best use of the peculiar talents of the team, maximize the potential of the unit climate, and motivate aggressive execution.

5-113. **Formation stage.** Teams work best when new members are brought on board quickly, when they're made to feel a part of the team. The two steps—reception and orientation—are dramatically different in peace and war. In combat, this sponsorship process can literally mean life or death to new members and to the team.

5-114. Reception is the leader's welcome: the orientation begins with meeting other team members, learning the layout of the workplace, learning the schedule and other requirements, and generally getting to know the lay of the land. In combat, leaders may not have time to spend with new members. In this case, new arrivals are often assigned a buddy who will help them get oriented and keep them out of trouble until they learn their way around. Whatever technique you use, your soldiers should never encounter a situation similar to the one in the next example.

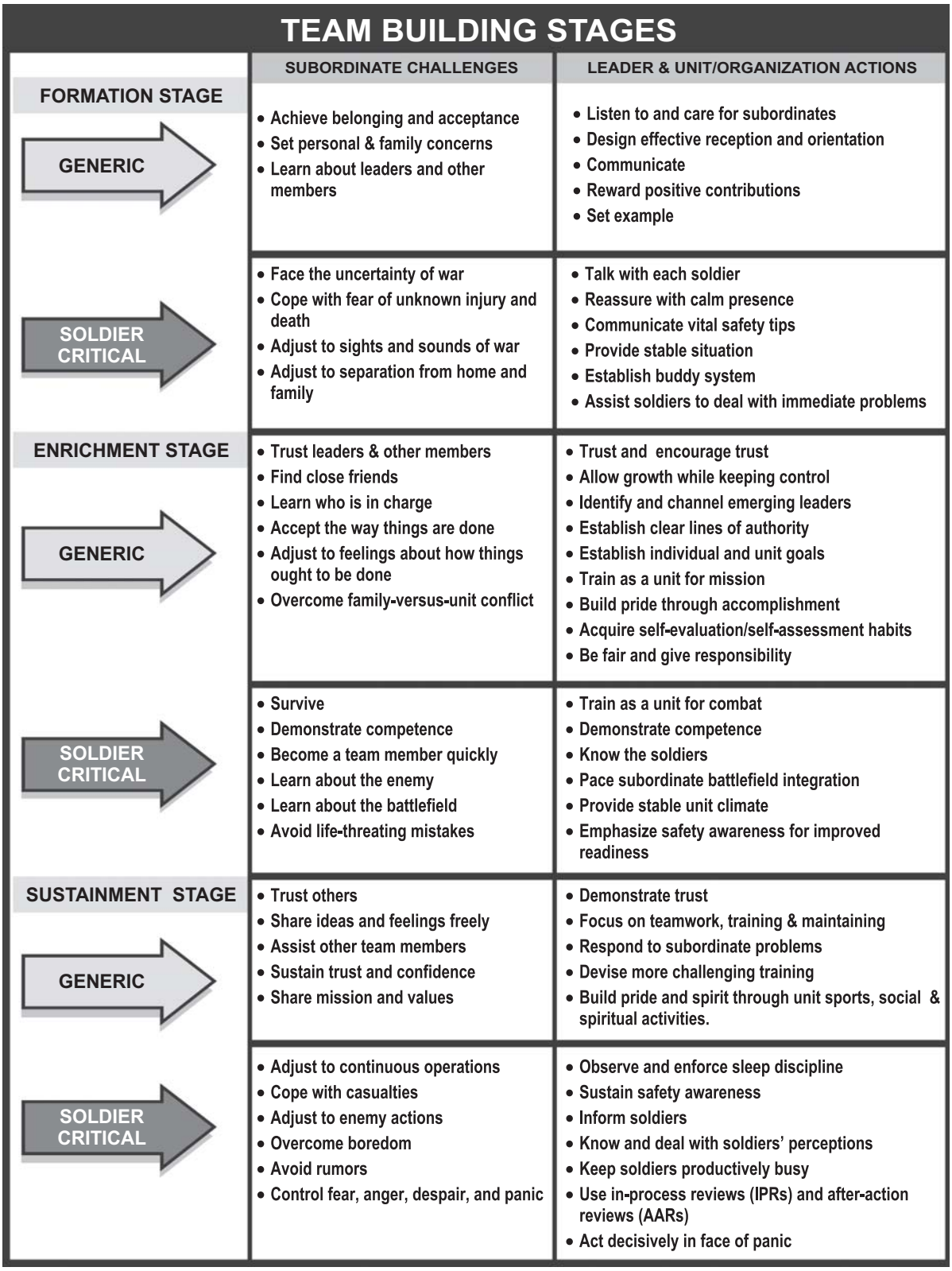

Figure 5-5. Team Building Stages

Replacements in the ETO

Most historians writing about World War II agree that the replacement system that fed new soldiers into the line units was seriously flawed, especially in the ETO, and did tremendous harm to the soldiers and the Army. Troops fresh from stateside posts were shuffled about in tent cities where they were just numbers. 1LT George Wilson, an infantry company commander who received one hundred replacements on December 29, 1944, in the midst of the Battle of the Bulge, remembers the results: "We discovered that these men had been on a rifle range only once; they had never thrown a grenade or fired a bazooka [antitank rocket], mortar or machine gun."

PVT Morris Dunn, another soldier who ended up with the 84th Division after weeks in a replacement depot recalls how the new soldiers felt: "We were just numbers, we didn't know anybody, and I've never felt so alone and miserable and helpless in my entire life—we'd been herded around like cattle at roundup time.…On the ride to the front it was cold and raining with the artillery fire louder every mile, and finally we were dumped out in the middle of a heavily damaged town."

5-115. In combat, Army leaders have countless things to worry about; the mental state of new arrivals might seem low on the list. But if those soldiers can't fight, the unit will suffer needless casualties and may fail to complete the mission.

5-116. Discipline and shared hardship pull people together in powerful ways. SGT Alvin C. York, who won the Medal of Honor in an action you'll read about later in this chapter, talked about cohesion this way:

War brings out the worst in you. It turns you into a mad, fighting animal, but it also brings out something else, something I just don't know how to describe, a sort of tenderness and love for the fellow fighting with you.

5-117. However, the emotions SGT York mentions don't emerge automatically in combat. One way to ensure cohesion is to build it during peacetime. Team building begins with receiving new members; you know how important first impressions are when you meet someone new. The same thing is true of teams; the new member's reception and orientation creates that crucial first impression that colors the person's opinion of the team for a long time. A good experience joining the organization will make it easier for the new member to fit in and contribute. Even in peacetime, the way a person is received into an organization can have long-lasting effects—good or bad—on the individual and the team. (Appendix C discusses reception and integration counseling.)

Reception on Christmas Eve

An assistant division commander of the 25th Infantry Division told this story as part of his farewell speech:

"I ran across some new soldiers and asked them about their arrival on the island [of Oahu]. They said they got in on Christmas Eve, and I thought to myself, 'Can't we do a better job when we ship these kids out, so they're not sitting in some airport on their first big holiday away from home?' I mean, I really felt sorry for them. So I said, 'Must have been pretty lonesome sitting in a new barracks where you didn't know anyone.' And one of them said, 'No, sir. We weren't there a half-hour before the CQ [charge of quarters] came up and told us to get into class B's and be standing out front of the company in 15 minutes. Then this civilian drives up, a teenager, and the CQ orders us into the car. Turns out the kid was the first sergeant's son; his father had sent him over to police up anybody who was hanging around the barracks. We went over to the first sergeant's house to a big luau [party] with his family and a bunch of their neighbors and friends.'

Reception on Christmas Eve (continued)

"My guess is that those soldiers will not only do anything and everything that first sergeant wants, but they are going to tell anyone who will listen that they belong to the best outfit in the Army."

5-118. **Enrichment stage.** New teams and new team members gradually move from questioning everything to trusting themselves, their peers, and their leaders. Leaders earn that trust by listening, following up on what they hear, establishing clear lines of authority, and setting standards. By far the most important thing a leader does to strengthen the team is training. Training takes a group of individuals and molds them into a team while preparing them to accomplish their missions. Training occurs during all three team building stages, but is particularly important during enrichment; it's at this point that the team is building collective proficiency.

5-119. **Sustainment stage.** When a team reaches this stage, its members think of the team as "their team." They own it, have pride in it, and want the team to succeed. At this stage, team members will do what needs to be done without being told. Every new mission gives the leader a chance to make the bonds even stronger, to challenge the team to reach for new heights. The leader develops his subordinates because they're tomorrow's team leaders. He continues to train the team so that it maintains proficiency in the collective and individual tasks it must perform to accomplish its missions. Finally, the leader works to keep the team going in spite of the stresses and losses of combat.

Building the Ethical Climate

5-120. As an Army leader, you are the ethical standard bearer for your organization. You're responsible for building an ethical climate that demands and rewards behavior consistent with Army values. The primary factor affecting an organization's ethical climate is its leader's ethical standard. Leaders can look to other organizational or installation personnel—for example, the chaplain, staff judge advocate, inspector general, and equal employment opportunity manager—to assist them in building and assessing their organization's ethical climate, but the ultimate responsibility belongs to the leader—period.

5-121. Setting a good ethical example doesn't necessarily mean subordinates will follow it. Some of them may feel that circumstances justify unethical behavior. (See, for example, the situation portrayed in Appendix D.) Therefore, you must constantly seek to maintain a feel for your organization's current ethical climate and take prompt action to correct any discrepancies between the climate and the standard. One tool to help you is the Ethical Climate Assessment Survey (ECAS), which is discussed in Appendix D. You can also use some of the resources listed above to help you get a feel for your organization's ethical climate. After analyzing the information gathered from the survey or other sources, a focus group may be a part of your plan of action to improve the ethical climate. Your abilities to listen and decide are the most important tools you have for this job.

5-122. It's important for subordinates to have confidence in the organization's ethical environment because much of what is necessary in war goes against the grain of the societal values individuals bring into the Army. You read in the part of Chapter 4 that discusses ethical reasoning that a soldier's conscience may tell him it's wrong to take human life while the mission of the unit calls for exactly that. Unless you've established a strong ethical climate that lets that soldier know his duty, the conflict of values may sap the soldier's will to fight.

Student Handout 3

Extract from Richard Field on Management and the Information Science.

This student handout contains three pages of extracted material from the following publication.

Groups and Teams, Richard H. G. Fields, Copyrighted 2002

SH-3-2 thru SH-3-4.

Disclaimer: The training developer downloaded this material from http://www.bus.ca/rfield/Groups%20and%20Teams.htm on 16 Jun 2004. We are using this information IAW the Fair Usage Guidelines for copyrighted material under these guidelines. The usage date for this material will expire on 9 August 2006 at which time the USASMA must request permission to continue use of the material. The text may contain passive voice, misspellings, grammatical errors, etc., and may not comply with the Army Writing Style Program.

Group and Teams

Group Structure. Two key structural factors of a group are its size and its leadership. The larger the group the less satisfied its members generally are. Group performance enhances with the addition of more members but each new member brings smaller and smaller performance gains to the group. Larger groups tend to split into subgroups and have non-participators. Satisfaction in a larger group declines because the number of relationships possible in a group increases rapidly as size increases, making it harder to know everyone in the group. The time available to each group member for communication also decreases as group size increases. As well, the gap in the amount of participation between the most frequent participator and the other group members grows wider. These factors make participation in the group more difficult and lower member satisfaction. The best group size will depend on the nature of the task, but smaller is probably better. Groups should be slightly smaller than the task requires. Making the individual group member's contribution unique and identifiable and by evaluating that contribution, reduces or eliminates the lowered level of member effort in a larger group.

Group Composition. Demographics important in groups are the age, sex, personality traits, job and life background, and other descriptive characteristics of group members. These factors together describe what group members bring to the team and how that team is likely to operate in the organization. With greater diversity in organizations and their groups, it is important to understand how to benefit from that diversity.

Examine the following advice for managers. Does it make sense? How could it apply?

1. Analyze your own biases and prejudices
2. Become a student of other cultures
3. Meet individually and communicate daily with staff
4. Learn the native languages of the staff at least somewhat
5. Be prepared to deal with intercultural conflicts. What are the special holidays or religious requirements of workers from different countries and cultures?
6. Be prepared to have your authority challenged due to cultural differences regarding the importance of age, gender, etc.

7. Adjust to a different sense of who is close family – In some cultures even non-relatives can be considered close family
8. Adjust to a different sense of time – some cultures think precisely about time
9. Learn the verbal and non-verbal communication signs of different cultures.

Task experience and task skills can help group members to accomplish a task, but can also limit how group members see problems and their solutions. A person's background will be a strong influence on how that person sees their work world. Group turnover can keep levels of task experience low, increase the amount of training time needed in the group, and lessen group friendships and familiarity that can make the group's activities predictable. On the other hand, turnover can serve to bring in fresh ideas and perspectives that can help a group to stay out of predictable routines.

Work Team Differentiation. The more different organizational groups are from each other the more difficult will be interaction between the groups, since ways of thinking and acting are less likely shared.

Team Life Span. Some teams, such as task forces, have a limited life span and team members know when the team will disband. This knowledge can affect internal group processes and the actions of group members. Ongoing teams will tend to have more stable patterns of interaction among group members as there is no predictable end to the group's activities.

Internal Group Processes. In the process of doing their work, groups organize themselves internally to perform task activity and group maintenance activity.

Task Activity. Groups can be at the same place at the same time. An example is a quality circle discussing how to lower the team's production costs while producing a higher quality product. We commonly think of a group as working all together in a particular place, but there are other possibilities. For example, groups can operate at a different place at the same time. Team members who are in different cities can be connected together by a conference telephone call, screen sharing on computers in different sites, or sharing a virtual reality (VR) meeting place. Each team member experiences a VR computer-generated conference room as if all other team members were in the room, even though they are not. Groups can function at the same place but at a different time. Examples are team rooms where members come and go on their own schedules and stations for shift work (such as a nursing station in a

hospital) where members rotate in and out of the team station on different shifts. Groups can also work at a different place and at a different time. One example is a group that communicates by voice mail or by different time computer conferencing and computer mail. As more work is accomplished by telecommuting, groups will become virtual.

Appendix C - Practical Exercises and Solutions

PRACTICAL EXERCISE 1

Title

Team Building Exercise

Lesson Number / Title

L340 version 1 / DEVELOP A COHESIVE TEAM

Introduction

Training together builds collective competence; trust is a product of that competence. Subordinates learn to trust their leaders if the leaders know how to do their jobs and act consistently--if they say what they mean and mean what they say. Trust also springs from the collective competence of the team. As the team becomes more experienced and enjoys more successes, it becomes more cohesive.

Motivator

This practical exercise will give you a better understanding of how trust brings individuals together as a cohesive unit.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Develop a cohesive team.
Conditions:	As a small unit leader in a company of battalion level unit given a situation in which you are responsible for developing soldiers into a cohesive element.
Standards:	Demonstrated the skills required to develop a cohesive platoon-sized element by: • Identifying the characteristics of a good team. • Determining the appropriate team building stage of your team. • Developing a plan to improve team cohesion. IAW FM 22-100 and SH-2.

Safety Requirements

None

Risk Assessment

Low

Environmental Considerations	None
Evaluation	None
Instructional Lead-In	None
Resource Requirements	**Instructor Materials:** FM 22-100, Army Leadership, August 1999. App C, pp C-3 and C-4. Student Handouts.1 thru 3. Pen or pencil and writing paper. **Student Materials:** FM 22-100, Army Leadership, 1999 (if available). App C, p C-3. Student Handouts 1 thru 3. Pen or pencil and writing paper.
Special Instructions	None
Procedures	Read the scenario (Trust Earned) on page C-3. As a group, prepare answers to the questions to discuss with the class.
Feedback Requirements	None

Trust Earned

SCENARIO

In a 1976 interview, Congressman Hamilton Fish of New York told of his experiences as a white officer with the 369th Infantry Regiment, an all-black unit in the segregated Army of 1917. Fish knew that his unit would function only if his soldiers trusted him; his soldiers, all of whom had volunteered for combat duty, deserved nothing less than a trustworthy leader. When a white regiment threatened to attack the black soldiers in training camp, Fish, his pistol drawn, alerted the leaders of that regiment and headed off a disaster.

"There was one thing they wanted above all from a white officer," [Fish recalled in an interview nearly 60 years later] "and that was fair treatment. You see, even in New York City [home of most of his soldiers] they really did not get a square deal most of the time. But if they felt you were on the level with them, they would go all out for you. And they seemed to have a sixth sense in realizing just how you felt. I sincerely wanted to lead them as real soldiers, and they knew it."

a) What does the scenario say about trusting leaders?

b) What did the soldiers want most from their leader? Give reasons why.

c) Discuss the young officer Fish's sincerity and actions when white soldiers confronted his troops. What reasons did he display such actions?

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PRACTICAL EXERCISE 2

Title	Soldier Team Development
Lesson Number / Title	L340 version 1 / DEVELOP A COHESIVE TEAM
Introduction	Cohesive organizations do not just happen. They are a result of leaders making good use of each opportunity to develop cohesive soldier teams.
Motivator	This practical exercise will help you better understand the stages of team building and how they affect unit cohesion.
Terminal Learning Objective	**NOTE:** The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise. At the completion of this lesson, you [the student] will:

Action:	Develop a cohesive team.
Conditions:	As a small unit leader given a situation in which you are responsible for developing soldiers into a cohesive platoon-sized element.
Standards:	Demonstrated the skills required to developed a plan to develop a cohesive platoon-sized element by: • Identifying the characteristics of a good team. • Determining the appropriate team building stage of your team. • Developing a plan to improve team cohesion. IAW FM 22-100 and SH-2.

Safety Requirements	None
Risk Assessment	Low
Environmental Considerations	None
Evaluation	None
Instructional Lead-In	None

Resource Requirements	**Instructor Materials:** FM 22-100, Army Leadership, August 1999. App C, p C-7. Student Handouts 1 thru 3. Pen or pencil and writing paper. **Student Materials:** FM 22-100, Army Leadership, August 1999. App C, p C-7. Student Handouts 1 thru 3. Pen or pencil and writing paper.
Special Instructions	None
Procedures	Use the following scenario App C, p C-7 to complete PE-2.
Feedback Requirements	None

SCENARIO

You are a newly arrived platoon sergeant. As part of your orientation, you observe your subordinate leaders and soldiers.

As a group, develop a role-play that reflects the stage of soldier team development present in your assigned scenario. You have 7 minutes to prepare the role-play. Everyone in your group must participate. The role-play must:

a. Be between 2 and 3 minutes in length.
b. Portray realistic behaviors for the stage of team development assigned.
c. Reflect an MOS or branch appropriate for the class.
d. Reflect appropriate leader actions for the stage of soldier team development of the group.

Soldier Team Development
Group 1

ASSIGNED LEVEL OF SOLDIER TEAM DEVELOPMENT:

Reception step of formation stage.

Soldier Team Development
Group 2

ASSIGNED LEVEL OF SOLDIER TEAM DEVELOPMENT:

Orientation step of formation stage.

Soldier Team Development
Group 3

ASSIGNED LEVEL OF SOLDIER TEAM DEVELOPMENT:

Enrichment Stage

Soldier Team Development
Group 4

ASSIGNED LEVEL OF SOLDIER TEAM DEVELOPMENT:

Sustainment Stage

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Resource Requirements	**Instructor Materials:** FM 22-100, Army Leadership, 1999. App C, p C-11 thru C-14. Student Handouts 1 thru 3. Pen or pencil and writing paper. **Student Materials:** FM 22-100, Army Leadership, 1999 (if available). App C, p C-11 and C-12. Student Handouts 1 thru 3. Pen or pencil and writing paper.
Special Instructions	None
Procedures	Have students read the situation and then answer the questions using information out of Student Handout 2.
Feedback Requirements	None

Situation

You are a newly assigned platoon sergeant and you have already met with each of the squads/sections. It is hard to believe that this is a single platoon, as each of the squads appears to be focusing on a different mission. You review the personnel files and find that about half of the soldiers in assigned have three months or less in the platoon. Of those who have been on board longer, the PT results show that most of the PT scores are barely passing. After much thought, you decide to begin your efforts to develop a cohesive platoon by focusing on the PT test; given in two months.

You bring your section leaders together. You want to give your section leaders the opportunity to be leaders so you explain the situation that your platoon is facing. You tell the leaders that the platoon needs to work on becoming a cohesive unit. You ask each of the leaders to develop a plan for the PT test that will ensure that their subordinates do well on the PT test and result in a cohesive platoon.

You receive the following PT plans from your squad leaders:

The S2/3 NCOIC will restrict the privileges of anyone who fails.

The supply sergeant will provide a unit coin to all who pass.

The S1 NCOIC will set up a challenging PT program that he/she will lead.

The medic NCOIC leader will assemble the squad in a classroom and recount stories about the platoon. They will tell how the platoon received numerous awards and had few casualties during the Vietnam Conflict while members of other platoons, who failed to emphasize physical fitness, sustained a much larger number of causalities.

1. Each of these plans was an action intended to accomplish a mission and, at the same time, improve the cohesion of the platoon. Consider the actions above and develop a response to each of the following questions:

a. Which section's soldiers will enjoy the training and take pride in it? Why?
b. Which section's soldiers will respect their leaders more as a result of how they accomplish the mission? Why?
c. Which section's soldiers will fear their leaders more? Why?
d. Which section's soldiers will begin or continue a PT program of their own when no one is watching or after the leader changes? Why?
e. Which section's soldiers will be more likely to strive for a "Max"? Why?
f. Which section's soldiers will simply aim to achieve the minimum standard? Why?
h. Which section's soldiers will be part of the least cohesive section? Why?

2. Given the leadership actions suggested by the section leaders and the description of the development stage of the platoon, what actions are you, the platoon leader, going to take to improve the cohesiveness of the platoon?

PRACTICAL EXERCISE 3

Title

Other Factors Affecting Cohesion

Lesson Number / Title

L340 version 1 / DEVELOP A COHESIVE TEAM

Introduction

When you arrive at your new unit, you will want to determine the current level of cohesion in the platoon. There are several factors or areas when observed can determine the degree or level of cohesion within the unit.

Motivator

This practical exercise will give you a better understanding of these factors of team development and how they help you determine the actual level of unit cohesion.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Develop a cohesive team.
Conditions:	As a small unit leader given a situation in which you are responsible for developing soldiers into a cohesive platoon-sized element.
Standards:	Demonstrated the skills required to developed a plan to develop a cohesive platoon-sized element by: • Identifying the characteristics of a good team. • Determining the appropriate team building stage of your team. • Developing a plan to improve team cohesion. IAW FM 22-100 and SH-2.

Safety Requirements

None

Risk Assessment

Low

Environmental Considerations

None

Evaluation

None

Instructional Lead-In

None

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PRACTICAL EXERCISE 4

Title

Develop a Plan to Improve Unit Cohesion

Lesson Number / Title

L340 version 1 / DEVELOP A COHESIVE TEAM

Introduction

When you arrive at your new unit, you must determine the current level of cohesion in the platoon. Dependent on your findings, you may need to implement a plan to maintain the current level of cohesion or to improve it.

Motivator

This practical exercise provides you with a better understanding of how to develop a cohesive platoon-sized organization.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Develop a cohesive team.
Conditions:	As a small unit leader given a situation in which you are responsible for developing soldiers into a cohesive platoon-sized element.
Standards:	Demonstrated the skills required to developed a plan to develop a cohesive platoon-sized element by: • Identifying the characteristics of a good team. • Determining the appropriate team building stage of your team. • Developing a plan to improve team cohesion. IAW FM 22-100 and SH-2.

Safety Requirements

None

Risk Assessment

Low

Environmental Considerations

None

Evaluation

None

Instructional Lead-In

None

Resource Requirements

Instructor Materials:

FM 22-100, Army Leadership, 1999.
App C, p C-17.
Student Handouts 1 thru 3.
Pen or pencil and writing paper.

Student Materials:

FM 22-100, Army Leadership, August 1999 (if available)
App C, p C-17.
Student Handouts 1 thru 3.
Pen or pencil and writing paper.

Special Instructions

None

Procedures

Read the following scenario. Using the scenario (p C-16), develop a cohesive plan for a platoon-sized unit. Your plan must include the following:

1. Determine the organization's level of cohesiveness.

2. Conduct an analysis of cohesion data collected by:

   a) Determining that the unit cohesion was not a problem and identifying what, if any, additional actions were needed to maintain the current level of unit cohesion.
   b) Identifying positive and negative internal and external factors influencing unit cohesion.

3 Determine possible leader actions that will improve the organization's level of cohesion by:

   a) Identifying the desired organizational cohesion goals.
   b) Determining the impact of leader actions on the level of cohesion on the organization.
   c) Selecting one or two approaches which have potential for achieving identified unit cohesion goals.

4. Develop a plan to improve cohesiveness in the organization by:

   a) Evaluating possible plans against identified organizational cohesion goals.
   b) Selecting a plan to implement.
   c) Identifying personnel to be involved in the implementation of the plan.
   d) Identifying resources needed to implement the plan.

Feedback Requirements

None

Read the following scenario:

Scenario

You are a newly assigned platoon sergeant. You have had the opportunity to meet with each of the squads/sections and you have noticed that each of the squads is focusing on a different mission. After reviewing the personnel files, you find that about half of the soldiers assigned have three months or less in the platoon. Those who have been on board longer display a poor attitude and barely achieve set standards. The squad leaders have been around for a while but do not know their soldiers and rely on threats to accomplish the mission. The soldiers distrust the squad leaders because they order them around but never participate or even teach them how to accomplish the tasks. After much thought, you decide to implement a plan to develop a cohesive platoon.

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Evaluation Guide for PE-4

NOTE: Evaluation guide is for instructor use only. Do not issue to students.

1. Determined the unit's state of cohesiveness. GO NO GO

2. Analyzed cohesion data:

   a. Determined that unit cohesion was not a problem and identifying What, if any, additional actions were needed to maintain the current level of unit cohesion. GO NO GO

   b. Identified positive and negative internal and external factors influencing unit cohesion. GO NO GO

3. Determined possible leader actions to improve the organization's level of cohesion:

   a. Identified the desired organizational cohesion goals. GO NO GO

   b. Determined the impact of leader actions on the level of cohesion of the organization. GO NO GO

   c. Selected one or two approaches which have potential for achieving identified unit cohesion goals. GO NO GO

4. Developed a plan to improve cohesiveness in the organization:

   a. Evaluated possible plans against identified organizational cohesion goals. GO NO GO

   b. Selected the plan to be implemented. GO NO GO

   c. Identified personnel to be involved in the implementation of the plan. GO NO GO

   d. Identified resources needed to implement the plan. GO NO GO

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HANDOUTS FOR LESSON 1: L337 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extracted Material from AR 600-63, Army Health Promotion	SH-2-1
SH-3, Extracted Material from AR 600-85, Army Substance Abuse Program (ASAP)	SH-3-1

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of 2 hours of conference/discussion.

Overview

This lesson introduces you to the Army Health Promotion Program. The purpose of this lesson is to encourage commitment to an organization's Health Promotion Program and combat readiness.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Implement the Army Health Promotion Program at the unit level.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Implemented the Army Health Promotion Program IAW AR 600-63 (Student Handout 2).

ELO A Explain the goals and objectives of the Army Health Promotion Program.
ELO B Explain the components of the Army Health Promotion Program.

Student Assignments

The student assignments for this lesson are:

- Read Student Handouts 1 and 2.

Additional Subject Area Resources

None

Bring to Class

You must bring the following materials to class.

- All reference material.
- Pen or pencil and writing paper.

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Student Handout 2

Extracted Material from AR 600-63

This student handout contains 21 pages of extracted material from AR 600-63, Army Health Promotion:

Topic	Pages
SH-2, Extracted Material from AR 600-63, Army Health Promotion	SH-2-1

Disclaimer: The training developer downloaded this extract from http://155.217.58.58/atdls.htm. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Army Regulation 600–63

Personnel—General

Army Health Promotion

Headquarters
Department of the Army
Washington, DC
28 April 1996

Unclassified

SUMMARY of CHANGE

AR 600–63
Army Health Promotion

this is a new regulation. It --

- Establishes a health promotion program which integrates many existing programs for Total Army family well being (throughout).

- Prescribes policies for each health promotion program area (chap 2).

- Establishes a Health Promotion Council to identify activities, asses effectiveness, prioritize resources, and develop and oversee an installation/community program (chap 3).

- Provides guidance for controlling smoking in DA controlled spaces, and incorporates the contents of AR 1-8, which is rescinded (chap 4).

- Establishes the Army Suicide Prevention Program and the Family member Suicide Prevention Program (chap 5).

- Provides for a Fit To Win Coordinator to plan, initiate, evaluate, and administer the program in coordination with the Health Promotion Council (chap 3).

Change 1 prescribes procedures for a smoke-free workplace for the Department of the Army.

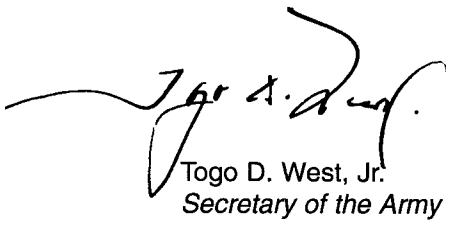
Headquarters
Department of the Army
Washington, DC
28 April 1996

*Army Regulation 600–63

Effective 28 May 1996

Personnel—General

Army Health Promotion



History. This publication was originally printed on 17 November 1987. It was authenticated by Carl E. Vuono, Chief of Staff, and R.L. Dilworth, The Adjutant General. This electronic edition publishes the basic 1987 edition and incorporates Change 1, published on 28 april 1996. Change 1 was authenticated by Togo D. West, Jr., Secretary of the Army.

Summary. This regulation prescribes policy, responsibilities, and procedures for the Army Health Promotion Program. Change 1 establishes policy and prescribes procedures for a smoke-free workplace for the Department of the Army.

Applicability. This regulation applies to the Active Army, Army National Guard, U.S. Army Reserve, and civilians employed by the Army. The provisions of chapter 4 apply to all visitors, contractors and their personnel, and personnel of other agencies or businesses that operate within or visit Army workplaces.

Proponent and exception authority. Not applicable.

Impact on New Manning System. (Rescinded)

Army management control process. This regulation is not subject to the requirements of AR 11–2. It does not contain internal control provisions.

Supplementation. Supplementation of this regulation is encouraged to tailor health promotion to the local command, but is not required. If supplements are issued, HQDA agencies and major Army commands will furnish one copy of each to HQDA (DAPE–MPH), WASH DC 20310–0300. Other commands will furnish one copy of each to the next higher headquarters. Policies established in this regulation may not be changed without prior approval of HQDA(DAPE–MPH).

Interim changes. (Rescinded).

Suggested Improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to Deputy Chief of Staff Personnel, ATTN:DAPE–HR–PR, 300 Army Pentagon, Washington, DC 20310–0300.

Distribution. Distribution of this publication is made in accordance with initial distribution number (IDN) 093611, intended for commands levels A, B, C, D, and E for Active Army, Army National Guard, and U.S. Army Reserve.

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*This regulation supersedes AR 1–8, 18 November 1977.

Unclassified

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Glossary

Chapter 1
Introduction

Section I
General

1–1. Purpose
This regulation prescribes policies and responsibilities for the Army Health Promotion Program.

1–2. References
Required and related publications and prescribed forms are listed in appendix A.

1–3. Explanation of abbreviations and terms
Abbreviations and special terms used in this regulation are explained in the glossary.

1–4. Objective and scope of the Army Health Promotion Program
a. The goal of the Army Health Promotion Program is to maximize readiness, combat efficiency, and work performance.Objectives include enhancing the quality of life for all soldiers, Army civilians, family members and retirees; and encouraging lifestyles to improve and protect physical, emotional, and spiritual health.

b. The Army Health Promotion Program encompasses a variety of activities designed to facilitate behavioral and environmental alterations to improve or protect health. This includes a combination of health education and related organizational, social, emotional, spiritual, and health care activities and initiatives.These are integrated to produce a single, comprehensive program.

c. Functionally, the components of health promotion consist of all activities for members of the Total Army Family in the following areas:

(1) Antitobacco.
(2) Physical conditioning.
(3) Weight control.
(4) Nutrition.
(5) Stress management.
(6) Alcohol and drug abuse prevention and control.
(7) Early identification of hypertension.
(8) Suicide prevention.
(9) Spiritual fitness.
(10) Oral health.

d. In addition to the components listed above, health promotion necessarily includes other related activities. These include such things as physical and dental examinations, health risk appraisals, physical fitness facilities, recreation and leisure education and activities, as well as initiatives to promote social and emotional well–being. These activities are coordinated and integrated into a comprehensive Army Health Promotion Program called“ Fit To Win.”

e. Operationally, health promotion is implemented and enhanced at the installation level through a health promotion program as provided in this regulation.

Section II
Responsibilities

1–5. Deputy Chief of Staff for Personnel(DCSPER)
The DCSPER is the Army Staff proponent for the following:

a. The Army Health Promotion Program and implementing DOD Directive 1010.10.

b. The Alcohol and Drug Abuse Prevention and Control Program(ADAPCP).

c. Antitobacco program.

d. Army Weight Control Program.

e. Suicide prevention to include coordination and monitoring of the Army Suicide Prevention Program (ASPP).

1–6. Deputy Chief of Staff for Operations and Plans (DCSOPS)
The DCSOPS has Army Staff responsibility for the Army Physical Fitness Program (APFP).

1–7. Deputy Chief of Staff for Logistics(DCSLOG)
The DCSLOG is the proponent for development and implementation of policies and programs concerning nutrition in troop dining facilities and commissaries.

1–8. The Surgeon General (TSG)
TSG—

a. Develops policy for all medical, dental, psychological, physiological, and health areas including diet, weight and body fat standards, cardiovascular risk factor reduction, nutrition, and stress management, and assists in policy development in other areas including Army health promotion, physical fitness and exercise, control of substance abuse, suicide prevention, and antitobacco use.

b. Has Army Staff responsibility for stress management.

c. Acts as Department of Defense executive agent for nutrition(to include Army Staff responsibility) for policy, standards, and education programs.

d. Is the Army Staff proponent for early identification of hypertension.

e. Is the Army Staff proponent for oral health promotion.

f. Appoints a representative with an appropriate health care background to serve along with the representative from ODCSPER as a member of the DOD Health Promotion Coordinating Committee.

g. Plans, implements, and evaluates an automated health risk appraisal with procedures for administration and for processing and compiling the data at HQDA, MACOM, installation or community, and unit levels.

h. Advises the DCSPER with respect to all medical and psychiatric aspects of health promotion to include the epidemiological aspects of suicide.

i. Oversees the technical aspects of Army training programs in suicide prevention.

j. Assures that Army Medical Departments (AMEDDs)provide—

(1) Equipment and health care providers to administer and interpret the health risk appraisal, teach classes, and compile statistics to support the health promotion program.

(2) Training for health care providers in suicide risk identification and treatment for patients who may be at increased risk of suicide.

1–9. The Chief of Public Affairs (CPA)
The CPA is responsible for the development and implementation of a public affairs plan in support of the Army Health Promotion Program. This includes articles in internal print and broadcast media, and release of information about the Army Health Promotion Program to the public through the media and through community relations.

1–10. Chief of Chaplains (CCH)
The CCH—

a. Has Army special staff responsibility for the installation chaplain family life center program, spiritual fitness, and battle fatigue ministry.

b. Encourages and promotes concepts of spiritual well–being and good health among soldiers and family members.

c. Coordinates suicide prevention activities with the DCSPER and TSG.

1–11. The Judge Advocate General (TJAG)
TJAG—

a. Provides staff assistance and advice for the interpretation of appropriate laws and concerning regulations the Army Health Promotion Program.

b. Reviews the liability implications of nonhealth professionals providing health promotion programs.

1–12. Chief of Engineers (COE)
The COE has Army special staff responsibility for the construction of installation physical fitness and recreation facilities supported by appropriated funds.

1–13. Chief, National Guard Bureau (CNGB)
The CNGB prescribes policy and programs for health promotion within the Army National Guard (ARNG), and encourages State adjutants general to develop health promotion programs including suicide prevention and oral health.

1–14. U.S. Army Reserve (USAR)
Responsibilities for administering the health promotion program, to include suicide prevention, in the USAR are as follows:

a. The Chief, Army Reserve (CAR) The CAR, in coordination with the Deputy Chief of Staff for Personnel, prescribes policy and monitors health promotion for the USAR.

b. The Commanding General, U.S. Forces Command (CG, FORSCOM), executes health promotion policy and procedures for USAR troop program units (TPUs) in the Continental United States (CONUS).

c. The Commanding General, U.S. Army Western Command (CG, WESTCOM) executes health promotion policy and procedures for all assigned USAR TPUs and activities in Hawaii and in possessions, trusts, and territories administered by the United States in the Pacific Command Area.

d. The Commander–in–Chief, U.S. Army Europe(CINCUSAREUR) and Seventh Army executes health promotion policy and procedures for all assigned USAR TPUs in Europe.

e. The Commanding General, U.S. Army Reserve Personnel Center(CG, ARPERCEN), is the administrator of health promotion policy and procedures for the Individual Ready Reserve (IRR).

1–15. Commanding General, U.S. Army Community and Family Support Center (CG, CFSC)
The CG, CFSC—

a. Appoints the CFSC Family Fitness Coordinator to serve as an adviser to the Army Health Promotion Council.

b. Has Army operational responsibility for installation physical fitness and recreation facilities supported by nonappropriated funds (NAF).

c. Has special staff responsibility for Total Army family recreation programs.

d. Defines the role and trains Army Community Service (ACS)personnel in support of suicide risk identification efforts using technical assistance from mental health officers.

e. Develops suicide prevention education and community awareness programs for family members.

1–16. Commanding General, U.S. Army Training and Doctrine Command (CG, TRADOC)
The CG, TRADOC—

a. Coordinates the inclusion of Army health promotion into Army school curricula.

b. Develops training support packages for suicide risk identification for unit leaders.

c. Provides suicide risk identification training for leadership courses.

d. Implements Army policy to control use of tobacco products during initial entry training.

1–17. Commanding General, U.S. Army Soldier Support Center (CG, USASSC)
The CG, USASSC, is responsible for Army physical fitness doctrine.

1–18. Commanders of major Army commands (MACOMs)
All MACOM commanders will—

a. Monitor data, and develop and implement programs to achieve Army health promotion.

b. Appoint a Fit To Win Coordinator to provide staff supervision for the implementation of actions and procedures of this regulation and its relationship to all members of the Total Army Family.

c. Appoint a Suicide Prevention Coordinator to provide installation assistance for and staff supervision of the ASPP.

d. Develop and implement a MACOM Suicide Prevention Plan.

1–19. Commanders of U.S. Army installations and military community activities
These commanders will—

a. Establish and chair a Health Promotion Council.

b. Appoint a Fit To Win Coordinator to integrate health promotion activities and monitor program progress at their installations.

c. Monitor aggregate data and implement a health promotion program at their installations in accordance with this regulation and instructions from their MACOM commanders.

d. Appoint a task force or committee and designate a presiding officer to plan, implement, and manage the ASPP.

e. Coordinate with union organizations representing civilians employed by the Army as applicable.

1–20. Medical Department Activity/Medical Center(MEDDAC/MEDCEN) commanders
These commanders will—

a. Serve with Directors of Personnel and Community Activities(DPCAs) as principal advisers to the installation/community commander with respect to Army health promotion.

b. Provide equipment and health care providers to administer and interpret the health risk appraisal, teach classes, and compile statistics to support the health promotion program.

c. Integrate activities formerly planned and coordinated by the Community Health Education Program (CHEP) and the Health Initiatives Fitness Team (HIFIT) into the installation or community Health Promotion Council; and use ad hoc or subcommittees to address specific issues involving health promotion in the MTFs.

d. Develop protocols for the identification and management of suicidal patients in each patient care unit of the medical treatment facility (MTF) and provide inservice suicide prevention training for health care providers.

e. Provide a mental health officer to conduct a psychological autopsy when required by this regulation.

f. Provide advice and assistance to commanders of RC units in order to facilitate and implement health promotion policies.

1–21. Commanders at all levels
These commanders will—

a. Remain sensitive and responsive to the needs of soldiers, Army civilians, family members, and retirees.

b. Encourage soldiers, Army civilians, and family members to practice a lifestyle that improves and protects physical, emotional, and spiritual well–being.

c. Enhance unit readiness and maximize human resources by implementing the Fit To Win program within their units.

d. Initiate proactive measures to prevent loss of life within their unit due to suicide and to reduce the impact on survivors if a suicide takes place.

e. Demonstrate positive efforts to deglamorize the use of all forms of tobacco products.

f. Enhance unit readiness and maximize human resources by referring soldiers in Dental Fitness Classes 3 and 4 for examination and treatment to attain at least Dental Fitness Class 2. (See para 2–12.)

g. Ensure that all soldiers and family members understand the availability of dental care at post facilities and the use of the dental insurance plan for treatment at civilian facilities.

Chapter 2
Health Promotion Policies

2–1. General

a. Health promotion policies apply to all Total Army activities and operating agencies. Active participation in all aspects of health promotion will be encouraged.

b. Health promotion increases unit readiness and combat and organizational efficiency by maximizing human resources. These activities encompass physical, emotional, spiritual, and social dimensions. They are positive actions and health education whose total effect improves unit and organizational performance by enhancing individual well–being.

2–2. Antitobacco

a. The use of all forms of tobacco products during initial entry training is controlled for soldiers. (See chap 4.)

b. Commanders and supervisors will encourage family members and retirees to engage in appropriate antitobacco activities.

c. As part of routine physical and dental examinations and at other appropriate times, such as prenatal and well baby clinics, health care providers will inquire about the patient's tobacco use, including use of smokeless tobacco products, and advise them of risks associated with use, the health benefits of abstinence, and where to obtain help to quit.

d. Army policy on smoking in the workplace is in chapter 4.

2–3. Physical fitness

Physical fitness includes factors that allow people to function effectively in physical or mental work and in training or recreation, and still have energy to handle emergencies. This includes cardiorespiratory fitness, muscular strength and endurance, flexibility, and body composition. (See AR 215–2, AR 350–15, DA Pam 350–18, and DA Pam 350–21 for specific information.)

a. Soldiers

(1) Commanders and supervisors will establish and conduct physical fitness programs for soldiers consistent with AR 350–15, FM 21–20, and the unit mission. Exercise periods are to be conducted with sufficient intensity, frequency, and duration to maintain adequate cardiorespiratory endurance, muscular strength and endurance, and flexibility.

(2) All soldiers in the Active Component (AC) and the Reserve Component (RC) are expected to take part in either collective or individual physical fitness training programs year–round.

(3) AC and RC soldiers, age 40 and over, are required to complete medical screening as prescribed in AR 40–501 and AR 350–15 in a timely manner and as close to their 40th birthday as possible. Once cleared, they will participate fully in unit or individual programs and testing in accordance with AR 350–15.

b. Civilians employed by the Army.

(1) Civilians employed by the Army are encouraged to engage in a regular program of exercise and other positive health habits.

(2) For employees engaged in an occupation that requires physical strength and stamina for satisfactory performance (for example, firefighter), a physical exercise program may be a part of their jobs and may be conducted during duty hours.

(3) For other employees, commanders may approve up to 3 hours administrative leave per week to allow employees to participate in command sponsored physical exercise training, monitoring, and/or education, provided these activities are an integral part of a total fitness program and are time–limited, that is, 6 to 8 weeks in duration.

(4) While formal physical fitness programs may be repeated from time–to–time, employees will not be given administrative leave for physical exercise training once they have already received such training. This grant is limited to one time only. It does not apply to other types of training or professional development. (See AR 690–400.)

(5) Beyond these situations, work schedules should be adjusted to permit training and exercise where possible and where consistent with workload and mission.

2–4. Nutrition

a. Dietary allowances prescribed in AR 40–25 provide guidelines and standards for feeding healthy soldiers. They are intended for use by personnel involved in menu planning, dietary evaluation, nutrition education and research, and food research and development.

b. Nutrient standards for operational rations establish the criteria for evaluating the nutritional adequacy of these rations.Operational rations are composed of nonperishable foods. They are designed to provide complete nutrition for the soldier in simulated or actual combat conditions.

c. Basic guidelines for nutrition education are used to promote optimal fitness in the military population. They guide modification in food procurement policy, food preparation, recipe formulation, and menu development.

d. Installation commanders, dietitians, food advisers, nutritionists, and food service noncommissioned officers (NCOs) will comply with the basic nutritional standards for garrison dining facilities in AR 30–1, appendix J. This appendix provides implementing guidance for meeting nutrition standards in garrison dining facilities and ensuring compliance with AR 40–25.

e. Commanders will ensure that nutrition information, education, and counseling programs are provided to soldiers, family members, Army civilians, and food outlet managers in activities under their control. These programs are provided by, or coordinated with, qualified health care professionals.

2–5. Weight control

a. Commanders and supervisors will monitor all soldiers in their commands in accordance with AR 600–9 to ensure they maintain proper body weight, body composition, and personal appearance standards. At a minimum, AC and RC soldiers will be weighed when they take the APFT or for AC soldiers at least every 6 months.

b. Commanders and supervisors will provide educational and other motivational programs in accordance with AR 600–9 in order to encourage persons to attain and maintain proper body fat standards. Army civilians, family members, and retirees should be included in these programs.

c. Soldiers exceeding body fat standards are subject to the restrictions established in AR 600–9.

2–6. Alcohol and Drug Abuse Prevention and Control Program (ADAPCP)

The ADAPCP includes all activities to eliminate substance abuse, including prevention, identification, education, and rehabilitation services. It includes residential and nonresidential treatment. (See AR 600–85.)

a. Alcohol and drug abuse is incompatible with military service. Soldiers identified as alcohol or drug abusers who, if in the opinion of their commanders, warrant retention, will be afforded the opportunity for rehabilitation in accordance with AR 600–85. Soldiers identified as alcohol abusers who do not warrant retention are to be considered for separation. Consideration and processing for separation for soldiers identified as drug abusers will be in accordance with AR 600–85 and applicable administrative regulations.

b. All levels of the chain of command must take prompt action, regardless of rank or grade, if alcohol or other drug abuse is suspected.

c. Implementation of an ADAPCP capability is required for installations, communities, and activities in accordance with AR 600–85.

d. Installation, community, and activity commanders will ensure that an active and aggressive drug testing program is maintained.

e. Alcohol and drug abuse policy will be given adequate publicity to ensure that eligible civilians, family members, and retirees are aware of—

(1) Command support.

(2) Available information.

(3) Referral procedures.

(4) Rehabilitation services of ADAPCP.

f. Enrollment of Army civilians, family members, and retirees is voluntary. The commander of the servicing installation or activity is responsible for developing procedures by which Army civilians may use ADAPCP facilities and services.

g. Commanders, supervisors, and hospitality, recreation, and health care providers will provide education for all members of the Total Army family on the detrimental effects of alcohol and drug abuse on combat readiness and a healthy lifestyle.

2–7. Stress management

Stress management includes all assistance provided to cope with the demands, real or perceived, from the environment, and from within the individual.

a. Stress, its effects, and its management, is a concern for leaders at every level. Techniques and considerations for the management of stress in Army operations are in FM 26–2.

b. Health care providers and unit ministry team (UMT)personnel assist commanders in the development and implementation of a comprehensive stress prevention effort to increase the ability of individual soldiers and Army civilians to positively deal with stress.

c. Health care providers implement health education and treatment programs for individuals affected by stress. Protocols for referring soldiers, family members, and Army civilians to other agencies will agree with established procedures.

d. Health care providers conduct training programs designed to alert health care providers, commanders, and supervisors regarding evidence of stress affecting an individual.

e. Community recreation professionals will develop and execute leisure activities designed to enhance self–esteem and provide outlets for tension and stress–related energies.

f. The stress of active combat operations often leads to a combat stress reaction called battle fatigue. Commanders, staff officers, and proponent agencies should be aware how—

(1) Unit ministry teams provide preventive, immediate, and replenishing spiritual and emotional support and care to soldiers experiencing battle fatigue.

(2) Combat stress teams trauma implement the medical recovery aspects of battle fatigue.

2–8. Suicide prevention

a. Suicide prevention is the concern of every leader, commander, supervisor, soldier, and Army civilian.

b. A coordinated program for suicide prevention will be established at every Army installation, community, and activity in accordance with the policies set forth in chapter 5.

2–9. Spiritual fitness

A spiritually fit person recognizes there are multiple dimensions that make up the human being. He or she seeks to develop the total person concept. This includes enhancing spiritual fitness through reflection and practice of a lifestyle based on personal qualities needed to sustain a person in times of stress, hardship, and tragedy. When a person's actions are different from his or her stated values, the person lives with inner conflict. This person struggles for integrity and congruity, but cannot find inner peace until this struggle is dealt with. The extent to which this is accomplished is a measure of spiritual fitness.

a. Commanders at all levels shall encourage and provide for human self–development activities leading to increased spiritual fitness in accordance with this regulation, AR 600–20, AR 165–20, and other applicable directives.

b. Army leaders should develop an awareness of the lifestyles, cultural backgrounds, stages of development, possible relationships to religious beliefs, and needs of soldiers, Army civilians, and family members. HPCs will recommend, coordinate, and ensure the integration of spiritual fitness programs for units, soldiers, family members, and Army civilians in their area of responsibility.

c. Commanders at the installation and community level shall develop soldier and family support activities to undergird, reinforce, and implement the enhancement of spiritual fitness. They will ensure the scheduling of time for activities, programs, and training to accomplish the goals of spiritual fitness, as well as recommending and conducting spiritual fitness programs.

d. In providing for self–development activities, commanders and other leaders must ensure advocacy of a religion does not occur. The practice of religion, to the extent it relates to spiritual fitness, must be left to the sole discretion of the individual soldier, family member, or Army civilian. They must be free to worship or not as he or she may choose without fear of being disciplined or stigmatized by his or her choice. (See AR 165–20, AR 600–20 and DA Pam 600–75.)

e. All soldiers and Army civilians are expected to live by the tenets of the professional Army ethic and those individual values that support and sustain the Army way of life. (See FM 100–1.)

2–10. Physical examination

a. Health care providers will conduct physical examinations and a health risk appraisal in accordance with the procedures of AR 40–501 and separate directives.

b. All soldiers age 40 and over will be screened for cardiovascular risk as well as other limiting factors as part of their periodic physical examinations and in accordance with AR 40–501.

2–11. Hypertension identification

a. The early identification of hypertension includes all initiatives to identify those with a positive family history, and to identify and treat the following health risk factors:

(1) High blood pressure

(2) Tobacco use

(3) Elevated cholesterol level

(4) Obesity

(5) Poor nutrition

(6) Inactivity

(7) Stress

(8) Alcohol and drug abuse

b. These initiatives include early identification, information regarding control and lifestyle factors, and treatment referral.Health care providers will—

(1) Inform soldiers during the periodic physical examination about the effects on hypertension of cholesterol, weight, blood pressure, family history, and lifestyle habits.

(2) Develop and implement protocols for referring individuals with significant health risk factors.

(3) Conduct a cardiovascular screening program for soldiers age 40 and over as prescribed in AR 40–501 and separate directives.

(4) Provide basic information materials on hypertension suitable for use by commanders, supervisors, or counselors outside the health care setting.

(5) Develop and implement procedures to provide annual blood pressure measurement for soldiers and selected family members. As a minimum, hypertension screening is provided as part of all medical examinations, health risk appraisals, and the annual dental examinations for members of the Total Army family. Screening is also provided to other beneficiaries, including those in the Children's Preventive Dentistry Program at the time of their original request for care. Patients with abnormal screening results will receive appropriate medical referrals.

2–12. Oral health

a. Oral health promotion includes all initiatives to increase the overall fitness and dental readiness of soldiers, reduce the incidence of dental disease in the community, identify community members in need of dental treatment, and direct them to sources of appropriate care. It expands the traditional dental program by—

(1) Requiring a minimum level of dental health for active duty soldiers.

(2) Providing to the community information concerning the dental insurance program for family member dental care.

(3) Using the HRA questionnaire dental data as a tool to help evaluate community oral health.

(4) Integrating hypertension screening and tobacco use counseling into the dental examinations and treatment plans.

b. This program includes all traditional preventive dentistry activities described in AR 40–35.

(1) *Oral Health Fitness Program.* The Oral Health Fitness Program is designed to ensure that soldiers maintain optimum oral health and do not lose valuable personal or unit time due to preventable dental disease. Each active duty soldier is required to receive an annual dental examination.Results of the examination are used to establish a Dental Fitness Classification which is monitored by the soldier's unit through the installation automated personnel data base. Commanders will ensure that soldiers receive examinations and required treatment to maintain at least a Dental Fitness Class 2. A brief description of the classifications follows. The complete description is found in AR 40–35.

(a) Dental Fitness Class 1: Requires no dental treatment.

(b) Dental Fitness Class 2: Unlikely to have a dental emergency within 12 months.

(c) Dental Fitness Class 3: Likely to have a dental emergency within 12 months.

(d) Dental Fitness Class 4: Needs a dental examination, or status is unknown.

(2) *Preventive Dentistry Program for children.* This program allows DENTACS to provide, on a space available basis, an oral screening examination, instructions on hygiene procedures, and topical application of anticariogenic agents. Sports mouthguards and pit and fissure sealants may be provided as appropriate.

(3) *Clinical Preventive Dentistry Program.* Clinical preventive measures are included in this program and include all plaque control technique instruction and evaluation, oral prophylaxis, and nutritional counseling as appropriate.

(4) *Community Preventive Dentistry Program.* Community education programs and fluoridation of community water supplies and/or alternative fluoride administration procedures are prescribed under this program. Also included are programs for reporting child neglect or abuse to the local Family Advocacy Program.

2–13. Health risk appraisal

a. Individuals will be aware of their health risk profile and of ways to improve their lifestyles to reduce health risks.

b. Health care providers will use the approved health risk appraisal instrument in accordance with applicable regulations and directives to screen soldiers, family members, Army civilians, and retirees for health risk factors. The results of this appraisal will be given to the individual as a health risk appraisal profile.

c. Enlistees will be administered a health risk appraisal in the reception battalion upon entry into the Army. IET trainees will be given a health risk appraisal profile either in basic training, advanced individual training (AIT), or one–station unit training (OSUT). Officers will be administered a health risk appraisal during the officer basic course (OBC).

d. All soldiers will receive a health risk appraisal as part of the ongoing periodic physical examination (for example,5–year, over–40 screen, or flight physical). The health appraisal profile is the responsibility of the administering MTF commander.

e. Commanders will ensure—

(1) During PCS inprocessing that soldiers receive a health risk appraisal unless their current health risk appraisal occurred within the last 12 months.

(2) During regular records screening that soldiers have a current (not more than three years old) health risk appraisal.

(3) A program of education and consultation is available to meet identified needs.

(4) Soldiers understand their health risk appraisal profile and the command actions that can be taken to manage health risks.

2–14. Family Fitness Program

a. Existing Army fitness programs that promote well–being will include family members. A total program of family fitness supports—

(1) Readiness

(2) Leadership

(3) Quality of life

(4) Sustainment

(5) Personnel functions

b. This program will promote all aspects of Army Health Promotion addressed by this regulation. (See AR 215–2 and DA Pam 350–21.)

2–15. Acquisition and use of physical fitness and recreation facilities

a. Commanders may use appropriated funds to obtain service contracts to provide physical fitness facilities for soldiers and Army civilians through routine procurement channels. When physical fitness facilities exist in a building that has been leased for use by DA agencies, it is appropriate for the lease to be amended to provide access to these facilities for soldiers and Army civilians.Specific procedures and policies concerning the use of appropriated funds for such acquisition are in purchasing and contracting regulations and guidelines, and in AR 215–2, paragraph 6–4.

b. Army civilians who are not subject to mandatory physical fitness standards may use physical fitness and other recreation facilities to the maximum extent possible consistent with AR 215–2.

c. As an inherent responsibility of command, commanders may establish the priority between soldiers, Army civilians, and family members for the use of physical fitness facilities, consistent with resource availability, mission, and training requirements. Policies discussed in this paragraph apply to those minimally essential facilities whose primary purpose is physical fitness. They do not apply to those designed principally for community recreation activities such as bowling alleys, golf courses, and tennis courts.AR 215–2 permits Army civilians to use community recreation facilities on a space available basis at no cost to the Government.

2–16. Army Fit to Win program

a. The Army Fit to Win program provides the means to begin integrated and coordinated implementation of the health promotion program at the installation level. When fully implemented, such an activity should allow commanders to—

(1) Actively market all aspects of the installation program.

(2) Conduct community needs assessments in health promotion areas.

(3) Provide a program of education and consultation to meet identified needs.

(4) Sustain program participation.

(5) Support Army–wide data collection for program evaluation.

b. DA Pam 600–63 (1–13) details operations and education.

Chapter 3
Installation Health Promotion Program

3–1. Implementation guidance

a. The success of the Army Health Promotion Program is determined by the effectiveness of the efforts of installation and community commanders. An effective, comprehensive program at the installation and community level is the key to achieving the overall goals.

b. Installation and community health promotion programs must focus on initiatives and activities to enhance individual health in each of the major areas of the program.

c. The operational pamphlets for implementing the program are contained in the Army's Fit To Win program. (See DA Pam 600–63).

d. Installation or community health promotion programs should contain the following key elements:

(1) Health education to raise individual awareness of all aspects of the program.

(2) Lifestyle assessment to identify individuals who could benefit from program participation.

(3) Counseling programs to reduce risk factors.

(4) Counseling programs to motivate and help sustain a healthy lifestyle for all.

(5) Proactive programs to foster suicide prevention and increase spiritual fitness.

(6) A program directed at the total population (soldiers, family members, retirees, and Army civilians).

(7) A means to allow commanders to monitor program effectiveness.

3–2. Installation or community Health Promotion Council

a. The installation or community commander administers and controls the health promotion program through the Health Promotion Council (HPC) and the Fit To Win Coordinator. These are the commander's primary advisers. The presiding officer of the HPC is the commander or his or her designated representative from the command group. The Family Fitness Coordinator prescribed in AR 215–2 may be used, if qualified, to be the installation or community Fit To Win Coordinator.

b. The membership encompasses the full scale of health and fitness interests on the installation—

(1) Deputy for Personnel and Community Activities (DPCA)
(2) Commander, Medical Treatment Facility (MTF)
(3) Director of Logistics (DOL)
(4) Director for Plans, Training, and Mobilization (DPTM)
(5) Commander, Dental Activity/Director of Dental Services
(6) Staff Chaplain
(7) Fit To Win Coordinator
(8) Civilian personnel officer (CPO)
(9) Public affairs officer (PAO)
(10) Chief, Community Mental Health Service (CMHS)
(11) Community health nurse
(12) Safety officer
(13) Chief, Family Support Division (FSD)
(14) Chief, Community Recreation Division (CRD)
(15) Chief, Community Operations Division (COD)
(16) Post librarian
(17) Family Fitness Coordinator
(18) Alcohol and Drug Abuse Control Program Officer
(19) Post Food Adviser
(20) MTF Dietitian/Division nutritionist
(21) Field Director, American Red Cross (ARC)
(22) Tenant unit commanders
(23) Master fitness trainer
(24) MTF Fitness Facilitator
(25) Reserve Component advisers
(26) Others as desired

c. Principal tasks of each installation or community HPC are to—

(1) Identify existing health promotion programs.

(2) Integrate MTF programs with other post health promotion programs.

(3) Assess the strengths and weaknesses of programs.

(4) Identify and assess other existing resources.

(5) Assess community needs.

(6) Develop a plan for a health promotion program based on the health and fitness needs for the Total Army family.

(7) Develop a comprehensive marketing plan based on existing resources, demographics, and identified fitness needs.

3–3. Development of the installation or community health promotion program

a. The installation or community commander develops and implements the health promotion program. Key stages are shown in figure 3–1.

b. Once community or installation needs are identified, specific program elements to address each of the major health promotion areas must be initiated. These include classes, seminars, workshops, and activities in each of the Fit To Win program areas.Existing programs may be used to meet these needs.

c. Commanders will ensure the goals, objectives, and purposes of the health promotion program are well–publicized throughout the command. Such efforts should keep soldiers, Army civilians, family members, and retirees aware of program benefits. This includes the relationship and interaction among members of the overall program and its component parts.

d. These initiatives, facilitated by the Fit to Win Coordinator using all the resources of the HPC, will ensure the effectiveness of the overall program and should ensure participation by all elements of the command.

e. Screening and assessment of individuals are primarily accomplished by using a health risk appraisal to assess the current state of health and fitness. This is an automated, personalized instrument, asking the participant about family health history, lifestyle, and attitudes. Other data, such as height, weight, blood pressure, and cholesterol level are also used.

f. Assessment begins during IET and OBC. It is continued during periodic physical examinations, PCS inprocessing, by referral, or is unit initiated. Self–referral is the principal means of accessing family members, Army civilians, and retirees.

g. The data enter the installation or community data base, are compiled, and used by the Fit To Win Coordinator, HPCs, and commanders to allocate resources, revise programs, and monitor progress and unit well–being.

h. Individual data from the health risk appraisal are compared, where possible, against predetermined standards. If standards are met, no intervention or education is required. Interim referrals may be initiated by the commander or health care providers prior to the next scheduled health risk appraisal.

i. A health risk appraisal profile, compiled and printed using an automated process, is given to the individual. Profile data are also placed in the person's MTF medical record or given to the person if a record is not maintained.

j. If follow–up based on identified individual or unit needs is required, the intervention and education stage begins and strategies are targeted. Purely medical interventions are referred to the MTF for soldiers, family members, and retirees, and to private physicians for Army civilians.

k. Reevaluation occurs with the next scheduled health risk appraisal.

l. Figure 3–2 portrays the health risk appraisal process in all its stages.

3–4. Health promotion process

a. The health promotion process described in paragraph 3–3 encompasses actions that will—

(1) Bring people into the program.
(2) Gather the necessary data.
(3) Enter data into a computer program and data base.
(4) Measure data against Army standards.
(5) Educate and intervene for individual and unit well–being.
(6) Reevaluate the program.

b. Army health promotion emphasizes positive action to increase physical, emotional, and spiritual well–being.

3–5. Health risk appraisal administration and command requirements

a. Administering the health risk appraisal at installation/community and unit level involves the individual, the commander, health care providers, and other resources available within the command. Their interaction is monitored by the HPC.

b. The laboratory analysis of the health risk appraisal is done by drawing blood.

c. Blood pressure, height, weight, and heart rate are measured and entered on health risk appraisal instrument.

d. After completion of the health risk appraisal questionnaire, all data are entered into the computer. An individual health risk appraisal profile is printed. One copy is given to each individual and

one is placed into medical records maintained by the MTF. Supporting personnel service centers (PSCs) and unit personnel NCOs are provided a by–name roster of those who have taken a health risk appraisal. Unit commanders will ensure all personnel in their command are evaluated.

e. Unit health care providers will monitor unit soldiers recommended for or enrolled in health education programs, and advise the commander on the state of unit well–being.

f. Aggregate data are also compiled by health care providers using the individual data. Quarterly reports allow commanders and the HPC to—

(1) Monitor program status, progress of fitness initiatives, and overall installation, community, and unit well–being.

(2) Ensure appropriate health promotion programs are initiated.

(3) Manage resources necessary to support the program.

3–6. Unit Climate Profile (UCP)

a. Unit " climate" factors such as cohesiveness, morale, and attitude have a profound impact on the effectiveness and efficiency of a unit. DA Pam 600–69 provides a way for company–level commanders to identify unit strengths and weaknesses associated with unit climate factors. An easy–to–use UCP questionnaire and its resulting profile provide information on—

(1) Officer leadership.
(2) NCO leadership.
(3) Immediate leaders.
(4) Leader accessibility.
(5) Promotion policy.
(6) Rewards and corrective actions.
(7) Quality of training.
(8) Tools, equipment, and supplies.
(9) Job satisfaction.
(10) Freedom from harassment.
(11) Military courtesy and discipline.
(12) Human relations.
(13) Unit cohesiveness.
(14) Athletic and nonathletic recreational activities.
(15) Social activities.
(16) Freedom from substance abuse.
(17) Food service and soldier eating habits.
(18) Soldier attitude toward unit.
(19) Morale.
(20) Reenlistment potential.

b. The UCP requires no specific training to administer or analyze.

Chapter 4
Controlling Smoking

4–1. Guidance for controlling smoking in DA controlled areas

a. Smoking tobacco harms readiness by impairing physical fitness and by increasing illness, absenteeism, premature death, and health care costs. Readiness will be enhanced by establishing the standard of a smoke–free environment that supports abstinence from and discourages use of tobacco.

b. Full cooperation of all commanders, supervisors, soldiers, and Army civilians is expected to ensure people are protected from the effects of secondhand smoke.

c. All organizational elements (Active, Reserve, appropriated and non-appropriated civilian personnel) that occupy space in or on conveyances, offices, buildings, or facilities over which DA has custody and control will comply with Army policy and guidance. This includes space assigned to the Army by General Services Administration (GSA) or space contracted from other sources.

d. This policy does not cancel or supersede other instructions that control smoking because of fire, explosion, or other safety considerations.

4–2. Policy

Smoking of tobacco products is prohibited in all DA-occupied workplaces, with the exception of recreation facilities discussed below. The workplace includes any are inside a building or facility over which DA has custody and control where work is performed by military personnel, civilians, or persons under contract to the Army.

a. Notices will be displayed at entrances to buildings and facilities over which Da has custody and control which state that smoking is not allowed except is designated outdoor smoking areas.Indoor designated smoking areas are prohibited.

b. If possible, designated outdoor smoking areas will provide a reasonable measure of protection from the elements. However, the designated areas will be at least 50 feet from common points of ingress/egress and will not be located in areas that are commonly used by nonsmokers.

c. Smoking of tobacco products is prohibited in all military vehicles and aircraft and all official vans and buses.

d. Smoking is permitted in individually assigned family and unaccompanied personnel living quarters as long as the quarters do not share a common heating/ventilation/air conditioning (HVAC)system. Smoking will only be allowed in quarters with common HVAC systems if an air quality survey can establish that the indoor air quality protects nonsmokers from environmental tobacco smoke (ETS).The American Society of Heating, Refrigeration, and Air Conditioning Engineers (ASHRAE) has established that 20 cubic feet per minute per person of outside fresh air is required. The carbon dioxide (CO2)level should not exceed 1000 parts per million (PPM). When individual living quarters are not required or are not available, and two or more individuals are assigned to one room, smoking and nonsmoking preferences will be a determinate factor during the assignment of rooms. The installation commander will provide affirmative procedures to reassign nonsmokers to living space not also occupied by a smoker; and, if necessary, reassign smokers to living space where they may smoke.

e. Smoking is not permitted in common spaces of multiple housing areas such as family housing apartments, unaccompanied personnel housing, transient housing, and Army-operated hotels.Common space is defined as any space within a building that is common to occupants and visitors. These areas include, but are not limited to, corridors, laundry rooms, lounges, stairways, elevators, lobbies, storage areas, and restrooms.

f. Health care providers will not smoke in the presence of patients.

g. Smoking by students is prohibited on the grounds of DOD Dependent Schools (DODDS), Section 6, or other schools over which DA exercises control, except as provided for by the Director, DODDS.Visiting adults, faculty, and staff may smoke out of the presence or view of students in smoking areas designated in accordance with this policy.

h. Smoking is prohibited in all child development centers and youth activity facilities, except that visiting adults and staff may smoke out of the presence or view of children in smoking areas designated in accordance with this policy.

i. Smoking is prohibited where it presents a safety hazard, for example, firing ranges, ammunition storage areas, fuel dumps, motor pools, and equipment maintenance shops.

j. Smoking during basic combat or one–station unit training is prohibited. Smoking during advanced individual training or officer basic courses is controlled and limited to designated times and places during the training day. Cadre and faculty of any military school will not use tobacco products in the presence or view of students while on duty. Commandants will evaluate their policies and practices to eliminate conflicting messages on tobacco.

k. Health education classes regarding the use of tobacco products and its related health problems will be provided throughout professional military training. Classes will be offered during basic and

advanced courses for enlisted and officer (warrant and commissioned) soldiers.

l. Installation commanders will determine whether or not to allow designated smoking areas within recreational areas such as bowling areas, golf courses, clubs, recreation centers, and so forth. If a commander chooses to designate smoking areas, the policies prescribed will not be more permissive than the smoking policies established by state and locate governments for similar commercial/privately operated establishments.

m. Hotel facilities operated or owned by the Army will designate at least 50 percent of the rooms "nonsmoking." Patrons will be asked if they desire a smoking or nonsmoking room. Every effort will be made to provide nonsmokers with rooms that have not previously been rented to smokers.

n. Smokers will not be allowed additional time beyond routine breaks to be away from their jobs for smoke breaks. Supervisors will monitor their workers and initiate appropriate administrative action if workers are noncompliant with applicable regulations and negotiated agreements.

o. Installations will provide smoking cessation programs for all health care beneficiaries. If not available through military medical treatment facilities, commanders will coordinate programs through local community resources such as the American Cancer Society and American Lung Association. To the extent possible, occupational health clinics will provide smoking cessation programs for civilian employees. If such programs are not feasible at a particular installation, the occupational health clinic will refer civilian employees seeking such a program to local community resources.

p. If conditions of employment of bargaining units members are affected by this policy, installation, commanders will begin negotiations as soon as practical with unions. (Changes in smoking policies that impact on bargaining unit members affect their conditions of employment.) Management is obligated to bargain over changes in conditions of employment before implementing this regulation as to civilian bargaining unit members.

4–3. Signs for controlling smoking

a. Commanders are authorized to continue to use locally manufactured signs already reproduced or posted.

b. If locally manufactured signs are not in use, DA Form 5560–R (No Smoking Except in Designated Smoking Areas) and DA Form 5560–1–R (Designated Smoking Area) will be used for restricting smoking. These will be locally reproduced on 8½by 11 inch paper. A copy for local reproduction is at the back of this regulation. The letters will be printed in red or black on a white background.

c. DA Form 5560–R may also be enlarged for use as a highway type sign at the entrance to installations and activities.

4–4. Enforcement

Failure to comply with the prescribed policy subjects Active Army and Reserve Component soldiers, family members, retirees, and appropriated and non-appropriated civilian personnel to a variety of penalties. The penalty depends on the nature of the violation, the status of the offender, and other relevant factors.Violation of Army policies subjects military personnel to a variety of possible administrative or disciplinary actions (for example, counseling, reprimand) and subjects civilian personnel to possible disciplinary actions. Repeat violations can also result in the removal of personnel from activities and barring from activities(for example, MWR facilities, youth activity center) or installations.

Chapter 5
Suicide Prevention and Psychological Autopsy

5–1. General

This chapter sets guidelines for establishing the Army Suicide Prevention Program (ASPP). This program—

a. Supports the Army's goal to reduce the suicide risk for AC and RC soldiers, Army civilians, and AC family members.

b. Establishes requirements for suicide risk identification training.

c. Outlines responsibilities for the ASPP.

d. Requires a psychological autopsy for specified deaths.

5–2. Army Suicide Prevention Program

A coordinated suicide prevention program will be established at every Army installation or community and separate activity. ASPPs will provide—

a. A suicide prevention education awareness program for both military and civilian leaders, managers, and supervisors, as well as family members. This program will train personnel in suicide risk identification and in procedures for crisis intervention and referral.

b. For the concentration of mental health and UMT resources to provide assistance as required to organizations and their members following the suicide of a soldier or Army civilian.

c. Assistance for families who have experienced the loss of a family member to suicide to the extent permitted by applicable laws and regulations.

5–3. Suicide Prevention Task Force

a. Each installation or community will establish, plan, implement, and manage the local ASPP.

b. Installation and community commanders may assign the suicide prevention mission to the installation HPC or may elect to establish a separate Suicide Prevention Task Force (SPTF) to function as a subcommittee of the HPC. When using the HPC to manage the ASPP, care must be taken so that suicide prevention does not take a second place to other responsibilities of the council.Responsibilities of HPC members, with respect to suicide prevention, must be clearly established. Where a separate SPTF has not been established, the HPC will perform all the duties given to the SPTF.

5–4. Coordination of helping services

a. ASPPs will make provision for the coordination of services provided by military and civilian helping agencies such as the Community Mental Health Service (CMHS), UMTs and the Chaplain Family Life Center, ACS, ADAPCP, American Red Cross, Youth Activities (YA), Child Development Services (CDS), local public schools or DODDS, and other agencies as appropriate.

b. This coordination will include information about and planning for programs and services as well as information pertaining to specific clients, if it is in the best interests of the client and done with regard for the requirements of client confidentiality.Non–Army persons are not permitted at meetings where information about individual cases is discussed without the permission of the individual concerned.

5–5. Training

a. Sequential and progressive suicide risk identification training will be integrated, without increasing the length of the program of instruction, into every Army leadership development course conducted by the Army school system. Specifically, this information will be provided at all levels of the Noncommissioned Officer Education System (NCOES) and officer leadership courses. As a minimum, students will receive a copy of DA Pam 600–70, or a locally produced information pamphlet containing essentially the same information. Students will also be given the opportunity to view the Army videotape " Suicide Prevention" (SAVPIN 701299DA (TVT 8–93)).

b. Formal training in suicide prevention and suicide risk identification will be presented as part of the unit level officer and NCO professional development courses.

c. Regularly scheduled installation level courses for civilian supervisors and designated CPO personnel will include training in suicide prevention.

d. Helping professionals (physicians, nurses, psychologists, social workers, chaplains, and counselors) and military police will receive regular inservice training in suicide prevention and crisis intervention.

e. Army mental health officers will provide the technical expertise for all suicide prevention education/awareness training.It is the role of mental health officers to " train the trainers" in all suicide prevention education programs.

f. UMTs (chaplains and chaplain assistants) will be trained by mental health officers in suicide prevention and suicide risk identification. Chaplains will assist mental health officers by providing suicide prevention education awareness training. This is a staff function at battalion or lower levels for the chaplain.

g. ACS personnel will be trained by mental health officers and will conduct a suicide prevention education program for family members. Inservice training in suicide prevention for the staffs of ACS, YA, and CDS will be coordinated by ACS officer/director and may be conducted by mental health officers or chaplains. ACS personnel will not be used to conduct suicide prevention training for military units or soldiers.

5–6. Family Member Suicide Prevention Program(FMSPP)

a. The FMSPP will be implemented by ACS in coordination with the SPTF or HPC. It is intended to promote an understanding of the potential for suicide in the community. The installation ACS officer will conduct an education awareness program for family members to help them recognize the signs of increased suicide risk, and to learn about referral sources for friends and family members.Educational programs will focus on three groups: parents, teenagers, and spouses.

b. ACS programs that include suicide prevention efforts will be coordinated with the overall suicide prevention efforts of the installation and the Army. ACS personnel will not provide crisis intervention services for suicidal individuals, except when needed during the providing of ACS services. ACS crisis intervention for persons who may be suicidal is limited to referral to the MTF or CMHS. ACS personnel will not provide counseling or clinical services to any individual or family where suicide may be a concern. Such individuals or families will be referred to the MTF or CMHS. Persons for whom suicide is not an immediate concern may also be referred to the UMT or the Chaplain Family Life Center.

5–7. Reporting and data analysis

a. Suicides and suspected suicides of AC and RC soldiers, AC family members, and Army civilians will be reported immediately to the military police for preparation a Serious Incident Report (SIR)to HQDA in accordance with AR 190–40. Those cases involving Army jurisdiction will be referred by the military police to the local United States Army Criminal Investigation Command (USACIDC)field element for appropriate investigation in accordance with AR 195–2.

b. The SPTF will collect and analyze local data on suicide attempts. (RCS exempt: AR 335–15, para 5–2 *e*(7).) This analysis will include the numbers of high, medium, and low lethality attempts by category of personnel and by unit. Data reflecting the reasons for suicide attempts will be collected.

5–8. Psychological autopsy

a. As provided in AR 195–2, a psychological autopsy will be conducted by a mental health officer and provided to USACIDC for deaths that meet the criteria established below. Subjects for investigation include all AC soldiers and all RC soldiers who are on active duty or active duty for training, and any active member of other armed forces of the United States assigned or attached to an Army unit or installation under any of the following conditions:

(1) Confirmed or suspected suicides.

(2) Single car motor vehicle accidents with no survivors, when requested by the commander of the local USACIDC office.

(3) Accidents involving unusual or suspicious circumstances:for example, deaths due to substance abuse, or resulting from self–inflicted gunshot wounds.

(4) All cases in which the mode (manner) of death is equivocal, that is, death cannot be readily established as natural, accidental, a suicide, or a homicide.

(5) Other cases when requested by the commander or special agent in charge of the local USACIDC office.

b. The report of the psychological autopsy (RCS exempt: AR 335–15, para 5–2 *b*(8)) will be included in the CID Report of Investigation as prescribed in AR 195–2.

c. Reports of psychological autopsies are sent by the preparing officer through the MACOM to each of the following:

(1) HQDA (SGPS–CP–F), 5111 Leesburg Pike, Falls Church, VA 22041–3258.

(2) HQDA (DAPE–MPH), WASH DC 20310–0300.

(3) Commander, Walter Reed Army Institute of Research, ATTN:SGRD–UWI–A, WASH DC 20307–5100.

Appendix A
References

Section I
Required Publications

AR 30–1
The Army Food Service Program. (Cited in para 2–4.)

AR 40–501
Standards of Medical Fitness.(Cited in paras 2–3, 2–10, and 2–11.)

AR 165–20
Duties of Chaplains and Responsibilities of Commanders. (Cited in para 2–9.)

AR 190–40
Serious Incident Report. (Cited in para 5–7.)

AR 195–2
Criminal Investigation Activities.(Cited in para 5–8.)

AR 215–2
The Management of Army Morale, Welfare, and Recreation Activities and Nonappropriated Fund Instrumentality's. (Cited in paras 2–3, 2–14, and 2–15.)

AR 350–15
Army Physical Fitness Program.(Cited in para 2–3.)

AR 600–9
The Army Weight Control Program.(Cited in para 2–5.)

AR 600–20
Army Command Policy and Procedures.(Cited in para 2–9.)

AR 600–85
Alcohol and Drug Abuse Prevention and Control Program. (Cited in para 2–6.)

AR 690–400
Employee Performance and Utilization. (Cited in para 2–13.)

DA Pam 350–18
The Individual's Handbook on Physical Fitness. (Cited in para 2–3.)

DA Pam 350–21
Family Fitness Handbook. (Cited in paras 2–3 and 2–14.)

DA Pam 600–63
(1–13) Fit to win (cited in para 2–16)

DA Pam 600–69
Unit Climate Profile Commander's Handbook. (Cited in para 2–6.)

DA Pam 600–70
U.S. Army Guide to the Prevention of Suicide and Self-destruction Behavior. (Cited in para 5–5.)

FM 21–20
Physical Fitness Training. (Cited in para 2–3.)

FM 26–2
Management of Stress in Army Operations. (Cited in para 2–7.)

FM 100–1
The Army. (Cited in para 2–9.)

Section II
Related Publications

A related publication is merely a source of additional information. The user does not have to read it to understand the regulation.

AR 5–3
Installation Management and Organization

AR 40–25
Nutrition Allowances, Standards, and Education

AR 40–35
Preventive Dentistry

AR 40–216
Neuropsychiatry and Mental Health

AR 215–1
The Administration of Army Morale, Welfare, and Recreation Activities and Nonappropriated Fund Instrumentality's

AR 360–5
Public Information

AR 360–61
Community Relations

AR 385–10
Army Safety Program

AR 600–21
Equal Opportunity in the Army

AR 608–1
Army Community Service Program

AR 608–10
Child Development Services

AR 672–1
Award of Trophies and Similar Devices in Recognition of Accomplishments

AR 690–990–2
Hours of Duty, Pay, and Leave

AR 930–5
American National Red Cross Service Program and Army Utilization

DA Pam 28–9
Unit Level Recreational Sports

DA Pam 350–15
Commander's Handbook on Physical Fitness

FM 21–20
Physical Fitness Training

FM 26–2
Management of Stress in Army Operations

DOD Directive 1010.10
Health Promotion

Section III
Prescribed Forms

DA Form 5560–R
No Smoking Except in Designated Smoking Areas. (Prescribed in para 4–3.)

DA Form 5560–1–R
Designated Smoking Area.(Prescribed in para 4–3.)

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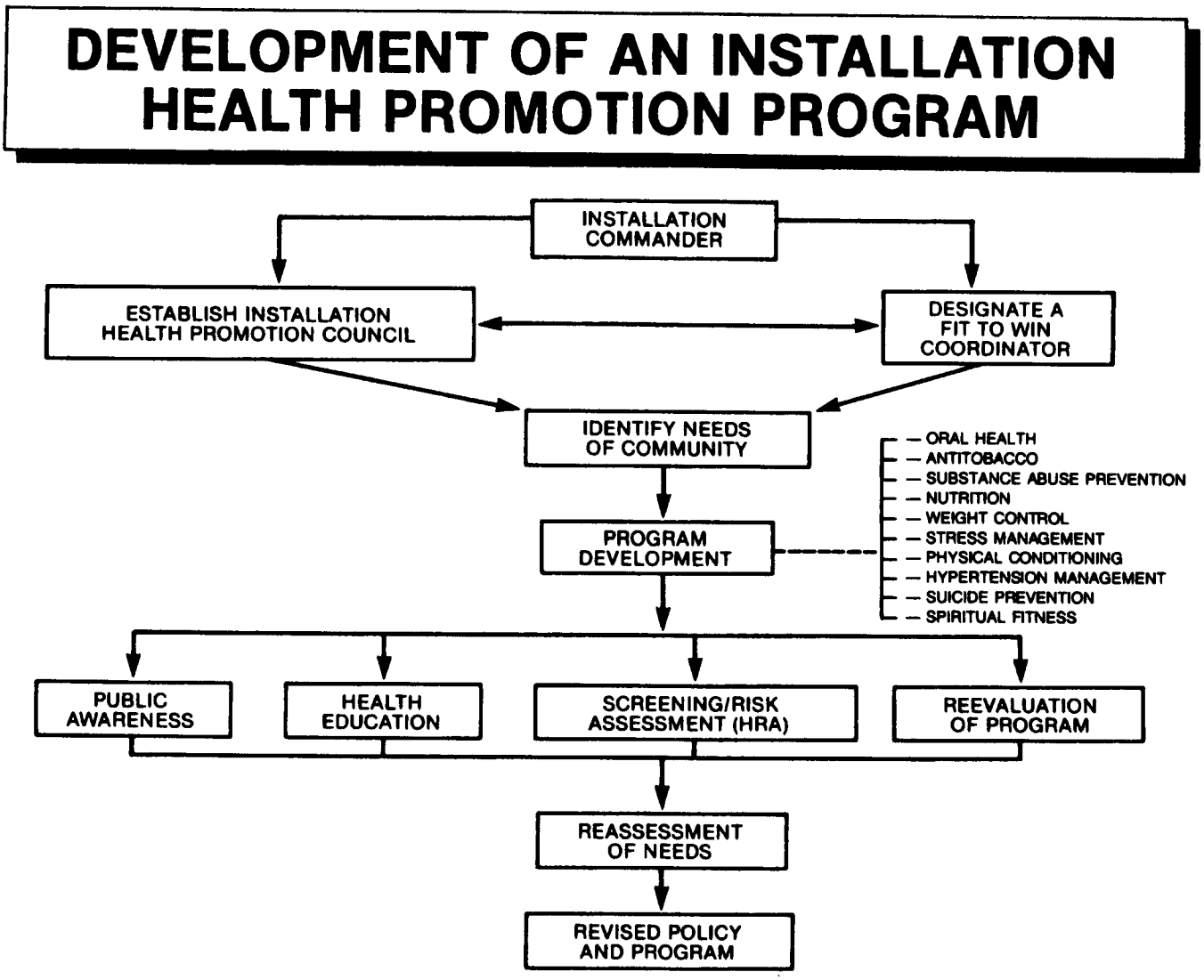

Figure 3-1. Development of an installation health promotion program

HEALTH PROMOTION PROCESS

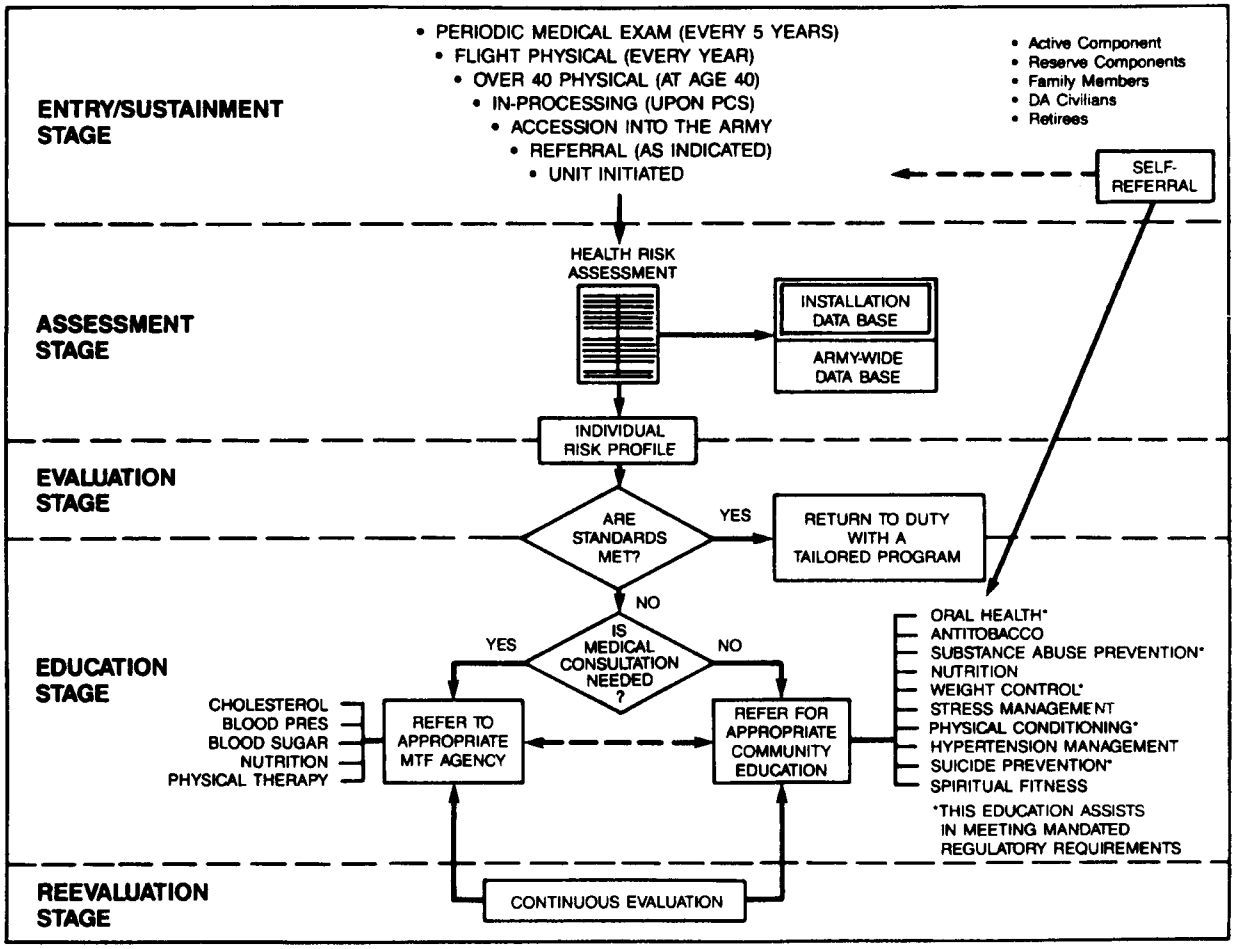

Figure 3-2. Health promotion process

Glossary

Section I
Abbreviations

AC
active component

ADAPCP
Alcohol and Drug Abuse Prevention and Control Program

AMEDD
Army Medical Department

APFP
Army Physical Fitness Program

APFT
Army Physical Fitness Test

ARC
American Red Cross

ARNG
Army National Guard

ARPERCEN
U.S. Army Reserve Personnel Center

ASC
Army Community Service

ASPP
Army Suicide Prevention Program

CCH
Chief of Chaplains

CDS
Child Development Services

CFSC
U.S. Army Community and Family Support Center

CG
commanding general

CHEP
Community Health Education Program

CINCUSAREUR
Commander–in–Chief, U.S. Army Europe and Seventh Army

CNGB
Chief, National Guard Bureau

COD
Community Operations Division

COE
Chief of Engineers

CONUS
continental United States

CMHS
Community Mental Health Service

CPA
Chief of Public Affairs

CPO
civilian personnel officer

CRD
Community Recreation Division

DA
Department of the Army

DCSLOG
Deputy Chief of Staff for Logistics

DCSPER
Deputy Chief of Staff for Personnel

DENTAC
dental activity

DOD
Department of Defense

DODDS
DOD Dependent Schools

DOL
Director of Logistics

DPCA
Director of Personnel and Community Affairs

FORSCOM
U.S. Forces Command

FMSPP
Family Member Suicide Prevention Program

FSD
Family Support Division

GSA
General Services Administration

HIFIT
Health Initiatives Fitness Team

HPC
Health Promotion Council

HQDA
Headquarters, Department of the Army

IET
initial entry training

IRR
Individual Ready Reserve

MACOMs
major Army commands

MEDDAC/MEDCEN
Medical Department Activity/Medical Center

MTF
medical treatment facility

NAF
nonappropriated funds

NCO
noncommissioned officer

NCO
noncommissioned Officer Education System

OBC
officer basic course

OSUT
one–station unit training

PAO
public affairs officer

PSC
personnel service center

RC
Reserve Component (ARNG and USAR)

SIR
Serious Incident Report

SPTF
Suicide Prevention Task Force

SRMT
Suicide Risk Management Team

TJAG
The Judge Advocate General

TPU
troop program unit

TRADOC
U.S. Army Training and Doctrine Command

TSG
The Surgeon General

UCP
unit climate profile

UMT
unit ministry team

USACFSC
U.S. Army Community and Family Support Center

USACIDC
U.S. Army Criminal Investigation Command

USAR
U.S. Army Reserve

USASSC
U.S. Army Soldier Support Center

WESTCOM
U.S. Western Command

YA
Youth Activities

Section II
Terms

Alcohol and Drug Abuse Prevention and Control Program(ADAPCP)
A comprehensive program to eliminate substance abuse, including prevention, identification, education, and rehabilitation services. It includes nonresidential and residential treatment.

Antitobacco
The reduction, elimination, and deglamorization of tobacco product usage to improve the health and readiness of the Total Army.

Body composition
Quantification of the major structural components of the human body (fat and lean body mass).

Cardiorespiratory endurance
Functional capability of the heart, lungs, and blood vessels to take in and deliver oxygen to the working muscles and remove waste products. Essentially, it is the body's ability to receive and utilize oxygen in the cells for energy production.

Equivocal death
Cases where the available facts and circumstances do not immediately distinguish the mode of death are called "equivocal." Ambiguity or uncertainty existing among any of the four identified modes of death makes it equivocal.

Fitness Coordinator
Civilian health and fitness individual under the supervision of the installation commander with the responsibility of managing and coordinating the installation's program of health fitness.

Flexibility
Functional capability of the joint to move through a normal range of motion. It is highly specific and dependent on the muscles and connecting tissue surrounding a joint. Good flexibility is characterized by a freedom of movement, which contributes to ease of movement and economy of muscular effort.

Health
Optimal functioning with freedom from disease and abnormality.

Health care providers
Physicians, physician assistants, registered nurses, mental health specialists, occupational and physical therapists, and registered dietitians under the supervision of the unit surgeon or the commander of the medical treatment facility. For the purpose of this regulation, this term includes comparable personnel of U.S.Armed Forces and host nations.

Health promotion
Any combination of health education and related organizational, social, economic, or health care programs designed to improve or maintain health.

Hypertension identification
Actions to identify early those health risk factors such as high blood pressure, including smoking, cholesterol level, weight, family history, nutrition, and inactivity. These actions include early identification, provision of information regarding control and lifestyle factors, and treatment referral.

Master fitness trainer
Graduate of the 4–week course developed by the Soldier Physical Fitness School to train selected officers and noncommissioned officers in all aspects of the Army fitness program.They perform as unit advisers to commanders/supervisors on fitness programs, and they establish and monitor both unit and individual fitness programs.

Mental health officer
Trained mental health person who is credentialed or licensed as a psychiatrist, clinical or counseling psychologist, social worker, or psychiatric nurse specialist.

Mode (manner) of death
Five categories: natural, accidental, suicide, homicide, unknown. These categories are distinguished from the cause of death, for example, gunshot wound, heart disease.

Muscular endurance
Capability of a muscle, or group of muscles, to perform repeated functions for an extended period of time.

Muscular strength
Maximal force that can be exerted in a single voluntary contraction of a muscle or a muscle group. (Both muscular strength and endurance are related to age, selected general health factors, genetics, level of training, and level of effort.)

Nutrition
An appropriate intake of food that meets nutritional needs for calories and the macro– and micro–nutrients essential for health, and indispensable for individual well–being and productivity.

Physical fitness
Ability to cope within the physical demands of one's job, including the use of adequate reserves to cope with emergency situations. Components of physical fitness include cardiorespiratory endurance, muscular strength and endurance, flexibility, and body composition.

Psychological autopsy
Clarification of the nature of death focusing on the psychological aspects of the dead person. Primary purpose is to reconstruct and understand the circumstances, lifestyle, and state of mind at the time of death.

Spiritual fitness
The development of those personal qualities needed to sustain a person in times of stress, hardship, and tragedy. These qualities come from religious, philosophical, or human values and form the basis for character, disposition, decision making, and integrity.

Stress management
Assistance provided to cope with the demands, real or perceived, from the environment and from within the individual.

Suicide attempt
Any overt act of self–destructive behavior not resulting in death.

Suicide prevention
The initiatives and activities taken to reduce the incidence of suicide and improve the identity ratio of at–risk people.

Unit ministry team
The chaplain and chaplain assistant who provide direct religious support for the religious needs of a unit.

Section III
Special Abbreviations and Terms
This section contains no entries

NO SMOKING

Except in Designated Smoking Areas

Sign should be posted *ONLY* at entrance(s) to Department of the Army owned or controlled buildings/facilities.

DA FORM 5560-R, AUG 86

Designated Smoking Area

DA FORM 5560-1-R, AUG 86

USAPA

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Student Handout 3

Extracted Material from AR 600-85

This student handout contains 2 pages of extracted material from AR 600-85, Army Substance Abuse Program (ASAP):

Topic	Pages
SH-3, Extracted Material from AR 600-85, Army Substance Abuse Program (ASAP)	SH-3-1

Disclaimer: The training developer downloaded this extract from http://155.217.58.58/atdls.htm. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Army Regulation 600–85

Personnel—General

Army Substance Abuse Program (ASAP)

Headquarters
Department of the Army
Washington, DC
1 October 2001

UNCLASSIFIED

SUMMARY of CHANGE

AR 600–85
Army Substance Abuse Program (ASAP)

This revision--

- Changes the name of the Army's Alcohol and Drug Abuse Prevention and Control Program (ADAPCP) to the Army Substance Abuse Program (ASAP) (title page).

- Designates and clarifies command and clinical responsibilities at all levels. Commands will provide leadership and supervision for the non-clinical elements of the ASAP, with primary focus on installations' prevention and education programs. Counseling and treatment services provided by the ASAP clinical staff will be overseen by The Surgeon General (TSG), with local supervision by the Medical Treatment Facility commander (para 1-6 and 1-7).

- Retains the Alcohol and Drug Control Officer as the single point of contact for administrative non-clinical elements of the ASAP at the installation (para.1-16 b (1))0.

- Modifies the Clinical Director's rating scheme so that the rating will be accomplished by the Clinical Consultant, with intermediate rating by the rater of the installation Alcohol and Drug Control Officer, and senior rating by the Deputy Commander for Clinical Services (para. 1-10e).

- Allows authority for the clinical portions of the ASAP to be in the hands of appropriate personnel, while ensuring the needs of the command continue to be met. Makes clear that only a qualified clinician can design and implement treatment. Clinical disagreements will be resolved jointly by a Colonel (that is, the soldier's commander may appeal to the first Colonel in the chain of command) and the Medical Treatment Facility commander, who has the final authority. Retains the unit commander's responsibility to determine rehabilitation success or failure as a function of performance (para 3-10).

- Assigns oversight of the clinical segment of the ASAP to TSG and the U.S. Army Medical Command who must approve all changes regarding clinical issues. The Director, Army Center for Substance Abuse Programs is responsible for the oversight of the non-clinical components (para 1-6 and 1-7).

- Assigns management and oversight functions of the drug testing labs, to include pre-screening lab operations, to The Surgeon General and the U.S. Army Medical Command. The Director, Army Center for Substance Abuse Programs is responsible for the management and oversight of the command elements of the biochemical testing program (para 1-6 and 1-7).

- Establishes policies and procedures for fitness for duty testing for alcohol (para. 1-33).

- Mandates that all soldiers who are identified as illegal drug users will be processed for administrative separation (para. 1-35).

- Requires all Active Component soldiers be tested for drugs at a rate which approximates one unannounced random sample per year (para. 8-2).

- Requires soldiers who are command referred and enrolled in the ASAP be flagged according to AR 600-8-2 (para. 5-7).

- Promotes the concept of risk reduction to target potential problems before they become crises that place families, careers, productivity, and readiness in jeopardy (para. 2-5).

- Expands the Army's civilian Drug-free Federal Workplace drug testing program and implements the Department of Transportation, Commercial Driver's License Program and Controlled Substances and Alcohol Use Testing (chap 14).

Headquarters
Department of the Army
Washington, DC
1 October 2001

*Army Regulation 600–85

Effective 15 October 2001

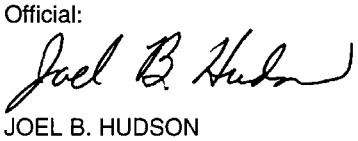
Personnel—General

Army Substance Abuse Program (ASAP)

By Order of the Secretary of the Army:

ERIC K. SHINSEKI
General, United States Army
Chief of Staff

Official:



JOEL B. HUDSON
Administrative Assistant to the
Secretary of the Army

History. This publication publishes a revision of this publication. Because the publication has been extensively revised, the changed portions have not been highlighted.

Summary. This regulation has been extensively revised and governs the ASAP. It identifies Army policy on alcohol and other drug abuse, and assigns responsibilities for implementing the program.

Applicability. This regulation applies to the Active Army, the Army National Guard of the United States, the Army National Guard, the U.S. Army Reserve, and Department of the Army Civilian Employees. Chapter 12 deals specifically with the Army National Guard of the United States, while chapter 13 deals with Army Reserve soldiers. Chapter 14 deals with Department of the Army civilian employees, military and civilian employee family members, and military retirees.

Proponent and exception authority. The proponent of this regulation is the Deputy Chief of Staff for Personnel (DCSPER). The DCSPER has the authority to approve exceptions to this regulation that are consistent with controlling law and regulations. The DCSPER may delegate this approval authority in writing to a division chief within the proponent's agency in the rank of Colonel or the civilian equivalent

Army management control process. This regulation contains management control provisions and identifies key management controls that must be evaluated.

Supplementation. Supplementation of this regulation and establishment of forms other than Department of the Army forms are prohibited without prior approval of the Deputy Chief of Staff for Personnel, HQDA (ATTN: DAPE-HR-ASAP), Washington, DC, 20310-0300.

Suggested Improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA (ATTN: DAPE-HR-ASAP), Washington, DC 20310-0300. Changes to clinical aspects of this regulation must be approved by USAMEDCOM.

Distribution. This publication is available in electronic media only and is intended for command levels A, B, C, D, and E for Active Army, Army National Guard, and U.S. Army Reserve.

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*This regulation supersedes AR 600-85 dated 3 November 1986 and rescinds DA Form 5018-R, dated November 1981.

UNCLASSIFIED

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Glossary

Chapter 1
General

1–1. Purpose
This regulation prescribes policies and procedures to implement, administer, and evaluate the Army Substance Abuse Program (ASAP).

1–2. References
Required and related references and prescribed and referenced forms are listed in Appendix A.

1–3. Explanation of abbreviations and terms
Abbreviations and special terms used in this regulation are explained in the glossary.

1–4. The Deputy Chief of Staff for Personnel (DCSPER)
The DCSPER will—

a. Integrate, coordinate, and approve all policies pertaining to the ASAP.

b. Exercise General Staff responsibility for plans, policies, programs, budget formulation, and related non-clinical research and program evaluation pertaining to alcohol and other drug abuse in the Army.

1–5. The Director of Human Resources (DHR)
The DHR will—

a. Provide guidance and leadership on all non-clinical alcohol and other drug policy issues.

b. Manage the substance abuse program budget.

c. Exercise staff leadership and supervision over the ASAP.

d. Ensure the Risk Reduction Program (RRP) interfaces with related functional areas within DHR's responsibilities (that is, suicide, sexual harassment, violence prevention, health promotion, equal employment opportunity, and substance abuse) and coordinate RRP activities with other related Department of Defense (DOD), Department of the Army (DA), and civilian agencies (for example, safety and law enforcement offices, chaplains, and so forth).

e. Oversee the Army's biochemical testing program.

1–6. The Director, Army Substance Abuse Program
The Director, ASAP will—

a. Supervise the ASAP policy staff and direct the operations of the Army Center for Substance Abuse Programs (ACSAP).

b. Develop Army non-clinical goals and policies.

c. Review, assess, and recommend policy changes as appropriate.

d. Interpret ASAP policy in response to inquiries from major Army commands (MACOMs), their subordinate commands, other uniformed Services, DOD, and other Federal agencies.

e. Prepare budget submissions, direct allocation of funds, monitor execution of resources, and serve as the functional budget program manager for the ASAP.

f. Oversee programs, develop plans, formulate budgets, and provide technical assistance and training for ASAP civilian services.

g. Maintain liaison between the Army and the other uniformed Services, other Federal agencies, and the private sector.

h. Provide operational guidance, monitoring, and oversight of the worldwide ASAP for the non-clinical elements of the program.

i. Consolidate all alcohol and other drug statistics, to include urinalysis data, and provide periodic reports to Department of Health and Human Services (DHHS), DOD, the Army Staff, MACOMs, and installation Alcohol and Drug Control Officers (ADCOs).

j. Establish and maintain program-level evaluation plans, measures, data collection, analyses, and reporting procedures for implementation at Army, MACOM, and installation levels.

k. Publish an ASAP Evaluation Plan (AEP), which will be updated every 3 years, or as ASAP changes dictate.

l. Evaluate the non-clinical functions of ASAP programs and services every 2/3 years.

m. Provide technical assistance in the use of automation and other emerging technologies for use in substance abuse programs.

n. Develop, establish, administer, and evaluate non-clinical alcohol and other drug abuse prevention, education, and training programs.

o. Design, develop, and implement special alcohol and other drug abuse training and educational programs for non-

clinical ASAP staff. Establish selection criteria and provide allocations for nominees to attend special training sponsored by DA.

p. Conduct assistance visits to MACOMs and installations to assess implementation of ASAP policies and procedures.

q. Maintain non-clinical staffing inventory data for the ASAP worldwide.

r. Serve as DA's lead agency on all issues related to drug demand reduction (non-clinical) programs and alcohol abuse prevention.

s. Serve as DA's proponent for the RRP that complements the Army Safety Center Risk Management Process.

t. Manage all operational aspects of the RRP.

u. Coordinate with appropriate DOD, DA, and civilian agencies in the conduct of the RRP.

v. Serve as the subject matter expert supporting the Army Civilian Training and Education System with training development and analysis for all non-clinical ASAP positions.

w. Ensure DA programs comply with the Office of National Drug Control Policy (ONDCP) and the National Drug Control Strategy.

x. Provide services such as marketing, training, data processing, analysis, evaluation, guidebooks, operational guidance products and reports to DOD, DA, MACOMs, and installations.

y. Administer the duties of the Contract Officer Representative (COR) addressed in the Memorandum of Understanding between U.S. Army Medical Command and the Office of the Deputy Chief of Staff for Personnel outlining duties and responsibilities regarding the ACSAP contracted Adolescent Substance Abuse Counseling Services (ASACS) program.

z. Manage the command elements of the biochemical-testing program.

aa. Inspect all command elements of the biochemical-testing program for compliance with regulation.

bb. Provide operational guidance regarding alcohol testing, urine collection, chain of custody, handling and shipping, training of Unit Prevention Leaders (UPLs) and Installation Biochemical Test Coordinators (IBTCs).

cc. Collect and monitor all biochemical statistical data for the Director of Human Resources (DHR).

dd. Manage and distribute drug testing quota allocations.

1–7. The Surgeon General (TSG)/USAMEDCOM

TSG will—

a. Develop policies, standards, and doctrine pertaining to all clinical elements of the ASAP, which include medical identification, referral, screening, evaluation, treatment, and follow-up.

b. Program, manage, and provide clinical resources, funds, and professional services as required to administer the clinical elements of the ASAP at all levels.

c. Provide input for content and assist in providing clinical aspects of prevention, education, and training.

d. Provide continuing education and training for assigned ASAP clinical staff.

e. Conduct credentials review and serve as approval authority for ASAP clinical staff.

f. Manage the drug testing labs that support the Army's Biochemical Testing Program (to include pre-screening lab operations).

g. Provide operational guidance for drug testing labs that support the Army's Biochemical Testing Program (to include pre-screening lab operations).

h. Manage drug testing lab contracts that support the Army's Biochemical Testing Program as directed by the DCSPER.

i. Provide all necessary biochemical statistical data to Director, ACSAP.

j. Exercise staff supervision over the ASAP medical and clinical elements through the specific geographic area regional medical commands (RMCs).

k. Coordinate ASAP clinical policy with the Director, ASAP.

l. Develop medical aspects of alcohol and other drug abuse prevention, education, and training, which include health care personnel, and assessment of deployable units.

m. Develop and promote wellness/fitness and health promotion activities supporting the garrison in coordination with alcohol and other drug abuse demand reduction and prevention efforts of the ASAP.

n. Evaluate clinical functions and provide evaluation summaries to the Director, ASAP for integration into a total program assessment.

o. Provide Medical Review Officer (MRO) services for military and civilian personnel drug testing.

p. Provide Substance Abuse Professional (SAP) services for civilian alcohol testing.

q. Provide for three Army biochemist (71Bs) at each Army Forensic Drug Testing Laboratory to fill the positions of Commander, Deputy Commander, and Executive Officer.

1–8. The Judge Advocate General (TJAG)

TJAG will—

a. Evaluate the legal aspects of the ASAP.

b. Review forensic specimen handling procedures (chain of custody) and other biochemical testing program elements for legal sufficiency.

1–9. Commanders of regional medical commands (RMCs)

Commanders of RMCs —

a. Provide oversight for the ASAP counseling centers staffed by the Medical Department Activity (MEDDAC) and/or Medical Centers (MEDCENs) within the RMC's area of responsibility, through their appointed ASAP RMC point of contacts (POCs).

b. Ensure medical resources are available to conduct the required medical review of military and civilian drug tests results.

c. Ensure the clinical services provided by all ASAP counseling centers within their geographical area of responsibility satisfy the current Accreditation Standards for Hospitals in accordance with current DOD policy directives.

1–10. Commanders of MEDDAC/MEDCENs

Commanders of MEDDAC/MEDCENs will—

a. Provide adequate and appropriate administrative support, medical services, clinical support, and consultation services necessary for quality clinical services in support of the ASAP counseling centers.

b. Ensure the ASAP counseling centers in their areas of responsibility comply with appropriate medical guidance for accreditation.

c. Exercise staff supervision and management of clinical staff assigned to the ASAP.

d. Appoint on orders a physician as Clinical Consultant (CC) to provide medical and clinical consultation and to ensure the quality of all clinical professional services in the area of addiction medicine.

e. Designate a civilian Clinical Director (CD), who generally will be rated by the CC, with intermediate rating by the rater of the installation ADCO, and senior rated by the Deputy Commander for Clinical Services.

f. Designate a qualified SAP to be responsible for duties identified in Department of Transportation/Federal Highway Administration (DOT/FHWA) guidance in 49 CFR, Parts 40 and 382, governing alcohol and other drug testing of civilians requiring commercial driver's licenses.

g. Ensure close coordination of the clinical aspects with the non-clinical aspects of ASAP.

1–11. The Chief, National Guard Bureau (CNGB)

The CNGB will—

a. Recommend policies and operational tasks to the DCSPER regarding ARNG soldiers and their families' participation in the ASAP. (See chap 12 of this regulation for specific ARNG guidance.)

b. Ensure ARNG units comply with ASAP policies.

c. Advise the DCSPER regarding alcohol and other drug abuse and the impact of the ASAP on the ARNG.

1–12. The Chief, Army Reserve (CAR)

The CAR will—

a. Recommend policies and operational tasks to the DCSPER regarding the participation of USAR soldiers and their families' participation in the ASAP. (See chap 13 of this regulation for specific USAR guidance.)

b. Ensure USAR units comply with ASAP policies.

c. Advise the DCSPER regarding alcohol and other drug abuse and the impact of the ASAP on the USAR.

1–13. Commanders of MACOMs with installation, community or equivalent organizations

Commanders of MACOMs will—

a. Resource and staff the MACOM ASAP and support both Major Subordinate Commands (MSCs) and installation programs to achieve the objectives of the program and to respond to the needs of the commanders and supervisors.

b. Designate an ADCO and an EAP Administrator (EAPA)/Prevention Program Administrator (PPA) as centralized

points of contact in their headquarters to coordinate administrative and resource issues pertaining to the employee assistance and prevention components of the ASAP.

c. Exercise staff leadership and supervision through the MACOM ADCO.

d. Designate a civilian personnel specialist to coordinate all civilian personnel issues pertaining to ASAP civilian services, the EAP, and civilian alcohol and drug testing program requirements.

e. Coordinate and monitor the implementation of installation and activity biochemical testing programs under their jurisdiction.

f. Allocate all available urinalysis quotas within their command and monitor utilization.

g. Establish and maintain contact and coordination with servicing laboratories.

h. Establish and implement supporting and supplemental plans consistent with the objectives and procedures established by the Army Evaluation Plan (AEP).

i. Additionally, the Commanding General, U.S. Army Training and Doctrine Command will integrate DCSPER-approved training programs and training support materials into all levels of alcohol and other drug abuse prevention training conducted at non-clinical service schools and training centers throughout the Army.

1–14. ADCOs at MACOMs

MACOM ADCOs will—

a. Provide continuous program management, planning, programming, budgeting, monitoring and evaluation of the non-clinical ASAP elements as applicable.

b. Conduct annual on-site evaluations of all non-clinical aspects of all MSCs and installation programs.

c. Collect and maintain necessary management information to assess program effectiveness.

d. Ensure additional personnel are designated (as appropriate) to manage and coordinate all matters pertaining to ASAP prevention, education, and biochemical testing.

e. Ensure all installations, organizations, agencies, and activities under their jurisdiction provide continuing alcohol and other drug abuse prevention and education.

f. Supervise the EAPA/PPA.

1–15. Commanders of other MACOMs without installation, community or equivalent organizations

Commanders of other MACOMs will—

a. Designate an ADCO as a centralized point of contact in their headquarters to coordinate all matters pertaining to ASAP.

b. Additionally, the Commander, U.S. Army Criminal Investigation Command (USACIDC) will—

(1) Conduct and support operations, programs, and activities designed to deter, prevent, and suppress traffic in controlled substances in conjunction with appropriate State, Federal, host country, and international law enforcement agencies.

(2) Provide periodic drug assessment reports to the Director, ASAP for both worldwide and specific regions or commands for use in determining resource requirements and developing drug deterrence, enforcement and prevention strategies. (Refer to AR 195-2 for specific responsibilities pertaining to the investigation of drug offenses and crime prevention surveys.)

(3) Ensure subordinate commands coordinate with the local ADCO concerning urinalysis results and related trends before threat assessments are presented to a MACOM or installation commander.

c. The Commander, U.S. Army Corps of Engineers (USACE) is delegated the authority to promulgate a regulation to address Corps-specific policies, responsibilities, and procedures related to the ASAP. The USACE regulation will comply with the policies and programs contained in this regulation. The Commander, USACE may delegate the responsibilities for implementing AR 600-85 to fit the unique organizational structure of the Corps. Prior to publication, the USACE regulation will be submitted to the Director, ASAP for review and approval.

1–16. Installation, community, garrison, or equivalent commanders

Commanders will—

a. Establish a local ASAP and ensure that the full range of ASAP services, to include the civilian alcohol and other drug testing programs are funded and available to all eligible personnel. The non-clinical and clinical elements of the ASAP should be operationally integrated and should be collocated to achieve maximum command/soldier readiness.

b. Designate each of the following positions:

(1) An ADCO to function as the installation ASAP single point of contact for administrative functions of the non-clinical aspects of the ASAP.

(2) A Prevention Coordinator (PC) to administer the prevention and education functions.

(3) An EAPC to administer the ASAP civilian non-clinical assistance services.

(4) An IBTC to administer the biochemical testing program.

(5) An Installation Breath Alcohol Technician (IBAT) (in the Continental United States (CONUS), Hawaii, Alaska,

and Puerto Rico) to instruct and assist individuals in the alcohol testing process and to operate an evidential breath testing device in accordance with DOT guidelines.

(6) At the commander's discretion, Risk Reduction Coordinators may be appointed to facilitate risk reduction activities.

c. Establish a local Human Resource Council (HRC) or other appropriate human service coordination forum to focus on substance abuse prevention and risk reduction. (See para 2-4b of this regulation for information on HRC operations.)

d. Establish an Installation Prevention Team (IPT) and approve the Installation Prevention Plan (IPP) developed by the team for installation-wide implementation of substance abuse prevention and risk reduction programs and activities under this regulation.

e. Exercise direct supervision of the installation ADCO.

f. Notify the local Medical Treatment Facility (MTF) commander of any indications that ASAP clinical functions are not being provided in accordance with Army Regulations.

g. Support law enforcement and drug suppression activities by ensuring the following—

(1) Continuous command presence in installation living, working, and recreational areas to reduce alcohol and other drug abuse.

(2) Immediately report all offenses involving illegal possession, use, sale, or trafficking in drugs or drug paraphernalia to the Provost Marshal (PM) for investigation or referral to the USACIDC. This includes all (random/command directed) positive test results that do not require a medical review as directed by USAMEDCOM. Positive test results that require MRO review as directed by USAMEDCOM will not be reported until receipt of the MRO's findingsand coordination with the local staff judge advocate (SJA)/legal advisor.

(3) ADCOs or their representatives are provided with the complete DA Form 3997 (Military Police Desk Blotter) on a daily basis. The ADCO will promptly furnish this information to the CD.

(4) All suspected alcohol and other drug abusers, including those in military confinement facilities, are referred to their commanders for follow-up action promptly.

h. Support positive and nonattributional approaches to risk reduction.

i. Provide an infrastructure for collaborative efforts at risk reduction on the part of human service support agencies and all levels of command at the installation.

j. Facilitate business processes and structures to support RRP.

k. Establish, support, and conduct evaluations in accordance with the AEP and MACOM supplements.

l. Evaluate IPPs annually.

1–17. Installation ADCOs

Installation ADCOs will—

a. Provide direct supervision, management, and administration over all non-clinical personnel staff and programs.

b. Prepare installation ASAP non-clinical budget submissions and monitor execution of the funding.

c. Develop, coordinate, and recommend local ASAP non-clinical policies and procedures for implementation.

d. Manage and monitor the biochemical testing program (see chap 14 for information on specific requirements related to the civilian an other drug testing.)

e. Serve as the coordinator of all substance abuse/risk reduction issues for the HRC or similar forum.

f. Monitor and evaluate the commander referral rate and the evaluation completion rate, and provide quarterly reports to the installation commander and the Director ACSAP.

g. Ensure there is a continuous and comprehensive ASAP staff training plan for all non-clinical staff to enhance professional skills.

h. Establish communication, referral network, and administrative coordination between military units and civilian activities to facilitate the effectiveness of non-clinical ASAP programs.

i. Provide commanders and supervisors with ASAP consultation to assist in the identification and referral of individuals suspected of alcohol and/or other drug abuse and in the non-clinical functions of the Army's program.

j. Maintain non-clinical ASAP, and EAP records and authenticate all non-clinical ASAP reports furnished to higher headquarters.

k. Institute procedures and strategies designed to enhance the deterrent effect of drug testing.

l. Consult with the ASAP clinical staff, local law enforcement personnel, and other installation personnel in designing and implementing the IPP.

m. Evaluate all prevention education and training aspects of the local ASAP at the end of the fiscal year and, using input from the PCs, forward through the MACOM ADCO to the Director, ASAP, a written report of the installation prevention program activities and accomplishments.

n. Restrict notification of positive test results to the soldier's unit commander, the garrison or similiar level commander, and when requested, the supporting legal office.

1–18. Installation EAPCs and PCs

EAPCs will administer the ASAP employee assistance program. (See para 14–8 of this regualation for a list of program duties.) PCs will—

a. Promote ASAP services using marketing, networking, and consulting strategies.

b. Ensure all military and civilian personnel are provided prevention education services (that is, a minimum of 4 hours annually for military personnel and 3 hours for civilian employees). DOT-designated positions and other high-risk civilian positions should receive more intensive training pertaining to their jobs.

c. Train combat stress control medical units and division and brigade mental health sections to provide substance abuse prevention and education, and risk reduction training during deployment.

d. Maintain liaison and coordination with the installation-training officer to assist in integrating the preventive education and training efforts into the overall installation-training program.

e. Design, develop, and administer target group-oriented alcohol and other drug prevention education and training programs in coordination with the ASAP staff and other installation prevention professionals.

f. Maintain liaison with schools serving military family members, civic organizations, civilian agencies, and military organizations to integrate the efforts of all community preventive education resources.

g. Oversee the UPL training program.

h. Maintain lists of available continuing education and training courses and workshops provided by ACSAP, MACOMs, and appropriate civilian agencies for ASAP non-clinical staff and coordinate allocations for military and civilian training courses through the MACOM.

i. Address military community risk levels and work toward reducing the risk factors.

1–19. Installation IBTCs

IBTCs will—

a. Operate a forensically secure installation biochemical testing program control point. Serve as the installation subject matter expert on urinalysis collection and testing.

b. Augment the installation Inspector General inspection teams.

c. Ensure that unit urine collections are performed as required.

d. Provide technical assistance and support the UPL cetification training program.

e. Advise unit commanders and ADCOs on program utilization and test results.

f. Manage expenditures and supplies.

1–20. Installation CDs

CDs will—

a. Administer and manage the treatment and quality assurance functions of the ASAP.

b. Ensure the ASAP clinical program and the physical facility meet the MTF accrediting standards in accordance with DODD 6025.13.

c. Provide quarterly reports, clinical data (for example, referral and evaluation completion rates, number of enrollments by alcohol and drug, and number of success/failures) to the installation ADCO who will include the data in the ASAP information routinely forwarded to the installation commander.

d. Inform the ADCO of issues affecting the ASAP program.

e. Ensure ASAP screening, evaluations, and command consultations are performed as required.

f. Ensure forms are completed and submitted to ACSAP in a timely manner.

g. Conduct in-service training, supervise the ASAP counselors and ensure the counselors maintain privileges to perform their assigned clinical responsibilities.

h. Appoint an ASAP clinician to serve as a member of the Family Advocacy Case Management Team.

1–21. Installation PMs

PMs will—

a. Screen all incident reports for possible alcohol or other drug abuse involvement and provide them to the ADCO for review and subsequent transfer of those reports to the CD and others as appropriate.

b. Coordinate all alcohol and other drug abuse countermeasures with the ADCO.

c. Support the ADCO on matters pertaining to the alcohol testing of DOT-designated positions.

d. Maintain liaison and coordinate alcohol and other drug abuse countermeasures with the local elements of the USACIDC and with Federal, State, and local law enforcement agencies, as well as traffic, safety, and customs agencies, and ASAP. When appropriate, include host country agencies to minimize the incidence of alcohol and other drugs as causative factors in traffic accidents and/or criminal acts.

1–22. Installation safety officers

Safety officers will coordinate with the ADCO and provide data on the incidence of alcohol and/or other drug involvement in accidents or other safety mishaps.

1–23. Installation risk reduction coordinators

Risk Reduction Coordinators will—

a. Coordinate and facilitate data collection, analysis, command consultation and prevention/intervention delivery approaches and systems.

b. Facilitate the collaborative efforts of the IPT.

1–24. Installation prevention team (IPT) members

IPT members will—

a. Support the data collection, analysis, command consultation and prevention/intervention efforts of the RRP.

b. Train incoming commanders on RRP.

1–25. Commanders of corps, division, brigade, and battalions

Commanders at these levels will—

a. Monitor the implementation of appropriate initiatives of the ASAP by their subordinate units.

b. Appoint an officer or noncommissioned officer (E-5 or above) on orders as the UPL who must be certified through required UPL training addressed in paragraph 2-6h(1) of this regulation. Recommend that a national background check be accomplished on all UPL candidates. With information provided through background check, the commander will have final decision regarding UPL's eleigiblity.

1–26. Commanders of companies, detachments, and equivalent units

Commanders at these levels will—

a. Appoint an officer or noncommissioned officer (E-5 or above) on orders as the UPL who must be certified through required UPL training addressed in paragraph 2-6h(1) of this regulation. Recommend that a national background check be accomplished on all UPL candidates. With information provided through background check, the unit commander will have final decision regarding UPL's eleigiblity.

b. Implement a unit biochemical-testing program. (See chap 8 of this regulation for guidance.)

c. Implement ASAP prevention and education initiatives addressed in paragraph 2-6 of this regulation. All soldiers will receive a minimum of 4 hours of alcohol and other drug awareness training per year.

d. Ensure all newly assigned soldiers are briefed on ASAP policies and services.

e. Maintain liaison with ASAP clinical and non-clinical personnel.

f. Maintain ASAP elements while deployed, to the maximum extent possible.

g. Support positive and nonattributional approaches to soldier risk reduction.

h. Work with the Risk Reduction Coordinator and the IPT in designing and effecting prevention and intervention approaches.

i. Immediately report all offenses involving illegal possession, use, sale, or trafficking in drugs or drug paraphernalia to the Provost Marshal (PM) for investigation or referral to the USACIDC. This includes all (random/command directed) positive test results that do not require a medical review as directed by USAMEDCOM. Positive test that require MRO review as directed by USAMEDCOM will not be reported until receipt of the MRO's findings and coordination with the local staff judge advocate (SJA)/legal advisor.

j. Assess programs and provide feedback to the Risk Reduction Coordinator and IPT for program improvements.

1–27. Unit prevention leaders (UPLs)

UPLs will—

a. Design, implement, and evaluate the unit prevention plan, and coordinate with the installation's PCs to integrate the unit plan into the community's substance abuse prevention plan.

b. Assist in briefing of all new unit personnel regarding ASAP policies and services.

c. Administer the unit biochemical-testing program.

d. Inform the commander of the status of the ASAP and of trends in alcohol and other drug abuse in the unit.

e. Maintain liaison with the servicing ASAP counseling center or medical unit when deployed.

f. Develop, coordinate, and deliver informed prevention education and training to the unit.

g. Develop command support for prevention activities by establishing an open, honest, and trusting relationship with the unit commanders and subordinate leaders.

h. Advise and assist unit leaders on all matters pertaining to ASAP.

1–28. Manpower staffing

Manpower resources for the ASAP have been provided at all levels of command. Reprogramming of manpower resources allocated for ASAP functions is not authorized.

a. Non-clinical resources: Non-clinical staffing consists of those positions listed in paragraph 1-16b of this regulation (that is, ADCO, PC, EAPC, IBTC, and IBAT) and whatever additional staff are necessary to ensure compliance with DA policies and meet local needs for effective operation of the ASAP.

b. Clinical resources: Clinical staffing consists of counselors, clinical directors, clinical consultants, medical review officers, and substance abuse professionals, and whatever additional positions are necessary to ensure compliance with DA policies and meet local needs for effective operation of the ASAP clinical program. Army Medical Department (AMEDD) or clinical personnel will not serve as ADCOs except within USAMEDCOM activities. ADCOs will not serve as CDs.

1–29. Program authority

a. On 28 September 1971, Public Law (PL) 92-129, mandated that the Secretary of Defense develop programs for the identification, treatment, and rehabilitation of alcohol or other drug dependent persons in the Armed Forces. In turn, the Secretary of Defense requires each of the Services to develop alcohol and other drug abuse prevention and control programs in accordance with DODD 1010.4. In response to this directive, the Army conducts a comprehensive program to prevent and control the abuse of alcohol and other drugs.

b. The civilian aspects of the ASAP were developed in response to PL 92-255 and PL 91-616. Additional authority for ASAP civilian services can be found in appendix A.

1–30. ASAP mission/objectives

The ASAP's mission is to strengthen the overall fitness and effectiveness of the Army's total workforce and to enhance the combat readiness of its soldiers. The following are the objectives of the ASAP:

a. Increase individual fitness and overall unit readiness.

b. Provide services, which are adequate and responsive to the needs of the total workforce and emphasize alcohol and other drug abuse deterrence, prevention, education, and treatment.

c. Implement alcohol and other drug risk reduction and prevention strategies that respond to potential problems before they jeopardize readiness, productivity, and careers.

d. Restore to duty those substance-impaired soldiers who have the potential for continued military service.

e. Provide effective alcohol and other drug abuse prevention and education at all levels of command, and encourage commanders to provide alcohol and drug-free leisure activities.

f. Ensure all military and civilian personnel assigned to ASAP staffs are appropriately trained and experienced to accomplish their mission.

g. Achieve maximum productivity and reduce absenteeism and attrition among DA civilian employees by reducing the effects of the abuse of alcohol and other drugs.

h. Improve readiness by extending services to the total Army.

i. Ensure quality customer service.

1–31. ASAP principles

The ASAP is a command program that emphasizes readiness and personal responsibility. The ultimate decision regarding separation or retention of abusers is the responsibility of the soldier's chain of command. The command role in the prevention, biochemical testing, early identification of problems, rehabilitation, and administrative or judicial actions is essential. Commanders will ensure that all officials and supervisors support the ASAP. Adequate publicity will be given to ASAP to ensure that military personnel, eligible civilian employees, and family members are aware of the commander's support and of the availability of information, referral, and treatment services. Proposals to provide ASAP services that deviate from procedures prescribed by this regulation must be approved by the Director, ASAP. Deviations in clinical issues require approval of USAMEDCOM. In either case, approval must be obtained before establishing alternative plans for services (as required for isolated or remote areas, or special organizational structures). The Army maintains the following principles:

a. Abuse of alcohol or the use of illicit drugs by both military and civilian personnel is inconsistent with Army values and the standards of performance, discipline, and readiness necessary to accomplish the Army's mission.

b. Unit commanders must intervene early and refer all soldiers suspected or identified as alcohol and/or drug abusers to the ASAP. The unit commander should recommend enrollment based on the soldier's potential for continued military service in terms of professional skills, behavior, and potential for advancement.

c. ASAP participation is mandatory for all soldiers who are command referred. Failure to attend a mandatory counseling session may constitute a violation of Article 86 of the Uniform Code of Military Justice (UCMJ).

d. Alcohol and/or other drug abusers, and in some cases dependent alcohol users, may be enrolled in the ASAP when such enrollment is clinically recommended.

e. Soldiers who fail to participate adequately in, or to respond successfully to, rehabilitation will be processed for

administrative separation and not be provided another opportunity for rehabilitation except under the most extraordinary circumstances, as determined by the CD in consultation with the unit commander.

f. Alcohol and other drug abuse will be addressed in a single program. Treatment services will generally be short-term and conducted in a manner that supports the military environment.

g. Unit commanders retain their authority to make personnel decisions such as initiation of separation from service, bar to reenlistment, extension on active duty to permit reenlistment. Unit commanders retain their authority to make mission related decisions, including field training or deployment, even though such actions may interfere with the treatment plan. Chapter 5 provide further details regarding personnel actions during ASAP enrollment. The treatment team in coordination with the commander will make clinical decisions. If the unit commander disagrees with the clinical decisions, the first Colonel in the soldier's chain of command may be requested to intercede with the MTF commander on the unit commander's behalf. In all circumstances, the MTF commander has final treatment decision authority and the soldier's chain of command has final administrative or command authority. If a unit commander believes a soldier does not have the potential for future service, the soldier will be processed for administrative separation in accordance with AR 600-8-24 or AR 635-200, as appropriate. If treatment is clinically indicated, the soldier will be provided treatment until separation.

h. Supervisors will refer any DA civilian employee who is found to abuse alcohol or other drugs, or who uses illegal drugs, to the installation EAPC for screening, short-term counseling, and referral for treatment.

i. When resources are available, ASAP treatment services will be offered to eligible DA civilian employees, military family members, family members of civilian employees, and retirees.

j. The confidential nature of treatment records of civilian employees with alcohol or other drug problems will be preserved according to applicable laws, rules, and regulations.

k. An active and aggressive biochemical testing program serves as a powerful tool and effective deterrent against alcohol and other drug abuse.

l. Prevention and education will be given the highest priority.

m. Either the EAPC or CD will bring all incidents of workplace violence involving alcohol or other drug abuse to the attention of the unit commander/supervisor, who will immediately refer the involved individuals to the ASAP for evaluation.

n. Military Police, USACIDC special agents, and other investigative personnel will not enroll in or otherwise infiltrate the ASAP treatment program for the purpose of law enforcement activities or to solicit information from soldiers enrolled in the ASAP.

1–32. ASAP eligibility criteria

a. ASAP services are authorized for personnel who are eligible to receive military medical services or eligible for medical services under the Federal Civilian Employees Occupational Health Services Program. In addition to military personnel, eligibility includes:

(1) U.S. citizen DOD civilian employees, to include both appropriated and nonappropriated fund employees.

(2) Foreign national employees where Status of Forces Agreements or other treaty arrangements provide for medical services.

(3) Retired military personnel.

(4) Family members of eligible personnel.

b. Other Service personnel under the administrative jurisdiction of an Army installation commander are subject to this regulation. When soldiers are under the administrative jurisdiction of another Service, they will comply with the alcohol and other drug program of that Service. They will also be reported through Army biostatistical channels. In some cases, elements of the Army and another Service are so located that cost effectiveness, efficiency, and combat readiness can be achieved by combining facilities. In such cases, the Service to receive the support will be responsible for initiating a local Memorandum of Understanding and/or Interservice Support Agreement. (Refer to DODI 4000.19.)

c. Members of the ARNG and USAR who are not on active duty (AD) are eligible to use ASAP services on a space/resource available basis.

1–33. Alcohol policies and controls

a. It is Army policy to maintain a workplace free from alcohol. Alcohol should not become the purpose for, or the focus of, any military social activity. At all levels alcohol will not be glamorized nor made the center of attention at any military function. (Refer to chap 7, AR 215-1 for guidance concerning use, possession, sale and transportation of alcoholic beverages on military installations.)

b. Alcohol abuse and resulting misconduct will not be condoned. Impairment due to alcohol use while on duty will not be tolerated.

c. Commanders will promote personal responsibility and informed decision making and will ensure that subordinates are educated about alcoholism, its early signs and symptoms, intervention techniques, and its debilitating effects on the

individual, families, and the Army's readiness. Leaders will integrate installation, unit, and individual alcohol prevention strategies and publicize the fact that abuse of alcohol will not be tolerated.

d. Unit commanders must identify soldiers who abuse alcohol and refer them as soon as identified for screening, prevention training, and treatment as necessary.

e. Unannounced unit inspections and fitness for duty testing for alcohol with certified alcohol testing devices, coupled with command sanctions, can:

(1) Promote military fitness, good order, and discipline.

(2) Promote safety.

(3) Increase awareness of the effects of alcohol consumption on duty performance, health, and safety.

(4) Prevent and deter alcohol abuse.

(5) Assist in the early identification and referral to the ASAP of soldiers at high risk to become chronic abusers and/or alcohol dependent.

f. Unit commanders/supervisors must confront suspected alcohol abusers, regardless of rank or grade, with the specifics of their behavior, inadequate performance, or unacceptable conduct.

g. Self-referral does not absolve an individual from accountability for alcohol related misconduct. Additionally, rehabilitation failure requires initiation of separation proceedings.

h. Successful completion of ASAP education or rehabilitation programs is required for all soldiers identified as alcohol abusers who desire to remain in the Army.

1–34. Alcohol sanctions

a. An administrative separation action will be initiated and processed to the separation authority for decision of soldiers involved in two serious incidents of alcohol related misconduct in a year, such as more than one instance of drunk on duty or operating a motor vehicle while intoxicated.

b. Military personnel on duty will not have a blood alcohol level equal to or greater than .05 grams of alcohol per 100 milliliters of blood. Any violation of this provision provides a basis for disciplinary action under the UCMJ and a basis for administrative action, to include the characterization of service at separation. Only results from certified alcohol testing devices may be used in support of disciplinary or administrative actions. (Refer to AR 190-5 for guidance related to alcohol testing.) Actions must be consistent with the "Limited Use Policy" addressed in chapter 6 of this regulation. Nothing in this regulation will be interpreted to mean that impairment does not exist if the blood alcohol level is less than 0.05 percent. To be in violation of this provision, a soldier should reasonably have known prior to becoming impaired that he/she had official military duties to perform. Commanders by order or regulation may set local alcohol limits below 0.05 percent for soldiers on duty or prohibit the use of alcohol entirely during deployments as they deem necessary for mission accomplishment and to meet local conditions.

c. Soldiers diagnosed as alcohol dependent will be detoxified and given appropriate medical treatment. Those soldiers who warrant retention based on their potential for continued military service will be offered treatment and retained. Soldiers who are to be separated will be referred to a Veterans Administration (VA) hospital or a civilian program by the ASAP clinician to continue (or to initiate) their treatment.

1–35. Illegal drugs and sanctions

The following provisions underscore the Army's policy that drug abuse will not be tolerated and that there are serious consequences for such misbehavior.

a. All soldiers, to include ARNG and USAR soldiers ordered to AD, under Title 10 U.S. Code, who are identified as drug abusers, without exception, will—

(1) Be referred to the ASAP counseling center for screening.

(a) Nondependent drug users will be enrolled in the ASAP if such enrollment is clinically recommended and the unit commander concurs.

(b) Soldiers diagnosed as drug dependent should be detoxified and given appropriate medical treatment. These soldiers generally do not have potential for continued military service and should not be retained. These soldiers will be referred to a VA hospital or a civilian program by the ASAP clinician to continue (or to initiate) their treatment.

(2) Be considered for disciplinary action under the UCMJ, as appropriate.

(3) Be processed for administrative separation in accordance with AR 600-8-24 (for officers and warrant officers) and AR 635-200 (for enlisted personnel), with the exception of self-referrals (See para 6-3e of this regulation). In cases where the chain of command has referred the matter to a trial by court-martial, administrative separation proceedings will be delayed until the completion of the court-martial process.

b. Discharge for misconduct under AR 600-8-24 (for officers and warrant officers) and AR 635-200, Chapter 14 (for enlisted) will be initiated and processed to the separation authority for all soldiers involved in illegal trafficking, distribution, possession, use, or sale of illegal drugs. Soldiers will also be considered for disciplinary action under the UCMJ, consistent with Chapter 6, of AR 600-85 and Rule for courts-martial 306, MCM. Initiation of administrative

separation proceedings is not required in those instances where charges have been referred to a court-martial empowered to adjudge a punitive discharge, or when drug use is discovered through self-referral (see para 6-3e, AR 600-85).

c. All ARNG and USAR soldiers ordered to AD will be tested for illegal drug abuse at their reception station. Those soldiers who are subsequently identified as illegal drug users will be processed according to paragraph 1-35a of this regulation.

d. Studies have shown that products made with hemp seed oil may contain varying levels of tetrahydrocannabinol (THC), an active ingredient of marijuana which is detectable under the Army Drug Testing Program. In order to ensure military readiness, the ingestion of hemp seed oil or products made with hemp seed oil is prohibited. Failure to comply with the prohibition on the ingestion of hemp seed oil or products with hemp seed oil is a violation of Article 92, UCMJ.

1–36. Law enforcement relationship to the ASAP

a. It is Army policy to encourage voluntary entry into the ASAP. Military police, USACIDC special agents, and other investigative personnel will not solicit information from clients in the program, unless they volunteer to provide information and assistance. If the client volunteers, the information will not be obtained in the CCC or in such a manner as to jeopardize the safety of sources of the information or compromise the confidentiality and credibility of the ASAP(AR 190-30 and 195-2).

b. Title 42, Code of Federal Regulations, prohibits undercover agents from enrolling or otherwise infiltrating an alcohol or other drug treatment or rehabilitation program for the purpose of law enforcement activities. This restriction does not preclude the enrollment in the ASAP, for rehabilitation purposes, of military police, USACIDC, or other investigative personnel who have an actual alcohol or other drug abuse problem. Their law enforcement status must be made known to the ADCO at the time of their enrollment. These measures are for the protection of the law enforcement client as well as the ASAP.

c. The provost marshal and the ADCO will exchange information for the purpose of identifying drug abuse trends, drug "trouble spots," and high-risk areas to include specific prevention efforts. This may include information on drug prevalence by type of drug, cost, strength and purity, and current drugs of choice. This exchange of information will be specific and will not mention names of any client or violate program confidentiality.

Chapter 2
Alcohol and Other Drug Abuse Prevention

Section I
General

2–1. Definition of prevention

Alcohol and other drug abuse prevention includes all measures taken to deter and reduce the abuse or misuse of alcohol and other drugs to the lowest possible level. Prevention for readiness involves the commitment of command resources, policies, installation organizations, and community members to create and foster conditions that promote mission readiness and enhance the quality of life for the total Army.

2–2. Alcohol and other drug abuse prevention objectives

The objectives of alcohol and other drug abuse prevention are to:

a. Prevent, deter, and reduce alcohol and other drug abuse.

b. Provide soldiers with substance abuse prevention and awareness training to include as a minimum the following:

(1) ASAP policies and services.

(2) Consequences of alcohol and other drug abuse.

(3) Incompatibility of alcohol and other drug abuse with physical and mental fitness, combat readiness, and Army values.

2–3. Prevention policies

Army prevention policy maintains that:

a. Prevention efforts will be tailored to diverse groups and integrated with other mission-related efforts.

b. Prevention initiatives will emphasize cooperation and partnerships within the total community and encourage military involvement in local civilian community alcohol and other drug prevention efforts.

c. Education and training programs must include information on the effects and consequences of alcohol and other

drug use. These programs must also include information describing which clinical and non-clinical services are available at the installation.

d. Alcohol deglamorization is an essential element of the Army prevention program. All members of the military community will be provided with the information needed to make responsible decisions about personal use of alcohol.

e. Commanders and supervisors must be provided with the information and skills they need to enable early identification of substance abusers.

f. Alcohol and other drug abuse education will be conducted throughout the Army Training System.

g. Alcohol and other drug abuse instruction will be compatible with the indoctrination of recruits in the standards of discipline, performance, and behavior.

h. Risk reduction and comprehensive installation-wide prevention supports readiness and will be promoted at all levels.

i. The IPP will include individual unit prevention plans, a marketing plan designed to promote the full range of services available in the community, and an identified evaluation methodology.

Section II
Prevention Strategies

2–4. Community-based processes/initiatives

a. Prevention initiatives will be community-based, emphasize military involvement, and be documented in a comprehensive IPP. This plan will promote and enhance healthy life choices; smart decision-making; soldier, civilian employee, and family member quality of life; and Army values.

b. An HRC will be established locally and will be composed of representatives of units and activities on the installation. The chairperson of the council will be a senior officer such as the chief of staff or deputy installation commander. When other uniformed Service installations are located nearby, reciprocal membership is encouraged. This council functions in an advisory capacity to the installation commander and:

(1) Provides leadership, direction, and assistance in the design and development of the IPP, which will include an continuous assessment of substance abuse and other risk factors.

(2) Approves, monitors, and makes recommendations as necessary for the implementation of the community alcohol and other drug abuse prevention and risk reduction plan.

(3) Meets on a regular basis, but no less than quarterly. Minutes of each council meeting will be approved by the commander and provided to MACOM ADCOs.

2–5. Risk reduction program (RRP)

RRP is a critical element of comprehensive installation prevention programs. It provides commanders and human resource personnel with a means of identifying and preventing high-risk problem behavior which can directly impact individual and unit combat readiness. Installation commanders should implement and maintain the RRP to obtain its readiness enhancement benefits.

2–6. Substance abuse prevention and awareness training

a. The education and training for all members of the military community is a vital element of a comprehensive community prevention plan. All soldiers will receive a minimun of 4 hours of alcohol and other drug awareness training per year. Specific education and training objectives and policies are identified in paragraphs 2-2 and 2-3 of this regulation.

b. Alcohol and other drug abuse prevention education are a vital element in leader development and will be integrated throughout the Army Training System.

c. Leadership training in substance abuse prevention and risk reduction will occur at all levels to include brigade, battalion, and company elements.

d. Substance abuse and risk reduction training will occur at initial entry, pre-commissioning, and annually thereafter.

e. Supervisory substance abuse prevention and risk reduction education and training for individuals with command and/or first-line supervisory (that is, Sergeant to Captain) responsibility will occur within 60 days after designation of supervisory/command responsibilities. Specific supervisory civilian employee education and training requirements pertaining to the Drug-free Federal Workplace Act and the DOT Alcohol and Drug Misuse Rules are addressed in chapter 14 of this regulation.

f. ASAP prevention education and training for DA civilian employees will be provided in conjunction with, but not be limited to, existing civilian personnel orientations and training programs. All civilians will receive a minimum of 3 hours of alcohol and other drug awareness training per year.

g. ASAP prevention education and training of family members addressed in the IPP will be provided on a voluntary

basis and will highlight the local laws, extent of abuse, availability of counseling, treatment services, and alternatives to alcohol and other drug abuse.

h. Specific training courses include the following.

(1) The UPL course is a standardized period of instruction designed to educate and train UPLs, through the ASAP.

(2) IPT training (IPTT) educates multidisciplinary installation teams on best prevention practices in community prevention, behavioral risk reduction, and workplace violence prevention programs. Teams develop collaborative strategies to address prevention of high-risk behaviors, learn and apply the Army's risk reduction model, and develop their IPPs. Course attendees consist of key personnel selected by the installation commander. Training is available to installations through the ACSAP.

(3) Alcohol and other drug abuse prevention training (ADAPT) is implemented through a minimum of 12 hours of instruction which focuses on the adverse effects and consequences of alcohol and other drug abuse. The approved curriculum is provided in the ADAPT Manual published by the ACSAP. Requests for exceptions to the ADAPT curriculum will be submitted in writing to the Director, ACSAP for approval. Participant follow-up is an integral part of the ADAPT program, and referral to the ASAP counseling center or other services is a viable option at any point. ADAPT training will be permitted for civilian personnel and family members on a space available basis. ADAPT training will be permitted for the following military personnel:

(a) Those referred and screened but not enrolled in the ASAP treatment program. These personnel generally have been identified as first time abusers and do not require treatment.

(b) Those referred, screened,and enrolled in the treatment program. ADAPT may be included as part of individualized treatment plans.

(c) Those referred directly by the unit commander for reasons related to poor performance, safety violations, high-risk behaviors, and disciplinary problems.

(d) Those who volunteer for the course with the permission of their unit commander.

2–7. Evaluation of prevention initiatives

a. ADCOs evaluate all ASAP non-clinical functions.

b. The ADCO, in coordination with the IPT, evaluates substance abuse prevention and risk reduction program activities as identified in the IPP annually.

2–8. Alcohol and other drug abuse control actions

a. Marketing and promotion of practices, which glamorize alcohol use are prohibited.

b. There will be no alcohol consumption during duty hours at the workplace unless specifically authorized by the first General Officer/installation commander in the chain of command.

2–9. Law enforcement and drug suppression activities

a. Comprehensive prevention programs include community law enforcement and drug suppression efforts that are designed to:

(1) Eliminate the supply of illegal drugs.

(2) Identify and apprehend individuals who illegally possess, use, or traffic in illegal drugs.

(3) Prevent alcohol and other drug related crimes, incidents, and traffic accidents.

b. USACIDC responsibilities are identified in paragraph 1-15b of this regulation.

2–10. Prevention, education, and training expenditures

The ASAP program is authorized to purchase promotional items in support of substance abuse prevention and risk reduction program campaigns. These items may be used to support local or Army-sponsored prevention campaigns such as National Drunk and Drugged Driving Prevention Month, National Red Ribbon Week, and National Alcohol Awareness Month. Promotional items purchased shall not indicate that the Army endorses a particular product or private organization.

Chapter 3
Identification, Referral, Screening, Evaluation, and the Rehabilitation Team

Command involvement throughout the identification, referral, screening, and evaluation process is critical. Commanders and the ASAP clinical staff jointly share in the rehabilitation team process, to include consultation; furnishing relevant data, information, and observations; establishing standards for behavior; and setting goals for evaluating soldiers' progress.

3–1. Identification

Early identification is a critical aspect of the ASAP intervention process. Identification occurs through:

a. Voluntary (self-identification).

b. Commander/supervisor identification.

c. Biochemical identification.

d. Medical identification.

e. Investigation and/or apprehension.

3–2. Voluntary (self-identification)

a. Voluntary (self-identification) is the most desirable method of identifying alcohol or other drug abuse. The individual whose performance, social conduct, interpersonal relations, or health becomes impaired because of the abuse of alcohol or other drugs has the personal obligation to seek rehabilitation. (See para 3-8 of this regulation for additional requirements.) The soldier's unit commander must become involved in the evaluation process.

b. Identification resulting from a soldier seeking emergency treatment for an actual or possible alcohol or other drug overdose, not subsequent to a traffic accident or criminal offense, is considered to be a variation of volunteering. For reporting purposes, such cases will be classified as self-referral.

c. A "Limited Use Policy" which restricts the consequences of the soldier's involvement in the ASAP is described in chapter 6 of this regulation. These provisions are unchanged by the mandatory initiation of separation processing of drug abusers, and such separation processing must comply with the provisions of limited use and AR 600-8-24 and AR 635-200.

d. A soldier may seek assistance from other agencies for problems associated with family members in which the soldier's abuse of alcohol or other drugs is a factor. Every effort will be made to ensure that those agencies (that is, military or civilian human services) are aware of the ASAP services and procedures (for example, mandatory command involvement) for referral. Such family member cases will be classified as "volunteer (self-identification)".

3–3. Commander/supervisor identification

Commander/supervisor identification occurs when a commander/supervisor observes, suspects, or otherwise becomes aware of an individual whose job performance, social conduct, interpersonal relations, physical fitness, or health appears to be affected adversely by suspected abuse of alcohol or other drugs. When abusers or suspected abusers are identified, they will be processed by their unit commander or designated representative IAW para 3-7 this regulation and referred to the ASAP counseling center for an initial screening interview.

3–4. Biochemical identification

Biochemical identification can be accomplished either by urinalysis or alcohol breath testing methods. Biochemical testing is discussed in detail in Chapter 8 of this regulation.

a. Any soldier identified as an illegal drug abuser through urinalysis will be referred to the ASAP counseling center for screening.

b. Any soldier on duty whose alcohol breath test result indicates an alcohol impairment as discussed in para 1-34 b of this regulation will be referred to the ASAP counseling center for screening.

3–5. Medical identification and investigation and/or apprenhension

a. A physician or health care provider during routine or emergency medical treatment may note apparent alcohol or other drug abuse. In such instances, the physician or health care provider will refer the individual to the ASAP counseling center using a SF 513 (Medical Record-Consultation Sheet). The ASAP clinician will immediately notify the soldier's unit commander of the physician's referral.

b. A soldier's alcohol or other drug abuse may be identified through military or civilian law enforcement investigation and/or apprehension. The unit commander will refer the individual to the ASAP counseling center for an initial screening interview within 72 hours of notification of apprehension of a soldier for apparent alcohol or other drug abuse. Referral for screening or enrollment does not interfere with or preclude pending legal or administrative actions in any way.

3–6. Medical Review Officers

The MRO determines if positive drug test results reported by the toxicology laboratory could have resulted from the legal use of a prescription drug for medical reasons and/or for drugs administered during surgical or dental procedures.

a. The MRO must be a physician, trained and certified to perform MRO functions, and appointed in writing. Physician assistants and pharmacists will not be appointed as MROs

b. When a drug test has been reported positive by the toxicology laboratory for a drug with a possible legitimate medical use as determined by USAMEDCOM, the unit commander will offer the soldier the opportunity to furnish medical evidence in the form of a medical prescription and/or statement from the soldier's physician or dentist documenting the drug prescribed or given, date of medical or dental procedure which required prescribed drugs, and

the medical reason for its use. The documentation will be marked "Confidential" and will be forwarded through the ADCO to the MRO for evaluation. Unit commanders will not initiate any unfavorable action against the soldier identified until the MRO had rendered an evaluation.

c. If the MRO is unable to make a determination without talking directly with the soldier, the unit commander will schedule an appointment to allow the soldier to meet with the MRO if practical. If not practical, the MRO will conduct the interview by telephone.

d. When the MRO has made a determination regarding the cause of the positive drug test results the unit commander will be notified promptly.

(1) If the MRO determines legitimate medical use, then no further action is required.

(2) If the MRO determines no legitimate medical use, then actions will be taken in accordance with paragraph 3–7 of this regulation.

3–7. Commander's actions for referring soldiers suspected of alcohol or drug abuse

a. When soldiers are identified as probable alcohol or other drug abusers, the unit commander or designated representative must:

(1) Coordinate with law enforcement about whether the commander or designated representative or law enforcement should conduct the initial interview of the alcohol or drug abuser.

(2) When the unit commander believes the Limited Use policy applies the unit commander should consult with the ADCO and supporting legal advisor. The unit commander may then explain the Limited Use Policy, if applicable to the particular circumstances.

(3) If the law enforcement does not initiate an investigation, advise soldiers of their rights under Article 31, UCMJ using a DA Form 3881 (Rights Warning Procedure/Waiver Certificate). If the soldier elects to remain silent or to request a lawyer, there can be no further questioning or interviewing and this procedure must terminate. Commander will then refer the soldiers the ASAP counseling center (See para b, below.)

(4) If law enforcement does not initiate an investigation, interview soldiers and inform them of the evidence.

(5) If law enforcement does not initiate an investigation, give soldiers the opportunity to provide additional evidence, including information on drug sources, if they desire. (However, such disclosure is voluntary.)

(6) If law enforcement does not initiate an investigation, collect any illegal drugs or drug paraphernalia that the soldier voluntarily relinquishes and turn these items over to the local Provost Marshall (PM) according to AR 190-22.

b. The unit commander will refer individuals suspected or identified as alcohol and/or other drug abusers, including those identified through urinalysis (except those determined legitimate medical use by the MRO) and/or blood alcohol tests, to the ASAP counseling center for screening. Soldiers impaired by alcohol as described in paragraph 1-34 b of this regulation while on duty will be referred to the ASAP counseling center for the initial screening interview. Soldiers who are referred by the unit commander for an initial interview, regardless of the means of identification, will be referred using a DA Form 8003 (Alcohol and Drug Abuse Prevention and Control Program Enrollment), contained in AR 40-66 that the commander must sign.

c. A Unit Commander's Guide to the Army Substance Abuse Program (ASAP) is contained in appendix B of this regulation.

3–8. Self referrals

The ASAP clinical staff will conduct an initial interview with all eligible personnel who self-refer to the ASAP counseling center for assistance. During the initial interview, the clinician will advise soldiers of their unit commander's role in the referral, evaluation, and treatment process, or other disposition, explain limited use policy, and provide information about ASAP services. If after the initial screening interview further services are warranted, the ASAP clinician will contact the unit commander and coordinate the soldier's formal referral using DA Form 8003, which will be signed by the unit commander and be annotated as a self referral.

3–9. Other referrals

In addition to referrals from medical or law enforcement agencies, other sources (for example, military Chaplains) may identify or refer soldiers suspected of alcohol or other drug abuse. Referrals from sources other than command, medical, investigation and/or apprehension will be handled in the same manner as a self-referral.

3–10. Screening

a. An initial interview will be conducted with all individuals who are either referred for screening or who voluntarily seek treatment. During the initial interview the ASAP clinicians will explain limited use policy. This interview will be conducted by a member of the ASAP counseling center staff within 5 duty days of the referral. Emergency referrals receive priority.

b. If after the initial interview further in-depth assessment is warranted, the ASAP clinician will advise the unit commander and initiate a comprehensive individual biopsychosocial assessment. Command input into this assessment

is essential. However, only the clinical staff may prescribe treatment. Paragraph 1-31g of this regulation discusses command and clinical responses in more detail.

c. The treatment team in coordination with the unit commander will determine clinical decisions. Clinical disagreements will be resolved jointly by a Colonel (that is, the soldiers commanders may appeal to the first Colonel in the chain of command) and the Medical Treatment Facility commander who has the final authority.

d. If a unit commander believes a soldier does not have potential for future service, the soldier will be processed for administrative separation in accordance with AR 600-8-24 or AR 635-200, as appropriate. If treatment is clinically indicated, the soldier will be provided treatment until separation.

3–11. Medical evaluation

a. The unit commander, supervisor, CD, counselor, or soldier may request a medical evaluation by a physician at any time to determine the extent of alcohol or other drug abuse. A medical evaluation is required in cases of suspected alcohol and/or drug dependence, and in all cases prior to entry into an ASAP partial inpatient care program.

b. If referral for medical evaluation is required, both a DA Form 4465 (Patient Intake/Screening Record (PIR), and guidance for its completion is provided in DA Pam 600-85, chapter 5, and a DA Form 8003 will be completed by the ASAP clinician and provided to the physician for review prior to medical evaluation. Any other comments or recommendations made to the physician conducting the medical evaluation will be recorded on a SF 600 (Health Record-Chronological Record of Medical Care). Upon completion of medical evaluation, all forms will be returned to the ASAP counseling center for inclusion in the ASAP patient medical record. The evaluation/review of a positive drug test result by a trained MRO is not to be confused with the medical evaluation conducted by a physician to determine the severity of medical complications caused by alcohol and/or other drug abuse.

3–12. Rehabilitation team

The rehabilitation team will convene shortly after the ASAP clinical services staff has completed the individual biopsychosocial assessment and finalized the clinical summary. The purpose of the team is to review the results of the assessment/clinical summary and to develop treatment options. The team will be composed of the soldier, the unit commander and/or First Sergeant, the ASAP clinical staff, and others as appropriate. The ASAP clinician will recommend to the commander the appropriate disposition of the referral with the input of the rehabilitation team. Any of the following actions will be recommended:

a. Counseling by the unit commander or the commander's designated representative.

b. Referral to other agencies (for example, military Chaplains, marriage counselor, mental health activity, Alcoholics Anonymous, and so forth).

c. No ASAP services required at the present time.

d. Referral to ADAPT. (See para 2-6h(3) of this regulation for a description of ADAPT.)

e. Enrollment in ASAP rehabilitation.

Chapter 4
Soldier Rehabilitation Process

Section I
Introduction

4–1. General

a. The unit commander's attitude and direct involvement are critical in the soldier's rehabilitation process. Command support must be positive and clearly visible. The commander must be aware of the soldier's immediate problems identified during the biopsychosocial assessment and is familiar with the treatment strategies and goals addressed in the treatment plan. In support of the rehabilitation process, the commander must:

(1) Ensure that soldiers suspected of having an alcohol or other drug abuse problems are afforded an opportunity to be evaluated for treatment.

(2) Have a full understanding of the various program elements within the ASAP.

(3) Help soldiers cope with the environment in which they are expected to function and support soldiers' efforts to avoid relapse.

b. Rehabilitation begins with good leadership, management, and command counseling. In some instances, special

expertise is required to bring about desired changes in a soldier's performance or conduct. The commander or supervisor must:

(1) Refer the soldier to the ASAP counseling center for screening and assistance.

(2) Provide the ASAP clinical staff with as much information as possible regarding the soldier's behavior, involvement with alcohol and/or other drugs, and other symptoms/indicators that suggest an alcohol or other drug abuse problem.

4–2. Rehabilitation objectives

The objectives of the rehabilitation program for military personnel are to:

a. Return soldiers to full duty as soon as possible.

b. Identify soldiers who cannot be rehabilitated within the scope of this regulation and to advise their unit commanders.

c. Assist and refer soldiers who cannot be rehabilitated in the ASAP to a treatment facility in the vicinity where they reside after discharge from the Army.

d. Help resolve alcohol and other drug abuse problems in the family, with the ultimate goal of enabling the soldier to perform more effectively.

4–3. Rehabilitation elements

The ASAP rehabilitation program is comprised of four fundamental operating elements:

a. Identification and referral.

b. Screening/triage, comprehensive biopsychosocial assessments, and command consultation.

c. Treatment and follow-up.

d. For rehabilitation testing, the rehabilitation team will determine the frequency which will be included in the rehab plan.

4–4. Rehabilitation team concept

The ASAP clinician will employ the rehabilitation team concept and chair the rehabilitation team meeting, which will include the soldier, the unit commander and/or First Sergeant, the ASAP clinical staff, and others as appropriate. A record of the team's meetings, discussions, and decisions will be maintained in the ASAP patient's medical record.

Section II
Rehabilitation Procedures

4–5. Referral methods, biopsychosocial assessment, and treatment determination

a. Soldiers may seek information anonymously. However, should an evaluation be necessary, the unit commander will be notified immediately.

b. Referred soldiers will initially undergo a triage process to ascertain the need for immediate medical attention and further assessment. If the triage indicates a need for a more comprehensive biopsychosocial assessment, the assessment will be completed within 7 duty days.

c. After the biopsychosocial assessment has been completed, the rehabilitation team will meet to determine what rehabilitation approach will best meet the needs of the soldier.

d. If enrollment in the ASAP is required, the frequency, length of counseling sessions, and level of treatment will be discussed and determined by the rehabilitation team. In the event of disagreement about treatments, the MTF commander has final authority in accordance with para 1-31g of this regulation.

4–6. Rehabilitation/treatment program

The rehabilitation/treatment program is based upon the severity of the individual's involvement with substance abuse and may provide individual, group, and/or family counseling on either an outpatient or inpatient basis. Program design allows for flexibility and offers a wide variety of rehabilitation modalities structured to meet both individual needs and Army requirements for effective duty performance. Modalities are structured within the scope of individualized, short-term treatment.

4–7. Determining rehabilitation progress

a. The unit commander, in consultation with the other members of the rehabilitation team, determines rehabilitation progress using the following factors:

(1) Conduct, duty performance, and relationships with co-workers.

(2) Further incidents of alcohol or other drug abuse.

(3) Motivation to overcome alcohol or other drug abuse problems.

b. If the unit commander determines that conduct, duty performance, and progress are unsatisfactory, and that

further rehabilitation efforts cannot be justified, discharge from military service will be initiated. ASAP clinical services will be provided until the soldier is separated. Referral to VA services will be offered.

4–8. Type and frequency of treatment

a. The type and frequency of treatment varies depending upon the individual soldier's need. It will be determined by the rehabilitation team.

b. If relapse occurs during rehabilitation, the unit commander will be notified promptly. The rehabilitation team will then determine an appropriate course of action.

c. Only under extraordinary conditions will the soldier be reenrolled. Reenrollment in the ASAP requires the submission of a new DA Form 4465, as the case will be treated as new for administrative reporting.

4–9. Rehabilitation/treatment appointments

Rehabilitation success is enhanced by the soldier's uninterrupted participation in the treatment plan. Consistent with mission requirements, unit commanders will ensure that the soldier's treatment plan is followed. Treatment appointments take precedence over routine duty day requirements.

4–10. Return to duty

To facilitate return to duty, the soldier's unit commander must:

a. Assign duties commensurate with abilities, experience, and Military Occupational Specialties.

b. Require compliance with the same standards of performance and behavior expected of other soldiers.

c. Provide positive support.

d. Encourage the soldier to participate in the prescribed treatment. e. Consult with the ASAP clinical staff during the follow-up phase of the rehabilitation.

4–11. Reassignment while enrolled in the ASAP (permanent change of station loss or gain)

a. Continuity of patient treatment is critical to successful rehabilitation. The losing CD will monitor the departure of enrolled soldiers, notify the gaining ASAP, and ensure that ASAP outpatient medical records are forwarded through the local MTF's Patient Administration Division to the gaining ASAP counseling center. If the losing ASAP counseling center is unable to determine the location of the gaining ASAP counseling center within 60 days, the losing CD will provide Army Center for Substance Abuse Program (ACSAP) with the patient identification number (that is, Social Security Account Number). ACSAP will then query the Total Army Personnel Database for assignment information and contact the gaining ASAP counseling center to verify the soldier's assignment. The gaining ASAP counseling center will notify the losing ASAP counseling center and Patient Administration Division of the soldier's assignment in the most expeditious manner and request the soldier's ASAP outpatient medical record.

b. To complete the mandatory follow-up outpatient program, patients who have received ASAP inpatient care should be stabilized in their current assignment for 12 months from the date of the inpatient enrollment. The servicing ASAP CD will provide the effective date of stabilization (date of enrollment) to the Military Personnel Office for enlisted personnel or the appropriate DA Assignment Authority for officers. In accordance with AR 614-5, table 2-2, soldiers serving in CONUS should be stabilized in their present unit assignment for 12 months from the date of inpatient enrollment, and their records should be annotated to ensure stabilization. Soldiers serving OCONUS will not be involuntarily extended beyond their established Date Eligible for Rotation Overseas to complete the mandatory follow-up outpatient program. Follow-up treatment can be obtained at the next CONUS duty station. However, unit commanders should encourage soldiers to extend their overseas tour voluntarily, under the provisions of AR 614-30, paragraph 6-2g, to receive the maximum benefit of this program. Stabilization may be terminated in accordance with AR 614-5 paragraph 2-10. Requests for early termination of the 12 month stabilization will be forwarded through USAMEDCOM (ATTN: MCHO-CL-H), 2050 Worth Road, Fort Sam Houston, TX 78234-6000 to HQDA (ATTN: PEDA) Army Center for Substance Abuse Programs, 4501 Ford Avenue, Suite 320, Alexandria VA, 22302.

4–12. Self-help support organizations

a. As part of the treatment plan, the soldier will be encouraged to attend and participate in Alcohol Anonymous and/or other self-help groups. Participation in a self-help organization cannot be used as the sole criterion for rehabilitation success or failure.

b. Unit commanders and ASAP staff should become familiar with self-help organizations.

c. Installations may facilitate the formation of self-help organizations on military installations and provide assistance as appropriate.

4–13. Transfer to VA medical facilities

a. Alcohol or other drug dependent soldiers may be transferred to the VA only under the following conditions:

(1) When within 30 days of separation.

(2) On the soldier's written request for transfer and additional treatment.

b. The request will specify the length of treatment to which the soldier agrees. No AD soldiers will be transferred to the VA through medical channels without completing the separation process. (Refer to AR 635-200.)

4–14. Unacceptable rehabilitation modalities

a. Methadone maintenance will not be used.

b. Use of Disulfiram (Antabuse) will not be mandatory.

4–15. Clinical privilege and certification requirements

Privilege and certification requirements for ASAP clinical personnel are set forth in AR 40-48 and AR 40-68.

Section III
Detoxification

4–16. General

Detoxification involves the medical management of the withdrawal from alcohol or other drugs. The decision to hospitalize the soldier is a medical decision. The unit commander will maintain contact with the soldier undergoing detoxification and will participate in the detoxification effort when appropriate.

4–17. Line of duty determination

During detoxification, a line of duty determination is not required. One exception would be if a physician determined a patient to be incapacitated for a consecutive period of not more than 24 hours. In such cases, the determination will be "Not in Line of Duty Due to Own Misconduct" only for the period of actual incapacitation. (Refer to AR 600-8-1.)

4–18. Quality improvement, clinical staff competency

a. In accordance with applicable medical regulations, USAMEDCOM will periodically review credentials and all clinical elements of the ASAP.

b. CDs will assess the skills and training needs of each clinical staff member and prepare individual development plans. These plans will identify the skill needs of each member and will outline the steps planned to enhance the identified skills.

Chapter 5
Personnel Actions During Rehabilitation

5–1. General

Participation in the ASAP rehabilitation program need not interfere with normal command administrative actions.

5–2. Deployment

The unit commander in consultation with the ASAP clinical staff will determine the deployment availability of soldiers enrolled in the ASAP. The same standards used for other medical treatment will be applied. Ordinarily, soldiers:

a. Enrolled in the ASAP who are receiving outpatient services are deployable.

b. Undergoing inpatient detoxification has a temporary physical profile and is not deployable.

c. Participating in, or awaiting admittance to, an ASAP partial inpatient care program is deployable.

5–3. Leave policy during rehabilitation

a. The unit commander in consultation with the ASAP clinical staff will determine granting leave during rehabilitation.

b. Personnel who require detoxification during leave will be admitted to the nearest MTF. The soldier's unit commander will be notified of the circumstances that led to the curtailment of the soldier's leave or other status. After detoxification, soldiers will be returned to their unit for rehabilitation.

5–4. Suspension from duty

a. The unit commander may suspend soldiers from duties requiring special alertness and may also temporarily deny a soldier access to classified information. Army Regulation 380-67 and/or the supporting Security Office provide

guidelines on suspending a soldier's access to classified information and reporting the suspension to the U.S. Army Central Personnel Security Clearance Facility.

b. Additional personnel policies and procedures for soldiers in sensitive security positions, in safety sensitive aviation positions, and for soldiers enrolled in the Army's Personnel Reliability Program (PRP) are contained in Chapter 7 of this regulation.

5–5. Separation actions for alcohol and other drug abuse

When a unit commander, in consultation with the ASAP clinical staff, determines that rehabilitative measures are not practical and that separation action will be initiated, the following procedures are required:

a. All soldiers identified as illegally abusing drugs will be processed for administrative separation in accordance with AR 600-8-24 or AR 635-200.

b. Soldiers diagnosed as being drug dependent by a physician will be detoxified and then processed for administrative separation in accordance with AR 600-8-24 or AR 635-200, and be considered for disciplinary action under the UCMJ. These individuals should be referred to VA medical facilities under the conditions listed in paragraph 4-13 of this regulation.

c. Soldiers who are rehabilitation failures will be processed for administrative separation when:

(1) The member is enrolled in the ASAP.

(2) The unit commander determines that further rehabilitation efforts are not practical (that is, a rehabilitation failure).

d. When not precluded by the "Limited Use Policy" (See sec III, chap 6 of this regulation), offenses of alcohol or other drug abuse may properly be the basis for discharge proceedings under AR 600-8-24 or AR 635-200. The evidentiary aspect of the "Limited Use Policy" is applicable to discharges under AR 600-8-24 or AR 635-200. Soldiers processed for separation under other provisions of that regulation, who also are or become subject to separation under this chapter and whose proceedings on other grounds ultimately result in their retention in the service, will be considered for separation under this chapter.

e. When the unit commander determines that a soldier who has never been enrolled in the ASAP lacks the potential for further useful service, the soldier will be screened in accordance with this regulation. If found nondependent, the soldier will be considered for separation under the appropriate provisions of AR 600-8-24 or AR 635-200.

f. Individuals identified for separation in accordance with guidance contained in paragraph 5-5 will be reported to USA Central Personnel Security Clearance Facility in accordance with AR 380-67.

5–6. Reenlistment during enrollment in the ASAP

Soldiers currently enrolled in the ASAP rehabilitation program are not allowed to reenlist. However, soldiers who need additional service time to complete their enrollment may be extended for the number of months necessary to permit completion. (Refer to AR 601-280.) A waiver is not required when a soldier has successfully completed the ASAP rehabilitation program as indicated on the DA Form 4466 (Patient Progress Report (PPR)).

5–7. Suspension of favorable actions

Soldiers who are command referred to the ASAP and enrolled in the program will be flagged. (This provision will be effective when AR 600-8-2 is changed to reflect this provision).

Chapter 6
Legal Aspects, Limited Use Policy, and Confidentiality

Section I
Introduction

6–1. Overview

This chapter applies to soldiers only. See chapter 14 of this regulation for issues involving civilians. This chapter addresses collection criteria and the legal aspects for biochemical testing, "Limited Use Policy," specialized rules for administrative separation actions in ASAP cases, and confidentiality issues. It is essential that legal procedures and protection be understood by all Army personnel.

6–2. Biochemical testing

a. Biochemical testing refers to the identification of alcohol or other drug abuse through the testing of blood, urine, breath, or other bodily substance as approved by the DCSPER. The seizure of bodily substances is based on the

Military Rules of Evidence (MRE) which are summarized in Chapter 8 of this regulation. AR 600-85 does not apply forensic testing by USACID or other non-DCSPER authorized entities.

b. For specific questions concerning the collection of specimens and the application of the MRE, commanders should seek the advice of their supporting SJA.

Section II
Limited Use Policy

6–3. Objective

The objective of the "Limited Use Policy" is to facilitate the identification of alcohol and other drug abusers by encouraging identification through self-referral. In addition, the policy is designed to facilitate the treatment and rehabilitation of those abusers who demonstrate the potential for rehabilitation and retention. When applied properly, the "Limited Use Policy" does not conflict with the Army's mission or standards of discipline. It is not intended to protect a member who is attempting to avoid disciplinary or adverse administrative action.

6–4. Definition of "Limited Use Policy"

a. Unless waived under the circumstances listed in paragraph 6-3d of this regulation, limited use prohibits the use by the government of protected evidence against a soldier in actions under the UCMJ or on the issue of characterization of service in administrative proceedings. Additionally, the policy limits the characterization of discharge to "Honorable" if protective evidence is used. Protected evidence under this policy is limited to:

(1) Results of a command-directed biochemical testing that is inadmissible under the Military Rules of Evidence. Commanders are encouraged to utilize biochemical testing when there is a reasonable suspicion that a soldier is using a controlled substance or has a blood alcohol level of .05 percent or above while on duty. This information will assist a commander in his determination of the need for counseling, rehabilitation, or medical treatment. Competence for duty tests may be directed if, for example a soldier exhibits aberrant, bizarre, or uncharacteristic behavior, but probable cause to believe the soldier has violated the UCMJ through the abuse of alcohol or drugs is absent. Competence for duty test results may be used as a basis for administrative action to include separation, but shall not be used as basis for an action under the UCMJ or be considered in the issue of characterization of service.

(2) Results of a biochemical test collected solely as part of a limited use safety mishap investigation undertaken for accident analysis and the development of countermeasures, is further described in subparagraph 8-3.

(3) Information, concerning drug or alcohol abuse or possession of drugs incidental to personal use, including the results of a biochemical test, collected as a result of a soldier's emergency medical care solely for an actual or possible alcohol or other drug overdose. To qualify for limited use protection, soldiers must inform their unit commander of the facts and circumstances concerning the actual or possible overdose. The commander must receive this information as soon after receipt of the emergency treatment as is reasonably possible. If treatment takes place at a civilian facility, the soldier must give written consent to the treating civilian physician or facility for release of information to the soldier's unit commander concerning the emergency treatment rendered. If the medical treatment resulted from an apprehension by military or civilian law enforcement authorities, or if the admission for treatment resulted from other than abuse of alcohol or drugs, such as for injuries resulting from a traffic accident, the limited use protection will not be available to the soldier.

(4) A soldier's self referral to the ASAP.

(5) Admissions and other information concerning alcohol or other drug abuse or possession of drugs incidental to personal use occurring prior to the date of initial referral to the ASAP and provided by soldiers as part of their initial entry into the ASAP. This includes an enrolled soldier's admission to a physician or ASAP counselor concerning alcohol or other drug abuse incidental to personal use occurring prior to the initial date of referral to the ASAP.

(6) Biochemical test results, if the soldier voluntarily submits to a DOD or Army treatment program before the soldier has received an order to submit for a lawful biochemical test. Voluntary submission includes soldiers communicating to a member of their chain of command that they desire to be entered into a treatment program. This limited use protection will not apply to test results, which indicate alcohol or other drug abuse occurring after the voluntary submission to the treatment program. Examples: The unit commander has ordered a urinalysis test on Monday for all members of the unit (an inspection under MRE 313). Before receiving an order (or having knowledge of a pending test) to appear for the urinalysis, a soldier approaches the platoon sergeant, admits having used illegal drugs over the weekend, and indicates a desire to receive help. Later that day, the soldier provides a sample for the urinalysis, which results in a positive report for Cocaine use. Those results are protected by the "limited use policy" unless there is some evidence that demonstrates the use reflected by the test occurred after the admission was made to the platoon sergeant. Later that week, the commander orders another unit inspection for the following Monday. The inspection is conducted properly under MRE 313, and the soldier once again has a positive result for Cocaine. These test results, as interpreted

by an Army FTDTL expert, indicate the soldier had used Cocaine after admitting use to the platoon sergeant. This test result is not protected by limited use.

(7) The results of a biochemical test administered solely as a required part of a DOD or Army rehabilitation or treatment program.

b. The "Limited Use Policy" does not prevent a counselor from revealing, to the commander or appropriate authority or others having a need to know, knowledge of certain illegal acts which may compromise or have an adverse impact on mission, national security, or the health and welfare of others. The unit commander will report the information to the appropriate authority. Likewise, information that the client presently possesses illegal drugs or that the client committed an offense while under the influence of alcohol or illegal drugs, other than prior illegal possession incident to the prior use, is not covered under this policy. Limited use is automatic. It is not granted, and it cannot be vacated or withdrawn. It may be waived in the situations described in paragraph 6-3e of this regulation.

c. An order from competent authority to submit to urinalysis or breath test is a lawful order. Failure to obey such orders may be the subject of appropriate disciplinary action under the UCMJ.

d. The "Limited Use Policy" does not preclude the following:

(1) The introduction of evidence for impeachment or rebuttal purposes in any proceeding in which the evidence of drug abuse (or lack thereof) first has been introduced by the soldier. This rebuttal or impeachment may include evidence that test data indicate the presence of a controlled substance or alcohol, although not in sufficient quantity to meet the cutoff level for a positive result that has been established by DOD.

(2) The initiation of disciplinary or other action based on independently derived evidence, including evidence of continued drug abuse after initial entry into the ASAP.

e. If the command is made aware of a soldier's illegal drug use through the soldier's self-referral and admissions, the requirement to initiate separation proceedings pursuant to AR 600-8-24 or AR 635-200 will not apply. The unit commander may initiate a separation action; however, the information is protected by the "Limited Use Policy".

6–5. Implementation of limited use

a. Unit commanders will explain the "Limited Use Policy" to soldiers during the commander's interview as set forth in paragraph 3-7 of this regulation. Commanders will not make any agreement, or compromise, or expand the "Limited Use Policy" in any way.

b. One or more military associates of an actual or possible alcohol or drug overdose victim might be reluctant to assist the victim in obtaining emergency treatment from an MTF because they themselves are abusers of alcohol or other drugs. An assisting person may fear that adverse personal consequences could result from becoming involved. Although limited use protection is not extended automatically to such a person, the availability of the following options to those soldiers and their commanders should reduce reluctance to assist the victim:

(1) Soldiers may seek help for their own alcohol or other drug problem from:

(a) Their unit commander.

(b) The physician at the MTF.

(c) Any other agency or individual described in chapter 3 of this regulation.

(2) If the unit commander suspects a soldier of alcohol or other drug abuse, or possession of drugs incidental to personal use, solely because of a soldier's assistance to an actual or possible alcohol or drug overdose victim, and there is no reason to believe the soldier provided illegal drugs to the victim, the commander should consult with the supporting legal office and thereafter may:

(a) Inform the soldier of these suspicions.

(b) Ensure the soldier is aware of the treatment services available and the "Limited Use Policy."

(3) If the soldier admits to alcohol or other drug abuse and volunteers for help, limited use becomes effective as of the time the soldier asks for help.

c. Soldiers will receive an "Honorable" discharge regardless of their overall performance of duty, if discharge is based on a proceeding where the Government initially introduces limited use evidence except as authorized in paragraph 6-3d(1) of this regulation. The "Government" includes the following:

(1) The unit commander or intermediate commanders (in a recommendation for discharge or in documents forwarded with such a recommendation).

(2) Any member of the board of officers or an administrative separation board adjudicating the case.

(3) The investigating officer or recorder presenting the case before the board.

(4) The separation authority.

d. Alternatively, if limited use evidence is improperly introduced by the Government before the board convenes, the elimination proceeding may be reinitiated, excluding all reference to the evidence protected by the "Limited Use Policy". If the limited use evidence is improperly introduced by the Government after the board convenes, only a general court-martial convening authority may set aside the board proceeding and refer the case to a new board for

rehearing. The normal rules governing rehearings and permissible actions thereafter will apply in accordance with AR 600-8-24 or AR 635-200, as appropriate.

e. All situations, which could arise in applying the "Limited Use Policy" in the field, cannot be foreseen. As in other instances in which regulatory guidance is applied to an actual case, the commander should seek advice from the supporting legal office.

6–6. Separation actions

Illegal drug use is grounds for disciplinary action under the UCMJ and/or the initiation of administrative separation proceedings. In addition to the rules for administrative separation actions and boards (Refer to AR 600-8-24 and AR 635-200), the following rules apply to administrative separation actions and boards for illegal drug abuse. In this regard the following should be considered:

a. Biochemical test results from an Army FTDTL normally can be substantiated by a "Litigation Package" alone (See para 8-5b of this regulation). Counsel for the respondent will be allowed adequate opportunity to interview laboratory officials before the board date.

b. A respondent's request for production of an expert witness should not be approved automatically. As with any other witness's request, the burden is on the requesting party to demonstrate the relevance of the witnesses' testimony. Even when relevance has been established, alternative forms of testimony, to include telephonic testimony, may be an adequate substitute to a personal appearance.

Section III
Military Confidentiality

6–7. Confidentiality of military patient ASAP information within the Armed Forces

a. The ASAP rehabilitation process generally involves the soldier, the unit commander and/or First Sergeant, the ASAP clinical staff, and others as appropriate. Generally, there is no reason for anyone other than these individuals to learn of a soldier's alcohol or other drug abuse problem. While commanders above the unit level may on rare occasions have an official need to know the specific identity of an enrolled abuser within their commands, their knowledge of the number of abusers enrolled in the ASAP is usually sufficient information. No lists of soldiers enrolled in the ASAP will be circulated to commanders above unit level. The garrison commander must be provided the names and units of soldiers in accordance with paragraph 1-17n, but this does not include personal identification information pertaining to soldiers already enrolled in the program.

b. ASAP patient records are medical records and are protected by the restrictions contained in The Privacy Act (5 USC 552a), 42 CFR Sub Chapter A Part 2, AR 40-66, and AR 340-21. These records will be maintained by the ASAP clinical staff and stored for a period of 5 years after case closure in accordance with the Modern Army Records Keeping System and the MTF accrediting body.

c. Commanders, Inspector General personnel, Audit Agency, Security investigators, and other DOD personnel do not have unlimited access to review a soldier's medical records. The release and/or discussion of information within the Armed Forces concerning a soldier's abuse of alcohol and other drugs will be made known to those individuals within the Armed Forces who have an official need to know as set forth in 42 CFR, Subchapter A Part 2. This is provided they document their need to know and submit their written request to the responsible MEDCEN/MEDDAC commander for pertinent release of information as outlined in AR 40-66 regarding patient medical records.

d. On occasion, commanders (other than the soldier's unit commander) may request seemingly confidential information regarding a specific soldier's referral, enrollment, and participation in the ASAP rehabilitation. Such requesters will be informed that the MTF's Patient Administration Division determines whether data can be released and will advise requesters to document their need to know and to submit their requests to the responsible MEDCEN/MEDDAC commander for the proper release of information.

e. The ASAP clinical staff will ensure that all potential disqualifying information obtained from the soldier during ASAP clinical screening and/or treatment will be promptly forwarded to the soldier's unit commander. The ASAP clinical staff should become familiar with the provisions of AR 50-5, AR 50-6, AR 380-67, and their responsibilities regarding the PRP and the Personnel Security Program.

6–8. Confidentiality of military client ASAP information outside the Armed Forces

a. The restrictions on disclosure of confidential information allowed by the Freedom of Information Act (5 USC 522) or 5 USC 552a apply to the following:

(1) Requests for information from sources outside the Armed Forces pertaining to soldiers' participation in the ASAP.

(2) All requests for information pertaining to civilian employees' and family members' participation in the ASAP.

b. The primary intentions of the referenced policies are to:

(1) Remove any fear of public disclosure of past or present abuse.

(2) Encourage participation in a treatment and rehabilitation program.

6–9. Authority

a. PL 92-255, Section 408, the Drug Abuse Office and Treatment Act of 1972 (21 USC 1175), as amended by section 303 of PL 93-282 (88 Stat 137).

b. PL 91-616, Section 333, as amended by section 122(a) of PL 93-23 (88 Stat 131).

c. Title 42 CFR.

6–10. Penalties

The provisions of this section apply to individuals responsible for any client/patient record and to individuals who have knowledge of the information contained in client/patient records. Such records include those maintained in connection with alcohol or other drug abuse education, training, treatment, rehabilitation, or research. The criminal penalties for unauthorized disclosure of information protected by the Federal statute and regulations may include a fine of up to $5,000 for each offense.

Section IV
Releasing ASAP Information to the Media

6–11. Releasing information to news media

a. This section provides guidance for the release to the news media of program information that does not identify any individual, directly or indirectly, as either an abuser or non-abuser of alcohol or other drugs. This includes information concerning a former abuser of alcohol or other drugs.

b. Release of information pertaining to DOD activities is the function of the Office of the Assistant Secretary of Defense (Public Affairs). The Office of the Chief of Public Affairs, HQDA, coordinates, plans, and monitors the execution of appropriate Army information activities.

6–12. Guidelines for releasing information

a. Unclassified factual information on the following may be provided to the news media in response to queries about:

(1) The Army's alcohol and other drug abuse program issues.

(2) The Army's alcohol and other drug abuse prevention and rehabilitation program as described in this regulation.

b. Tours of facilities and discussions with ASAP staff personnel must have the prior approval of the installation commander and, if appropriate, the MEDCEN/MEDDAC commander. Such tours or discussions will not be conducted at a time or location that could result in the identification of a patient as an alcohol or other drug abuser.

c. Information on quantitative results for the urine testing program and overall ASAP statistics will not be given until released by the Director, ASAP.

d. MACOMs will ensure that command information materials receive wide distribution and will respond to queries as provided in paragraphs 6-11a of this regulation.

6–13. Administration

a. Public Affairs officers may communicate directly with the Office of the Chief of Public Affairs, HQDA.

b. Requests for authority to release additional information will be directed to HQDA (ATTN: SAPA-PCD), 1500 Pentagon, Washington, DC 20310-1500.

Chapter 7
Special Provisions for Military Personnel in Critical Safety or Security Positions

7–1. General

Alcohol and other drug abuse by soldiers in critical safety or security positions is of special concern because of their adverse impacts on readiness, public health and safety, operations, life and property, and the possible disclosure of

national security information. To minimize safety and security risks, special provisions have been developed which allow:

a. Release of potentially disqualifying information obtained from the soldier during the ASAP clinical screening and treatment.

b. Suspension and/or revocation of a soldier's access to classified material, chemical agents, or nuclear agents.

c. Restriction or suspension of aviation duties.

d. Notification to the U.S. Army Central Personnel Security Clearance Facility.

e. Increased frequency of random drug testing.

7–2. Personnel in sensitive security positions

Participation in the ASAP rehabilitation program is not in itself sufficient cause to identify a soldier as a security risk in accordance with AR 380-67. However, circumstances of a given case may warrant suspension of an individual's access to classified material. (Refer to AR 380-67 and/or the supporting Security Office for guidelines on suspending access to classified information and/or reporting information to the U.S. Army Central Personnel Security Clearance Facility.)

7–3. Personnel reliability program (PRP)

The Chemical Surety Personnel Reliability Program and the Nuclear Surety Personnel Reliability Program are command programs designed to ensure that only those soldiers who comply with the highest possible standards of reliability are allowed to perform duties associated with chemical or nuclear agents. Such reliability is maintained through the initial and continual evaluation of soldiers assigned to PRP duties. No one is assigned to a PRP position until screened and certified by the certifying official. The failure of an individual to be certified for assignment to PRP duties does not necessarily reflect unfavorably on the individual's suitability for assignment to other duties. The decision to remove or disqualify a soldier enrolled in the PRP is a command decision. ASAP policies are designed to fully support the Chemical Surety Personnel Reliability Program and the Nuclear Surety Personnel Reliability Program. (Refer to AR 50-5 and AR 50-6.)

7–4. Reporting disqualifying information

The ASAP CD must ensure that potentially disqualifying information related to the soldier's participation in ASAP counseling center screening and evaluation and the soldier's subsequent enrollment in rehabilitation will be made available to the PRP certifying official for consideration promptly. ASAP clinical personnel should be familiar with their PRP responsibilities identified in AR 50-5 and AR 50-6.

7–5. PRP urinalysis testing requirements

a. Before PRP certification, all soldiers must submit to a urinalysis screen for illegal drug use.

b. Certified military personnel performing PRP duties will be tested a minimum of once in a 12-month period.

7–6. Aviation personnel and alcohol and drug abuse

a. Alcohol and other drug abuse by aviation personnel are a special concern because of its impact on aviation safety and mission. Therefore, aviation personnel on flight status are required to submit to urinalysis testing annually. Aviation specialties for officers, warrant officers, and enlisted are:

(1) Officer personnel in the 15 series and 67J specialties.

(2) Warrant officer personnel in the 150-155 specialties.

(3) Enlisted personnel in the 67, 68, and 93 series Military Occupational Specialties.

(4) Flight medics, door gunners, or others who are "special details" into the aviation mission.

b. Army Regulation 40-501 provides medical fitness standards. Army Regulation 600-105 provides policies and procedures for restricting, suspending, and terminating medically unfit personnel from aviation duties and includes guidance for reinstating rehabilitated abusers determined fit to return to aviation duties.

c. For the purposes of this regulation, aviation personnel given a diagnosis of alcohol abuse or dependency by medical authority will be considered medically unfit for aviation duty. A medical waiver returning Active Component and USAR aviators to aviation duties may be obtained from the Commander, U.S. Total Army Personnel Command (PERSCOM) (ATTN: TAPC-PLP-A), 200 Stovall Street, Alexandria, VA 22332-0406. To obtain a waiver, the aviator must:

(1) Have been totally abstinent from the use of alcohol for a minimum of 90 days.

(2) Have completed the ASAP or joint service equivalent successfully, or be satisfactorily progressing in treatment and be actively participating (that is, weekly) in an ongoing, sobriety/self-help program.

(3) Obtain favorable written evaluations and recommendations from the ASAP clinician or joint service equivalent, unit flight surgeon, and aviation unit commander, with endorsement by a General Officer in the chain of command, and

submit all documentation to the Commander, U.S. Army Aeromedical Center (USAAMC), Fort Rucker, AL 36362-5000 for aeromedical board review.

(4) Obtain favorable written recommendation that the aviator be allowed to return to aviation duty from the Commander, USAAMC, who will forward all documentation to Commander, PERSCOM (ATTN TAPC-PLP-A), 200 Stovall Street, Alexandria, VA 22332-0406.

(5) The Commander, PERSCOM will grant or deny the request for waiver. Generally, waiver requests, which are received at PERSCOM prior to the normal anticipated 12-month grounding period, will be evaluated on the strength of the recommendations and endorsements. The aviator's waiver must be medically reviewed by a flight surgeon each year in concert with an annual flight physical.

d. Nondependent alcohol abusers do not necessarily have to be restricted from flying duties provided their abuse of alcohol has not interfered with their performance of duty. In such cases, commanders, in coordination with the CD and the flight surgeon, will determine appropriate action regarding aviation service or flying status, under guidance in paragraph 7-6b of this regulation.

e. Aviation personnel who use illegal drugs, whether or not determined by aviation medical authorities to be medically fit, are subject to disqualification from flying duties in addition to appropriate disciplinary and administrative actions.

f. Aviation personnel, including air traffic controllers, who hold Federal Aviation Administration (FAA) medical certificates must comply with FAA standards on alcohol and other drug use.

Chapter 8
Biochemical Testing

8–1. Objectives

The objectives of Army's Biochemical Testing Program are to:

a. Deter soldiers, including those members on initial entry on AD after enlistment or appointment, from abusing drugs (including illegal drugs, other illicit substances, and prescribed medication).

b. Facilitate early identification of alcohol and/or other drug abuse.

c. Enable commanders to assess the security, military fitness, good order and discipline of their units, and to use information obtained to take appropriate action (for example, UCMJ, administrative, or other actions, including referral to the ASAP counseling center for screening, evaluation, and possible treatment).

d. Monitor rehabilitation of those enrolled for alcohol and/or other drug abuse.

e. Collect data on the prevalence of alcohol and/or other drug abuse within the Army.

8–2. Policy

a. The minimum rate of testing is one random sample per AD soldier per year. To the maximum extent possible, USAR and ARNG test rates will mirror the AD rate.

b. All urine specimen collections will be conducted in accordance with procedures set forth in appendix E. Appendix E does not apply to civilians.

c. All urine specimens will be forwarded to the supporting FTDTL.

d. Illicit use of anabolic steroids by military members is recognized as an offense under the UCMJ.

e. All confirmed positive drug tests for a drug with possible legitimate medical use as determined by USAMEDCOM must be reviewed and evaluated by a MRO before any action is taken against a soldier, and prior to suspending access to classified information or reporting to the Central Clearance Facility (CCF).

8–3. Biochemical testing programs

The decision to test and how to organize the testing event is made by the commander; however commanders must be cognizant that an unpredictable testing pattern will produce a more accurate indicator of drug abuse within a particular unit than one which is predictable (whether predictability is due to an established testing pattern or due to obvious preparatory arrangements). Commanders should consider testing during non-traditional times. To realize the objectives of the Army's Biochemical Testing Program, there are eight circumstances for urinalysis testing of soldiers, each of which conform to DODD 1010.1:

a. Inspection. An inspection is an examination of a unit, or part thereof, conducted as a function of command, the primary purpose of which is to ensure the security, military fitness, or good order and discipline of the unit, and is conducted pursuant to MRE 313.

b. Search or Seizure/Probable Cause. This may include searches based on probable cause (in accordance with MRE 315) or those conducted pursuant to a recognized exception to the probable cause requirement.

c. Competence for Duty. During evaluation of a soldier, the appropriate command authority may direct urinalysis testing to determine the soldier's competence for duty or need for counseling, rehabilitation, or other medical treatment

when the commander has reason to question the soldier's competence for duty based on aberrant, bizarre, or uncharacteristic behavior, breaches of discipline, or other similar behavior. This test may be based on less than probable cause.

d. Rehabilitation. Production of a sample will be required as a part of the alcohol or other drug rehabilitation program. The rehabilitation team will determine the frequency, which will then be included in the rehab plan.

e. Mishap or Safety Inspection. Following any incident that may be considered a safety mishap; a specimen may be collected from any individual directly or indirectly involved. Samples which are collected in compliance with MRE (for example, inspection by command policy, search, seizure, or consent) may be used for any lawful purpose. However, samples may also be collected for mishap investigatory purposes only and may not satisfy the requirements of the MRE for admissibility in a court-martial. If samples do not satisfy the standards of admissibility, these tests will be protected by the "limited use policy".

f. Consent. A specimen may be provided voluntarily by a soldier as part of a consent search conducted in accordance with MRE 314(e).

g. New Entrant. Urinalysis testing may be required during the precession physical or initial period of military service. (Refer to DODI 1010.16 for a description of the policy on precession or new entrant drug testing and dependency evaluation.)

h. Medical. A specimen may be required during any examination for a valid medical purpose (for example, emergency treatment, periodic physical examinations, and such other medical examinations as are necessary for diagnostic or treatment purposes in accordance with MRE 312).

8–4. Retesting of positive FTDTL specimens

a. Positive FTDTL urine specimens may be retested, provided a sufficient quantity of the specimen is available for retesting. All requests for a retest will be in writing. Retesting will be initiated upon:

(1) Request of the submitting installation/command, the MRO, the soldier, or an attorney representing the soldier.

(2) Request of an administrative board under rules applicable to the board.

(3) An order of a court-martial or rules applicable to the court-martial.

b. A soldier whose urine has tested positive for illegal drugs may obtain a retest at a commercial laboratory (NIDA approved) outside the DOD laboratory system at the individual's expense when a sufficient quantity of the same specimen is available for retesting. Only an aliquot of approximately 5-10 milliliters will be released for such testing. The original specimen and bottle shall be maintained at the laboratory or contract laboratory. The specimen must be forwarded using the chain of custody procedure and by a method that ensures the Government is not obligated to pay for testing.

c. Soldiers' requests are to be submitted through the installation/command to the laboratory performing the initial test.

8–5. Requesting urinalysis documents

a. FTDTL or contract laboratory documents pertaining to positive urinalysis results used in connection with adverse administrative or disciplinary action may be obtained by written request. All requests must identify the documents requested and must be submitted through the installation/command to the laboratory that performed the urinalysis. Requests for documents for civilian tests must be forwarded through the MRO to the installation ADCO. Documents will be furnished at no expense upon:

(1) Request of the installation or unit commander, a SJA office, the tested individual, or the tested individual's attorney.

(2) Request by the President or Recorder of an administrative board.

(3) An order of a court-martial or rules applicable to the court-martial.

b. Documents which may be obtained from the FTDTL are a "Commander's Packet" (which includes items (1), (2), and (6) below) or a "Litigation Packet" (which includes items (1) through (6) below). Other documents should be requested through normal military legal channels.

(1) An affidavit cover sheet certifying the test procedures used and results found for the soldier's specimen.

(2) Photocopy of the installation chain of custody documents with certified results.

(3) Photocopy of the intralaboratory chain of custody documents.

(4) A description of the analytical methodology.

(5) Results of the analysis of the soldier's sample.

(6) Laboratory DOD certification.

c. The provisions of this paragraph are not intended to, and do not, provide any rights or privileges as to the relevancy or admissibility of laboratory documents that are not otherwise afforded by the UCMJ, the Manual for Courts-Martial, or regulations governing adverse administrative and disciplinary actions. In no case will failure to

comply with the provisions of this paragraph be used to invalidate an otherwise valid and legally sufficient adverse administrati ve or disciplinary action.

Chapter 9
Management Information System

9–1. General

The Drug and Alcohol Management Information System-Headquarters (DAMIS-HQ) provides essential management information on ASAP at each level of command. The data generated by the DAMIS-HQ provides the capability to:

a. Measure the magnitude of alcohol and other drug abuse.

b. Measure the progress made in the ASAP prevention and risk education efforts.

c. Measure the progress made in the rehabilitative and medical treatment aspects of the ASAP.

d. Identify statistical trends to support requisite policy and procedural changes.

e. Identify funding and manpower requirements for the ASAP.

f. Reply to public, media, congressional, or other Government agency inquiries.

9–2. ASAP reporting procedures

The data contained in the DAMIS-HQ originates from the reports supplied by installation ASAPs worldwide: DA Form 3711 (Army Substance Abuse Program and Performance Review (RAPR)), DA Form 4465 (Patient Intake /Screening Record (PIR)) and DA Form 4466 (Patient Progress Report). These reports are submitted by hardcopy or electronic interface through the Drug and Alcohol Management Information System-Field System (DAMIS-FS). All these forms and guidance for their completion are provided in chapter 5, DA Pam 600-85.

9–3. USAMEDCOM reporting requirements

a. At a minimum, by the 10th of each month USAMEDCOM will provide the following data to the Director, ACSAP for the previous month's operations of each FTDTL:

(1) Total specimens received.

(2) Total specimens tested by drug type.

(3) Total specimens confirmed positive.

(4) Total specimens confirmed positive by drug.

(5) Total soldiers confirmed positive.

(6) Total specimens with discrepancies that caused the sample not be tested, by discrepancy category.

(7) (1) through (6) above by installation.

(8) (1) through (7) above by MACOM.

(9) (1) through (8) above on total fiscal year to date basis.

b. Notify the Director, ACSAP, and the installation ADCO immediately regarding any false positive results reported by the FTDTLs.

9–4. Department of Transportation (DOT) reporting requirements

a. Each Army installation shall prepare and maintain an annual calendar year summary of the results of its alcohol and other drug testing programs. The information required is found in 49 CFR Section 382.403.

b. Each installation ADCO or EAPC will ensure that a FHWA MCS-154, Rev. 1-94 (Federal Highway Administration (FHWA) Drug and Alcohol Testing Management Information System Data Collection Form) or the FHWA MCS-155, Rev. 1-94 (FHWA Drug and Alcohol Testing Management Information System "EZ" Data Collection Form) is completed not later than 15 February of each year. These forms can be obtained from the U.S. Printing Office, Superintendent of Forms, Washington, DC 20401. Test data are to be maintained for at least 5 years. Installations will promptly forward completed data forms to one of the following:

(1) Their MSC HQs which will summarize the data and forward information to their MACOM.

(2) Directly to their MACOM EAPAs.

c. MACOM EAPAs will ensure that a MACOM summary report and attached installation reports arrive at the ACSAP not later than 1 March of that year. The Director, ACSAP will summarize and analyze the MACOM data and forward a completed report to the DHR and to Office of the Secretary of Transportation, Drug Enforcement and Program Compliance, Room 9404, 400 Seventh Street SW, Washington, DC 20590.

9–5. ASAP patient medical records

ASAP patient records, excluding DA Forms 4465 and DA Forms 4466, are medical records governed by AR 40-66 and will consist of official forms referred to in AR 40-66. Progress notes will be recorded only on SF 600 or in an authorized database serving that purpose. No other official forms will be created without MTF approval. Clinical

correspondence and reports from outside agencies will be maintained in the ASAP patient records. Every document contained in the medical record will comply with the requirements of 5 USC 522a and the requirements of 42 USC 290dd-2.

9–6. ASAP patient medical record filing procedures

a. ASAP patient medical records will be maintained in one of the following categories:

(1) Open patient medical case records will include patients seen on a regularly scheduled basis as well as patients in partial inpatient care programs.

(2) Closed patient medical case records will include patients in an inactive status and those pending transfer of record. These records will be maintained as inactive records and retained for a period of 5 years. Patients referred to as being in the inactive patient status include former employees or those screened and returned to units with no further action indicated. Former participants of ADAPT or ASAP treatment are filed in the inactive records when not receiving follow-up.

b. Access to individual ASAP patient medical records will be restricted to the following:

(1) Rehabilitation staff members.

(2) AMEDD designated personnel involved in the treatment of individual patients and AMEDD evaluators who will be charged with determining the extent of compliance with this regulation. Only USAMEDCOM personnel participating as members of official inspection teams have access.

9–7. Management information feedback reports

a. Direct communication between Director, ACSAP and installation ADCOs is authorized. The ACSAP will maintain an historical database of ASAP data collected from DA Forms 3711, DA Forms 4465, and DA Forms 4466 that will be used for program management and strategic program planning.

b. The ACSAP will send management reports to each installation, MSC, and MACOM ADCO. This information will be derived from the DA Form 3711, DA Form 4465, and DA Form 4466 submitted to ACSAP. The ADCO will disseminate reports to the CD.

c. The ACSAP will provide ADCOs and CDs information outlining the accuracy and timeliness of DA Form 3711, DA Form 4465, and DA Form 4466 received from their installation.

Chapter 10
Program Evaluation

10–1. Scope

a. Program evaluation is an integral part of ASAP planning which is intended to assist administrators and managers at all levels in decision making and management.

b. Evaluation will be accomplished through regular management reporting, assistance visits, program element evaluations, and external evaluations requested by the DCSPER.

c. ASAP evaluations, in coordination with MACOMs:

(1) Determine if program objectives are being met.

(2) Determine program effectiveness and efficiencies, including commanders' and other customers' perceptions.

(3) Obtain data for development of policies and procedures and determining resources or allocations.

(4) Determine problem areas and requirements for technical assistance at specific installations.

(5) Determine compliance with directives.

(6) Provide feedback as a basis for program improvement and allocation of dollar and staff resources.

10–2. Staff assistance inspection (SAI) and Installation biochemical testing program inspection (IBTPI)

a. Army Center Substance Abuse Program will make SAIs to the program sites at least once every 2 years. ACSAP will focus on the non-clinical functions. When possible SAIs will be conducted jointly with USAMEDCOM.

b. ACSAP will make IBTPIs to program sites to the extent possible at least every 3 years. IBTPIs will focus on the entire biochemical testing program and may be conducted jointly with the SAI if possible.

c. ACSAP and USAMEDCOM will also conduct SAIs and or IBTPIs at the request of the DCSPER; CAR; CNGB; MACOM commanders, or the installation commanders.

d. The schedule of ACSAPs SAIs and IBTPIs will be based on results of previous visits; time elapsed since last visit, and statistical data.

e. MACOMs will conduct annual SAIs.

Chapter 11
ASAP Non-clinical and Clinical Staff Training

11–1. General

Sustaining and improving the skills and proficiency of the ASAP staff require continuing professional development training programs that meet the complex technical needs of the entire staff. The Director, ACSAP is responsible for the professional development training of the ASAP non-clinical staff and will manage life cycle training through the Army Civilian Training and Education System. The installation commander is responsible for resourcing the professional development training of all ASAP non-clinical positions. USAMEDCOM and the Army Medical Department Center and School (AMEDDC&S) are responsible for the professional development training of all ASAP clinical positions.

11–2. Non-clinical DA sponsored staff training

The Director, ACSAP is the proponent for IPTT, ADCO, PC, EAPC, UPL, and IBTC training, and will develop a budget for all non-clinical training requirements. The Director, ACSAP will publish a training schedule annually which includes complete course descriptions and eligibility criteria. Course nominations will be forwarded and coordinated through MACOMs to ACSAP.

11–3. Leadership training and schools

TRADOC will ensure that current and appropriate training on the ASAP clinical and non-clinical components is integrated at all levels of Army professional development. The ACSAP and AMEDD staffs will be available to provide training at senior leadership training courses. The AMEDDC&S will provide training to all AMEDD Officer Basic Course, Officer Advanced Course, Basic Noncommissioned Officer Course, and Advanced Noncommissioned Officer Course students.

11–4. Training products

The ACSAP will develop and distribute training modules on key ASAP non-clinical program elements. USAMEDCOM, through AMEDDC&S, will develop and offer training modules for ASAP clinical personnel. Training products will be updated periodically, be consistent with Army policy, and be automated and capable of being electronically delivered whenever possible.

11–5. ASAP staff certification

a. Installation EAPCs must gain certified EAP professional status within four years of assuming duties. Existing EAPCs have until 4 years from published date of this regulation. Individuals will be responsible to apply for certification, training and for maintaining all professional development requirements once they are certified. ADCOs are encouraged to gain certified EAP professional status.

b. Prevention Coordinators will be certified through the ACSAP.

c. Installation Biochemical Test Coordinators will be certified through ACSAP's IBTC course.

d. Unit Prevention Leaders must complete ACSAP's standardized certification course.

11–6. Clinical USAMEDCOM sponsored training

a. USAMEDCOM is the proponent for all clinical and medically related training. Formal courses will be offered by AMEDDC&S, which will publish a training schedule with complete course descriptions and eligibility criteria. Course nominations will be forwarded annually to AMEDDC&S Alcohol and Drug Training Section. Newly assigned Clinical Consultants and CDs will attend an orientation training session at AMEDDC&S within 120 days of assignment. All other clinical personnel will attend required training within 6 months of assignment. All clinical staff will attend AMEDDC&S sponsored continuing education training in order to maintain clinical skills and remain current with DA

policies. The AMEDDC&S will sponsor Additional Skill Identifier training (M8 and Z qualifier) for eligible active and reserve component soldiers.

b. Clinical Consultants will receive the orientation described in paragraph 11-6a of this regulation and will be offered continuing medical education training at AMEDDC&S every 2 years.

c. CDs will receive orientation described in paragraph 11-6a of this regulation and will participate in continuing education training at AMEDDC&S.

d. Civilian counselors will attend required AMEDDC&S courses within 6 months of assignment and will complete continuing education training at AMEDDC&S.

11–7. Deployment training

AMEDDC&S will design and furnish deployment specific training packages for Mental Health and Combat Stress Control Medical units. The ACSAP and installation ASAP will provide substance abuse prevention and risk reduction training for those elements.

Chapter 12
Army Substance Abuse Program (ASAP) in the Army National Guard of the United States (ARNGUS)

Section I
General

12–1. Scope

This chapter establishes policies, responsibilities, and specific procedures for implementing and managing the ASAP within the Army National Guard (ARNG).

12–2. Applicability

a. This chapter applies to all ARNG soldiers, except for personnel in the following duty categories: (All soldiers in the following 5 categories fall under Active Army Control and other provisions of this regulation.)

(1) Active duty of 30 days or more that is not for training, including AD in an Active Guard Reserve status under title 10 USC.

(2) Special tours of active duty training (ADT) of 30 days or more.

(3) Initial active duty training (IADT).

(4) Involuntary ADT of 45 days.

(5) Soldiers ordered to AD status during periods of partial, full, or total mobilization.

b. State employees and Federal technicians are not serving in a military duty status while employed in those capacities, and this chapter does not apply to them unless otherwise stated.

Section II
Scope of Duties

12–3. The Director, Army National Guard (ARNG)

The Director, ARNG will develop and execute plans, policies, and procedures of the ARNG ASAP.

12–4. The Chief Surgeon, ARNG

The Chief Surgeon will provide technical consultation on all medical aspects of the ARNG ASAP.

12–5. The Director, Counterdrug Directorate, National Guard Bureau (NGB-CD)

The Director, NGB-CD will develop policy and regulatory guidance concerning program funding, internal control, and evaluation.

12–6. The Chief, Substance Abuse Branch

The Chief, Substance Abuse Branch will administer, manage, and provide direction to the ARNG ASAP and will—

a. Establish requirements and prepare budget requests for ARNG funds to support the ASAP.

b. Determine, allocate, and manage urinalysis quotas for the States and Territories.

c. Provide liaison with HQDA and other agencies on ASAP matters.

d. Develop and provide guidance to the State MROs and State ADCOs regarding funding requirements and drug testing quota utilization.

12–7. The State Adjutants General

State Adjutants General will provide program management and operational supervision of the ARNG ASAP within their State or Territory and will—

a. Ensure that State policies and standards are clearly understood and adhered to by all ARNG members.

b. Designate a State ADCO on orders.

c. Designate a State MRO on orders.

12–8. State ADCOs

Each State ADCO will act as the principal staff officer for coordinating and managing the ARNG ASAP for their respective State Adjutant General. State ADCOs will—

a. Ensure that the State Counterdrug Coordinator is informed of all ASAP issues.

b. Coordinate State ARNG activities in the area of substance abuse, to include internal prevention, education, training, identification, referral, follow-up, and program evaluation.

c. Manage and allocate drug-testing quotas within the State in accordance with the policies and priorities established by the NGB and the State Adjutant General.

d. Establish and maintain coordination with the State's assigned FTDTL.

e. Train all ASAP personnel in drug urinalysis collection procedures.

f. Provide periodic program evaluation to the State Adjutant General and required reports to the NGB.

g. Maintain the State ASAP record and reports.

h. Identify State certified, community-based alcohol and other drug referral, counseling, and rehabilitation services and to ensure that this information is made available to unit commanders for use in the referral process.

i. Serve as a member of the Alcohol Drug Intervention Council (ADIC).

j. Coordinate with the ADCO of the Active Component installation(s) assigned garrison support responsibilities, the respective Clinical Director (CD), and the Regional Medical Command (RMC) regarding available ASAP support.

12–9. Major Army Command Alcohol Drug Control Officers

MACOM ADCOs will act as the principal staff officer for coordinating and managing the MACOM ASAP under the direction of the State ADCO.

12–10. Unit Prevention Leaders (UPLs)

UPLs will—

a. Advise and assist the unit commander in carrying out the responsibilities of the ARNG ASAP.

b. Administer the unit biochemical-testing program.

c. Provide education and prevention training to all soldiers.

d. Brief all new unit personnel regarding ASAP policies and requirements.

e. Inform the unit commander the status of the ASAP and the trends in alcohol and other drug abuse in the unit.

f. Maintain unit ASAP records and reports.

Section III
Policies and Procedures

12–11. Policies

Illegal drug use is misconduct and the abuse of alcohol or the use of illicit drugs by both military and civilian

personnel is inconsistent with the standards of performance, discipline, and readiness necessary to accomplish the Army's mission.

a. ARNG soldiers identified as illegal drug users simultaneously will be:

(1) Counseled by the unit commander for enrollment in the ARNG ASAP within 45 workdays of verified positive drug test.

(2) Processed for administrative separation within 45 days of receipt of the verified positive drug test. Soldiers may be considered for disciplinary action prior to separation.

(3) Evaluated for continued eligibility for access to classified information and reported to the U S Army Central Personnel Security Clearance Facility per AR 380-67.

b. ARNG soldiers involved in alcohol related misconduct such as drinking on duty, drunk on duty, or operating a motor vehicle while intoxicated will be:

(1) Counseled by the unit commander for possible enrollment in the ARNG ASAP within 45 workdays of being identified for possible alcohol abuse.

(2) Considered for administrative separation and/or disciplinary action.

(3) Evaluated for continued eligibility for access to classified information and reported to the U S Army Central Personnel Security Clearance Facility per AR 380-67.

12–12. Funding considerations

a. Counterdrug ARNG Operation and Maintenance funds will be used to pay for:

(1) Supplies and shipping material for the collection and shipment of urine specimens to the toxicology laboratory.

(2) Litigation and/or Commander's Packets (See para 8-5 of this regulation) and related costs. Each State/Territory will submit a request for a Litigation Packet to the toxicology laboratory and provide a copy of the request to the Chief, Substance Abuse Branch. The Litigation Packet will be ordered by the State Judge Advocate General or State ADCO. Counterdrug Operation and Maintenance funds may be used for payment of expert witness and telephone consultants' fees when approved by the Chief, Substance Abuse Branch.

(3) Prevention, education, and training materials, and services for soldiers and their families.

b. Counterdrug ARNG Pay and Allowance funds may be used to pay for:

(1) ASAP training, including travel costs to conferences and seminars.

(2) Urine collections.

(3) Administrative separation boards.

(4) ASAP administrative support.

c. Counterdrug funds will not be used to pay for alcohol and/or other drug treatment or rehabilitation for ARNG soldiers.

12–13. Alcohol Drug Intervention Council (ADIC)

Chapter 2 of this regulation applies to the ARNG, except that:

a. An ADIC will be established at the State level to function in an advisory capacity to the State Adjutant General.

b. The ADCO will provide continuous assessment of the alcohol and other drug environment within the ARNG of that State.

12–14. Referral of alcohol and illegal drug abusers to the ARNG ASAP

Chapter 3 of this regulation applies to the ARNG, except that:

a. When ARNG soldiers are identified voluntarily or involuntarily as a possible alcohol or other drug abuser, the unit commander or designated representative will promptly:

(1) Counsel and advise the soldiers of their rights under the appropriate provisions of the State law pertaining to self-incrimination using the appropriate State Rights Warning Procedure/Waiver Certificate, and explain the "Limited Use Policy" addressed in section III, chapter 6 of this regulation.

(2) Refer soldiers to community-based counseling and rehabilitation programs using a DA Form 4856 (General Counseling Form) or another State-approved counseling form. The unit commander must provide soldiers with a list of State certified and/or approved counseling/treatment agencies that are within a reasonable commuting distance of the soldiers' residences. Soldiers must be advised that:

(a) They must be screened/evaluated within 30 days of the command counseling session.

(b) They are responsible for all costs incurred in any referral/rehabilitation programs. Soldiers should be encouraged to explore available treatment options (for example, a sliding fee based on income, use of health insurance, Medicaid, and so forth.) with treatment program personnel.

(c) They must sign a consent statement that allows the treatment personnel to share necessary treatment information with the unit commander or designee. Soldiers must request that treatment personnel provide monthly updates in writing to unit commanders, who must be kept informed regarding the progress of treatment. Methadone maintenance and mandatory Disulfiram (Antabuse) treatment will not satisfy the rehabilitation requirements of this chapter. Soldiers

may refuse to sign the consent statement. However, these soldiers may be deemed not to be participating sufficiently in rehabilitation. Refusal to sign may result in their being processed for administrative separation for rehabilitation failure.

(d) Failure to participate in and successfully complete approved State or ASAP counseling and treatment program, or the refusal to sign a consent to release information to the unit commander, will result in consideration for separation under AR 135-175 or AR 135-178.

b. ARNG soldiers on IADT or other AD of 30 days or more will use Active Component ASAP services while in an AD status or until treatment is complete.

12–15. Rehabilitation

Chapter 4 of this regulation applies to all active duty ARNG soldiers.

a. The goal of the ARNG ASAP rehabilitation program is to return rehabilitated soldiers to full effective duty as early as possible.

b. The ARNG unit commander must be innovative and empathetic when working with those soldiers enrolled in rehabilitation. The unit commander must be kept informed regarding the soldier's progress.

c. When an ARNG soldier is detoxified at Army expense, an appropriate line of duty determination will be made in accordance with chapter 4 of this regulation.

12–16. State MROs

A State MRO determines if positive drug results reported by the toxicology laboratory could have resulted from the legal use of a prescription drug for medical reasons and/or for drugs administered during surgical or dental procedures.

a. The MRO may be the State Surgeon or other medical doctor within the State ARNG provided those appointed have been trained and certified to perform MRO duties. Physician's assistants, pharmacists, and nurses will not be appointed as the MRO.

b. When a drug test has been reported positive by the toxicology laboratory for a drug with a possible legitimate medical use as determined by USAMEDCOM, the unit commander will offer the soldier the opportunity to furnish medical evidence in the form of a medical prescription and/or statement from the soldier's physician or dentist documenting the drug prescribed or given, date of medical or dental procedure which required prescribed drugs, and the medical reason for its use. The documentation will be marked"Confidential"and will be forwarded through the ADCO to the MRO for evaluation. Unit commanders will not initiate any unfavorable action against the soldier identified until the MRO had rendered an evaluation

(1) If the MRO verifies medically justified use, the unit commander and the State military personnel officer will be notified promptly and no further action is required.

(2) If the MRO confirms illegal drug use, the unit commander and the State military personnel officer will be notified promptly and the unit commander will counsel the soldier in accordance with paragraph 12-11 of this regulation. The unit commander will process the soldier for separation through the military personnel office to the discharge authority.

(3) If the MRO is unable to make a determination without talking directly with the soldier, the ADCO will schedule an appointment to allow the soldier to meet directly with the MRO.

12–17. Administratively separating drug abusers

Chapter 5 of this regulation applies to the ARNG, except that:

a. Unit commanders will process all ARNG soldiers identified as illegal drug users for administrative separation.

(1) Officers and Warrant Officers will be processed under the provisions AR 135-175 and applicable NGB regulations.

(2) Enlisted personnel will be processed under the provisions of AR 135-178 and applicable NGB regulations.

b. If an ARNG soldier refuses to consent to drug testing, the unit commander or a designated representative within the soldier's chain of command will order the soldier to provide a specimen. Soldiers who refuse to participate, violate a direct order and may be processed under applicable State code for disciplinary action and/or judicial or nonjudicial punishment; in addition to processing for separation and other administrative actions outlined under this regulation.

12–18. Biochemical testing guidance

Chapter 8 of this regulation applies to the ARNG, except that:

a. Mandatory testing requirements include the addition of all AGR and AD for Special Work counterdrug personnel according to NGR 500-2.

b. The ARNG is prohibited from urine drug prescreening (field-testing).

c. Due to the geographical separation of ARNG units and ASAP staff, all urine specimens will be shipped directly from the unit to the FTDTL using the proper chain of custody and procedures.

12–19. Management information system
Chapter 9 of this regulation does not apply to the ARNG. Management information will be reported in accordance with NGR 600-85.

12–20. Evaluation
Chapter 10 of this regulation does not apply to the ARNG. Program evaluation will comply with guidance provided by the Director, NGB-CD.

12–21. Quota allocation process
a. The Director, ARNG will establish annual drug testing goals and requirements.

b. Prior to 1 June, each State/Territory will request quotas from the Director, NGB-CD for the coming fiscal year. State quota requests will reflect the goals of the Director, ARNG.

c. States may request an adjustment of quotas from the Director, NGB-CD for any given month. Requests must be made in writing no later than 2 months before the testing date.

12–22. Military justice
Incidents involving alcohol or other drug abuse may also constitute a basis for violation of State law and/or a State military justice code. Soldiers may be processed under applicable State code for disciplinary action and/or judicial or nonjudicial punishment in addition to separation and other administrative actions outlined under this regulation.

Chapter 13
Army Substance Abuse Program (ASAP) in the U.S. Army Reserve (USAR)

Section I
General

13–1. Scope
This chapter establishes policies, responsibilities, and specific procedures for implementing and managing the ASAP within the USAR.

13–2. Applicability
a. This chapter applies to USAR soldiers while not on AD for 31 days or more in the following categories:

(1) Troop program units.

(2) Individual Mobilization Augmentee Program.

(3) Individual Ready Reserve.

(4) Soldiers serving on various tours of ADT, Temporary Tours of AD, and AD for Special Work for less than 31 days. Soldiers performing tours of 31 days or more will comply with provisions listed for Active Component personnel.

b. This chapter does not apply to USAR soldiers activated under a Presidential Selected Reserve Call-up, partial, full, or total mobilization. ASAP policies for Active Component soldiers apply to these personnel.

Section II
Duties

13–3. The Chief, Army Reserve (CAR)
The CAR will—

a. Recommend policies and operational tasks to the DCSPER regarding the participation of USAR component soldiers and their families in the ASAP.

b. Ensure that USAR units comply with ASAP policy.

c. Advise the DCSPER regarding alcohol and other drug abuse and the impact of the ASAP on the USAR.

13–4. Commander, USAR Personnel Command (AR-PERSCOM)
At the direction of HQDA (DAAR-PE), the Commander, AR-PERSCOM will—

a. Collect and disseminate ASAP information.

b. Provide reports concerning performance analysis to HQDA (ATTN: DAAR-PE), 2400 Army Pentagon, Washington, DC 20310-2400.

13–5. Commanders of area commands

Commanders of area commands will (USARC, USACAPOC, 7th ARCOM, 9th ARCOM, AR PERSCOM)—

a. Establish an alcohol and other drug control office within their headquarters.

b. Designate an ADCO on orders that can be filled by an AGR soldier, Active Component member, or a DA civilian.

c. Designate an MRO on orders.

d. Ensure continued support to tenant USAR units in the execution of this regulation's requirements.

13–6. Area command ADCOs

Area command ADCOs will—

a. Provide annual Program Budget Guidance in support of the ASAP.

b. Publish annual guidance for audit procedures of ASAP funds.

c. Develop an internal management control program checklist for ASAP funding execution.

d. Manage and allocate urinalysis quotas based upon regulatory guidance to include priority Military Occupational Specialties for mandatory annual testing, and publish a monthly urinalysis statistical evaluation report.

e. Evaluate the command's ASAP for effectiveness.

f. Provide guidance for the effective operations of the subordinate commands' ASAP.

g. Conduct SAVs to subordinate commands.

h. Coordinate ADCO training requirements and ensure regular training programs are available to the commands.

i. Assemble and disseminate information concerning Active Component ASAP and State certified community-based alcohol and other drug referral, counseling, and rehabilitation services to subordinate commands.

13–7. Commanders of major U.S. Army Reserve commands (MUSARCs)

Commanders of MUSARCs will—

a. Establish an alcohol and other drug control office within their headquarters.

b. Designate the following on orders:

(1) An ADCO to serve as the principal staff officer for coordinating and managing the command's ASAP.

(2) An MRO, when it is not possible to appoint an MRO from within available personnel resources, support will be provided by the chain of command. If the MRO support crosses MUSARCs, a Memorandum of Understanding will be prepared and a copy provided to the next higher headquarters.

(3) A UPL to assist the commander in managing and conducting the unit's ASAP.

13–8. MUSARC ADCOs

MUSARC ADCOs will—

a. Advise the commander on all ASAP issues.

b. Develop and coordinate local ASAP policies and procedures.

c. Provide data for budget and manpower planning, develop funding controls, and maintain appropriate records of all ASAP resource transactions and testing within their subordinate commands.

d. Manage and conduct the command's biochemical testing program.

e. Ensure MROs receive test results requiring review in a timely manner.

f. Ensure that the MRO and the UPLs are trained and certified as required for their duties.

g. Program Operation and Maintenance, Army Reserve and Reserve Personnel, Army funding for the command's ASAP.

h. Assemble and disseminate information concerning Active Component ASAP and State certified community-based alcohol and other drug referral, counseling, and rehabilitation services to subordinate commands.

i. Report positive tests, which do not require medical review (that is, THC, Cocaine, LSD, and PCP), to an appropriate USACIDC field element or PM.

Section III
Policies and Procedures

13–9. Policies

The objective of the USAR program is to sustain a well disciplined, mission capable force ready for mobilization. As deployability is dependent upon a drug free membership, abuse of alcohol or other drugs is incompatible with service in the USAR. Well organized and effective programs in urinalysis testing and alcohol and other drug prevention and education are critical to achieving this objective.

a. USAR soldiers identified as illegal drug abusers will be:

(1) Counseled by the unit commander, in person or by certified mail, (See referral processing guidance in para 13-13 of this regulation) for possible enrollment in the USAR ASAP. Command counseling sessions will be conducted

within 30 calendar days, or by the close of the next drill session, after the receipt of MUSARC MRO-verified positive drug test report.

(2) Flagged immediately in accordance with AR 600-8-2 using DA Form 268 (Report to Suspend Favorable Personnel Actions) to suspend favorable personnel actions until separation procedures for misconduct are adjudicated.

(3) Processed for administrative separation. Processing will be initiated within 30 calendar days of receipt of the MUSARC MRO-verified positive drug test report. In addition, soldiers may be considered for disciplinary action under the UCMJ if use on AD can be validated.

(a) Officers and Warrant Officers will be processed under the provisions of AR 135-175.

(b) Enlisted personnel will be processed under the provisions of AR 135-178.

(4) Evaluated for continued eligibility for access to classified information and reported to the U S Army Central Personnel Security Facility per AR 380-67.

b. Commanders will not release information on positive drug results or initiate administrative actions until an MRO review and evaluation is completed.

c. The USAR urinalysis testing rate of one random sample per Selected Reserve member annually will mirror that of the Active Component testing rate as closely as operationally possible. Special attention is directed to compliance with specific annual testing requirements for members of, or in duty positions of, aviation and military police branches, and soldiers participating in counterdrug operations.

d. USAR soldiers involved in alcohol related misconduct such as drinking/drunk on duty or operating a motor vehicle while intoxicated will be:

(1) Counseled by the unit commander (See referral process in para 13-12 and 13-13 of this regulation) for possible enrollment in the USAR ASAP. Command counseling will occur within 30 calendar days of the soldier's identification for possible alcohol related abuse, if operationally possible.

(2) Flagged (using DA Form 268) immediately in accordance with AR 600-8-2 until separation procedures under appropriate regulations for misconduct are adjudicated if a soldier has one or more instance of alcohol related misconduct.

(3) Have their current duty assignment reviewed, and be relieved from duty if warranted. Ensure relief for cause is recorded.

(4) Have their service record reviewed by the MUSARC commander to determine if one or more of the following actions are warranted:

(a) Administrative reduction in rank for inefficiency under the provisions of AR 140-158.

(b) Bar to reenlistment.

(c) Relief for Cause evaluation report.

(d) Administrative discharge/or disciplinary action under UCMJ, if applicable.

(e) General Officer Letter of Reprimand.

(5) Evaluated for continued eligibility for access to classified information and reported to the U S Army Central Personnel Security Facility per AR 380-67.

e. USAR soldiers who are mobilized or are on AD for more than 30 days will be promptly tested for illegal drug use.

13–10. Prevention and control

Chapter 2 of this regulation applies to the USAR, except that:

a. The USAR will establish ASAP prevention and education programs at the lowest command level which emphasize the incompatibility of substance abuse and continued service in the USAR. The USAR ASAP is a commander's program, and MUSARC commanders are encouraged to establish ADICs at the lowest possible command level. The mission of the ADIC will be to outline the command's substance abuse prevention strategies and evaluate the program's effectiveness within the command.

b. The MUSARC will include USAR soldiers' family members. The MUSARC's Family Readiness Program Manager will coordinate family member involvement in their ADIC counterpart as well as Drug Demand Reduction Programs.

13–11. Referral of alcohol and illegal drug users in the USAR ASAP

Chapter 3 of this regulation applies to the USAR, except that:

a. When the unit commander believes the limited Use Policy applies, the unit commander should consult with the ADCO and the supporting legal advisor. The unit commander may then explain Limited use Policy if applicable to the particular circumstances. If the unit commander determines the Limited Use Policy does not apply, the commander should then advise the soldier of suspected of drug or alcohol abuse of the rights under UCMJ Article 31 (b) and MRE 305, and if available ask the soldier to sign the DA Form 3881, Right Warning Procedure/Waiver Certificate.

b. Refer the soldier to a community-based, State-certified counseling and rehabilitation program using DA Form 4856. The commander must provide the soldier with a list of State-certified and/or approved counseling/treatment

agencies that are within a reasonable commuting distance of the soldier's residence. (USAR will not provide transportation or any clinical services to include screening/assessment, rehabilitation/treatment and follow-up services.) Additionally, soldiers will be advised that they:

(1) Must promptly arrange for a screening/intake session, which should take place not later than 30 days from date of the command counseling session.

(2) Sign a consent statement for release of treatment information, which allows the treatment personnel to share necessary information with the commander or designee. The commander must be kept informed regarding the progress of treatment. Soldiers must request that treatment personnel provide written monthly updates to the commander. Methadone maintenance and mandatory Disulfiram (Antabuse) treatment will not satisfy the rehabilitation requirements of this chapter. Soldiers may refuse to sign the consent statement. However, these soldiers may be deemed not to be participating sufficiently in rehabilitation. Refusal to sign may result in their being processed for separation for rehabilitation failure.

(3) Must understand that failure to seek counseling and treatment, refusal to sign a consent to release information to the commander, or to participate and complete rehabilitation successfully, may result in consideration for administrative separation under AR 135-175 or AR 135-178, as appropriate.

13–12. Rehabilitation

Chapter 4 of this regulation applies to USAR members when on extended AD for more than 30 days. When a USAR soldier is detoxified at Army expense, an appropriate line of duty determination will be made to ascertain the soldier's fitness for subsequent return to duty if warranted.

13–13. Medical Review Officers

The MRO determines if positive drug test results reported by the toxicology laboratory could have resulted from the legal use of a prescription drug for medical reasons and/or for drugs administered during surgical or dental procedures.

a. The MRO must be a physician, trained and certified to perform MRO functions, and appointed in writing. Physician assistants and pharmacists will not be appointed as MROs.

b. When a drug test has been reported positive by the toxicology laboratory for a drug with a possible legitimate medical use as determined by USAMEDCOM, the unit commander will offer the soldier the opportunity to furnish medical evidence in the form of a medical prescription and/or statement from the soldier's physician or dentist documenting the drug prescribed or given, date of medical or dental procedure which required prescribed drugs, and the medical reason for its use. The documentation will be marked"Confidential" and will be forwarded through the ADCO to the MRO for evaluation. Unit commanders will not initiate any unfavorable action against the soldier identified until the MRO had rendered an evaluation.

c. If the MRO is unable to make a determination without talking directly with the soldier, the unit commander will schedule an appointment to allow the soldier to meet with the MRO if practical. If not practical, the MRO will conduct the interview by telephone.

d. When the MRO has made a determination regarding the cause of the positive drug test results the unit commander will be notified promptly.

(1) If the MRO determines medically justified use, then no further action is required.

(2) If the MRO determines illegal drug use, then actions will be taken in accordance with paragraph 13-9a of this regulation.

13–14. Biochemical testing guidance

Chapter 8 of this regulation applies to the USAR, except that:

a. The USAR is prohibited from urine drug prescreening (field-testing).

b. The area commander, MUSARC commander, unit commander, or their designated representatives will randomly identify individual soldiers, parts of units, or entire units for random drug testing. Random drug testing quota requests will be in writing and approved by the MUSARC commander. All random drug tests will be unannounced.

c. If a soldier refuses to consent to drug testing, the soldier will be given a direct order by the unit commander to provide a specimen. Refusal to participate constitutes a violation of a direct order and may result in UCMJ action.

d. Due to the geographical separation of USAR units and MUSARC ASAP ADCO staff, all urine specimens will be shipped directly from the unit that is administering drug testing to the appropriate supporting toxicology laboratory. Proper chain of custody procedures are required.

13–15. Management information system

Chapter 9 of this regulation and the following additional requirements apply to the USAR.

a. Each MUSARC will submit monthly, a DA Form 3711 through command channels to their area command. The

area command ADCO will consolidate and maintain a statistical summary of these reports and provide it monthly to the program manager at AR-PERSCOM. (See para 13-4 of this regulation for AR-PERSCOM reporting requirements.)

b. MUSARC ADCOs will maintain individual files on soldiers referred to community-based counseling and rehabilitation centers which track the beginning dates, completion dates, and reasons for disenrollment from rehabilitation, to include reasons for failure to meet the rehabilitation/treatment standards.

13–16. Evaluation

Chapter 10 of this regulation does not apply to the USAR. The operation of the USAR ASAP must include a comprehensive program of evaluation to determine program effectiveness, progress and attainment of specific goals and objectives established by the CAR. Technical support and program evaluation of the USAR ASAP will be conducted through the MUSARC ADCOs and area command ADCOs. The MUSARC ADCO will forward a summary report of their ASAP program effectiveness to their area command. The area command ADCO will provide a summary of the overall effectiveness of the ASAP to the program manager at AR-PERSCOM, which will analyze for overall program effectiveness in the USAR. The area command ADCOs will make periodic visits to the MUSARCs to evaluate their overall ASAP effectiveness and progress, and will further provide training assistance support to enhance the ASAP as necessary. Minimum evaluation standards should:

a. Stress the impact of the USAR's ASAP policies, goals and objectives on all USAR soldiers and civilians employed by the USAR.

b. Seek comparisons of the relative effectiveness concerning the various approaches on ASAP prevention and education techniques in the MUSARCs and the overall effectiveness, productivity, and efficiency of Army approved community-based treatment and rehabilitation programs used by USAR soldiers who have returned to full productive duty.

c. Obtain after action reports on the effectiveness, usefulness, and efficiency of different supporting agencies.

d. Determine the overall effectiveness of various ASAP approaches to various target groups within the MUSARC.

e. Ensure full integration on all facets of the USAR ASAP at each area command. This will be for the purposes of consistency of prevention, education, and training, and substance abuse testing controls and measures for urinalysis chain of custody procedures and reporting. The intent is to alleviate high urinalysis dump rates at the supporting toxicology laboratory due to inaccurate data on the chain of custody report by the MUSARCs.

f. Provide feedback and recommended improvements and/or changes to the MUSARC ASAP or the area commanders, to include economy of funding and staffing resources, program effectiveness, program trends, and recommended changes to goals and objectives as they are met.

g. Identify possible areas for research by the CAR.

13–17. Military justice

Incidents involving alcohol or other drug abuse may also constitute a basis for violation of local, State, and Federal laws. The processing of recommendations for disciplinary/or nonjudicial punishment for actions regarding alcohol abuse, alcohol related incidents of misconduct, or drug abuse will be according to local, State, or Federal codes, and the provisions of the UCMJ and applicable Army regulations.

Chapter 14
Army Substance Abuse Program (ASAP) Civilian Services

Section I
Introduction

14–1. Policies

This chapter specifies policies of the ASAP pertaining to DA civilian employees, military and civilian employee family members, and military retirees and their family members. Additional instructions and procedural guidance are provided in chapter 1, DA Pam 600-85. It is Army policy that:

a. DA civilian employees must refrain from alcohol abuse or using drugs illegally, whether on or off duty. Substance abuse is inconsistent with the high standards of performance, discipline, and readiness necessary to accomplish the Army's mission.

b. Reducing or eliminating alcohol and/or other drug misuse or abuse creates safe, healthful, productive, and secure workplaces.

c. Supervisors will be encouraged to use the EAP, which helps employees with problems that may affect their well-being and ability to perform their duties. EAP procedures and instructions are provided in chapter 2, DA Pam 600-85.

d. DA civilian employees, military and civilian employee family members, and military retirees will be offered

screening, short-term counseling and referral services for treatment or rehabilitation for alcohol misuse or other drug abuse, use of illegal drugs, and/or related problems.

e. ASAP treatment services will be offered when clinical resources are available.

f. Civilian employees and family members' enrollment in ASAP treatment is voluntary.

g. Civilian employees have the option of participating in either the installation ASAP clinical program, when available, or being referred to an approved program in the civilian community.

h. Whenever possible, an employee's family will be involved in treatment.

i. DA civilian employees will be granted an approved absence to obtain treatment according to existing civilian personnel regulations.

j. DA civilian employee performance appraisals will not mention current or past enrollment in the ASAP.

k. Support of recognized labor organizations for those portions of the ASAP applicable to DA civilian employees is encouraged.

l. Drug testing of DA civilians will not be conducted under this regulation for the purpose of gathering evidence for use in criminal proceedings.

14–2. Eligibility

ASAP civilian services are authorized within resource constraints for all DA civilian employees in appropriated and nonappropriated fund positions, military and civilian employee family members, and military retirees and their family members. Also eligible are nonuniformed OCONUS personnel who are eligible to receive military medical services, as well as some foreign nationals where Status of Forces Agreements or other treaty arrangements provide for medical services.

14–3. Labor relations

Questions regarding labor relations implications and responsibilities concerning the civilian drug abuse testing program will be addressed through command channels to HQDA (ATTN: SAMR-CPP-LR), 111 Army Pentagon, Washington, DC 20310-0111. Activities must complete their statutory and applicable contractual labor relations obligations prior to implementing the terms of this regulation as they relate to the conditions of employment of bargaining unit members. (Refer to para 1-3, DA PAM 600-85 for additional instructions on processing labor relations issues regarding ASAP.)

Section II
Areas of Responsibility

14–4. MACOM employee assistance program administrator (EAPA)/prevention program administrator (PPA)

The EAPA will—

a. Advise and inform the MACOM ADCO on all matters pertaining to ASAP civilian services.

b. Provide staff and technical guidance to installation EAPCs.

c. Ensure quality control of non-clinical civilian services.

d. Serve as liaison between EAPCs and the Director, ASAP on matters pertaining to manpower, budget, and administration of civilian services.

e. Monitor the Army's Drug-free Federal Workplace (DFW) and DOT alcohol and other drug testing programs.

f. Collect and maintain data on the status of civilian employees and family member participation in the ASAP and provide reports as required.

14–5. Installation ADCOs

ADCOs will—

a. In consultation with the servicing CPAC and management, the ADCO will identify all DFW testing designated positions (TDPs) and those positions subject to the DOT rules.

b. Guidance for the selection of TDPs provided in paragraph 14-20 of this regulation. Refer to paragraphs 3-2f (2) and 4-4c(6)(b) DA PAM 600-85 for additional instructions.

14–6. Civilian Personnel Advisory Center (CPAC)

The CPAC will—

a. Provide advice and assistance to management when an employee has a confirmed positive drug test under the DFW testing program and or has engaged in DOT prohibited conduct described in 49 CFR Part 382.

b. Ensure that local forms deemed appropriate are completed during in-processing.

c. Refer to Chapters 3 and 4, DA Pam 600-85 for additional instructions for the CPAC.

14–7. Civilian personnel operations center (CPOC)

The CPOC will—

a. Code management-identified TDP employees in the Defense Civilian Personnel Data System (DCPDS) or the successor data system.

b. Ensure positions descriptions and vacancy announcements contain appropriate language on random drug testing conditions of employment for all positions identified by supervisors and management officials.

c. Ensure that the completed alcohol and drug testing DA Forms 5019 (Condition(s) of Employment for Certain Civilian Positions Identified as Critical Under the Drug Abuse Testing Program) and the 7412 are filed in the Official Personnel Folder (OPF).

14–8. Installation EAPCs

EAPCs will—

a. Assess, plan, and establish local procedures for providing comprehensive EAP services for eligible DA civilian employees and military and civilian family members within the military community. (Refer to para 2-1, DA Pam 600-85 for a discussion of comprehensive EAP services.)

b. Provide screening, short-term counseling and referral services for treatment or rehabilitation to employees who self-refer or whom management refers.

c. Provide follow-up services to assist employees in achieving effective readjustment to the job.

d. Advise and update supervisors concerning their employees' progress to the extent permitted by applicable law and this regulation.

e. Consult with the installation CPAC, MRO, SAP, and supervisors of DA civilians throughout the installation.

f. Maintain an updated list of available community counseling and treatment resources.

g. Present prevention education and training to supervisors and DA civilians at all levels on alcohol and other drugs and on how to use EAP services properly. (Refer to para 2-4, DA Pam 600-85 for employee education and supervisory training prerequisites.)

h. Publicize ASAP services available for civilian employees.

i. Develop prevention campaigns and assist the PC in providing education and prevention programs.

j. Collect information required for reports.

14–9. Supervisors of DA civilians

Supervisors will—

a. Consult with the CPAC specialist:

(1) Before initiating any formal disciplinary or adverse action.

(2) Before referring an employee to the ASAP for information, screening, short-term counseling, and referral leading to enrollment for treatment in the ASAP clinic or in a community resource.

(3) When an employee appears to be under the influence of alcohol or other drugs while on duty.

b. Notify appropriate law enforcement authorities when there is reasonable suspicion that an employee is engaged in criminal conduct involving alcohol or other drugs (e.g., trafficking, theft, or illegal possession).

c. Refer to paragraph 2-3, DA Pam 600-85 for additional instructions and procedures for supervisors of civilian employees.

Section III
Employee Assistance Program (EAP)

14–10. Screening and referral

Civilian employees whose job performance, conduct, or attendance record indicates a substance abuse problem requiring professional assistance will be referred to the installation EAPC. Supervisors will refer to the installation EAPC any civilian employee who is found to abuse alcohol or drugs or use illegal drugs. (See DA Pam 600-85, para 2-1a for screening and referral procedures by the EAPC.)

14–11. Medical evaluations

When required, a military or civilian medical officer will conduct the medical evaluation.

14–12. Patient costs

a. There will be no direct charge for the following services:

(1) Medical evaluations conducted by the Army Federal Civilian Employee Health Services Program, the MTF physician, or the medical consultant.

(2) Outpatient civilian services provided by the ASAP counseling center.

b. In overseas areas, DA civilians will be provided partial inpatient care when eligible for Army medical services in a foreign country.

c. All civilian patients, regardless of location, will be required to provide information on their medical insurance as a part of the enrollment process in the ASAP counseling center. This includes those eligible for CHAMPUS or Third Party Coverage. Their insurance carriers may be billed for services rendered. Patients will not be denied medical services solely because they do not have medical insurance coverage.

d. Civilian employees are responsible for all other costs.

14–13. Participation of family members (military or civilian)

Family members, including minor children, may participate in all aspects of the ASAP within the capabilities of existing resources. (Refer to para 2-5, DA Pam 600-85 concerning family members' participation in ASAP civilian services.)

14–14. Confidentiality of patient records

a. The confidentiality and disclosure of records of the identity, diagnosis, prognosis, or treatment of any patient maintained in connection with a Federal substance abuse program is controlled by 42 USC 290dd-2 and 42 CFR Part 2. Generally, disclosure of such records is prohibited except under the following circumstances:

(1) The patient has consented in writing in accordance with 42 CFR Part 2, Subpart C.

(2) The disclosure is allowed by a court order.or

(3) The disclosure is made to medical personnel in a medical emergency or to qualified personnel for scientific research, management or financial audits, or program evaluation.

b. An employee does not have to be enrolled in the program in order to be protected by the provisions of 42 USC 290dd-2, so long as the employee is considered a "patient." A "patient" is defined in 42 CFR 2.11 as "any individual who has applied for or been given diagnosis or treatment for alcohol or drug abuse at a federally assisted program."

c. During the initial screening, the patient will be notified of the Federal confidentiality requirements and will be given a written summary of the Federal laws and regulations. A sample notice can be found in 42 CFR 2.22.

d. Patients may have access to their own records, including the opportunity to inspect and copy any records that the program maintains about the patient. A patient's written request for such access, although not required, is encouraged.

e. Civilian ASAP records will be maintained in accordance with 42 CFR 2.16; 49 CFR, Part 382; and AR 40-66.

f. The Privacy Act of 1974 (As Amended) (5 USC 552a) also applies to all information maintained in a system of records retrievable by reference to an employee's name or other personal identifier.

14–15. Confidentiality of alcohol and other drug tests results

a. Release of alcohol and/or other drug test results is governed by provisions of The Privacy Act OF 1974 (As Amended) (5 USC 552a), DOT regulations. PL 100-71, Section 503(e) (5 USC 7301 note) further restricts the release of drug test results.

b. The results of a drug test of a civilian employee may not be disclosed without prior written consent of that employee, unless the disclosure would be:

(1) To the employee's MRO.

(2) To the administrator of any employee assistance program in which the employee is receiving counseling or treatment or is otherwise participating.

(3) To any supervisory or management official in the employee's agency having authority to take adverse personnel action against the employee.

(4) Pursuant to the order of a court of competent jurisdiction where required by the Government to defend against any challenge against any adverse personnel action.

c. The drug-testing laboratory will release drug test results only to the MRO.

d. Alcohol and other drug test results may be released to appropriate Army personnel for data collection and other purposes consistent with PL 100-71, Section 503(f); DOT regulations on controlled substances and alcohol use and testing; the DHHS's Mandatory Guidelines for Federal Workplace Drug Testing Programs; and other DA requirements. The disclosure may not include personal identifying information on any employee.

d. In accordance with DOT regulations, employees subject to DOT regulations are entitled, upon written request, to copies of and access to records relating to the employee's use of alcohol or controlled substances, including records pertaining to their alcohol or controlled substance abuse test.

f. In accordance with PL 100-71, Section 503, Federal employees are entitled, upon written request to have access to

any records pertaining to their test and any records relating to the results of any relevant laboratory certification, review, or revocation of certification proceeding.

Section IV
Drug-free Federal Workplace (DFW) Program

14–16. Objectives
The goal of the Army's DFW drug testing programs for civilian employees is to ensure that workplaces are safe, healthful, productive, and drug-free. To achieve this goal, the Army has implemented drug abuse testing programs for DA civilian employees. The objectives are to:

a. Assist in maintaining public health and safety, the protection of life and property, national security, and the internal security of the Army

b. Deter substance abuse.

c. Identify illegal drug abusers.

d. Assist employees who are seeking treatment for illegal drug abuse.

e. Assist in determining fitness for appointment or retention in TDPs.

14–17. Applicability
Executive Order 12564, The Drug-free Federal Workplace, which established the goal of a DFW, applies to all DA civilian employees and applicants tentatively selected for TDPs. (See para 14-20 of this regulation defining TDPs.)

14–18. DFW program drug testing categories
To achieve the objectives in paragraph 14-16 of this regulation, six categories of drug testing have been established which fully conform to Executive Order 12564. These categories are: (Refer to para 3-2, DA Pam 600-85 for detailed definitions of DFW drug testing categories

a. Reasonable suspicion testing; When there is reasonable suspicion that any employee uses illegal drugs. Reasonable suspicion testing may be required of any employee in a position which is designated for random testing when there is a resonable suspicion that the employee uses illegal drugs whether on or off duty. Reasonable suspicion testing may also be required of any employee in any position when there is a reasonable suspicion of on-duty use or on-duty impairment.

b. Injury, accident, or unsafe testing: When there is an examination authorized by DOD or DA regarding an accident or unsafe practice. When there is an examination authorized by an appropriate installation or activity commander regarding an accident or unsafe practice. Accordingly employees may be subject to testing when, based on the circumstances of the accident, their actions are reasonably suspected of having caused or contributed to an accident that results in death or personal injury requiring immediate hospitalization or in damage to Government or private property estimated to be in excess of $10,000.

c. Voluntary testing; When an employee volunteers for drug testing.

d. Follow-up testing; As a follow-up to counseling or rehabilitation.

e. Applicant testing; Before appointment or selection to a TDP.

f. Random testing. Periodically after appointment or selection, on a random basis..

14–19. Drug testing procedures
Drug testing procedures for the six DFW drug testing categories listed in paragraph 14-18 of this regulation are provided in paragraph 3-2, DA Pam 600-85.

14–20. Drug-free Federal Workplace Testing Designated Positions
a. Positions defined by Executive Order 12564 as sensitive positions are called TDPs (See Executive Order 12564, Section 7, para (d)). Provided below are the sens itive positions or categories of positions that involve law enforcement, national security, the protection of life and property, or public health or safety which have been identified as TDPs. These positions have duties and responsibilities, which are consistent with the parameters established by the DHHS and the ONDCP.

b. Employees in these TDPs are subject to random testing which occurs without suspicion that a particular

individual is using illegal drugs. Frequency of random testing will conform to DOD guidance. (Refer to para 3-2f(6) in DA Pam 600-85 for additional instructions regarding the frequency of random drug testing.)

(1) Positions which authorize the incumbent to carry firearms.

(2) Positions which require the incumbent to operate a motor vehicle transporting one or more passengers on at least a weekly basis.

(3) Operators of motor vehicles who are required to have a commercial driver's license and who drive motor vehicles weighing more than 26,001 pounds, or drive motor vehicles transporting hazardous materials.

(4) Positions which require the incumbent to maintain a Top Secret clearance or have access to Sensitive Compartmented Information.

(5) Railroad operating crews and railroad personnel in positions in which the duties include handling train movement orders, conducting safety inspections, or the maintenance and repair of signal systems.

(6) Aviation flight crewmembers, air traffic controllers, and aviation personnel in positions in which the duties include dispatching, safety inspections, or the repair and maintenance of aircraft.

(7) ASAP positions in which the incumbent provides direct rehabilitation and treatment services to identified illegal drug users.

(8) Personnel Reliability Program (PRP) positions, (nuclear duty positions or chemical duty positions) under the provisions of AR 50-5 or AR 50-6.

(9) Positions, which require duties involving the supervision or performance of controlling and extinguishing fires, and/or the rescuing of people, endangered by fire.

(10) Positions which require the handling of munitions or explosives in connection with the manufacturing, maintenance, storage, inspection, transportation, or demilitarization of these items.

(11) Positions which require the incumbents to electroplate critical aircraft parts.

(12) Front line law enforcement personnel with drug interdiction duties who have access to firearms.

14–21. Identification of additional TDPs

Procedures for requesting additional positions which a MACOM or installation commander wants to designate as a TDP for drug abuse testing are provided in paragraph 3-5, DA Pam 600-85.

14–22. Relationship with disciplinary and adverse actions

In accordance with DODD 1010.9, a DA civilian employee found using illegal drugs may be subject to disciplinary action.

a. Supervisors must consult with their servicing CPAC before initiating any formal disciplinary or adverse action and before offering referral to an employee to the ASAP. The servicing CPAC will advise the supervisor about options and responsibilities. A range of disciplinary actions is available.

b. The servicing CPAC will assure appropriate coordination with the labor counselor is accomplished.

c. DA employees in TDPs who are found to use illegal drugs shall not remain in the TDP.

d. Upon successful completion of rehabilitation, or as part of a rehabilitation program if progress is evident and the employee poses no danger to health, safety or security, the employee may be returned to the TDP. (Refer to Executive Order 12564, section 5, paragraph (c), and DODD 1010.9, paragraph F2d.)

14–23. Specimen collection

The IBTC must meet all collection requirements prescribed by the DHHS's Mandatory Guidelines for Federal Workplace Drug Testing Programs. Collection procedures are provided in the "Urine Specimen Collection Handbook for Federal Workplace Drug Testing Programs." The collection handbook is available at Web Site: www.health.org/govpubs/PHD730/.

14–24. Medical review and reporting of DFW test results

a. The medical review serves as a critical safeguard in the urine drug-testing program to ensure that positive drug tests resulting from legitimate medications and foods are not misinterpreted as illegal drug use. All laboratory results (positives and negatives) are forwarded to the MRO for review according to DHHS's Mandatory Guidelines for Federal Workplace Drug Testing Programs.

b. General medical review and reporting procedures and instructions for the MRO are provided in paragraph 3-4, DA Pam 600-85.

14–25. Contractor requirements

Contractor requirements for a DFW are set forth in the Federal Acquisition Regulation, Subpart 23.5 as supplemented by the DoD in the Defense Federal Acquisition Regulation Supplement.

14–26. Additional Testing Designated Positions within the U.S. Army Corp of Engineers

The approved positions are as follow:

a. Positions that require the incumbent to operate any surface vessel, whether powered or not, including dredging equipment, in which the duties include operating, navigating, steering, directing, or sailing the vessel, operating the engines of a vessel while underway, or operating the spud(s) [anchor(s)] on a dredge.

b. Positions that require the incumbent to operate navigational locks for passage of marine surface traffic or that involve dispatching and clearing marine surface traffic in and out of narrow ship canals, to include marine traffic controllers.

c. Positions that require the incumbent to operate flood control gates to control water levels on waterways, to include dam operators.

d. Positions that require the incumbent to operate a water treatment plant to produce potable water for community and government use in which the duties include laboratory testing of water samples or the introduction of potentially hazardous chemicals and compounds into the water in the course of treatment.

Section V
DOT Drug and Alcohol Testing Program

14–27. Objectives

The DOT alcohol and other drug testing program is designed to help prevent accidents and injuries resulting from the misuse of alcohol or the use of controlled substances by drivers of commercial vehicles.

14–28. Applicability

Department of Transportation rules at 49 CFR, Part 382 apply to all DA employees in transportation who drive commercial motor vehicles in commerce in any state and are subject to the commercial driver's license requirements of 49 CFR Part 383. (Definitions of DOT words and phrases used in this regulation are provided at appendix B, DA Pam 600-85.)

14–29. Safety-sensitive functions

Department of Transportation rules apply to all on duty time that a driver performs any safety-sensitive function as defined in 49 CFR, Section 382.107. (Refer to para 4-2, DA Pam 600-85 for a list of safety-sensitive functions.)

14–30. DOT prohibited conduct and consequences

a. DOT prohibited conduct is listed in paragraph 4-3, DA Pam 600-85 and further described in 49 C.F.R. part 382, subpart B.

b. Consequences of prohibited conduct are listed in 49 CFR, Part 382, Subpart E. Drivers who engage in prohibited conduct must be immediately removed from safety-sensitive functions and cannot resume such duties unless they have met the requirements of 49.C.F.R. section 382.605. Additionally, supervisor/managers having actual knowledge that a violation has occurred are prohibited from permitting the driver to perform safety-sensitive functions. (DA Pam 600-85, para 4-3 for additional guidance regarding the consequences of engaging in prohibited conduct.)

14–31. Department of Transportation categories of testing

DA civilian drivers to whom DOT rules apply are subject to testing under circumstances described in 49 CFR, Part 382, Subpart C. These include the following six bases for alcohol and other drug testing: pre-employment testing; post-accident testing; reasonable suspicion testing; random testing; follow-up testing; and return-to-duty testing. While similar to the DFW drug testing categories listed in paragraph 14-18 of this regulation, DOT categories have different requirements. (DA Pam 600-85, para 4-4).

14–32. Department of Transportation testing procedures and required education and training

a. DA civilian drivers to whom DOT rules apply are subject to the testing procedures identified in 49 CFR, Part 40.

b. Department of Transportation rules require supervisory training and driver education. Requirements are in 49 CFR 382, Sections 382.601 and 382.603.

14–33. Department of Transportation frequency of random alcohol and other drug testing

Random testing of drivers will occur at the minimum rates of 25% annually for alcohol and 50% for controlled substances, which are adjustable by the FHWA. Each year the FHWA publishes in the Federal Register the minimum annual percentage rates for alcohol and other drug testing of drivers.

14–34. Specimen collection for DOT drug testing

The collector must successfully complete required training and have met all the collection requirements prescribed by DOT alcohol and other drug testing procedures and rules in 49 CFR, Part 40, Subpart B.

14–35. Medical review and the reporting of DOT drug test results

a. The medical review serves as a critical safeguard in the urine drug-testing program to ensure that positive drug tests resulting from legitimate medications and foods are not misinterpreted as illegal drug use. All laboratory results (positives and negatives) are forwarded to the MRO for review.

b. Qualifications, duties, and responsibilities of the MRO are contained in 49 CFR, Part 40. (DA Pam 600-85, para 4-6 contains medical review reporting procedures and additional instructions.)

14–36. Alcohol testing

The IBAT will have been trained to proficiency in the operation of the evidential breath testing and or the non-evidential breathe testing devices used at the installation and the alcohol testing procedure in 49 CFR, Part 40.

14–37. SAP evaluation, referral, and follow-up

The installation SAP will evaluate any employee/driver who has engaged in prohibited conduct associated with alcohol misuse and/or controlled substance (drug) abuse. If the SAP determines that the employee/driver needs assistance, the SAP will recommend a course of treatment and refer the individual to an appropriate treatment resource. Department of Transportation rules also require that such employees shall be subject to unannounced follow-up alcohol and drug testing. Evaluation, referral, and follow-up requirements are provided in 49 CFR, Section 382.605. Additional guidance is provided in the DOT Substance Abuse Professional Procedures for Transportation Workplace Drug and Alcohol Testing Programs, dated June 1995. (DA Pam 600-85, para 4-7 for instructions for the installation EAPC.)

14–38. DOT management information requirements

Reporting requirements are contained in paragraph 9-4 of this regulation. The information required is specified in 49 CFR, Section 382.403. Additionally, the ADCO or the EAPC will document BAT training and proficiency.

Appendix A
References and Terms

Section I
Required Publications

AR 40–66
Medical Record Administration (Cited in para 3-7b, 6-6b, 6-6c, 9-5, 14-15e.)

AR 40–501
Standards of Medical Fitness (Cited in para 7-6b.)

AR 50–5
Nuclear Surety (Cited in para 6-6e,14-21a(8).)

AR 50–6
Chemical Surety Personnel Reliability Program (Cited in para 6-6e, 14-21a(8).)

AR 135–175
Separation of Officers (Cited in paras, 12-15a(2)(d), 13-10a(3)(a), 13-12a(2)(c).)

AR 135–178
Separation of Enlisted Personnel (Cited in paras 12-15a(2)(d), 13-10a(3)(b), 13-12a(2)(c).)

AR 140–158
Enlisted Personnel Classification, Promotion, and Reduction (Cited in para 13-10d(4)(a).)

AR 190–22
Searches, Seizures and Disposition of Property (Cited in para 3-7a(5).)

AR 195–2
Criminal Investigation Activities (Cited in para 1-15b(2).)

AR 215–1
Morale, Welfare, and Recreation Activities and Nonappropriated Fund Instrumentalities (Cited in para 1-33a.)

AR 340–21
The Army Privacy Program (Cited in para 6-6b.)

AR 600–8–2
Suspension of Favorable Personnel Actions (Flags) (Cited para 5-7.)

AR 600–8–24
Officer Transfers and Discharges (Cited in paras 1-35a(3), 3-2c, 5-5, 6-4d, 6-5.)

AR 614–5
Stabilization of Tours (Cited in para 4-11b.)

AR 614–30
Overseas Service (Cited in para 4-11b.)

AR 635–200
Enlisted Personnel (Cited in para 1-35a(3), 3-10d, 4-13b, 5-5, 6-3f, 6-4d.)

NGR 500–2
National Guard Counterdrug Support Regulation (Cited in para 12-19a.)

DA Pam 600–85
Army Substance Abuse Program (Cited throughout chap 14.)

DOD Directive 1010.4
Drug and Alcohol Abuse by DOD Personnel (Cited in para 1-29a.)

DOD Directive 1010.9
DOD Civilian Employee Drug Abuse Testing Program (Cited in para 14-23.)

DOD Instruction 1010.16
Technical Procedures for Military Personnel Drug Abuse Testing Program (Cited in para 8-4g.)

Mandatory Guidelines for Federal Workplace Drug Testing Programs, published by DHHS, which includes Scientific and Technical Requirements and Certification of Laboratories Engaged in Urine Drug Testing, 53 Fed. Reg. 11970 (1988) as amended by 59 Fed. Reg. 29908 (1994)

Urine Specimen Collection Handbook for Federal Workplace Drug Testing Programs, Division of Workplace Programs, Center for Substance Abuse and Mental Health Services Administration, the U.S. Department of Health and Human Services (Cited in para 14-23.)

Executive Order 12564, Drug-free Federal Workplace, September 15, 1986 (Cited in para 14-18, 14-20a, 14-22d.)

Section II
Related Publications

AR 1–35
Basic Policies and Principles for Interservice, Interdepartmental and Interagency Support

AR 40–48
Nonphysician Health Care Providers

AR 40–68
Quality Assurance Administration

AR 190–5
Motor Vehicle Traffic Supervision

AR 190–22
Searches, Seizures, and Disposition of Property

AR 190–30
Military Police Investigations

AR 195–2
Criminal Investigation Activities

AR 360–1
The Army Public Affairs Program

AR 380–67
The Department of the Army Personnel Security Program

AR 600–8–1
Army Casualty Operations/Assistance/Insurance

AR 600–105
Aviation Service of Rated Army Officers

AR 601–280
Army Retention Program

AR 623–105
Officer Evaluation Reporting System

AR 623–205
Noncommissioned Officer Evaluation Reporting System

AR 635–5
Separation Documents

DOD Directive 1010.1
Military Personnel Drug Abuse Testing Program

DOD Directive 1010.9
DOD Civilian Employee Drug Abuse Testing Program

DOD Directive 6025.13
Clinical Quality Management Program (CQMP) in the Military Health Services System

DOD Instruction 4000.19
Interservice and Intragovernment Support

NGR (AR) 600–5
The Active Guard Reserve (AGR), Title 32

NGR (AR) 600–200
Enlisted Personnel Management

Title 5 CFR, Part 752, Adverse Actions

Title 5 USC, "The Privacy Act," Sections 75, 552(a), 7301, (1987, and 8331 (20))

Title 42 CFR, Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records and 42 USC 290dd-2, Confidentiality of Records

Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, PL 91-616

Drug Abuse Office and Treatment Act of 1972, PL 92-255

Civil Service Reform Act of 1978, PL 95-454

Federal Employees Substance Abuse Education and Treatment Act of 1986, title VI of PL 99-570

Supplemental Appropriations Act, 1987, PL 100-71, 503, 5 USC 7301 note

Drug-free Workplace Act of 1988, Subtitle D of the Anti-drug Abuse Act, PL 100-690

Omnibus Transportation Employee Testing Act of 1991, title V of PL 102-143

FAR 23.223-5, 23.223-6 and 52.223-5

ADAPT Manual, Army Center for Substance Abuse

Section III
Prescribed Forms
None required for this section. (Prescribed forms transferred to DA Pam 600-85.)

Section IV
Referenced Forms

DA Form 11–2–R
Management Control Evaluation Certification Statement

DA Form 268
Report to Suspend Favorable Personnel Actions

DA Form 3711
Alcohol and Drug Abuse Prevention and Control Program Resource and Performance Review (RAPR)

DA Form 3881
Rights Warning Procedure/Waiver Certificate

DA Form 3997
Military Police Desk Blotter

DA Form 4465
Patient Intake/Screening Record

DA Form 4466
Patient Progress Record

DA Form 4856
General Counseling Form

DA Form 5019
Condition(s) of Employment for Certain Civilian Positions Identified as Critical under the Department of the Army Drug-free Federal Workplace Program

DA Form 7412
Condition(s) of Employment for Certain Civilian Positions Identified Safety Sensitive under the Department of Transportation, Federal, Highway Administration Rules on Drug and Alcohol Testing

DA Form 8003
Alcohol and Drug Abuse Prevention and Control Program

DD Form 2624
Specimen Custody Document-Drug Testing

FHWA MCS–154 (Rev. 1–94)
FHWA Drug and Alcohol Testing Management Information System Data Collection Form

FHWA MCS–155 (Rev. 1–94)
FHWA Drug and Alcohol Testing Management Information System "EZ" Data Collection Form

SF 513
Medical Record-Consultation Sheet

SF 600
Health Record-Chronological Record of Medical Care

SF 702
Security Container Check Sheet

Appendix B
Unit Commander's guide to the Army Substance Abuse Program (ASAP)

This guide provides basic information to unit commanders of active Army organizations about the Army Substance Abuse Program (ASAP). The following questions and figures provide a quick reference of the unit commander's responsibilities, resources, and procedures necessary to participate in and fully support the ASAP prescribed by AR 600-85.

B–1. What is the Army Substance Abuse Program?

Response 1: The Army Substance Abuse Program, or ASAP, is a comprehensive program which combines deterrence,

prevention, and treatment designed to strengthen the overall fitness and effectiveness of the Army and to enhance the combat readiness of its personnel and units by eliminating alcohol and/or other drug abuse. (ASAP mission and objectives are listed in para 1-30, AR 600-85.)

B–2. What is the unit commander's role in the ASAP?

Response 2: Unit commanders must observe their soldiers' behavior and intervene early to identify possible alcohol and/or other drug abusers, refer these soldiers for evaluation by trained medical personnel, recommend enrollment in treatment programs, and when appropriate, process soldiers for separation. (More information on the unit commander's role in ASAP can be found in para 1-31, AR 600-85.)

B–3. What specifically must the unit commander do?

Response 3: There are basically three major actions a unit commander must accomplish: First, an organizational team must be appointed to conduct the unit's ASAP activities; second, a unit biochemical testing program must be established; and third, prevention and education initiatives must be implemented. (A list of the unit commander's responsibilities is contained in para 1-26, AR 600-85.)

a. The unit commander must appoint a Unit Prevention Leader (UPL) to design and implement the unit prevention plan, administer the unit biochemical testing program, and keep the commander informed of trends in alcohol and other drug abuse in the unit. (See para 1-27, AR 600-85 for a detailed list of UPL responsibilities.)

b. The biochemical-testing program facilitates early identification of alcohol and/or other drug abuse in the unit and enables commanders to assess the security, military fitness, and good order and disciple of their units. Commanders work with the installation Alcohol and Drug Control Officer (ADCO) (See response 5a below) to test soldiers at the rate of one random sample per soldier per year. (See chap 8, AR 600-85 for more information on biochemical testing.)

c. Unit commanders must take measures that deter and reduce the abuse or misuse of alcohol and other drugs to the lowest extent possible through education, community involvement, and deglamorization of alcohol. (See Response 4 and chap 2, AR 600-85 for information on prevention policies and strategies.)

B–4. What are the keys to ASAP success?

Response 4: Actions taken to prevent, deter, and reduce alcohol and other drug abuses are the keys to ASAP success. At each post or installation, the ADCO will develop an Installation Prevention Plan, which the unit commander can access for information, programs, and ideas. While there are many forms of prevention strategies available, unit commanders should provide education and training to soldiers on the effects and consequences of alcohol and other drug abuse, along with the treatment services which are available at the installation. Commanders must also take steps to deglamorize alcohol and ensure that alcohol is never the focus of any unit event. (Chap 2, AR 600-85 contains prevention strategies available to the commander.)

B–5. What assets outside the organization does the unit commander have to assist in ASAP activities?

Response 5: ASAP is a command program with numerous resources available to assist the commander. These include:

a. The Installation Alcohol and Drug Control Officer (ADCO). The ADCO provides the unit commander with ASAP consultation to assist in the identification and referral of individuals suspected of alcohol and/or other drug abuse. (See para 1-17, AR 600-85 for a complete list of ADCO responsibilities.)

b. The Installation Prevention Coordinator (PC). The PC promotes ASAP services, provides prevention education services, and oversees the training of UPLs (See Response 3a above). (See para 1-18, AR 600-85 for a complete list of PC responsibilities.)

c. Clinical Services. The local ASAP Counseling Center provides the unit commander with a wide range of clinicians to screen, evaluate, and treat alcohol and/or other drug abusers.

B–6. What process should be followed if a unit commander suspects a soldier of alcohol and/or other drug abuse?

Response 6: Figure B-1 provides an outline of the process. If a unit commander has some reasonable suspicion (the chain of command has noticed unusual or aberrant behavior by the soldier), but not sufficient evidence for probable cause to suspect a soldier of drug or alcohol abuse, and if the unit commander believes the Limited Use Policy applies, the unit commander should consult with the ADCO and supporting legal advisor before discussing the Limited Use Policy with the soldier. If appropriate, the unit commander may then explain the Limited Use Policy to the soldier. If a unit commander has probable cause to suspect a soldier of drug or alcohol abuse (the chain of command has noticed unusual or aberrant behavior by the soldier) and their is sufficient additional corroboration), the commander should consult with the supporting legal advisor and if appropriate advise the suspect of their rights under UCMJ Article 31(b) using DA Form 3881, Rights Warning/Waiver Certificate. If the Soldier waives his rights the commander may then question the soldier about alcohol or drug abuse, If there is less than probable cause, the commander may still refer the

soldier for professional evaluation by ASAP clinical personnel or the commander may decide that the soldier should simply be returned to duty.

B–7. What does the unit commander do when notified that a soldier has registered a positive drug test?

Response7: Figure B-2 provides an outline of the process. When a unit commander is notified that a soldier was reported positive for a drug test (for example, as a result of a random urinalysis), the unit commander's actions are determined by the type of drug identified. If the drug does not have a legitimate medical use as determined by USAMEDCOM, the commander will consult with law enforcement to determine whether law enforcement desires to conduct an investigation. The commander will also flag the soldier and consult with the trial counsel who supports the unit. If law enforcement declines to conduct an investigation, the commander must conduct his or her own preliminary inquiry into the alleged offense. The commander must advise the soldier of his or her legal rights under UCMJ Article 31 (b) using DA Form 3881, Rights Warning Procedure/Waiver Certificate. If the soldier waives his or her rights, the commander may then question the soldier about drug abuse. After completing the inquiry or investigation the commander should consider the full range of actions in accordance with the R.C.M. 306 of the MCM. The commander shall also comply with the requirements of para.14-12(d)-(f), AR 635-200. The commander may initiate action under the UCMJ and start administrative separation processing simultaneously. Regardless of the action taken, the soldier must be referred to the ASAP.

B–8. What can I expect when a soldier is enrolled ASAP treatment?

Response 8: When the soldier in enrolled in ASAP, both the commander and the soldier must dedicate time and effort to the process. Depending on the severity of abuse, the treatment plan may include the soldier's participation in any/all of the following:

a. At least 12 hours of alcohol and other drug abuse training (ADAPT).

b. Weekly individual or group counseling sessions.

c. A 2 to 4 week partial inpatient care program.

d. Attendance at self-help groups such as Alcoholics Anonymous or Narcotics Anonymous.

e. Rehabilitation drug testing.

Note. Unless hospitalized, the soldier is expected to participate in normal unit operations (for example, field training exercises, CQ or similar duties, and deployments) while receiving the care listed above.

B–9. The commander's participation is critical to the success of the rehabilitation process.

The commander will—

a. Evaluate and provide periodic feedback to the counselor about the soldier's duty performance during care.

b. Review ongoing evaluations of the soldier's progress and participation provided by the ASAP counselor and meet with the soldier to discuss the evaluation.

c. Participate in Rehabilitation Team meetings with the ASAP clinical staff. (Chap 4 of AR 600-85 addresses the rehabilitation process.)

c. Make the final determination of the success or failure of the soldier's rehabilitation (normally within 3 to 6 months of initial enrollment).

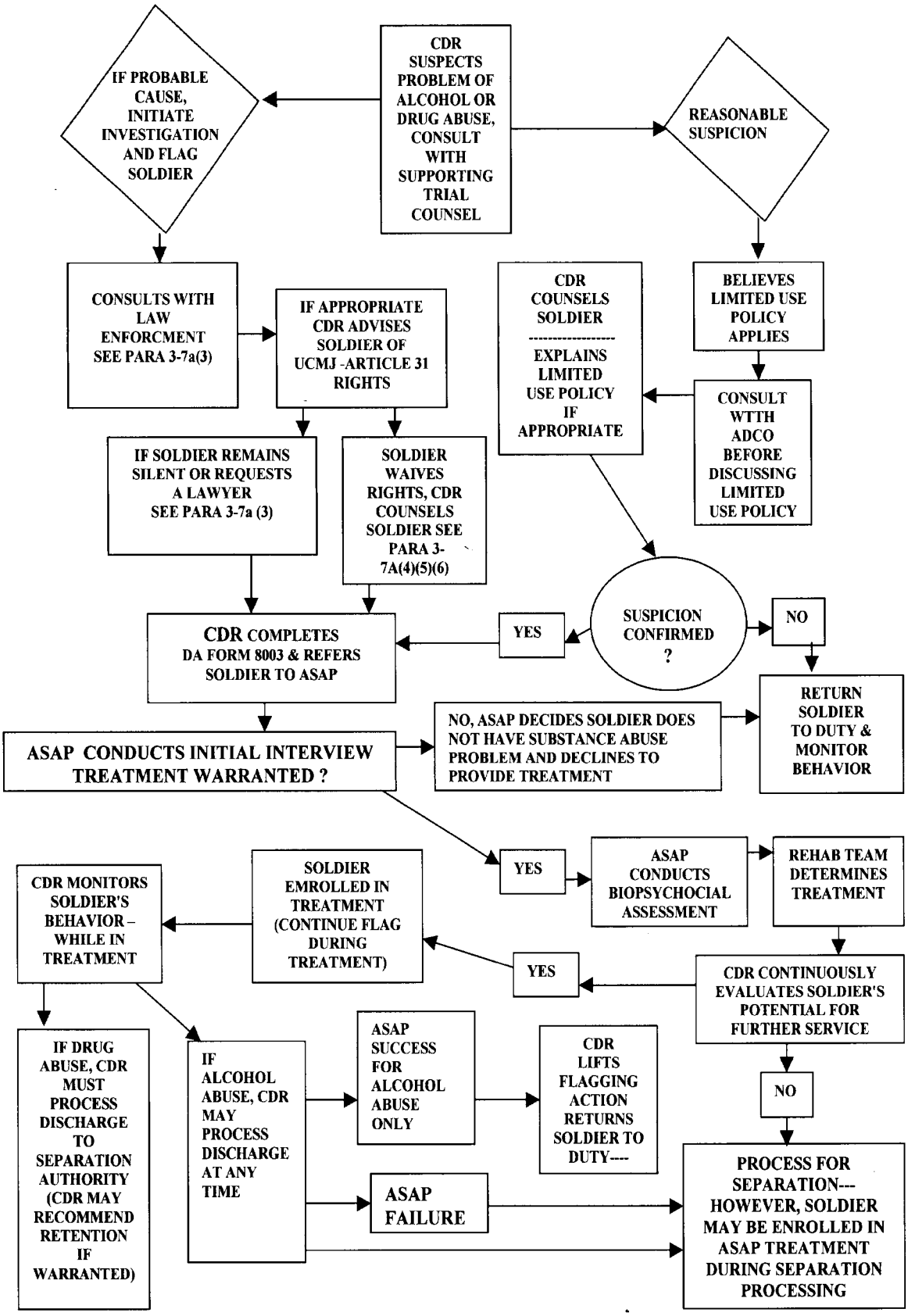

Figure B–1. Alcohol and/or other drug abuse process.

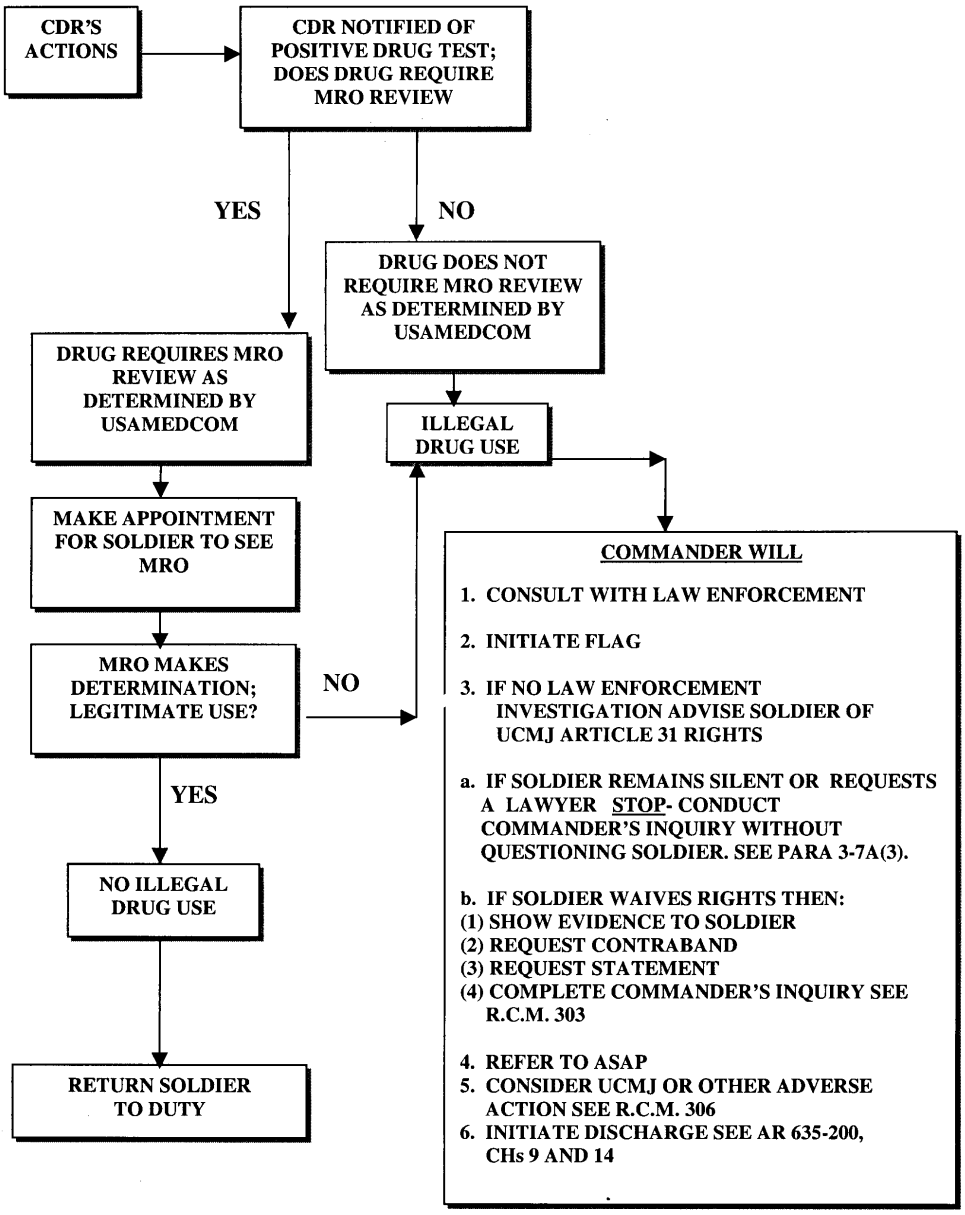

Figure B–2. Positve drug test process.

Appendix C
MANAGEMENT CONTROL EVALUATION CHECKLIST

C–1. Function
The function covered by this checklist is the administration of the Army Substance Abuse Program (ASAP).

C–2. Purpose
The purpose of this checklist is to assist assessable unit managers and Alcohol and Drug Control Officers (ADCOs) in evaluating the ASAP as outlined below.

C–3. Instructions
Answers must be based on the actual testing of key management controls (for example, document analysis, direct observation, sampling, simulation). Answers that indicate deficiencies must be explained and corrective action indicated in supporting documentation. These key management controls must be formally evaluated at least once every 5 years. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2-R (Management Control Evaluation Certification Statement). A copy of DA Form 11-2-R is available on the Army Electronic Library CD-ROM (EM0001) and on the USAPA web site (www.usapa.army.mil). Additional questions at Appendix F should be considered when evaluating ASAP program.

C–4. Test Questions
a. Is an ADCO position authorized on the Table of Distribution and Allowances and filled full time to implement the ASAP?

b. Are new commanders briefed on the ASAP upon assuming command?

c. Have unit alcohol and drug coordinators been identified and trained?

d. Is there an Installation Biochemical Testing Coordinator (IBTC) and alternate IBTC appointed on orders signed by the ADCO and have they attended and passed the Army Center for Substance Abuse Programs IBTC Course?

e. Is there a written collection Standard Operating Procedures (SOP)?

f. Is there a notification procedure for military personnel that includes the commander sending laboratory positives for amphetamines, barbiturates, or opiates to the MRO for final determination of legitimate use versus non-prescribed?

g. Are commanders conducting unannounced drug testing?

h. Is there an active DA civilian employee drug testing program and has a DA Form 5019 (Condition(s) of Employment for Certain Civilian Positions Identified as Critical Under the Drug Abuse Testing Program) and/or a DA Form 7412 (Condition(s) of Employment for Certain Civilian Positions Covered under the Department of Transportation Rules on Drug and Alcohol Testing) been signed by all civilians occupying a position requiring alcohol and/or other drug testing?

i. Has the ADCO developed and implemented a plan to access and monitor command utilization of and satisfaction with all aspects of the program (that is, prevention, identification, rehabilitation, and treatment)?

j. Has the ADCO developed and implemented a prevention education program that coordinates and tracks substance abuse prevention efforts for soldiers?

C–5. Suppression
This checklist replaces the checklist for the Alcohol/Drug Program previously published in DA Circular 11-89-1.

C–6. Comments
Submit comments to: Director, ACSAP, 4501 Ford Avenue, Suite 320, Alexandria, VA 22302-1460.

Appendix D
PROGRAM EVALUATION TEST QUESTIONS

D–1. Objective
The objective of these test questions is to assist unit managers and Alcohol and Drug Control Officers (ADCOs) in evaluating the ASAP.

D–2. Test Questions for Prevention of Abuse

a. Is an ADCO position authorized on the TDA and filled full-time to implement the ASAP?

b. Are elements of prevention included in the ADCO position description?

c. Are the following essential prevention activities fully functional? (Note: Prevention activities are based on an installation's needs assessment.)

(1) Educating commanders about the ASAP?

(2) ASAP professional staff development?

(3) Civilian employee ASAP education?

(4) Family member ASAP education?

(5) Community awareness education on the ASAP?

(6) Unit education programs on the ASAP

(7) Is Alcohol and Drug Abuse Prevention Training (ADAPT) implemented in accordance with AR 600-85 and ACSAP standards?

(8) Is ADAPT offered a minimum of once monthly?

D–3. ASAP Operations

a. Does the ADCO brief the Installation Commander on the overall ASAP status quarterly?

b. Are new commanders briefed on the ASAP upon assuming command?

c. Have unit alcohol and drug coordinators received training during the last year?

d. Have alcohol/drug articles been published (or radio/television/ electronic media announcements made) to support and inform on the ASAP and its programs?

e. Were prevention campaigns conducted, such as Drunk and Drugged Driving Awareness and Red Ribbon?

D–4. Identification of Abuse

a. Is the Medical Review Officer (MRO) appointed on orders signed by the Medical Treatment Facility (MTF) commander?

b. Has the MRO attended formal MRO training?

c. Is there an Installation Biochemical Testing Coordinator (IBTC) and alternate IBTC appointed on orders signed by the ADCO?

d. Have the IBTC and alternate IBTC attended and passed the ACSAP IBTC Course?

e. Is there a written collection SOP?

f. Is there a written SOP that covers IBTC administrative and operational procedures?

g. Has the ASAP evidence storage area passed a physical security inspection within the past year?

h. Are unit collections for all units inspected a minimum of twice annually by the IBTC or designee?

i. Is there a notification procedure for military personnel that includes the commander sending laboratory positives for amphetamines, barbiturates, or opiates to the MRO for final determination of legitimate use versus nonprescribed?

j. Are all patients identified through medical channels as having a drug or alcohol related diagnosis or related incident resulting in medical treatment referred to the ASAP?

k. Are appropriate reports (MP blotters, Serious Incident Reports) reviewed on a daily/weekly basis?

l. Are rehabilitation clients being periodically drug tested through the ASAP?

m. Are rehabilitation drug test properly coded on the chain of custody form?

n. Are copies of DA Form 4465 (Patient Intake/Screening Record (PIR)), DA Form 4466 (Patient Progress Report (PPR)); and data for completion of DA Form 3711 (Alcohol and Drug Abuse Prevention and Control Program Resource and Performance Report (RAPR)) provided to the ADCO by the clinical staff?

o. Are DA Forms 4465, 4466, and 3711 completed and forwarded to ACSAP?

p. Is there an active DA civilian employee drug testing program?

q. Has a DA Form 5019 (Condition(s) of Employment for Certain Civilian Positions Identified as Critical Under the Drug Abuse Testing Program) and/or a DA Form 7412 (Condition(s) of Employment for Certain Civilian Positions Covered under the Department of Transportation Rules on Drug and Alcohol Testing) been signed by all civilians occupying a position requiring alcohol and/or other drug testing?

r. Are all supervisors trained at least annually on techniques for identifying abusers, the dangers of "enabling" and the referral process?

s. Are commanders conducting unannounced drug testing?

t. Have commanders been trained in "smart testing" techniques?

D–5. Rehabilitation and Treatment (to be completed by the Clinical Director)

a. Are face-to-face rehabilitation team meetings conducted with commanders for each soldier screened?

b. Have effective procedures been developed and implemented to ensure that the original of DA Forms 4465 and 4466 are forwarded to ACSAP?

c. Have effective procedures been developed and implemented to ensure that the ADCO is provided a copy of all DA Forms 4465 and 4466?

d. Have effective procedures been developed and implemented to ensure that the ADCO is provided all data required for completion of the DA Form 3711?

e. Have effective procedures been developed and implemented to ensure that rehabilitation urine testing is accomplished on all soldiers enrolled in the ASAP?

f. Has an effective monitoring procedure been implemented to ensure that results of all rehabilitation urine testing are provided to the appropriate counselor?

g. Has an effective monitoring procedure been implemented to ensure that open file cases on soldiers who are in a permanent change of station status are forwarded to the gaining ASAP?

h. Does ASAP check with ACSAP for prior enrollment information on soldiers currently evaluated and/or enrolled?

i. Is a DA Form 4466 completed and forwarded to ACSAP for each soldier in a PCS loss or gain status?

j. Have effective procedures been implemented to ensure that the ADCO is provided a copy of this rehabilitation and treatment review?

D–6. Program Evaluation

a. Have local statistics been maintained and analyzed for program needs and trends?

b. Has an Alcohol and Drug Intervention Council (ADIC) or similar forum been established to review current installation issues and trends?

c. Does the ADIC meet, at a minimum, on a quarterly basis?

d. Are "pre" and "post" tests utilized for ADAPT to assist in determining effectiveness of training?

e. Are evaluation forms on course content used for all training?

f. Are instructor evaluation forms used for all presentations?

g. Has the Federal Drug-free Workplace Program Report been submitted to ACSAP to provide statistical information on the civilian (DFW) drug testing program?

h. Is the Office of Personnel Management (OPM) Federal Employee Counseling Program Report prepared and forwarded to HQDA annually?

i. Have monthly reports been submitted on DA Form 3711-R to ACSAP to provide statistical status on the ASAP?

j. Have goals and objectives been formulated in a written plan for a comprehensive installation prevention plan?

k. Is the ADCO provided a copy of the internal rehabilitation and treatment review?

l. Has the ADCO developed and implemented a plan to access and monitor command utilization of and satisfaction with all aspects of the program (that is, prevention, identification, rehabilitation, and treatment)?

Appendix E
Standing Operating Procedures (SOP) For Urinalysis Collection, Processing and Shipping

E–1. General

This SOP provides guidance and standardizes urinalysis collections throughout the United States Army. (The IBTC Guidebook and Commanders Guide and UPL Urinalysis Collection Handbook contain additional guidance and Department of the Army requirements. These handbooks are designed to assist the unit commander, UPL and IBTC by providing detailed information on collection, handling, processing and shipping procedures for urine specimens.)

E–2. Applicability

This SOP is applicable to all urinalysis collections conducted on active duty, National Guard, and Army Reserve soldiers. This includes all types of collections listed in chapter 8 of this regulation.

E–3. Related Material

ACSAP Commanders Guide and UPL Urinalysis Collection Handbook, ACSAP IBTC Guidebook and DOD Instruction1010.16 Technical Procedures for Military Personnel Drug Abuse Testing Program.

E–4. Pre-Collection Procedures

a. The unit commander directs that a urine test be conducted and identifies individual soldiers, parts of unit, and/or entire unit for testing.

b. UPL obtains supplies for testing:

(1) DoD prescribed Urine specimen collection bottles with boxes.

(2) Optional wide mouth collection cup (for females).
(3) Tamper evident tape.
(4) Bottle labels.
(5) Unit ledger.
(6) DD Form 2624 (Budget (Army Stock Fund) Fuel Data).
(7) Disposable rubber gloves.

c. Personnel to be tested are notified. Notification should take place preferably less than 2 hours, but no more than 6 hours, prior to reporting time.

d. Commander selects Observers, E-5 or above, of the same sex as soldier being tested, (UPL will brief observers on their duties and responsibilities) and a holding area NCO/Officer, E-5 or above, to maintain control of personnel waiting to be tested.

e. UPL will brief observers on their duties and responsibilities.

f. A holding area for soldiers waiting to render a urine specimen is designated, an NCO/Officer, E-5 or above, is appointed to maintain control of personnel waiting to be tested.

E–5. Collection Procedures

a. UPL puts on the disposable rubber gloves.

b. Soldier approaches the UPL station with military identification Card (DD FORM 2.) when prepared to give a urine specimen. An alternate reliable method for verifying the SSN of the soldier is required, if the soldier does not have a DD Form 2 in his/her possession.

c. Soldier will remove excess outer garments such as BDU Jackets, coats, or sweat tops.

d. UPL initiates all required paperwork (if pre-prepared forms and labels are used the UPL will verify all information with the military ID Card). If a clerical mistake is made while filling out entries; on the DD Form 2624, on the bottle label, or the unit ledger prior to the discrepancy inspection required by the IBTC, the mistake may be corrected by its maker by lining through (single line) the mistake, initialing and dating the correct entry. No other method of correction is authorized except by memorandum, titled "Certificate of Correction," as described in paragraph E-7b.

(1) UPL prepares label with the following information:
(a) Date (YYYYMMDD)
(b) Base/area code
(c) Soldier's SSN

(2) UPL prepares a DD Form 2624 with the following information. (For specific guidance on completing the DD Form 2624, see the Commanders Guide and UPL Urinalysis Collection Handbook). If less than 12 specimens are collected then leave the remaining blocks blank.
(a) Blocks 1-6.
(b) Soldier's SSN (block 8).
(c) Test Basis (block 9).
(d) Test Information (block 10).

(3) UPL prepares the unit ledger with the following information (For specific guidance on completing the unit ledger, see the Commanders Guide and UPL Urinalysis Collection Handbook):
(a) Calendar Date.
(b) Batch and Specimen number (blocks 5 and 7 from DD Form 2624).
(c) Soldier's printed name (Soldier will sign later).
(d) Soldier's SSN.
(e) Soldier's Rank.
(f) Test basis.
(g) Printed Name of Observer (Observer will sign later).
(h) Remarks.

e. The UPL directs the soldier to verify the information on the bottle label, unit ledger, and DD Form 2624. The soldier will then initial the bottle label. His/her initials are verification that all data is correct.

f. The UPL will remove a new collection bottle from the box in front of the soldier and replace it with the soldier's military ID Card. The UPL will then affix the label to the bottle, in full view of both the soldier and the observer, and hand it to the soldier.

g. The soldier will ensure that the observer has full view of the bottle at all times until the UPL takes custody of the specimen. At no time will the observer take custody of the urine specimen.

h. If the soldier is female the optional wide mouth collection cup will be issued to the soldier at this time.

i. The soldier and observer will move to a secure latrine, the bottle will be held by the soldier above his/her shoulder as to keep it in full view of the observer. The observer will keep the collection bottle in sight at all times.

j. Once in the latrine, the observer will direct the soldier to wash his/her hands without the use of soap. The soldier will then move to the appropriate facility to collect the specimen.

k. The soldier will remove the cap of the bottle in full view of the observer, and will hold it or place it face up on a clean surface. The bottle and cap must be in full view of the observer.

l. The soldier will then fill the bottle with at least 30 mL of urine (approximately half the specimen bottle). The observer MUST SEE urine leaving the body and entering the bottle. The soldier will recap the bottle in full view of the observer.

m. The following procedure applies to female soldiers who utilize the wide mouth collection cup:

(1) The soldier will remove the cap from the collection cup, and provide the specimen. The observer will keep the collection cup and the bottle in full view and directly observe urine leaving the body and entering the cup.

(2) The soldier will then open the specimen bottle, and pour the urine from the cup into the bottle. The soldier will recap the bottle in full view of the observer. The observer will watch this entire procedure. The bottle must contain at least 30 mL of urine.

Note. If less than 30 mL of urine is collected, the entire specimen and the bottle will be destroyed. The soldier will be sent back to the holding area until he/she can provide a full specimen. Procedure will begin at step E-5b, original entries on the DD Form 2624 and unit ledger may be utilized for the second specimen collected.

n. The soldier may wash his/her hands with soap after recapping the specimen as described in steps l and m above, but the soldier and observer must keep the specimen in full view.

o. The observer and the soldier will return to the UPL's station. The soldier will walk in front with the bottle held above his/her shoulder. The observer will keep the bottle in sight at all times.

p. The soldier will hand the bottle containing his/her specimen to the UPL; both the soldier and observer will continue to keep the bottle in sight at all times until the UPL places the specimen in the collection box.

q. The UPL will take the bottle, verify that the cap is secure, and inspect the specimen for possible adulteration. If adulteration is suspected, the UPL will secure the specimen and order the soldier to stand fast and, ensure that the commander is notified.

r. The UPL will then place tamper evident tape across the bottle cap. The tape will be one continuous piece that touches the label on both ends without obscuring any information, running across the top of the bottle.

s. The UPL will then initial the bottle label. The UPL's initials signifies that he/she has received the specimen from the soldier, checked the specimen for adulteration, ensured the cap was secure, and placed tamper evident tape across the cap.

t. The UPL will place the specimen in the collection box, removing the soldier's ID card.

u. The observer will then sign the unit ledger in front of the UPL and soldier to verify he/she complied with the collection process and directly observed the soldier provide the sample and maintained eye contact with the specimen until it was placed in the collection box.

v. The soldier will then sign the unit ledger in front of both the observer and UPL verifying that he/she provided the urine in the specimen bottle and that he/she observed the specimen being sealed with tamper evident tape and placed into the collection box.

w. The ID card will be returned to the soldier at this time, and he/she is released from testing.

E–6. Post-Collection Procedures

After all specimens have been collected the UPL will:

a. Verify that all SSNs on the unit ledger, DD Form 2624 and bottle labels match.

b. Ensure that all required information, signatures, and initials are on the bottle label, unit ledgers, and DD Form 2624.

c. Place each DD Forms 2624 into the corresponding specimen container(s).

d. Will transport all specimens to the Installation Biochemical Collection Point (IBCP) as soon as possible (normally the same duty day).

e. If unable to transport to the IBCP immediately, the specimens, DD Forms 2624, and unit ledgers will be placed into temporary storage, as described in paragraph E-10.

E–7. Receipt of Specimens at IBCP:

a. At the IBCP, the unsealed specimen containers will be opened by the IBTC or the IBTC's designated representative. The actions of the IBTC outlined below may be performed by the IBTC's designated representative. If there is no IBTC, the actions will be performed by the person designated by the ADCO or MACOM ADCO. The IBTC will:

(1) Review the DD Forms 2624, unit ledger and bottle labels for completeness. He/she will ensure that the information contained on the front side of the DD Form 2624 is correct and corresponds with the information on the bottle label:

(a) Complete address of submitting unit.

(b) Base/area code.

(c) Social Security Number.

(d) Test Basis (Correct code for the type of urinalysis i.e. command directed, inspection, medical, rehabilitation).

(e) Test Information.

(f) Initials of UPLand soldier.

(g) Date Specimens Collected.

(2) Ensure that, at a minimum 30 mL of urine is contained in each bottle and that an unbroken piece of tamper evident tape is correctly placed on each bottle.

(3) Ensure the chain of custody portion of the DD Form 2624 is complete and accurate. Specific issues he/she should address are:

(a) Signatures accounting for any change of custody are properly annotated.

(b) Correct dates.

(c) The "Purpose of change/remarks" column clearly explains each change of custody.

b. If a discrepancy is found during the check, the IBTC shall initiate appropriate action to correct the discrepancy or error, if possible. All discrepancies that can be corrected must be explained in a memorandum titled, "Certificate of Correction," which explains:

(1) The discrepancy.

(2) The circumstances.

(3) The corrective action taken.

(a) All personnel involved including the person(s) who made the error and the IBTC must sign this certificate.

(b) If the error is a missed entry or an incorrect entry either on the bottle label or on the DD Form 2624, corrections will not be made on the label or on the form. The evidence that a correction was made will be the memorandum titled, "Certificate of Correction."

(c) The memorandum titled "Certificate of Correction," will be appended to the original and all copies of the DD Form 2624. The memorandum titled "Certificate of Correction," will be attached to the IBTC's DD Form 2624 until destruction date.

c. If no discrepancies are noted, or all discrepancies have been corrected with a memorandum titled "Certificate of Correction," the UPL will enter:

(1) The date the specimens were delivered in block 12a

(2) Print his/her name and sign their payroll signature in block 12b

(3) Print "Specimens released by UPL to IBTC" in block 12d

(4) Ensure that the IBTC prints and signs their payroll signature in block 12c to document receipt of the specimens.

d. After the DD Form 2624 is completed it will be placed in a business size envelope.

e. Liquid absorbent pads will be placed in each specimen box (containing up to 12 specimens) to absorb any leakage that may occur. Either the UPL or the IBTC may complete this step. The specimen box will be sealed with adhesive tape over all open sides, edges and flaps. The UPL or the IBTC then signs his or her payroll signature across the tape on the top and bottom of each container, and secures the envelope, with DD Form 2624 enclosed, unsealed, to the outside of the specimen container.

E–8. Shipping to the FTDTL

a. All urine specimens will be forwarded to the supporting FTDTL.

b. If the IBTC is going to ship the specimens to the FTDTL on the day received from the UPL then he/she will:

(1) Sign each DD form 2624 releasing it to one of the authorized modes of transportation, such as, "Released to Registered mail, Reg No. 123456."

(2) Prepare the specimen boxes as required for shipment.

(a) All specimen containers will be wrapped for shipping.

(b) Ensure that each DD Form 2624 remains inside an envelope taped to the specimen container.

(c) Place specimen container inside a leak proof bag.

(d) Wrap the container according to your carrier's requirements.

(3) Ship containers to the drug testing laboratory by transportation priority one. One of the following transportation modes will be used:

(a) Registered mail.

(b) US Postal Service by First Class Mail.

(c) Hand-carried by surface transportation.

(d) Military aircraft transportation system.

(e) US flag commercial air freight, air express, and air freight forwarder.

(f) When none of the above satisfies the movement required, by foreign flag air carrier.

c. If the IBTC is unable to ship the specimens until the next duty day, the specimens must be placed in temporary storage. The area must be a limited access area. The facility will meet the physical security requirements for evidence

storage as described in paragraph E-9. This will include an annual physical security evaluation by qualified personnel, an access roster, and an access log to annotate all personnel entering the limited access area.

E–9. Temporary Storage of Urine Specimens at the IBCP

The following describe the minimum requirements for temporary storage of urine specimen at the installation level, this is the preferred site for temporary storage.

a. Windows to the specimen storage room that are accessible from the exterior of the room will be covered with steel or iron bars or steel mesh as follows:

(1) When bars are used, they will be at least 3/8-inch thick and vertical bars will not be more than 4-inches apart. Horizontal bars will be welded to the vertical bars and spaced so those openings do not exceed 32 square inches. Ends of the bars will be securely embedded in the wall or welded to a steel channel frame fastened securely to the window casing.

(2) Acceptable steel mesh made from high carbon manganese steel, no less than 15/100-inch thick, with a grid of not more than 2-inches from center to center. 6-gauge steel mesh with a 2-inch diamond grid may be used when high carbon manganese steel is not readily available. The steel mesh will be welded or secured to a steel channel frame and fastened to the building by smooth headed bolts that go through the entire window casing. It will be spot welded or branded on the interior, or cemented into the structure itself to prevent easy forced entry.

(3) Air conditioners may be installed in windows or outside walls provided equivalent security measures are taken.

b. Doorways: There must be only one doorway that allows access to and from the specimen storage room.

c. Additional Requirements:

(1) Method 1- allows specimens to be stored inside the interior of the room, when not in full view of person who has custody.

(a) Construction: Walls must extend from the floor to the ceiling. Walls and ceilings may be made of masonry or wood. Walls or ceiling that are of wooden stud construction must have a combined exterior and interior thickness of at least 1-inch. Permanently installed flooring (other than masonry) may be used, if the floor cannot be breached without causing considerable damage to the building structure.

(b) Entrance into the room will require opening two successive doors.

(c) When an interior steel mesh cage is used, the door to the cage will serve as the second door. In this case, the outer door will be of solid core wood or metal.

(d) When a steel mesh cage is not used two doors hung one behind the other will be used. One door may be of steel mesh welded to a steel frame. The second door may be of solid core wood or steel; or it may be a hollow wooden door with the exterior reinforced with a steel plate not less than 1/8-inch thick.

(e) If a barred door is used, the vertical steel bars will be at least 3/8-inch thick and spaced no more that 4-inches apart. Horizontal bars will be welded to the vertical bars and spaced so that openings do not exceed 32 square inches.

(f) Either door may be hung on the outside of the doorway. They will be hung so that the doorframe is not separated from the door casing.

(g) Door hinges will be installed so that doors cannot be removed without seriously damaging the door or door jam. All exposed hinge pins will be spot welded or branded to prevent removal. This is not required when safety stud hinges are used or when the hinge pins are on the inside of the doors. (A safety hinge has a metal stud on the face of one hinge leaf and a hole in the other leaf. As the door closes, the stud enters the hole and goes through the full thickness of the leaf. This creates a “bolting” or “locking” effect).

(h) The outer door will be secured by one high security, key-opened padlock. These padlocks will conform to military specifications MIL-P43607 (GL) (High Security Padlock). The changeable combination padlock for the inner door will conform to requirements of military specification FF-P-110, 1969.

(i) All locks will be used with a heavy steel hasp and staple. The hasp and staple will be attached with smooth headed bolts or rivets that go through the entire thickness of the door or door jam. They will be spot welded or branded on the inside of the door. Heavy duty hasps and staples attached so that they cannot be removed when the doors are closed are acceptable.

(2) Method 2- specimens must be stored within a safe or cabinet, when not in full view of person who has custody.

(a) One door will be hung that is made of solid core wood or metal or a barred door. The solid door will, at a minimum, have a high security dead bolt lock.

(b) Inside the room will be a safe, filing cabinet or metal wall locker that weighs at least 500 pounds or is secured to the structure of the building with a chain.

(c) If a filing cabinet is used, then a metal bar hasp will be attached to run the entire height of the cabinet. This bar will be locked with a 200 series padlock. Note: a hasp may be welded to the top drawer, but then only the top drawer may be utilized for temporary storage.

(d) All opening/closing of the safe/cabinet will be annotated on a SF 702 (Security Container Check Sheet).

E–10. Temporary Storage of Urine Specimens at the Unit Level (by the UPL).

a. A safe, secure filing cabinet, or metal wall locker will be used to store specimens. This container must be in a lockable room or office.

b. The safe or filing cabinet must weigh at least 500 pounds or be attached to the structure of the building with a chain.

c. If a filing cabinet is used, then a metal bar hasp will be attached to run the entire height of the cabinet. Note: a hasp may be welded to the top drawer, but then only the top drawer may be utilized for temporary storage.

d. The safe or filing cabinet will have a key type padlock (with only 2 keys), which is used to secure the hasp.

e. One key will be issued to the primary UPL, the other key will be secured in a sealed envelope (signed by the key control custodian across the seal) and issued to the commander's safe. Both keys will be issued IAW key control SOPs.

f. All opening/closing of the safe/cabinet will be annotated on a SF 702.

E–11. Provisions

The provisions of this SOP (app. E) are not intended to, and do not, provide any rights or privileges as to the relevancy or admissibility of laboratory documents that are not otherwise afforded by the UCMJ, the Manual for Courts-Martial, or regulations governing adverse administrative and disciplinary actions. In no case will failure to comply with the provisions of this SOP be used to invalidate an otherwise valid and legally sufficient adverse administrative or disciplinary action.

Appendix F
Program Evaluation Test Questions

F–1. Objective

The objective of these test questions is to assist unit managers and Alcohol and Drug Control Officers (ADCOs) in evaluating the ASAP.

F–2. Test Questions on Prevention of Abuse

a. Is an ADCO position authorized on the TDA and filled full time to implement the ASAP?

b. Are elements of prevention included in the ADCO position description?

c. Are the following essential prevention activities fully functional? (Note: Prevention activities are based on an installation's needs assessment.)

(1) Educating commanders about the ASAP?

(2) ASAP professional staff development?

(3) Civilian employee ASAP education?

(4) Family member ASAP education?

(5) Community awareness education on the ASAP?

(6) Unit education programs on the ASAP.

(7) Is Alcohol and Drug Abuse Prevention Training (ADAPT) implemented in accordance with AR 600-85 and ACSAP standards?

(8) Is ADAPT offered a minimum of once monthly?

F–3. ASAP Operations

a. Does the ADCO brief the Installation Commander on the overall ASAP status quarterly?

b. Are new commanders briefed on the ASAP upon assuming command?

c. Have unit alcohol and drug coordinators received training during the last year?

d. Have alcohol/drug articles been published (or radio/television/ electronic media announcements made) to support and inform on the ASAP and its programs?

e. Were prevention campaigns conducted, such as Drunk and Drugged Driving Awareness and Red Ribbon?

F–4. Identification of Abuse

a. Is the Medical Review Officer (MRO) appointed on orders signed by the Medical Treatment Facility (MTF) commander?

b. Has the MRO attended formal MRO training?

c. Is there an Installation Biochemical Testing Coordinator (IBTC) and alternate IBTC appointed on orders signed by the ADCO?

d. Have the IBTC and alternate IBTC attended and passed the ACSAP IBTC Course?

e. Is there a written collection SOP?

f. Is there a written SOP that covers IBTC administrative and operational procedures?

g. Has the ASAP evidence storage area passed a physical security inspection within the past year?

h. Are unit collections for all units inspected a minimum of twice annually by the IBTC or designee?

i. Is there a notification procedure for military personnel that includes the commander sending laboratory positives for amphetamines, barbiturates, or opiates to the MRO for final determination of legitimate use versus nonprescribed?

j. Are all patients identified through medical channels as having a drug or alcohol related diagnosis or related incident resulting in medical treatment referred to the ASAP?

k. Are appropriate reports (MP blotters, Serious Incident Reports) reviewed on a daily/weekly basis?

l. Are rehabilitation clients being periodically drug tested through the ASAP?

m. Are rehabilitation drug test properly coded on the chain of custody form?

n. Are copies of DA Form 4465, DA Form 4466; and data for completion of DA Form 3711 provided to the ADCO by the clinical staff?

o. Are DA Forms 4465, 4466, and 3711 completed and forwarded to ACSAP?

p. Is there an active DA civilian employee drug testing program?

q. Has a DA Form 5019 and/or a DA Form 7412 been signed by all civilians occupying a position requiring alcohol and/or other drug testing?

r. Are all supervisors trained at least annually on techniques for identifying abusers, the dangers of "enabling" and the referral process?

s. Are commanders conducting unannounced drug testing?

t. Have commanders been trained in "smart testing" techniques?

F–5. Rehabilitation and Treatment (to be completed by the Clinical Director)

a. Are face-to-face rehabilitation team meetings conducted with commanders for each soldier screened?

b. Have effective procedures been developed and implemented to ensure that the original of DA Forms 4465 and 4466 are forwarded to ACSAP?

c. Have effective procedures been developed and implemented to ensure that the ADCO is provided a copy of all DA Forms 4465 and 4466?

d. Have effective procedures been developed and implemented to ensure that the ADCO is provided all data required for completion of the DA Form 3711?

e. Have effective procedures been developed and implemented to ensure that rehabilitation urine testing is accomplished on all soldiers enrolled in the ASAP?

f. Has an effective monitoring procedure been implemented to ensure that results of all rehabilitation urine testing are provided to the appropriate counselor?

g. Has an effective monitoring procedure been implemented to ensure that open file cases on soldiers who are in a permanent change of station status are forwarded to the gaining ASAP?

h. Does ASAP check with ACSAP for prior enrollment information on soldiers currently evaluated and/or enrolled?

i. Is a DA Form 4466 completed and forwarded to ACSAP for each soldier in a PCS loss or gain status?

j. Have effective procedures been implemented to ensure that the ADCO is provided a copy of this rehabilitation and treatment review?

F–6. Program Evaluation

a. Have local statistics been maintained and analyzed for program needs and trends?

b. Has an Alcohol and Drug Intervention Council (ADIC) or similar forum been established to review current installation issues and trends?

c. Does the ADIC meet, at a minimum, on a quarterly basis?

d. Are "pre" and "post" tests utilized for ADAPT to assist in determining effectiveness of training?

e. Are evaluation forms on course content used for all training?

f. Are instructor evaluation forms used for all presentations?

g. Has the Federal Drug-free Workplace Program Report been submitted to ACSAP to provide statistical information on the civilian (DFW) drug-testing program?

h. Is the Office of Personnel Management (OPM) Federal Employee Counseling Program Report prepared and forwarded to HQDA annually?

i. Have monthly reports been submitted on DA Form 3711-R to ACSAP to provide statistical status on the ASAP?

j. Have goals and objectives been formulated in a written plan for a comprehensive installation prevention plan?

k. Is the ADCO provided a copy of the internal rehabilitation and treatment review?

l. Has the ADCO developed and implemented a plan to access and monitor command utilization of and satisfaction with all aspects of the program (that is, prevention, identification, rehabilitation, and treatment)?

Glossary

Section I
Abbreviations

ACSAP
Army Center for Substance Abuse Programs

AD
Active Duty

ADAPT
Alcohol Drug Abuse Prevention Training

ADCO
Alcohol Drug Control Officer

ADIC
Alcohol Drug Intervention Council

ADT
Active Duty Training

AEP
ASAP Evaluation Plan

AMEDD
Army Medical Department

AMEDDC&S
AMEDD Center and School

ARNG
Army National Guard

AR-PERSCOM
USAR Personnel Command

ASAP
Army Substance Abuse Program

CAR
Chief, Army Reserve

CCF
Central Clearance Facility

CD
Clinical Director

CFR
Code of Federal Regulations

CNGB
Chief, National Guard Bureau

CONUS
Continental United States

COR
Contracting Officer's Representative

CPAC
Civilian Personnel Advisory Center

CPOC
Civilian Personnel Operations Center

DA
Department of the Army

DAMIS-HQ
Drug and Alcohol Management Information System-Headquarters

DAMIS-FS
Drug and Alcohol Management Information System-Field System

DCPDS
Defense Civilian Personnel Data System

DCSPER
Deputy Chief of Staff for Personnel

DFW
Drug-free Federal Workplace

DHHS
Department of Health and Human Services

DHR
Director of Human Resources

DOD
Department of Defense

DOT
Department of Transportation

EAP
Employee Assistance Program

EAPA
Employee Assistance Program Administrator

EAPC
Employee Assistance Program Coordinator

FAA
Federal Aviation Administration

FHWA
Federal Highway Administration

FTDTL
Forensic Toxicology Drug Testing Laboratory

HQDA
Headquarters, DA

HRC
Human Resource Council

IADT
Initial Active Duty Training

IBAT
Installation Breath Alcohol Technician

IBTC
Installation Biochemical Test Coordinator

IDT
Inactive Duty Training

IPP
Installation Prevention Plan

IPT
Installation Prevention Team

IPTT
Installation Prevention Team Training

LSD
Lysergic Acid Diethylamide

MACOM
Major Army Command

MEDCEN
Medical Center

MEDDAC
Medical Department Activity

MP
Military Police

MRE
Military Rules of Evidence

MRO
Medical Review Officer

MSC
Major Subordinate Command

MTF
Medical Treatment Facility

MUSARC
Major U.S. Army Reserve Command

NGB
National Guard Bureau

NGB-CD
National Guard Bureau, Counterdrug Directorate

OCONUS
Outside CONUS

ONDCP
Office of National Drug Control Policy

OPD
Official Personnel Folder

ODCSPER
Office of the Deputy Chief of Staff Personnel

PC
Prevention Coordinator

PCP
Phencyclidine

PERSCOM
Total Army Personnel Command

PL
Public Law

PM
Provost Marshal

PPA
Prevention Program Administrator

PRP
Personnel Reliability Program

RMC
Regional Medical Command

RRP
Risk Reduction Program

SAP
Substance Abuse Professional

SAV
Site Assistance Visit

SJA
Staff Judge Advocate

TDP
Testing Designated Position

TJAG
The Judge Advocate General

TRADOC
Training and Doctrine Command

TSG
The Surgeon General

UCMJ
Uniform Code of Military Justice

UPL
Unit Prevention Leader

USAAMC
U.S. Army Aeromedical Center

USACE
U.S. Army Corps of Engineers

USACIDC
U.S. Army Criminal Investigation Command

USAMEDCOM
U.S. Army Medical Command

USAR
U.S. Army Reserve

VA
Veterans Administration

Section II
Terms

Army Substance Abuse Program (ASAP)
A personnel program that includes prevention, identification, education, and rehabilitation services. The program includes nonresidential and partial inpatient care program. The ASAP is responsive to the chain of command and supports the morale, safety, and combat readiness of the Army.

ASAP Records
Forms, records, or other documents required by this regulation. This includes any information, whether recorded or not, relating to a patient or client which is received or acquired in connection with any function of the ASAP, including evaluation for possible enrollment in the ASAP. Creation or maintenance of alcohol or other drugs abuse records that would identify an individual as client/patient of the ASAP, other than as required by this regulation, are prohibited.

Air Blank
A reading by an evidential breath test of ambient air containing no alcohol.

Alcohol Abuse
Any irresponsible use of an alcoholic beverage which leads to misconduct, unacceptable social behavior, or impairment of an individual's performance of duty, physical or mental health, financial responsibility, or personal relationships.

Alcohol Level
The alcohol in a volume of breath expressed in terms of grams of alcohol per 210 liters of breath as indicated by an evidential breath test. For example, a breath alcohol concentration of 0.04 means 0.04 grams (four one-hundredths of one gram) of alcohol in 210 liters of expired deep lung air.

Alcoholism
A treatable, progressive condition or illness characterized by excessive consumption of alcohol tot he extent that the individual's physical and mental health, personal relationships, social conduct, or job performance are impaired.

Alcohol and Drug Control Officer (ADCO)
The person having staff responsibility for implementing, operating, and monitoring the ASAP at MACOM, installation, or major tenant unit level.

Chain of Custody
Procedures to account for the integrity of each urine specimen or aliquot, by tracking, handling, and storing from point of specimen collection to the final disposition of the specimen. Documentation of this process must include the date and purpose each time a specimen or aliquot is handled or transferred and identification of each individual in the chain of custody.

Confirmation
The process of using a second analytical procedure to identify the presence of a specific drug or metabolite that is independent of the initial test and which uses a different technique and chemical principle from that of the initial test in order ensure reliability and accuracy.

Drug Abuse
The use or possession of controlled substances, or illegal drugs, or the nonmedical or improper use of other drugs (for example, prescription, and over the and so forth.) that are packaged with a recommended safe dosage. That include the use of substances for other than their intended use (for example, glue and gasoline fume sniffing or steriod use for other than that which is specifically prescribed by competent medical authority.

Evidential Breath Testing (EBT) Device
A device approved by the National Highway Traffic Safety Administration (NHTSA) for the evidential testing of breath and placed on NHTSA's "Conforming Products List (CPL) of Evidential Breath Measurement Devices."

Enrollment
The formal action taken by an ASAP clinician, in consultation with the commander, to enter a soldier into the ASAP.

Family Member
Spouse or minor children of a soldier, or a DA civilian employee. Use of term in this regulation is intended to include only persons eligible for ASAP services by law or regulation.

Follow-up Testing
Unannounced testing which may be administered during counseling or rehabilitation. It is not be confused with testing which is undertaken as part of rehabilitation or counseling (that is, rehabilitation testing). Only verified results of follow-up testing may be used to support an adverse action.

Forensic
Suitable for a court of law, public debate, or argument.

Initial Test
A screening test to identify those specimens that are negative for the presence of drugs of their metabolites. When negative, these specimens need no further examination and need not undergo a more costly confirmation test.

Installation Breath Alcohol Technician (BAT)
An individual trained who instructs and assists employees/applicants in the alcohol testing process and operates an evidential breath test device.

Limited Use
Protection from the use of certain information, determined to be confidential by Federal regulation, to support disciplinary action under the UCMJ or administrative separation with a less than honorable discharge.

Medical Evaluation
Examination of an individual by a physician to determine whether there is evidence of alcohol or other drug abuse or dependency.

Medical Review Officer (MRO)
A licensed physician responsible for receiving laboratory results generated from a drug test who has knowledge of substance abuse disorders and has appropriate medical training to interpret and evaluate employees/applicant's confirmed positive tests results together with their medical histories and any other relevant biomedical information.

Prevention Procedures
Those actions designed to increase the likelihood that individuals will make responsible decisions regarding the use of alcohol or other drugs. Those actions taken to eliminate to the extent possible abuse or misuse of alcohol or other drugs.

Random Testing
Testing which occurs without suspicion that a particular individual is using illegal drugs.

Reasonable Suspicion
An articulable belief that an employee uses illegal drugs or misuses alcohol from specific and particularized facts and reasonable inferences from those facts.

Rehabilitation Team
A coordinating group consisting of the soldier, the unit commander and/or First Sergeant, the ASAP clinical staff, and other appropriate personnel as required (for example, clinical director, chaplain, physician, and so forth). The team reviews all pertinent information about the soldier and recommends to the commander when rehabilitation is required. It selects the appropriate rehabilitation track and assists the commander in setting standards of behavior and goals for evaluation of the soldier's progress in rehabilitation.

Sensitive Position
Any position within Department of the Army in which the occupant could cause, by virtue of the nature of the position, a materially adverse effect on the national security.

Employee Assistance Program Short-Term Counseling
The process whereby the Employee Assistance Program Coordinator provides short-term guidance, advice, education, and mediation to civilian employees towards resolution of employee problems and issues.

Split Specimen
An additional specimen collected with the original specimen to be tested in the event the original specimen tests positive.

Testing Designated Position (TDP) employee
A DA employee who holds a position identified by the Army as having critical safety or security responsibilities related to the Army mission.

Section III
Special Abbreviations and Terms
There are no entries in this section.

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HANDOUTS FOR LESSON 1: L329 version 2

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1 and SH 1-2
SH-2, Extracted Material from U.S Army Personal Financial Management Training Instructor Guide, 2002	SH-2-1
SH-3, Extracted Material from DOD Financial Management Regulation on Split Disbursement Payment	SH-3-1
SH-4, Extracted Material from DOD Financial Management Regulation, Vol. 9, Chap 3	SH-4-1

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Student Handout 1

Advance Sheet

Lesson Hours This Lesson consists of two hours of small group instruction.

Overview This lesson provides information that will help you enhance the financial readiness of your unit. The lesson identifies the different support agencies that can assist soldiers and their families; identifies the wise use of credit that is a key element in achieving financial independence, defines the factors that affect the cost of credit, identifies the type of Insurance with particular emphasis on military benefits, and explains the procedures and responsibilities when using the government travel card.

Learning Objective Terminal Learning Objective (TLO).

Action:	Recognize the importance of managing personal finances.
Conditions:	As a section sergeant in a classroom or unit environment, given a student handouts 2 thru 4.
Standards:	Recognized the importance of managing personal finances by: • Identifying the warning signs of too much credit. • Determining personal insurance needs. • Explaining the purpose and maintenance of the government travel card. IAW Student Handouts 2 thru 4.

ELO A Identify the warning sign of too much credit.
ELO B Determine personal insurance needs.
ELO C Explain the purpose and maintenance of the government travel card.

Assignment The student assignment for this lesson is:

- Read Student Handouts 1 thru 4.

Additional Subject Area Resources	None
Bring to Class	You must bring the following materials to class-- • SH-1 thru SH-4 • Pencil or pen and writing paper.

Student Handout 2

Extracted Material from U.S. Army Personal Financial Management Training Instructor Guide, 2002

This student handout contains 16 pages of extracted material from the following publication:

U.S. Army Personal Financial Management Training Instructor Guide, 2002.

Unit 4, The Essentials of Credit	pages 3 thru 7, 10 and 11
Unit 7, Meeting Your Insurance Needs	pages 8, 11, and 16
Unit 9, Official Government Travel	pages 5 thru 10

Disclaimer: The training developer downloaded the material from the U.S Army Personal Financial Management Training Instructor Guide. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

NOTE: Use this guide to extract pertinent information from the left column. Disregard all slide references given in the right column.

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Unit 4. THE ESSENTIALS OF CREDIT

Topic 4.1 The Essentials of Credit

1. **Introduction**.

   a. During this lesson we will discuss types of credit, appropriate uses of credit, how to tell if you have too much debt, and what a credit report is and how it will affect you all of your life.

2. **Essentials of Credit**.

   a. The word credit defines a number of possibilities. You can take out a loan or use a credit card. Your ability to do this is dependent on the essentials of credit. These include your credit history, interest rates, fees, payment schedules, etc. Do you make your payments on time? Do you use your credit card without considering the purchase? Do you carry your credit card with you at all times?

3. **Types of Credit**.

   a. There are three types of credit:

      (1) Credit cards

      (2) Short-term loans

      (3) Long-term loans

RELATED INSTRUCTOR ACTIVITY

1. SHOW SLIDE 4-1 TITLE SLIDE.

   Establish Contact.

   Introduce yourself and give any background that might be of interest.

   Establish Readiness.

2. SHOW SLIDE 4-2 ESSENTIALS OF CREDIT

a. SHOW SLIDE 4-3 TYPES OF CREDIT

4. **Credit card facts**.

4. SHOW SLIDE 4-4 CREDIT CARD FACTS

a. VISA International has determined that just placing a credit card in someone's hand will cause an increase in spending of 32%.

b. The average young adult has a $6,122 credit limit. Their average balance is $2,226.

c. Nearly half of all credit card holders-43%-make only the minimum required monthly payments at least part of the time.

d. Over 19% of Americans' monthly income is now eaten up by debt payments.

e. Credit Example. Look at this credit example. If you charge $5000 at 18% and make only a minimum 2% monthly payment, it will take 46 years to pay off this debt! You will have paid $18,931!!

e. SHOW SLIDE 4-5 CREDIT EXAMPLE

5. **Short-term vs. Long Term Loans**.

a. To use credit to your advantage, you should understand the differences between short-term and long-term loans, so let's examine the advantages and disadvantages of each.

(1) **Short term loans**. Short-term loans usually offer a better interest rate than longer-term loans. In addition, even if rates are the same, the short- term loan will save you money in interest over a longer loan. Their down side is higher monthly payments.

(1) SHOW SLIDE 4-6 SHORT-TERM LOANS

(2) **Long-term Loans**. The primary advantage of a long-term loan is that it lowers your monthly payments. Disadvantages are an increase in the amount of interest paid, and the fact that some items purchased with long-term loans may wear out before the debt is retired.

(2) SHOW SLIDE 4-7 LONG-TERM LOANS

6. **Are you a good credit risk?**

a. Before deciding whether or not to grant you a loan, or other types of credit, and at what interest rate, a financial institution or company will evaluate the probability that you will make required payments on time. The three factors that weigh heavily in those decisions are: character, capacity, and collateral.

a. SHOW SLIDE 4-8 HOW CREDITWORTHY ARE YOU?

(1) **Character**. Do you have a history of repaying loans on time? Stability (length of time on the job and in a location), age of accounts, and checking and savings account records are also taken into consideration. If you've bounced checks or have been late on your bills, it may prevent you from obtaining credit.

(1) SHOW SLIDE 4-9 CHARACTER.

(2) **Capacity**. What is the likelihood you can repay the loan on time? Factors include your income, how much potential credit you hold (number of cards, number of inquiries), and total debt is considered.

(2) SHOW SLIDE 4-10 CAPACITY

(3) **Collateral**. What, if any, additional security is there to ensure the loan will be repaid? Collateral is normally required for any large loan, such as for a home or a car.

(3) SHOW SLIDE 4-11 COLLATERAL

7. **Appropriate and Inappropriate uses of credit**.

a. **Appropriate uses of credit**. The best use of credit is to purchase assets - things that will grow or increase in value over time, like your own business or buying a home or a rental property. Credit is also useful for convenience - avoiding having to carry large sums of cash or as a management tool. Wise use of credit virtually always falls into one of these two categories - Assets or Convenience. Sometimes use of credit for major consumer goods (so-called "Big Ticket" items) cannot be avoided; few of us can purchase our first car without a loan. This, too, is an acceptable use of credit.

a. SHOW SLIDE 4-12 ABC'S OF APPROPRIATE USES OF CREDIT

b. **Inappropriate uses of credit**. Credit becomes more dangerous when used to purchase consumables. Furniture, clothing, sporting equipment, meals out, and vacations lose much or all of their value immediately after purchase. Such unwise use of credit is often motivated by one of four factors.

b. SHOW SLIDE 4-13 INAPPROPRIATE USES OF CREDIT

a. A credit report is information about you and your credit experiences, such as your bill-paying history, the number and type of accounts you have, late payments, collection actions, outstanding debt, and the age of your accounts. A good report can open many doors for you, and a bad report will be a major obstacle in realizing future goals and aspirations. We'll discuss who keeps these reports, what they contain, how they are used, and what you should do to ensure your report is accurate.

a. SHOW SLIDE 4-19 CREDIT REPORTS.

Direct student to Information Sheet 4-1-1, Sample Credit Report.

b. **Credit Bureaus**. Most credit reports are compiled by three major companies: Equifax; Experian; and TransUnion. A list of these companies and contact information is provided in your Student Guide. In some states, these companies may charge you for your credit report or, if you were denied credit, you can request a copy of your credit report FREE of charge within the within the time limit set by law. These companies are competitors, so they do not share their information, and therefore, the information in your report with each of them may be different.

b. SHOW SLIDE 4-20 CREDIT BUREAUS

Direct student to Information Sheet 4-1-2, How to Contact the Credit Bureaus

c. **Components of a credit report**. Your credit report has four major components.

(1) **Personal Information**. Your name, address, former address/es, SSN, and estimated date of birth. You may not want a great deal of personal information to go on file, however, if you refuse to provide it the creditor can deny you credit.

(2) **Credit History**. This section contains the history of all your accounts of which they have information. It shows all of your credit information: the type of account, the date it was open, your payment history, and the current status of the account. This information is used in evaluation of your creditworthiness. This section will contain your history of late or missed payments - definite adverse entries. You should ensure all closed accounts are reflected as such because the lender to compute your debt-to-income ratio may use potential credit, as well as actual debts. Be sure the report shows that such accounts were closed at your request; otherwise it is left open to question that it might have been closed for cause, more potential adverse information.

c. SHOW SLIDE 4-21 REPORT COMPONENTS

c. **Life Insurance**. Life Insurance pays someone else if you die. Simply put, it insures your future income. If you don't have anyone depending on you for his or her financial well-being, then you don't need life insurance. If you do, then you need to understand it and know how to calculate how much and what type you need.

c. SHOW SLIDE 7-14 LIFE INSURANCE

(1) **Determining your life insurance needs**. Over the next 2-3 years, many of you will marry, and many of you will start families. So listen up. You can take care of your family and it is a profound responsibility to do so. Widows or widowers and children of men and women who did not prepare suffer greatly.

(1) SHOW SLIDE 7-15 NEED FOR LIFE INSURANCE

Direct student to Information Sheet 7-1-1, Determining Life Insurance Needs

(2) **Types of life Insurance**. If you decide you need additional life insurance over and above the maximum you already get in your Army SGLI coverage, you will need to understand the various types available to you. There are two basic types, Term insurance and Permanent insurance.

(2) SHOW SLIDE 7-16 TYPES OF LIFE INSURANCE

1. **Advantages and Disadvantages of Permanent Life Insurance**. There are a number of advantages in having permanent life insurance. If you are planning to keep the policy for life, your coverage will be guaranteed--as long as your premiums are paid. The policy also accumulates a cash value. The cash value is the part of your premium that grows as you pay on your insurance. A strong disadvantage of Permanent Life is that it can be more costly than term as you age. Because it's written for the long term, the younger you are, the lower the premium.

1. SHOW SLIDE 7-21 PERMANENT LIFE INSURANCE-ADVANTAGES AND DISADVANTAGES

(d) **Survivor's Benefits**. In addition to SGLI, certain death benefits will be paid to your beneficiaries should you die on active duty. These benefits should be taken into consideration when determining your overall insurance needs.

(d) SHOW SLIDE 7-22 SURVIVOR BENEFITS

b. Two tactics known to have been used by unethical salespersons are convincing the young soldier to drop SGLI because it does not build cash value, and claiming non-existent dependents to decrease income tax withholding in order to "invest" the "additional" take-home pay in high-cost cash value life insurance. In this latter case, the soldier gets a rude shock on April 15th when he or she discovers they must write a sizable check for income taxes.

5. **Sound advice for Insurance purchases**.

a. Here are some tips to help you through the insurance jungle. As with any major purchase, don't be rushed in to making a decision. Any "good deal" available today will likely be there tomorrow. Sleep on it, and be sure to have any contract reviewed by Army Legal Services PRIOR to signing. Be sure to consider your military benefits when determining your insurance requirements and don't get pressured into a decision, like buying auto insurance at a car dealership. Shop hard using several agents and the internet. A few hours spent now can mean thousands of dollars over your lifetime.

5. SHOW SLIDE 7-29 SOUND ADVICE

Direct student to Information Sheet 7-1-3, Life Cycle Approach to Insurance

Direct student to Information Sheet 7-1-4, Shopping Tips for Insurance.

e. **Travel Reimbursement**

(1) The last step for any government travel is to get reimbursed for the money you have spent during official travel. In order to collect this money you will have to file a travel voucher within five days of your return. To file this voucher, you will need copies of your orders (I told you not to lose them!); the receipt portion of any airline, train, or bus tickets; and a receipt for your lodging. You must also turn in any unused portions of previously purchased tickets.

e. SHOW SLIDE 9-6 TRAVEL REIMBURSEMENT

3. **Government Travel Cards.**

a. At some point in your Army career you may be issued a Government travel card. A government travel card is a credit card and its intention is to streamline the expenses of government travel and related expenses**. It is for official use Only--NO EXCEPTIONS!!** Carrying the travel card is a privilege, and like all privileges, it has accompanying responsibilities. You must file a claim for your travel expenses and then promptly reimburse the credit card company. Further procedures and responsibilities will be explained to you should you ever be given a Government Travel Card.

3. SHOW SLIDE 9-7 GOVERNMENT TRAVEL CARDS.

(1) **Benefits to Travelers.** Properly used, the travel card also provides you with several benefits.

(a) For starters, you can use your card just like an ATM card and get the cash you will need for a trip without having to fill out Government forms and stand in line. On longer trips you can get cash from an ATM at your temporary duty location, negating the necessity to carry excessive sums of cash while travelling.

(b) The card provides you the flexibility to make necessary arrangements if your travel plans are disrupted by bad weather, mechanical problems, missed connections, illness, family emergency, or other unforeseen event.

(c) The card provides you substantial, no-cost insurance—up to $3000 for lost luggage and $200,000 of travel accident insurance.

(1) SHOW SLIDE 9-8 BENEFITS TO TRAVELERS

(d) Being a cardholder also provides you with a readily available source of information should you need medical or legal assistance in a strange place far removed from the nearest military facility. Not if, but when, an airline loses your luggage, card personnel will assist in getting it returned to you. If a ticket is lost or stolen, they'll get you a replacement and sort out the details later. You can also avail yourself of the same pre-trip services as civilian cardholders and check things like the weather and ATM locations before you depart.

(2) **Travel Card Responsibilities**. Carrying the travel card is a privilege, and like all privileges, it has accompanying responsibilities.

(2) SHOW SLIDE 9-9 TRAVEL CARD RESPONSIBILITIES

(a) Your first responsibility with regard to the travel card is to use it only for official travel. NO EXCEPTIONS!!! The local fancy restaurant MIGHT take your card if you used it for a nice dinner date, but this would not be an authorized use, and could subject you to disciplinary action. Do not use your card for personal reasons such as buying gifts for friends and family, even if you are on temporary duty.

(b) It is also your responsibility to properly safeguard the card. You will likely be held accountable for any costs arising from a lost or stolen card.

(c) By far, your biggest responsibility is to PAY YOUR BILLS ON TIME. The travel card is used in your name, the bills are sent to you, and it is your responsibility to pay them by the due date.

EMPHASIZE THE FOLLOWING POINT:

Ladies and gentlemen, this is a serious problem for the United States Army. As of February 2001, there were over 10,000 delinquent travel card accounts with the current issuing company, the Bank of America. Such delinquencies decrease the card company's profit and will have serious repercussions for you.

(3) **Overdue Accounts**. As with any credit card, your government travel card can have a negative impact on your credit report. If you see that you are not going to be able to pay your bill on time notify your supervisor. There are avenues that can be taken to extend the time you have to pay possibly without any penalties.

(a) When your account becomes 55 days overdue, your card will be suspended and will require supervisor intervention to keep it active.

(b) At the 90 point your card will be canceled. Your card may also be canceled if suspended twice in any 12-month period.

(c) If you fail to pay for 120 days, the company WILL start garnishment proceedings. Not only will you be responsible for the outstanding balance, you could also be responsible for up to an additional 25% of the balance and any collection fees.

(3) SHOW SLIDE 9-10 OVERDUE ACCOUNTS

(d) Finally, in addition to being an embarrassment to the Army, decreasing your ability to perform official duties, and getting you in hot water with your chain of command, failure to pay your travel card bills on time will be recorded on YOUR credit report, making it more difficult, if not impossible, for you to get credit for things like homes and automobiles.

4. **Government Purchase Cards.**

4. SHOW SLIDE 9-11 GOVERNMENT PURCHASE CARDS

a. It is possible that later in your career you may be issued a purchase card in addition to a travel card. The purchase card allows the holder to make government-related purchases without having to first get a purchase order. With a purchase card, the bills are sent from the credit card company to the user's organization. The organization is responsible for payment. There will be someone at your organization who checks these bills to ensure all purchases were for Government-related items. Misuse of the purchase card is a CRIME.

5. **Questions.**

5. SHOW SLIDE 9-12 QUESTIONS

Student Handout 3

Extracted Material from DOD Financial Management Regulation on Split Disbursement Payment

This student handout contains one page of extracted material from the following publication:

DOD Financial Management Regulation on Split Disbursement Payment.

Spit Disbursement Payment Option for DOD Traveler page SH-3-2

Disclaimer: The training developer downloaded the material from the DOD Financial Management Regulation. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Split-Disbursement Payment Option Available for DoD Travelers

The Department of Defense has introduced a new payment option for its travel cardholders through the deployment of upgraded software. Known as "split-disbursement," this option allows DOD travelers to elect a split-disbursement when submitting their travel settlement. Using the upgraded Integrated Automated Travel System (IATS 5.X), part of the payment is sent via electronic funds transfer to the travel card contractor, and the rest, forwarded directly to the travelers' designated account.

Used correctly, the split-disbursement option eliminates the cardholders' burden and cost of writing and mailing personal checks for travel payments. In addition, the use of direct deposit speeds the reimbursement process and reduces both administrative costs and account delinquencies. While this payment option will benefit all DOD travelers, it will be of particular value for those on long-term temporary duty submitting interim travel settlements, as it allows the travel card contractor to be paid directly.

Split Disbursement is not uncommon in the private sector. Several Fortune 500 companies have used similar practices for decades. Recognizing the private-sector successes and as part of the ongoing reform of its travel and transportation payment practices, DOD and the travel card contractor worked to make the split-disbursement option available to all DOD travelers paid through IATS 5.X and SRD-1.

Travelers wishing to elect the split-disbursement option simply need to determine the amount charged to their travel card during the billing period and specify that amount on the travel voucher (DD Form 1351-2) in block 3c. For example, if $300 is charged to the DOD travel card for official business expenses and the split-disbursement option is used, the traveler designates this in block 3c as "SPLIT $300." In the event that less money is designated than needed to cover charges to the card, the traveler is responsible for paying the difference. Likewise, if more money than necessary is designated, the travelers' card account will be credited to cover future travel expenses. The traveler also has the option to request payment of the credit by contacting the travel card contractor using the customer service number (1-800- 492-4922).

IATS 5.X software will be released for deployment to the field offices currently using a previously issued version of IATS by the end of September.

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Student Handout 4

Extracted Material from DOD Financial Management Regulation, Vol. 9, Chap 3

This student handout contains 15 pages of extracted material from the following publication:

DOD Financial Management Regulation, Vol. 9, Chap 3, September 2000.

Chapter 3, Vol 9, Department of Defense Government Travel Charge Card	pages SH-4-2 thru SH-4-16

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DoD Financial Management Regulation Volume 9, Chapter 3
September 2000

CHAPTER 3
DEPARTMENT OF DEFENSE GOVERNMENT TRAVEL CHARGE CARD

POLICY AND PURPOSE

General. "The Travel and Transportation Reform Act of 1998" (TTRA) (Public Law 105-264) stipulates that the government-sponsored, contractor-issued travel card (hereafter referred to as the "travel card") shall be used by all U.S. Government personnel (civilian and military) to pay for costs incident to official business travel. Provisions governing this mandatory use requirement within the Department are set forth in section 0303 of this chapter.

Purpose. Within the Department, the travel card program is intended to facilitate and standardize the use by DoD travelers of a safe, effective, convenient, commercially available method to pay for expenses incident to official travel, including local travel. The travel card is used to improve DoD cash management, reduce DoD and traveler administrative workloads, and facilitate better service to DoD travelers. In addition, because of the refund feature of the travel card program, the program results in cost savings for the Department. In addition to individual travel cards, there are travel card variations that include restricted cards, unit cards, and centrally billed accounts (CBA). These variations are used to meet specific needs of the DoD Components. This chapter sets forth the policy and procedures with respect to mandatory use of the travel card under the TTRA. It also establishes procedures for travel card issuance and use.

Applicability And Scope. These policies are applicable to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Inspector General of the DoD, the Defense Agencies, the DoD Field Activities, the Uniformed Services University of the Health Sciences and all DoD nonappropriated fund instrumentalities (hereafter referred to collectively as the "DoD Components.")

RESPONSIBILITIES

General Services Administration. The General Services Administration (GSA) awards and administers a master contract for the government travel card program, which is part of the "GSA Smart Pay Program." The GSA is also responsible for issuing government wide policies and procedures for implementation of the TTRA.
Under Secretary of Defense (Comptroller) (USD(C)). The USD(C) is responsible for establishing DoD-wide policies for the DoD Travel Card Program. Included

within this responsibility is the requirement to develop DoD-wide policy for the implementation of the requirements of the TTRA and monitoring implementation of the TTRA by the DoD Components. DoD Component Heads. The Head of each DoD Component is responsible for developing TTRA implementation strategy for use in that Component. The Component Head, along with the Project Manager-Defense Travel System, shall ensure that the appropriate systems modules are developed that enable DoD travel systems to operate consistent with the requirements of the TTRA and this chapter. Component Head responsibilities include, but are not limited to, submitting regulations developed to implement the TTRA for USD(C) approval; granting exemptions as indicated in, and in accordance with, subparagraphs and of this chapter and notifying the Administrator of the General Services Administration regarding exemptions granted as indicated in subparagraph 030303.C of this chapter.030204. Director, Defense Finance and Accounting Service (DFAS). The Director, DFAS has been designated by the USD(C) as the program manager for the travel card. The DFAS also shall facilitate traveler determination of any late payment fees or charges that may be payable to a traveler under the TTRA as indicated in subparagraph 030701.C of this chapter. Travel Card Program Management Office (TCPMO). The Travel Card Program Management Office (TCPMO), within the DFAS Headquarters' Directorate for Finance (DFAS-HQ/FMT), manages the Department's Travel Card Program. A "DoD Tailored Task Order for the Travel Card Program" was issued to the card contractor and is managed and administered on behalf of the Department by the Acquisition Support Organization, DFAS Headquarters (DFAS-HQ/ASO). The TCPMO works closely with the GSA, the DFASHQ/ASO, DoD Components, and the card contractor to manage the day-to-day operations of the DoD Travel Card Program.

Assistant Secretaries of the Military Departments (Financial Management and Comptroller) and Defense Agency Comptrollers. The Military Department Assistant Secretaries (Financial Management and Comptroller) and Defense Agency Comptrollers, or equivalents, shall ensure program management responsibilities are accomplished within their respective Component, and shall designate a Program Manager for their DoD Component. The Component Program Manager (CPM) shall be designated in writing and identified both to DFAS-HQ/FMT and the travel card contractor. DoD Component Program Managers (CPMs). The CPMs are responsible for establishing and managing the DoD Travel Card Program in compliance with this volume. Each CPM also is responsible for establishing and maintaining the Component's organization structure ("hierarchy") and notifying DFAS-HQ/FMT and the card contractor of any changes in organization structure that affect the travel card program. . Agency Program Coordinators (APC). The APCs are responsible to their respective DoD Component CPM for program execution and management. APCs are responsible for the day-to-day operations of the DoD Travel Card Program. Each APC, in conjunction with the card contractor, shall maintain an up-to-date list of all current cardholders and accounts to include information such as account names, account numbers, addresses, and telephone numbers. Centrally Billed Account (CBA) APCs. The CBA APCs are those personnel designated by their activity commander or director as responsible for the management of CBAs used for the purchase of transportation services. Unit Travel Cardholders. Holders of unit travel cards are designated by the activity commander or director as responsible for management of the CBA unit card. Travel Cardholders.

Cardholders for individually billed accounts (IBA) are personnel to whom travel cards have been
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September 2000

issued for use while performing official government travel. These personnel shall adhere to the procedures set forth in this Regulation and applicable DoD Component guidance. Individual cardholders are responsible for payment in full of the undisputed amounts due in the monthly billing statement from the card contractor.

MANDATORY USE OF THE TRAVEL CARD
Policy

A. Use by DoD Personnel. All DoD personnel shall be required to use the government-sponsored, contractor-issued travel charge card for all expenses arising from official government travel, unless otherwise exempted. Although a traveler may be required to use the travel card, failure to use the travel card shall not be a basis for refusing to reimburse the traveler for otherwise appropriate charges. Such failure may, however, subject the traveler to appropriate administrative or disciplinary action.

B. Travel Orders. All travel orders shall:
1. Include the following statement notifying travelers of the requirements of the TTRA. "'The Travel and Transportation Reform Act of 1998' stipulates that the government-sponsored, contractor-issued travel card shall be used by all U.S. Government personnel (civilian and military) to pay for costs incident to official business travel unless specifically exempted by authority of the Administrator of General Services or the head of the agency."
2. Indicate whether the traveler is (or is not) a government travel card cardholder.
3. If the traveler is a government travel card holder, indicate whether or not the traveler is exempt from the mandatory use provision of the TTRA. (This statement also authorizes alternative payment methods.)
4. Indicate that government travel cardholders shall obtain cash, as authorized, through automated teller machines (ATMs), rather than obtaining cash advances from a DoD disbursing officer.

Government-Wide and DoD-Wide Exemptions

A. Classes of Personnel Exempted
1. The GSA has exempted the following classes of personnel from mandatory use of the travel charge card:
a. Employees who have an application pending for the travel charge card
b. Individuals traveling on invitational travel orders
c. New appointees.
2. In addition to the government-wide GSA exemptions, the following classes of personnel are exempt from mandatory use of the card throughout the Department:
a. Members of the Reserve Officer Training Corps and military personnel undergoing initial entry or initial skill training prior to reporting to their first permanent duty station

b. Military and DoD civilian personnel who are denied travel charge cards or whose travel charge cards have been canceled or suspended for financial irresponsibility or for other specific reasons
c. Hospital patients
d. Prisoners
e. Such military or DoD civilian personnel as approved by the Head of a DoD Component during (1) a period of war, (2) a national emergency declared by the President or the Congress, or (3) mobilization, deployment, or contingency operations
f. Such military or DoD civilian personnel traveling to or in a foreign country where the political, financial, or communications infrastructure does not support the use of a travel charge card
g. Such military or DoD civilian personnel whose use of the travel charge card, due to operational, security, or other requirements of a mission, would pose a threat to national security, endanger the life or physical safety of themselves or others, or would compromise a law enforcement activity
h. Direct and indirect hire foreign nationals
i. Individuals employed or appointed on a temporary or intermittent basis upon a determination by the individual's supervisor or other appropriate official that the duration of the employment or appointment or other circumstances pertaining to such employment or appointment does not justify issuance of a travel charge card to such individual
j. Such military or DoD civilian personnel as are determined to be infrequent travelers. An infrequent traveler is one who travels two or less times per year.

B. Classes of Expenses Exempted

1. The GSA has exempted the following classes of expenses from the mandatory use of the travel charge card:
a. Those incurred at a vendor that does not accept the government-sponsored, contractor-issued travel charge card
b. Laundry/dry cleaning
c. Parking
d. Local transportation system fares
e. Taxi fares
f. Tips
g. Meal charges when the use of the card is impractical (e.g., group meals or when the card is not accepted at a dining establishment)
h. Telephone calls (when a government calling card is available for use in accordance with agency policy)
i. Relocation allowances prescribed in chapter 302 of the Federal Travel Regulation, except en route travel and house hunting trip expenses.
2. In addition to the GSA government-wide exemptions, the following classes of expenses are exempt from the mandatory use of the travel charge card throughout the Department of Defense:
a. All expenses covered by the "meals and incidentals" portion of the per diem allowance

b. All local and long distance telephone calls
c. All expenses incurred during a permanent change of station move and all expenses while on a .

Exemptions Made by the Heads of DoD Components

A. Class Exemptions. The Heads of DoD Components may exempt additional types or classes of expenses or types or classes of personnel from the mandatory use requirements of the TTRA. An exemption covering a type or class of expenses or type or class of personnel shall be approved by the USD(C) prior to implementation.
B. Individual and Specific Expense Exemptions. The Heads of DoD Components may exempt any individual person or specific expense (i.e., a specific occurrence of an expense relating to a particular traveler or a single episode of travel) from the mandatory use requirements of the TTRA. These exemptions do not require approval by the USD(C).
C. Notifications of Exemptions. The Head of a DoD Component (or designee) who grants an exemption from the requirements of the TTRA shall, in accordance with statutory requirements and regulations promulgated by the Administrator for General Services, prepare and submit the following notifications:
1. Not later than 30 days after granting an exemption for a type or class of individual or a type or class of expense covered by subparagraph 030303.A, above, notify the Administrator of General Services in writing of the granting of such exemption.
2. Not later than 30 days after granting an exemption to any individual person or specific expense covered by subparagraph 030303.B, above, notify the Administrator of General Services in writing of the granting of such an exemption. Notifications under subparagraphs 30303.C.1 and 30303.C.2, above, shall state the reason for the exemption and be submitted directly to the Administrator of General Services, Attention: MTT, 1800 F Street, NW, Washington, D.C. 20405. A copy of each notification shall be provided to the DFAS, Attention: DFAS-HQ/FMT, 1931 Jefferson Davis Highway, Arlington, Virginia, 22240-5291.

Payment Methods Authorized When Exempted.

When an exemption is granted from the mandatory use of the travel charge card, one or a combination of the following may be authorized for payment of travel expenses. City pair contractors, however, are not required to accept payments under subparagraphs 030304.A or B below:
A. Personal funds, including cash or a personal charge card
B. Travel advances, or
C. Government Travel Requests.

NON-MANDATORY USE OF THE TRAVEL CARD

Voluntary Card Use.
An individual granted an exemption from mandatory use of the travel card may continue to use the travel card on a voluntary basis.

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Local Travel
The travel card can be used for local travel expenses (i.e.,
parking and tolls), but such use is not required under the TTRA.
0305 PROGRAM STRUCTURE AND GENERAL TRAVEL CARD INFORMATION

General Information
A. Card Design. In accordance with the GSA master contract, government travel cards may be issued in either the regular card design (i.e., the U.S. Capitol dome with an airplane and the words: “For Official Government Travel Only”), the quasi-generic card, or generic card. The quasi-generic and generic cards do not have the special art work or statement identifying it as a "government" card. When security is an issue, a generic or quasi-generic travel card may be issued upon written request from the APC through the CPM to the card contractor.
B. The Program. The DoD Travel Card Program consists of three products: individually billed accounts (IBA); centrally billed accounts (CBA); and travelers checks.
C. Internet Based Electronic Travel Card Management System. The GSA master contract stipulates that the card contractors will offer an Internet based electronic travel card management system. These systems allow access via personal computers (PCs) in order to process and maintain DoD travel card accounts, display transaction and account data, and provide designated reporting information. The DoD Components shall determine whether individual cardholders will have system access for their accounts and will notify the TCPMO and contractor of that decision. DoD Component activities shall use the contractor’s Internet-based electronic travel card management system to the maximum extent possible. CPMs shall inform the card contractor of any organizations (e.g., major commands, major subordinate commands, bases or installations) that lack connectivity to on-line services. The card contractor shall issue electronic program management reports as required. Paper reports are rendered on an exception basis and require CPM/TCPMO approval.
D. Automated Teller Machine (ATM) Access. Travelers may use the travel card at a specified network of ATMs to obtain cash needed to pay for “out-of-pocket” travelrelated expenses. The card contractor will assign a personal identification number (PIN) to each cardholder, together with card issuance to permit ATM access. ATM advances shall not be obtained earlier than 3 working days before scheduled travel. The card contractor will charge the cardholder a transaction fee for ATM use. This charge, which appears on the cardholder’s billing statement, is a reimbursable expense. In addition, some banks charge a service fee for ATM access. That fee also is reimbursable. Government travel advances will not be authorized for personnel who are eligible to be issued individual travel cards.
E. Travelers Checks
1. Cardholder Placed Order Via the Internet. If otherwise permitted, travelers checks may be ordered by the cardholder in predetermined amounts via the contractor’s Internet based electronic travel card management system. The contractor will charge a user fee for traveler’s checks purchases and these charges will appear on the cardholder’s billing statement. These fees are reimbursable expenses provided the cardholder requests reimbursement on the travel voucher. The issuance of travelers checks does not preclude the use of the ATM privilege, but does reduce the total amount available to the cardholder during that billing cycle.

2. Use in Lieu of Cash Advance. The issuance of travelers checks by a DoD Component is optional. Where used, travelers checks issued by an agency shall be treated as a cash advance. The APC, acting as an agent for the Department, shall follow the instructions found in Volume 5, Chapter 3, of this Regulation.

F. Merchant Category Codes (MCCs). These are codes established by the card network to describe merchant type. The Department blocks some MCCs as a measure to control inappropriate card use. Issues concerning MCCs should be addressed to the TCPMO.

G. Refunds. Based on net charge volume, the GSA contract stipulates that the card contractor shall offer refunds to using government agencies. The formula used to compute these refunds varies between individual and central accounts, and includes a factor for the promptness of payments. Refunds are adjusted for amounts written off due to delinquency. The GSA deducts an industrial funding fee from the refunds, with the balance sent by the contractor via electronic funds transfer to the applicable DoD Component. The refunds are computed and distributed each quarter.

Eligibility

A. DoD Personnel. Unless otherwise exempted, all DoD personnel (military and civilian) who travel in the performance of their duties shall obtain and use the DoD travel card. DoD personnel shall be issued only one travel card. If a DoD employee also holds Reserve Component membership, the travel card will be issued through the organization of his or her civilian employment. DoD civilian employees who also are active members of a Reserve Component are required to provide their full-time federal employer a copy of their inactive duty training schedule and active duty for training or annual training military orders to support their use of the travel card for military duty.

B. Foreign Nationals. Foreign Nationals who travel on behalf of employing DoD activities are authorized to use travel cards, but may not be eligible for the city-pair contract rates.

C. Nonappropriated Fund Instrumentality (NAFI) Employees. NAFI employees of the Department are authorized to use travel cards.

D. Recruiting Personnel. Military personnel assigned to recruiting duties are authorized to use travel cards for official reimbursable expenses in their local area.

E. DoD Contractors. DoD contractors are not authorized to use government travel cards.

Individually Billed Accounts (IBA). An IBA is an account where a travel card is issued to an individual employee. The cardholder receives the billing statement directly from the contractor at the address provided on the card application. It is his or her responsibility to notify the APC and the card contractor of changes in contact information such as a new address. Cardholders are responsible for payment in full of the amount stated on the monthly billing statement. To assist the traveler in fulfilling the payment responsibility, the DoD Component shall encourage cardholders to use the "split disbursement payment process" for travel reimbursement. (See paragraph 080102 of this volume.) IBAs contain a unique numeric prefix which identifies the account as an official government travel card. This prefix identifies the account as eligible for government travel rates, including city pair rates, and tax exemption when provided by state law. IBAs are issued as specified below:

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A. Standard Travel Card.
These are issued to individuals as recommended by the card contractor, or as directed by the commander or supervisor. In no case, however, may a standard travel card be issued to an individual who refuses a credit check (see paragraph 030605, below). The standard credit limit on these cards is $5,000 per billing cycle. The APC (or CPM or TCPMO) has the authority to increase the overall credit limit on the card beyond $5,000 to accommodate mission requirements.
1. The ATM limit is $500 per billing cycle. APCs may raise the ATM limit to $4,000 per billing cycle and CPMs may raise the ATM limit to $5,000 per billing cycle. ATM limits over $5,000 per billing cycle require TCPMO approval. DoD Components also may implement lower ATM limits.
2. The retail limit (purchases for other than lodging, airfare, car rental and meals) is $250 per billing cycle. APCs may raise the retail limit to $500 per billing cycle on a case-by-case basis and CPMs may raise the retail limit to $1,000 per billing cycle on a case-by-case basis.
3. The effect of increases to ATM and retail limits does not automatically change the total credit limit on the card.

B. Restricted Travel Card.
These cards are issued to cardholders when recommended by the card contractor (and the APC concurs), requested by the applicant, or directed by the commander or supervisor. A restricted travel card is the only individual card that is issued to individuals who refuse credit checks. (See paragraph 030605, below.) Restricted travel cards are the same in appearance as standard cards; however, they are inactive at issuance. The total credit limit on a restricted card is $1,250 per billing cycle. This credit limit includes a $200 ATM limit and a $50 retail limit, with the remaining $1,000 available to charge meals, lodging, rental cars and miscellaneous expenses. APCs are authorized to raise these limits based on travel requirements. At the request of the cardholder, the APC may activate the restricted card for a specific travel event. Centrally Billed Accounts. Cards for CBA accounts are issued to DoD activities that make travel arrangements and those activities guarantee payment. CBAs have no spending ceiling and payments are subject to the "Prompt Payment Act of 1982," as amended. Such card contains the unique prefix "4486 1600" that identifies the account as a CBA for official federal government travel. This prefix identifies the account as eligible for government travel rates, including city pair rates, and tax exemption. The APC shall forward any request to establish a CBA to the cognizant CPM. CBAs are issued for the following purposes.

C. Transportation Travel Cards.
Transportation travel cards are issued to government travel offices for use in purchasing transportation, including airline tickets, bus tickets, and rail tickets. These purchases are made through a commercial travel office (CTO). The CTO acts as an agent for the government travel office. The government travel office receives a monthly invoice from the travel card contractor. The CTO is responsible to reconcile the transportation purchases appearing on the invoice and forward the invoice to the government transportation office. The transportation office shall **DoD**

forward certified invoices to the designated disbursing office.

D. Unit Travel Cards.
DoD Components may use unit travel cards only when it is cost effective and in the best interest of the mission. Categories of travelers whose travel may be charged to unit travel cards include, but are not limited to, new recruits and employees who do not yet have travel cards, prisoners, and DoD group travelers. Components should limit the issuance of unit travel cards wherever possible and maximize the use of individual travel cards. Written approval of the cognizant CPM is required for issuance of a unit travel card. Upon receipt of the invoice, each designated unit cardholder is responsible for reconciling the travel card charges and promptly providing a validated copy of the statement to the unit account coordinator. The unit account coordinator is responsible for reconciling the charges appearing on the summary account monthly statement which is a composite (rollup) of all charges from all cards assigned to that organization. The unit account coordinator also is responsible for filing any necessary disputes with the travel card contractor. Once the billing statement is validated, the unit account coordinator shall obtain fund certification from the cognizant resource management office before forwarding certified billing statements, with any required supporting documentation, to the designated disbursing office. Costs exceeding published travel and per diem rates shall be approved using an authorization memorandum signed by the authorizing official.

MANAGEMENT CONTROLS
Training. The TCPMO and the DoD CPMs shall ensure that travel card program training materials are distributed throughout the Department. Training materials include specific manuals, videos, and contractor products tailored for the Department. DoD Components shall advise new cardholders on proper use of the card and ensure that APCs and current travel cardholders are informed of policy and procedure changes to the travel card program. Training materials may be provided in hard copy and/or electronic media.

Travel Card Applications
Application forms are available via the card contractor's Internet based electronic travel card management system or from the APC. Applications contain the following data: applicant's name, social security number (SSN), current address, work and home phone numbers, the applicant's authorization for a contractor performed credit check, the applicant's signature and the supervisor or commander approval. When an applicant is given an application for a travel card, the APC shall give the applicant applicable program information and have the applicant sign a "DoD Statement of Understanding for Travel Cardholders." (See Appendix A.)

Processing Routine Applications
The APC shall request that the card contractor establish new individually billed accounts upon receipt of a properly completed application. The applicant, the applicant's supervisor, and the APC shall sign the application. The APC shall complete the billing hierarchy string on the application before submitting the application to the card contractor. The APC shall fax the completed application, within 3 days of APC receipt, to the card contractor.

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Processing Emergency Applications
Emergency applications are defined as applications for employees who are scheduled to travel within 5 working days. The APC may call the contractor's government card customer service unit (GCSU) to request an emergency travel card. The APC shall fax the application to the card contractor as soon as possible. The APC shall annotate prominently the application "Emergency Application" and verify with the GCSU that the application has been received. The contractor shall process and send emergency cards within 24 hours to the individual cardholder's stated address, the temporary duty location, or as directed by the APC.

Credit Checks
Credit checks shall be performed on all new card applicants. The applicant has the option to decline the conduct of a credit check. In that case, only a restricted card shall be issued. If the applicant agrees to a credit check the fact that a credit check has been performed will appear on the credit bureau's record for the applicant and will be evident to subsequent credit grantors who request a credit check. This process is similar to instances when the applicant personally applies for credit. From the information obtained as a result of the credit check, the card contractor either shall issue a standard travel card, or shall recommend to the APC the issuance of a restricted card. In no case shall the card contractor provide credit history results to the APC. Recommendations from the card contractor are intended to assist the commander or supervisor in determining whether a standard or restricted travel card is the best option for the traveler. The commander or supervisor may override the contractor's suggestion to issue a restricted travel card and authorize the APC to approve a standard travel card at any time except where an applicant declines a credit check.

Issuance of Cards by Contractor
Upon receipt of a properly completed application, the card contractor shall send the travel card and cardholder agreement within 3 business days. The contractor shall mail the card to the individual cardholder's stated address, temporary duty location, or as directed by the APC. The card contractor shall send PIN numbers associated with the ATM option separately from the card within 3 business days after receipt of the completed application. The card contractor shall allow the cardholder the later option to personalize his or her PIN.

Misuse
Commanders or supervisors shall not tolerate misuse of the DoD travel card and cardholders who do misuse their DoD travel cards shall be subject to appropriate administrative or disciplinary action. These cards shall be used only for reimbursable expenses associated with official travel. The following, while not reimbursable, are considered to be related to official travel. Therefore, the travel card can be used for the following purposes.
A. Incidental Expenses. The cardholder, while in a travel status, may use the card for non-reimbursable incidental travel expenses such as rental movies, personal telephone calls, exercise fees, and beverages, when these charges are part of a room billing or meal and are reasonable.
B. Expenses Incurred During Leave in Conjunction with TDY. The travel card also may be used for personal lodging or car rental charges, incurred in conjunction with otherwise authorized official travel expenses, when such charges are an integral part of the billing for the period spent

at the temporary duty location while on official travel (i.e., when a traveler spends a weekend or is authorized leave at a temporary duty location before or after TDY, and a room or car rental is continued into TDY, a weekend, or a period of authorized leave).
C. Payments. The traveler shall pay for incidental nonreimbursable personal expenses covered by subparagraphs 030607.A and B, above, as part of the normal billing process.

APC RESPONSIBILITIES

Program Management Information
A. General. As the day-to-day manager of the travel card program, the APC shall maintain all pertinent records for cardholders while they are in the APC's hierarchy. When the cardholder transfers, the gaining APC shall establish needed records. For individual applicants, these records shall include: a copy of the application; a copy of the signed DoD Statement of Understanding (see Appendix A); and all other relevant correspondence pertaining to the cardholder (e.g., delinquency notification and requests for changes in spending limits).
Due to the sensitivity of the data contained in these files, such data shall be maintained in a secure container or area that assures limited access.
B. Organization Hierarchy Structure. APCs at all levels are responsible for maintaining their organizational hierarchy structure. This hierarchy is the link that identifies cardholder accounts to correct organizations within a parent Component. The APC is responsible for tracking arriving and departing cardholders to ensure validity of the organization hierarchy and the contractor reporting information.
Account Transfers.
APCs are directed to follow the procedures published in the contractor's training guides for using the electronic system to transfer cardholders.

Termination
The APC shall terminate a travel card upon a cardholder's dismissal, retirement, or separation from the Department. Also, if applicable, the APC shall terminate the cardholder's use of the card contractor's Internet-based electronic travel card management system.
Delinquencies.
As the day-to-day manager of the travel card program, the APC shall monitor delinquencies and take appropriate actions as defined in section 0308, below.

TRAVELER REIMBURSEMENT AND PAYMENT RESPONSIBILITIES

Timely Reimbursement of Travel Expenses
A. Reimbursement Within 30 Days. DoD personnel shall be reimbursed for authorized travel expenses no later than 30 days after submission of a proper travel claim to the office where the claim is to be approved. Therefore, the approving official to track submission and receipt of travel claims shall maintain a satisfactory recordkeeping system. For example, travel claims submitted by mail could be annotated with the date of receipt in the office where the claim is to

be approved. Travel claims submitted electronically to the approving official could be considered to have been received on the submission date indicated on the e-mail, or on the next business day if submitted after normal working hours. For fully automated travel applications, such as the Defense Travel System, the travel claim shall be considered to be received when the traveler releases the claim to the travel system.

B. Travel Claim Errors

1. If a travel claim contains an omission or an error, the claimant shall be notified about the error by the responsible official. The notification shall include the reason(s) why the travel claim is not proper. The 30-day period for the government to make payment before application of a late payment fee will not commence until a correct travel claim is received. This procedure will be applicable to all travel claims submitted prior to May 1, 2002.

2. Beginning with travel claims submitted on or after May 1, 2002, if a travel claim contains an omission or an error, it should be returned to the traveler within a 7-day period. The notification shall include the reason(s) why the travel claim is not proper. Once a corrected travel claim is received, the 30-day period for the government to make payment before application of a late payment fee will commence.

C. Late Payment Fees and Charges. Where payment of the travel settlement takes longer than 30 days following receipt by the office where the claim is to be approved, a late payment fee may be required. This fee is payable, using the "Prompt Payment Act" interest rate, beginning on the 31 day after the submission of a proper travel claim and ending on the date that the payment is disbursed by the government. The only exception to the requirement for this payment is that no payments are required for amounts less than $1.00. In addition, the traveler shall be paid an amount equal to any late payment charge that the card contractor would have been able to charge had the traveler not paid the bill. The Internal Revenue Service has determined that the late payment fee is reportable as interest and that the payment equal to the late payment charge is to be reported as additional wages.

D. Systems Modifications. DoD Component travel systems shall be modified as necessary to capture the date of submission of a proper travel claim and compute entitlement for late payment fees due as a result of untimely settlement.

E. Claims for Late Payment Fees. Pending implementation of system changes that will track late payments and automatically create and compute the entitlement resulting from such late payment, if a traveler believes that late payment fees are due, he or she shall submit a supplemental travel claim for late payment fees. Each such supplemental travel claim shall be submitted through the office where the claim is to be approved, where it will be annotated with the date that the original travel claim was received. As DoD travel systems are modified to implement the automated late payment fee computation and entitlement requirement, there no longer will be a need for separate action by the traveler to file a supplemental travel claim for late payment fees.

Responsibilities of Travelers for Payments

A. Monthly Statements. Cardholders are responsible for payment in full of the amount stated on the monthly billing statement. To assist the traveler in fulfilling the payment responsibility, cardholders are encouraged to use the "split disbursement payment process" for travel

reimbursement. (See paragraph 080102 of this volume.)

B. Disputed Charges. In the event that the billed amount contains charges that are disputed by the traveler, the traveler must obtain a dispute form from his or her APC and send that completed form to the travel card contractor. Detailed instructions will be provided by the APC.

Fees Chargeable by the Contractor.

The card contractor may charge a fee when a check submitted in payment of a bill is dishonored. In addition, a late fee per billing cycle may be assessed for individually billed accounts that are 120 days past due. If an account is referred for collection, the card contractor may charge the cardholder up to 25 percent of the account balance plus all costs of collection. The card contractor also may initiate garnishment proceedings through the judicial system against travel cardholders for accounts over 120 days delinquent and also may notify credit bureaus of these delinquencies.

DELINQUENCY MANAGEMENT

The GSA master contract specifies time frames when the contractor must notify the APC of impending suspension or cancellation of delinquent cardholder accounts.

A. Mission-critical Travel. When mission related circumstances preclude the filing of interim vouchers, the APC is authorized to notify the card contractor to so advise and ensure that cardholders will not be identified as delinquent. Mission-critical travel is defined as travel performed by DoD personnel under competent orders and performing duties that, through no fault of their own, may prohibit the prompt payment of their outstanding travel charge card bills. This category is determined by the organizational APC or CPM. While in this category, individual travel charge cards shall not be suspended or cancelled. Should there be outstanding bills, they shall be settled within 45 days of removal from this status.

B. Long-term Travel. While in a long-term travel status, the standard is that the traveler shall file interim vouchers every 30 days, with split disbursement as the preferred means of settlement. Organizations should assist travelers by providing blank vouchers prior to departure and upon arrival at the temporary duty location.

C. Pre-suspension Notification for Accounts 55 Days Past Due. At 55 days past due, the contractor shall issue a pre-suspension notification to the APC. The APC shall notify the cardholder and the cardholder's supervisor, by e-mail where possible, that the account will be suspended in 5 days if the contractor does not receive full payment of all undisputed amounts. The APC shall request that the supervisor notify the APC, within 5 days, of any reason that the account should not be suspended (e.g., mission-critical travel or long-term temporary duty). If the APC is given sufficient information by the cardholder's supervisor to justify keeping the account active, the APC immediately shall advise the GCSU that the account should remain active. The APC should keep a record of the supervisor's notification and related correspondence. (Sample notification letters are at Appendix A.)

D. Suspension of Accounts 90 Days Past Due. At 90 days past due, the APC shall notify the cardholder's supervisor and the next command level, via e-mail when possible, that the

cardholder's account has been suspended for nonpayment. Charge card privileges, which include ATM access and all charge capability, shall be blocked for this cardholder until payment in full has been received by the contractor. If no action is taken toward this debt, the account shall be cancelled. The APC should keep a record of each notification. (Sample notification letters are at Appendix A.)

E. Cancellation of Accounts 120 Days Past Due. At 120 days past due, the card contractor shall issue a cancellation notice to the APC. The APC shall notify the cardholder, and the cardholder's chain of command, by e-mail if possible, that the cardholder's account shall be cancelled at 126 days past due if the contractor does not receive full payment of the undisputed amounts. The APC shall keep a record of each notification. If no action is taken toward this debt, collection action shall be taken by the travel card contractor beginning on the 126th day past due. Once an account is cancelled, reinstatement may be made only when: (1) the account is paid in full and (2) the commander or director sends written correspondence to the card contractor requesting reinstatement. The contractor reserves the right to deny the reinstatement request. (Sample notification letters at Appendix A.)

F. Cancellation of Accounts Suspended Two Times. Cancellation of an account also shall occur if the account has been suspended 2 times during a 12-month period for nonpayment of undisputed principal amounts and again becomes past due. Accounts that have been suspended twice during a 12-month period shall be considered, for cancellation purposes, past due for the third time at 45 days from the closing date on the statement of account in which the charge appeared.

REPORTS PROVIDED BY CARD CONTRACTOR

General.

Reports are considered the primary program tools and shall be available via the contractor's Internet-based electronic travel card management system. Due to the sensitive nature of all travel card reports, information contained therein shall be safeguarded. Mandatory reports are outlined in paragraphs 030902 and 030903, below.

Reports Provided by Card Contractor for Each CPM

A. Agency Summary Report. This report is a summary report, by Component, for all travel-related expenses, transportation charges, ATM usage, and travelers checks transactions. This report segregates all charges and credits for each individually or centrally billed accounts.

B. Statistical Summary Report. This report lists, by Component, on a current and fiscal year basis, the dollar volume, ATM volume, travelers check volume, number of transactions, active cardholders, total accounts, new accounts, miscellaneous fees and identification of fees.

C. Aging Analysis. This report identifies summary-level delinquency information by Component hierarchy.

Reports Provided by Card Contractor for Each APC

A. Cardholder Account Listing. This report identifies cardholder names, addresses, telephone numbers, SSNs, and account numbers assigned under the APC organization.

B. Account Activity Report. This report identifies travel cardholder activity and ATM usage during the recent billing cycle.

C. Delinquency Report. This report identifies delinquent cardholders and ages delinquencies by time frame (i.e., 30, 60, 90, 120, or more days).

D. Presuspension/Precancellation Report. This report lists accounts eligible for suspension or cancellation and identifies account names, account numbers, status, balances past due, and the number of days that each account is past due.
E. Suspension/Cancellation Report. This report lists accounts that have been suspended or canceled and identifies account names, account numbers, status (suspended or canceled), date of status, balances past due, and the number of days that each account is past due.
F. Renewal Report. This report identifies those cardholders whose cards are coming due for renewal. APCs shall review the information on this report monthly and take appropriate action.

EFFECTIVE DATE AND IMPLEMENTATION
The policies addressed in this chapter are effective immediately. Policies addressed in section 0303, however, will apply only to travel beginning after April 30, 2000, and any labor relations obligation under Title 5, United States Code, chapter 71 shall be fulfilled prior to implementation of the policy with respect to employees represented by unions

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HANDOUTS FOR LESSON 1: T330 version 1

This Appendix Contains

This appendix contains the items listed in the table:

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extracts from DA Pam 738-750	SH-2-1

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of one hour of small group instruction.

Overview

This lesson teaches some of the forms and records you will use to performance maintenance operations at the operator/squad/unit level. Your knowledge of these forms, when to use them and how to correctly fill them out is an essential part of keeping your section and units equipment at an optimum operating capacity.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Supervise squad level PMCS.
Conditions:	In a classroom environment, given an extract from DA Pam 738-750.
Standards:	Supervised squad level PMCS by reviewing the actions of subordinates to determine correctness during before and after operations PMCS and provided feedback on deficiencies IAW DA Pam 738-750.

Assignment

The student assignments for this lesson are:

- Read Student Handout 1.
- Read Student Handout 2.

Additional Subject Area Resources

None

Bring to Class

You must bring the following materials to class:

- All reference material received.
- Pencil or pen and writing paper.

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Student Handout 2

Extracted Material from DA Pa, 738-750

This student handout contains 49 pages of extracted material from the following publication:

DA Pam 738-750, Functional Users Manual for the Army Maintenance Management System (TAMMS), 01 August 1994.

Cover	
Chapter 1	pages 1 thru 3
Chapter 2	pages 3 thru 10 and 12 thru 15
Chapter 3	pages 15 thru 23, 25,26,30 thru 36,39,40,46 47, 63 thru 69
Chapter 4	pagers 68 and 69
Chapter 12	pages 146, 154 thru 159 and 166

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Department of the Army
Pamphlet 738–750

Maintenance of Supplies and Equipment

Functional Users Manual for The Army Maintenance Management System (TAMMS)

Headquarters
Department of the Army
Washington, DC
1 August 1994

Unclassified

Chapter 1
Introduction

1–1. Purpose

a. This pamphlet indicates which records are required to control and manage equipment and maintenance. AR 750–1 sets the policy for keeping the records outlined in this pamphlet.

b. This pamphlet applies to all Army equipment, except installed equipment (see AR 420–17), industrial production equipment, nonstandard equipment that has not been type classified or assigned a National Stock Number (NSN), equipment bought with nonappropriated funds, and medical equipment covered by TB 38–750–2.

c. The forms and records are used to—

(1) Control equipment and manage maintenance.

(2) Make equipment improvement recommendations (EIRs) and product quality deficiency reports.

(3) Ask for, apply, and report Modification Work Orders (MWOS).

(4) Keep track of and report on the condition, status, and operation of equipment.

(5) Collect and report information used to design new equipment and redesign and improve current equipment.

(6) Gather information for special one–time studies and projects. When the forms do not meet the needs of a study or project, ask HQDA (DALO–SMM), WASH DC 20310–0546, for approval to vary from this pamphlet.

(7) Get special maintenance information from selected units in selected areas. This sampling will be limited to a stated number and a specific type, model, or series of equipment. The sample can be taken for only a limited time. AR 750–1 governs sampling programs.

(8) File warranty claim actions (WCAs).

1–2. References

Required and related publications and prescribed and referenced forms are listed in appendix A.

1–3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the consolidated glossary. Other military terms are defined in AR 310–25.

1–4. Exceptions

This pamphlet cannot be supplemented or changed without approval from HQDA (DALO–SMM), WASH DC 20310–0546.

1–5. Types of records

a. Operational records. Operational records give the information needed to control equipment. They help plan, manage, and put the equipment and personnel to the best use.Operational records are in chapter 2.

b. Maintenance records. Maintenance records control maintenance schedules and services, inspections, and repair workloads; and are used to report, ask for, and record repair work.They help keep up with the status of equipment for readiness, warranty, equipment use, and logistics reports. Maintenance records are in chapter 3.

c. Nonaeronautical Equipment, Army Oil Analysis Program (AOAP). Technical information, instructions, and operating procedures for nonaeronautical equipment enrolled in the AOAP are described in chapter 4. Policies, objectives, and responsibilities of the AOAP are prescribed in AR 750–1.

d. Equipment historical records. Historical records are permanent forms on the receipt, operation, maintenance, modification, transfer, and disposal of individual items of equipment. These records are in chapter 5.

e. Watercraft records. Records for U.S. Army floating craft are in chapter 6.

f. Rail equipment records. Chapter 7 covers records for U.S. Army rail equipment.

*g. Communication security (COMSEC) equipment.*COMSEC equipment records are in chapter 8.

h. Ammunition records. Use ammunition records to control and report on munitions. Nuclear weapon reporting is covered by (C) TB 9–1100–803–15. Ammunition records are in chapter 9.

i. Supply and Maintenance Assessment and Review Team(SMART). The purpose of SMART, how to submit a SMART initiative, and a list of SMART Initiatives are included in chapter 10.

j. Deficiency reports. Procedures to report deficiency reports are in chapter 11.

k. Unit Level Logistics System (ULLS) user procedures. ULLS user procedures are outlined in chapter 12.

l. Standard Army Maintenance System (SAMS) user procedures. Forms and procedures unique to SAMS users are outlined in chapter 13.

1–6. General instructions

a. Information about equipment forms and records, and specific details on how to use, fill out, and handle each form is found in the related chapter. Unless the specific instructions for the form say otherwise, the following rules apply:

(1) Nonapplicable entries will be left blank.

(2) All entries on the forms will be printed or typed except personal signatures and initials. All forms and records will be filled out in pencil, unless the specific instructions tell you to use ink. If ink is required, you will use a blue or black pen.Repeated information can be entered by rubber stamp. Typed and stamped entries will be in blue or black. Grease pencils, felt tip marker, and colored pencils will not be used except as directed for corrected copies.

(3) Time and effort can be saved by using abbreviations. Use only the abbreviations in AR 310–50, AR 700–138, appendix B, and the consolidated glossary.

(4) Authorized codes for forms are listed in appendix B.

(5) Ditto symbols may be used. However, make sure the symbols cannot be misunderstood.

(6) Forms may be overprinted when the information is repeated each time the form is used for a particular purpose. For example, heading information or inspection items may be overprinted.

(7) The terms noun, noun abbreviation, and noun nomenclature refer to the same basic identification. These terms may be used interchangeably.

(8) Use the examples and illustrations as guides only. Read the text and figure instructions. Then fill out your forms showing your own equipment, unit, and status. If there is a conflict between the form and the instructions in the figure, use the instructions.

(9) Forms will not be changed or altered. You will not use locally devised forms instead of, or in addition to, the forms in this pamphlet. When forms do not give you needed information, you can ask permission to vary from this pamphlet. However, you will not vary from these requirements without written permission from HQDA(DALO–SMM), WASH DC 20310–0546.

(10) Commanders appoint a designated representative to sign some forms and records. When a representative is appointed, that authority must be in writing on a memorandum, orders, or a DA Form 1687 (Notice of Delegation of Authority–Receipt for Supplies).See DA Pam 710–2–1.

(11) Where rank/grade is mentioned, rank refers to military(e.g., CPT), and grade refers to civilian (e.g., WG–09).

(12) Use julian or calendar dates unless the specific form instructions tell the type of date to put on a form.

(13) Do not make out forms and records until you have an entry for them.

(14) Disposition instructions are provided for each form. A form may be retained beyond the prescribed period when required locally to assist management or in special situations. A form will not be retained beyond the prescribed time merely for inspection purposes.

(15) Wherever a masculine pronoun “he”,“him”, or “his” is used, it will be construed to include the feminine “she”, “her”, or “hers” as appropriate.

b. Commanders direct the preparation of forms for local management purposes. The forms used for local management purposes, and not directed to be maintained by other guidance, will not be sent outside the command.

c. The forms are no good unless the information is readable, correct, and complete. If a form is found with missing or incorrect information, check the applicable instructions for the form. If those instructions say the form or the information stays within the unit, just correct the form. Erase, use correction fluid or tape, or line through the wrong information. Write the correct information above the line or where the old entry was. Some information or entries cannot be changed. Check the specific form instructions before you erase, correct, or line through entries.

d. Whenever you make an EIR, check AR 672–20. Many EIRs qualify as suggestions and could earn you some money.

e. This pamphlet gives instructions for manually preparing maintenance forms and records. Some Department of the Army (DA)standard automated systems (ADPE–supported) also require maintenance forms and records. The instructions for filling out the forms under those systems are in the manuals for those systems. When the automated system you are under disagrees with this pamphlet, go with the automated system manual. But, the automated system manual rules over this pamphlet only when—

(1) The unit or activity that makes out the records has approval to use the DA standard automated system.

(2) The equipment records for the automated system meet the needs of this pamphlet.

(3) Reports required to be sent to the national level also fit the needs of this pamphlet. Those reports will meet the format and data reduction requirements in chapter 5.

f. Units or activities that are ULLS users will comply with the system's automated users manual. ULLS provides automated procedures for performing and managing limited TAMMS functions and standard motor pool operations. Many manual forms are replaced by automated records in ULLS. The forms automated through ULLS are authorized and will be used in place of the manual forms.

g. Units or activities operating under SAMS will use procedures as outlined in AISM 25–L21–AHN–BUR–EM.

h. Units or air traffic control (ATC) facilities that maintain nonstandard Army ATC equipment must still use all historical and maintenance related forms in this pamphlet, as appropriate, as well as any other maintenance forms that are directed by the specific equipment's technical publications.

1–7. Forms requirements

a. The required forms and records give you and your commander a picture of the equipment's condition, use, operation, and needs.The ultimate purpose of this information is to have the equipment safe and ready for combat.

b. Operators, dispatchers, records clerks, mechanics, prescribed load list clerks, supervisors, and commanders have an equal stake in maintaining the forms.

c. The forms and records will not be redone just for neatness(See para 1–6c). Redo historical forms and records, as shown below, only when the original form is lost or so damaged that the information is no longer readable.

(1) When a historical form is redone, move all the information from the old form to the new one. In the remarks block of the new form or in the top or bottom margin, print: "New Form Initiated" and the date. The commander or the commander's designated representative signs the entry. Put UNK for unknown in any block that cannot be read. Throw away the national maintenance point (NMP) copies of forms made to replace lost or damaged forms.See the following instructions:

(a) These instructions apply only when the original form was on hand, but was lost or damaged.

(b) If equipment requiring a DA Form 2408–9 (Equipment Control Record) arrives in the unit without a form or there is no record of a DA Form 2408–9 on it, use the instructions in paragraph 5–2a.

(2) If you lose, damage, falsify, or destroy a record intentionally or through negligence, you will be subject to disciplinary action. These forms and records are important.

1–8. Status symbols

a. Status symbols are used on forms and records to show the seriousness of equipment faults or problems. The five status symbols below are used (X, CIRCLED X, HORIZONTAL DASH (–), DIAGONAL SLASH (/), and LAST NAME INITIAL):

(1) X. An X status symbol is for a fault or equipment condition that is a deficiency. Deficiencies put the equipment in an inoperable status. No one will authorize or order equipment operated until the X condition is repaired or status changed. If the condition is unusual and could occur on other similar equipment, check the other equipment. The commander or the commander's designated representative will immediately place all similar equipment in an X status symbol. Each item will be inspected. If the unsafe condition is found, it must be fixed; and, if necessary, a Category I deficiency report submitted, as outlined in chapter 11.Leave the equipment in an X status until instructions are received.An X status symbol applies to the following situations:

(a) Deficiency on the equipment. The motor officer, maintenance officer, or designated representative will inspect all work taken to correct each status symbol X and CIRCLED X deficiency.

(b) Component or assembly is defective or removed and makes the equipment unsafe to operate.

(c) Equipment has a deficiency listed in the "not mission capable if" (formerly equipment not ready/available if) of the equipment TMs PMCS table.

(d) Fault that endangers the lives of the operator or crew, listed in AR 385–55 as NMC, or that would further damage the equipment. This equipment will not be reported on MCSR unless listed in the NMC column of PMCS tables, but will be an administrative deadline.

(e) Urgent MWO has been published, but not applied to the equipment.

(f) Safety–of–Use message issued stating a potentially dangerous or unsafe condition on your equipment.

(g) The commander judges the equipment not able to do its mission.

(2) *CIRCLED X.* A CIRCLED X means the equipment has a deficiency but may be operated under set limitations. The commander or the commander's designated representative may authorize limited operation. The limited operation is usually for a one–time only operation but is dependent on the mission. A CIRCLED X status symbol applies to the following situations:

(a) Limited urgent MWO or deficiency with limiting conditions on your equipment. Limited condition means the equipment can be operated, but only within limits set by the MWO or other publication. The limits may affect operation or require a maintenance action in a set time.

(b) Potentially dangerous condition that requires limiting operations. When you find this type of condition, inspect other similar equipment. The commander or the commander's designated representative will put all similar equipment under limited operations. Send in a Category I deficiency report as outlined in chapter 11.

(3) *HORIZONTAL DASH (–).* A HORIZONTAL DASH shows that an inspection, component replacement, or overdue MWO has not been done or applied.

(4) *DIAGONAL SLASH (/).* A DIAGONAL SLASH shows a fault with equipment other than a deficiency. Faults must be fixed to make the equipment fully usable and to prevent more problems.

(5) *LAST NAME INITIAL.* A LAST NAME INITIAL shows a completely satisfactory condition or a corrected fault.

b. Status symbols reflect the judgment of the person making the inspection, operating the equipment, or doing the maintenance.No one will order an individual to change a status symbol. All changes become permanent, except CIRCLED X, until the fault is corrected or determined otherwise by the commander's designated representative, who will be knowledgeable in maintenance. The faults will be corrected per the Army –10 and –20 PMCS maintenance standards as noted in AR 750–1. A status symbol will be changed only under the following conditions:

(1) *Status symbol change.* The commander or commander's designated representative will ensure that the following is accomplished if they disagree with a status symbol:

(a) Changes can be made from a less serious to a more serious status symbol, and from a serious to a less serious status symbol.

(b) The commander or commander's designated representative will show a status symbol change on a DA Form 2404 (Equipment Inspection and Maintenance Worksheet) by re–entering the fault and new status symbol on the next open line. Print "status symbol change" in column d next to the fault.

(c) When either the original or final (change) status symbol is an X or a CIRCLED X, the repair work will be inspected. When the repair is finished, the repairer who performed the work will initial in column e. The commander or commander's designated representative will designate a qualified person who has not performed the repair work. This designated inspector will put his last name initial over the status symbol to accept the work and start the process to close out the fault.

(2) *Changing an X to a CIRCLED X status symbol.* A fault with an X status symbol puts the equipment in an inoperative condition. The equipment may have to be sent to a higher level maintenance activity for repair. Operating equipment in a CIRCLED X status symbol always carries some risk or danger. The commander or commander's designated representative will verify deficiency on a daily or mission basis, whichever is greater.

(a) Before allowing limited operations, make sure the crew or operators will not be endangered or the equipment further damaged.

(b) Changing an X to a CIRCLED X is temporary. When the daily or mission dispatch is over, the equipment goes back to an X status symbol.

(c) Changing an X not mission capable (NMC) condition to a CIRCLED X only effects operation of the equipment. The time is still counted as NMC on the DA Form 2406 (Materiel Condition Status Report), DA Form 3266–1 (Missile Materiel Readiness Report), DD Form 314 (Preventive Maintenance Schedule and Record), and DA Form 3266–2R (Missile Materiel Status Report Worksheet).

1–9. How to report errors, recommend improvements, and ask for help

a. If you need help or have questions about this pamphlet, send a letter through your command to the Director, USAMC Logistics Support Activity, ATTN: AMXLS–RRM, Redstone Arsenal, AL 35898–7466. Be sure to send the letter through channels, as the answer you need may be nearby. Your command will try to answer your question before passing it on. If you go through channels, you will get an answer sooner.

b. Make sure your DA Forms 2028 (Recommended Changes to Publications and Blank Forms) and letters asking for information list the paragraph and page number. Remember to add your name and DSN or commercial phone number.

1–10. Sample data collection

a. Sample data collection (SDC) is the DA authorized process in accordance with AR 750–1 and AR 750–2 for collecting and administering information on fielded Army equipment and equipment support.

b. Data is collected on specific equipment in specific units for specific objectives. The data provides equipment developers and equipment managers with actual field performance information in support of supply, maintenance, or engineering evaluations. The SDC Program establishes an audit trail and supports evaluations of SDC specific objectives; for example, evaluated fielded systems currently in production using engineering service type data for the purpose of improving the production system reliability, availability, maintainability, and readiness characteristics.

c. HQDA approves all SDC projects. The executive agent designated by DA for SDC management will announce the initiation of an SDC project by message 30 days before the SDC project implementation date. Participating units will be information addresses on those messages.

d. Accurate, timely, and complete recording of all data on TAMMS and SAMS forms and records by participating SDC units is essential to the success of an SDC project.

e. SDC project documentation includes a major Army command(MACOM) approved Field Procedures Guide (FPG), containing specific responsibilities, procedures, and instructions on what TAMMS, and SAMS forms will be required for the SDC project. In certain instances, it is necessary for the TAMMS forms to be modified to allow for the collection of essential data (for example, military occupational specialty (MOS) is not a required entry on the DA Form 2404 by the instructions in this pamphlet). Modified TAMMS and SAMS forms will only be used upon MACOM approval. Therefore, participating SDC units will ensure modified TAMMS and SAMS forms, if applicable, are completed as directed in the MACOM approved FPG.

f. AR 750–1 authorizes unit personnel in selected units to record data on special SDC forms. The use of special forms is restricted to a minimum and will be approved only with strong justification and per an approved SDC plan and FPG. Units participating in SDC projects will complete the applicable SDC form as directed by the MACOM approved SDC FPG. MACOM approval of the SDC FPG serves as the authority for unit personnel to complete the special SDC form.

Chapter 2
Operational Records and Dispatch Procedures

2–1. General procedures

a. This chapter tells how to make out and use forms for equipment operation, dispatch, and control.

b. The forms and records will be kept by all units, organizations, and activities who operate self–powered vehicles, towed vehicles, and stationary powered equipment. These forms may be used for other equipment when the commander wants hours of use, fuel, and oil added or other information.

c. Units with automatic data processing equipment support will use printouts or automated forms in place of the manual forms in this chapter.

d. The following publications tell how to train, test, and license equipment operators, except on aircraft, and report accidents:

(1) AR 55–19
(2) AR 56–9
(3) AR 190–51
(4) AR 385–40
(5) AR 385–55
(6) AR 600–55
(7) AR 700–84
(8) FM 21–17
(9) FM 55–30
(10) FM 21–305
(11) FM 21–306
(12) TB 600–1
(13) TB 600–2

2–2. How to dispatch equipment

a. Dispatching is the method by which a commander controls the use of equipment. However, allowing equipment to be used carries with it the responsibility for both the equipment and the operator's safety. Commanders ensure that dispatching procedures are understood and followed.

b. The commander appoints a responsible person to the duties of a dispatcher (reference para 1–6a(10)).

c. The dispatcher—

(1) Fills requests for equipment to be issued or used.

(2) Checks the operator's OF 346 (U.S. Government Motor Vehicle Operator's Identification Card) or DA Form 5984–E (U.S.Government Motor Vehicle Operator's Identification Card) (Automated)to make sure the operator is licensed for the equipment requested.

(3) Issues and collects the equipment record folder and the needed forms in the folder.

(4) Makes sure that the operators make needed and correct entries on the forms in the equipment record folder.

(5) Logs equipment in and out on the DA Form 2401(Organizational Control Record for Equipment).

(6) Makes required entries on the DD Form 1970 (Motor Equipment Utilization Record).

(7) Makes sure equipment faults are reported to maintenance personnel using DA Form 2404.

(8) Reports any differences in stated and actual destinations or missions.

(9) Notes any services done during the dispatch, AOAP samples taken, and so forth. Update the DA Form 5823 (Equipment Identification Card) to show any new information.

d. The dispatch loop describes the following procedures that will be followed when dispatching equipment:

(1) The operator reports to the dispatcher. For equipment needing licensed operators, the operator's OF 346 or DA Form 5984–E (Automated) will list or cover the item.

(2) The dispatcher gives the operator an equipment record folder with all the forms that will be needed during the mission.Both the dispatcher and the operator check the DA Form 5823 on the front of the folder for services due on the equipment. For unusual dispatch situations such as field training exercises or alerts, forms and packets will be prepared in advance.

(3) The operator uses the equipment TM for before–operation PMCS. Any faults the operator can fix will be fixed. Other faults, not already on the DA Form 2408–14 (Uncorrected Fault Record), go on the DA Form 2404. Nontactical equipment may not have a PMCS. Use a local checklist as a PMCS for that equipment.Operational checks and services will be performed before the equipment leaves the motor pool or other dispatch point. Operational checks will be performed while the equipment is being operated.Operational checks and services will be performed when the equipment completes the mission or returns to the motor pool or dispatch point.

(4) The operator and/or mechanic fixes any new faults, if possible. The commander or the commander's representative decides if any remaining faults go on the DA Form 2408–14 or keep the equipment from being dispatched.

(5) If the equipment is ready to dispatch, the dispatcher makes needed entries on the DA Form 2401 and validates the DD Form 1970 with signature and date.

(6) The operator leaves with the equipment and equipment record folder with all needed forms. During–operation checks are noted during the dispatch.

(7) When the mission is completed, the operator performs the after–operation PMCS on the equipment and annotates new faults on the DA Form 2404. The operator and mechanic will fix any faults they can and secure the equipment.

(8) The operator turns in the equipment records folder and all forms to the dispatcher. The dispatcher checks the forms for any open faults or needed actions. If the DD Form 1970 has been completely filled, the dispatcher transfers needed information to a new DD Form 1970. The dispatcher then closes out the DA Form 2401 entry for that item.

(9) Motor transport units performing line haul operations transfer their semitrailers to a larger organization designated by the senior motor transportation command (either group or brigade).The commander of the larger transport organization establishes a semitrailer control office that will be responsible for maintaining dispatch and maintenance records on those semitrailers.

2–3. Equipment record folder

a. The equipment record folder (NSN 7510–01–065–0166) holds the forms needed to keep up with equipment use, operation, and condition while on dispatch.(See fig 2–1.)

b. The equipment record folder is used each time an item of equipment goes on dispatch as shown below:

(1) The folder will carry only the forms and records needed during a dispatch. For routine dispatch, a vehicle folder will contain the current DA Form 2404; DA Form 2408–14, when there is something deferred or on order for the equipment; DD Form 1970;and the accident forms, SF 91 (Operator Report on Motor Vehicle Accidents), and DD 518 (Accident Identification Card).

(2) A DA Form 2408–4 (Weapon Record Data) will go in the folder only when the weapon is to be fired, serviced, or repaired.

(3) Put all the forms, except the DD Form 314 and the DA Forms 2408–9, in the folder when the equipment goes to support maintenance.

c. An equipment record folder will be assigned to a specific item of equipment. The DA Form 5823 in the front outside pocket ties the folder to the equipment.

d. The equipment record folder and all forms on an item of equipment go with the equipment when it is turned in or transferred.

2–4. DA Form 5823 (Equipment Identification Card)

a. The DA Form 5823 ties a particular equipment record folder to an item of equipment. (See fig 2–1.).

b. A DA Form 5823 goes in the outside front pocket of each equipment record folder. Information on the card is used to:identify the equipment covered, keep track of services due, and identify the assigned operator and leader.

c. The dispatcher and operator use the card to keep up with services and make sure the right folder is issued.

d. Keep information on the DA Form 5823 current. Whoever keeps the DD Form 314 will update the information after each scheduled service.

e. The DA Form 5823 will be replaced when it is no longer readable.

f. DA Form 5823 is not required if under ULLS.

2–5. DD Form 1970 (Motor Equipment Utilization Record)

a. Purpose. The DD Form 1970 is a record of motor equipment use. (See figs 2–2, 2–3, and 2–4.)

b. Use.

(1) The DD Form 1970 will be used to control the use of special purpose and material handling equipment, combat, tactical, and nontactical vehicles.

(2) DD Form 1970 will be used to record operating time on equipment that requires services based on hours only. This includes such equipment as generators, air compressors, centrifugal pumps, and so forth. Operating time is the time of operation, using the time of day or hours of usage. Equipment on which an operating time DD Form 1970 is kept only requires an entry on DA Form 2401 when the equipment is used for the purpose for which it was intended; that is, a generator used to provide electrical power or a compressor used to provide compressed air for a mission or a mission support.An entry on DA Form 2401 is not required when equipment is not leaving the motor pool area or area where equipment is maintained or stored.

(3) DD Form 1970 will be used for the following varying periods depending on its use:

(a) For regular dispatches, DD Form 1970 will be used until all the spaces in either the operator or action section have been filled. For equipment with a single operator, for example, the DD Form 1970 normally will be used for four separate dispatches before it is completed.

(b) For an extended dispatch, DD Form 1970 will be used until all the spaces in either the operator or destination sections have been filled. An extended dispatch will be used whenever the equipment being dispatched will not return to the motor pool within the dispatch day; for example, prior to 2400. Examples for use of extended dispatch include guard duty and maneuvers. When an extended dispatch may require more room than one DD Form 1970 allows,

the dispatcher provides blank copies of the DD Form 1970 to use as continuation sheets.

(c) Forms recording only operating time will be used until the destination or operator section is filled in.

(4) DD Form 1970 will be used for control purposes for administrative and engineering and housing motor pools that do not have ADP support. Each dispatch will require a separate DD Form 1970.

(5) Equipment going to support maintenance will be dispatched to and from support maintenance on DD Form 1970 and DA Form 2401. An exception to this is when the unit requesting support maintenance and the support maintenance activity are located so that the equipment will not leave the Motor Pool area or area where equipment is maintained or stored. In this case, only a DA Form 2407(Maintenance Request) needs to accompany the equipment. At support maintenance, the DA Form 2407 will be used as a dispatch record for maintenance repair operations and final road testing.

(6) The DD Form 1970 will be used to record exercises of low use equipment and equipment in administrative storage.

c. Disposition.

(1) The dispatcher—

(a) Puts the time of return on the DA Form 2401 entry.

(b) Transcribes needed information to a new DD Form 1970. For equipment under the AOAP, the dispatcher takes any oil added from the Remarks Block. This number will be added to the total in the Oil Block at the top of the completed DD Form 1970. The new total will be entered in the Oil Block of the new DD Form 1970. The dispatcher keeps a total of oil added to that item only until the next oil sample is taken. The date and hour of the next oil sample will be found on the DA Form 5823 and the DD Form 314. When an oil sample is taken, the figure in the Oil Block of the DD Form 1970 goes to zero.This information is needed for the DD Form 2026 (Oil Analysis Request) sent in with each oil sample.

(c) When required locally, add fuel added during the dispatches to the total in the Fuel Block. The new total will be placed in the Fuel Block on the new DD Form 1970. Local standing operating procedures (SOP) will decide how long and when fuel totals will be kept.

(d) Look for any unusual entries in the Remarks Block that need further action.

(e) After needed information has been moved to other forms, you may keep the last completed DD Form 1970 until a new form is completed. You may have no more than two DD Forms 1970 on the equipment: one completed copy on file and one open for dispatch.

(f) When equipment is involved in an accident or other situation under investigation, keep the DD Form 1970 on the equipment until released by the investigator at the completion of the investigation. Prepare a new DD Form 1970 the next time the vehicle is dispatched.

(2) A completed DD Form 1970 is as follows:

(a) A DD Form 1970 used to dispatch equipment is considered completed whenever the operator blocks, time in and out blocks, or destination blocks are filled. The commander may line out unused portion to close out a form whenever needed.

(b) A DD Form 1970 used to show running time on equipment is considered completed when the destination or operator blocks are filled.

2–6. DA Form 2401 (Organizational Control Record for Equipment)

a. Purpose. The DA Form 2401 is a record of operators and location of equipment on dispatch or in use. (See Fig 2–5.).

b. Use.

(1) Dispatchers note the dispatch or use of equipment.

(2) DA Form 2401 tells commanders who asks for and uses the equipment. It also lets the commander know where the equipment is and when it should return.

c. General information on the DA Form 2401.

(1) DA Form 2401 may be overprinted when the same equipment is dispatched every day.

(2) Use a separate DA Form 2401 to show the dispatch of“radio taxis”. When this DA Form 2401 is used for radio cab dispatch, columns a through m will be filled in as required locally.

(3) The same page may be used for more than one day. Draw a line through the middle of columns “a” through“e” below the last dispatch entry for a day. Write the next date in column ’f’ (Destination), then draw a line through the middle of column “g” through “l”. Do not make a line or date entry for days no equipment is dispatched.

(4) Make separate line entries for equipment that is towed to a location but will not return with the dispatched equipment.

(5) Do not dispatch equipment for motor stables or routine maintenance unless it leaves the equipment or motor pool area.

(6) Equipment sent to support maintenance on a DA Form 2407 will be dispatched on a DD Form 1970 and DA Form 2401 except as noted in paragraph 2–5b(5).

d. Disposition.

(1) Destroy DA Form 2401 one month after the last entry in column 1 has been closed out.

(2) If an accident or unusual situation occurs, keep the DA Form 2401 until it is released by the investigator.

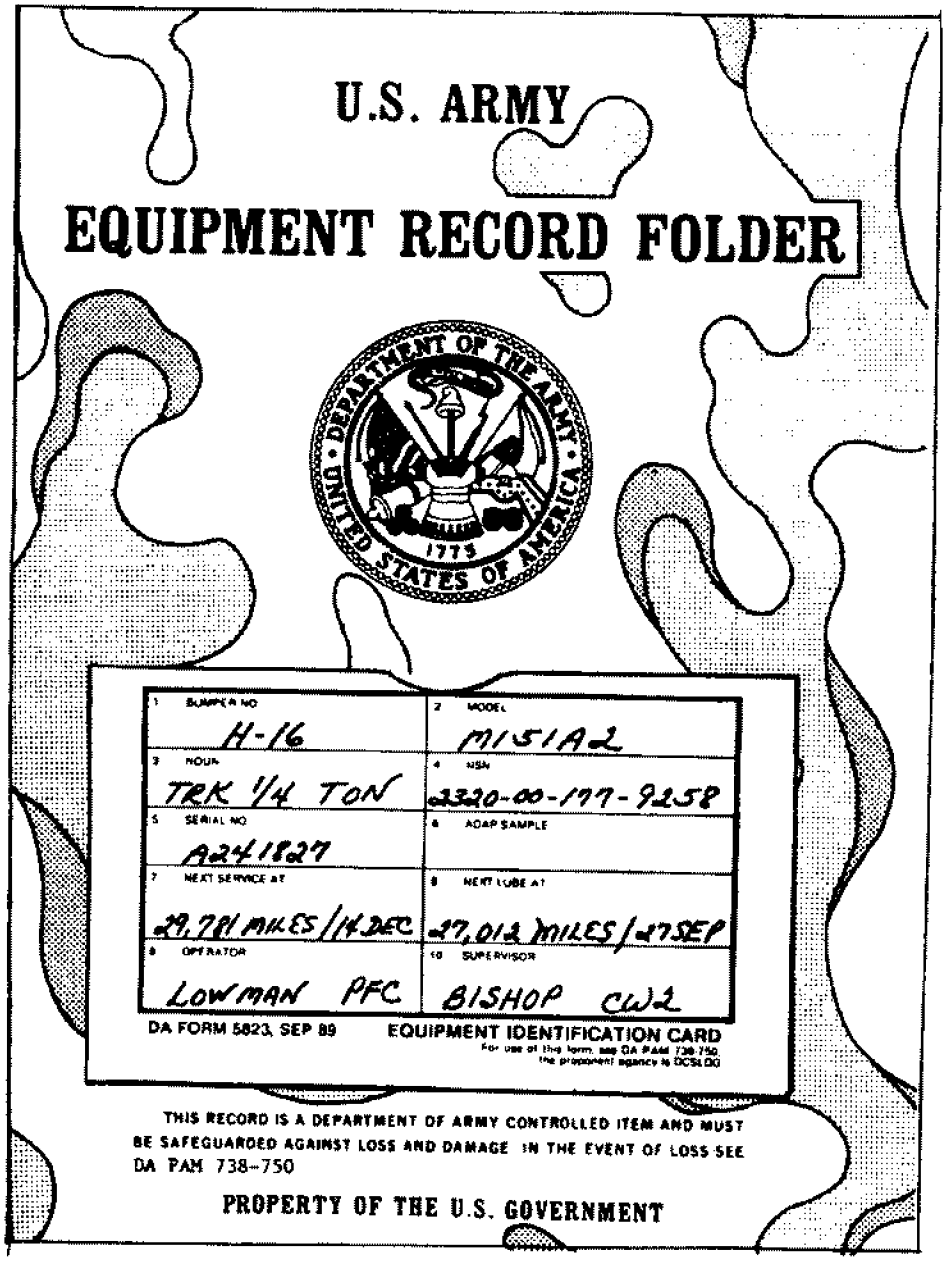


Figure 2-1. Sample of a completed Equipment Record Folder with Equipment Identification Card

Legend for Figure 2-1:
Completion instructions for DA Form 5823

The following information will go on each DA Form 5823:

Bumper No. Enter the equipment bumper number. If the equipment does not have an assigned bumper number, enter the equipment's administration number.

Model. Enter the model number.

Noun. Enter the noun or noun abbreviation.**National Stock Number (NSN).** List the end item NSN.

Serial No. List the serial number for the equipment. For equipment managed by registration number, put the item's registration number on the card.

AOAP Sample. Enter the date and hours the next AOAP sample is due. Get this information from the equipment's DD Form 314 or AOAP lab printout. When making this entry, only use pencil. The entry is only needed for equipment under AOAP.

Next Service At. Enter the date and/or miles, kilometers, or hours when the next scheduled service is due on the equipment. Get this information from the DD Form 314.Pencil entry.

Next Lube At. Put the date and/or miles, kilometers, or hours when the next scheduled lubrication service is due on the equipment. Pencil entry. Get this information from the DD Form 314.

Operator. The operator's last name and rank go here. Pencil entry. Leave blank if more than one operator is assigned to the equipment.

Supervisor. Put the last name and rank of the operator's leader or supervisor here.

Pencil entry.

Notes:

1. The operator's and supervisor's or leader's names are used for two purposes. If the folder is lost or misplaced, the finder will have names to track down. Most important, those names show who is responsible for the equipment, the forms in the folder, and the information on the equipment's condition.

2. The back of the card may be used for locally required information. For example, if your command asks for a monthly mileage report, put your start and end dates and miles on the card in pencil. You will get the miles travelled from the DD Form 1970.

MOTOR EQUIPMENT UTILIZATION RECORD

DATE (YYMMDD)	TYPE OF EQUIPMENT	REGISTRATION NO./SERIAL NO.	ADMINISTRATION NO.
920623	TRK CGO M35A2	NK02DB	B-15 w/TLR B-T-15

ORGANIZATION NAME	FUEL	OIL
Co B 164 ECB	18 GAL	3 QTS

	ACTION	TIME	MILES	HOURS	
1ST OPERATOR (Last Name, First, M.I.): Frank, Joesph B. SPC	IN	1705	7348	432	REPORT TO (Last Name, First, M.I.): Jones, James R. SFC
OPERATOR'S SIGNATURE: Joseph B. Frank	OUT	0745	7262	428	DISPATCHER'S SIGNATURE: Arthur J. Bieber
	TOTAL	9:20	86	4	
2D OPERATOR (Last Name, First, M.I.): Short, Chris P. PFC	IN	1420	7415	435	REPORT TO (Last Name, First, M.I.): Emerick, Glen C. SFC
OPERATOR'S SIGNATURE: Chris P. Short	OUT	0800	7348	432	DISPATCHER'S SIGNATURE: Arthur J. Bieber
	TOTAL	6:20	67	3	
3D OPERATOR (Last Name, First, M.I.) SGT: Hawkins, Raymond T.	IN	1640	7450	437	REPORT TO (Last Name, First, M.I.): Mead, Gerry I. SFC
OPERATOR'S SIGNATURE: Raymond T. Hawkins	OUT	1200	7415	435	DISPATCHER'S SIGNATURE: Arthur J. Bieber
	TOTAL	4:40	35	2	
4TH OPERATOR (Last Name, First, M.I.)	IN				REPORT TO (Last Name, First, M.I.)
OPERATOR'S SIGNATURE	OUT				DISPATCHER'S SIGNATURE
	TOTAL				

DESTINATION	TIME ARRIVE	TIME DEPART	RELEASED BY (Signature)	REMARKS
FROM 1. Motor Pool		0745		
TO 2. Trng Area #21	0830	1600	James R. Jones	Fuel: 14 gal
TO 3. Motor Pool	1645			
TO 4.			920624	
TO 5. Motor Pool		0800		
TO 6. Trng Area #35	0915	1215	Glen C. Emerick	
TO 7. Motor Pool	1400			Fuel: 13 gal Oil: 1 qt
TO 8.			920625	
TO 9. Motor Pool		1200		
TO 10. Quanah Range	1300	1500	Gerry I. Mead	
TO 11. Motor Pool	1620			Fuel: 6 gal
TO 12.				
TO 13.				
TO 14.				
TO 15.				
TO 16.				

DD FORM APR 81 1970 EDITION OF FEB 75 MAY BE USED.

Figure 2-2. Sample of a completed DD Form 1970 (Dispatch)

Legend for Figure 2-2:
Completion instructions for DD Form 1970 for Dispatch

Date. The dispatcher puts the date the form is started. The date will be reflected as two places for the year, two for the month, and two for the day (e.g., 930210).

Type of Equipment. The dispatcher enters the equipment's noun and model.

Registration No./Serial No. The dispatcher puts in the serial number of the equipment. For equipment you manage by registration number, enter the register number.

Administration No. The dispatcher enters the equipment bumper number. If the equipment does not have an assigned bumper number, enter the administration number.If the equipment will be dispatched with a trailer or other item, include that item's bumper or administration number.

Fuel. If required locally, the dispatcher will keep a running total of fuel added to the equipment.This entry shows how much fuel has been added to date when the form was started. Local SOP will state how long fuel totals will be carried.

Oil. For equipment under the AOAP, the dispatcher will keep a running total of oil added to the equipment. This entry shows how much oil has been added for the current period when the form was started. Oil added totals are only kept between oil samples. When a new sample is taken, the total goes back to zero and you start over. For equipment not under AOAP, use this block as required locally.

Note: More than one component on an end item can be under the AOAP; for example, the engine and transmission.When that occurs, divide the OIL block into sections, one for each component covered, and enter the oil added for each separately.Print the first letter of the component at the top left corner of the section to indicate which section applies to which component.

Organization Name. The dispatcher enters the organization to which the equipment is assigned.

Operator.

a. The dispatcher prints the name or names of the operator or operators of the equipment in blocks provided.Put the last name first, followed by the first name, middle initial, and then rank/grade.

b. You may have to change operators after equipment has been dispatched. This normally happens when an operator becomes sick, overly tired, and so forth. The operator's supervisor or leader, OIC or NCOIC, will close out the first operator's entry. He will log the IN time and miles/hours in the ACTION section for that operator. The new operator's name goes in the next OPERATOR block. The supervisor or leader will sign in the next open DISPATCHER'S SIGNATURE block. If the OPERATOR blocks are all filled, put the names, time, and miles/hours in the REMARKS block.

Operator's Signature. The operator or operators sign in this block.

Action. This section shows the time and miles or hours on the equipment when it is dispatched and returned.

Time. Show time on the 24–hour clock to the nearest 5 minutes.

In. Show the time the equipment came back from dispatch or other use.

Out. Enter the time the equipment was released by the dispatcher.

Total. Subtract the OUT time from the IN time to get the total time the operator had the equipment in use. Separate hours and minutes by putting a colon (:)between them. Five hours and 20 minutes will be printed 5:20.

Miles. Figure miles to the nearest mile or kilometer.

In. The operator enters the miles or kilometers from the odometer when the equipment comes off the dispatch. If the odometer is broken, estimate the miles or kilometers. Put EST in front of the number.

Out. The dispatcher will enter the miles or kilometers on the odometer when the equipment is dispatched. If the odometer is broken, put EST in front of the estimated miles or kilometers.

Total Subtract the OUT miles or kilometers from the IN miles. This total shows the number of miles or kilometers the equipment traveled during the dispatch. If the odometer is broken, put EST in front of the figure.

Hours. Figure hours to the nearest whole hour.

In. The operator enters the hours from the hourmeter when the equipment comes off dispatch or other use. If the hourmeter is broken or missing, estimate the hours of use. Put EST in front of the number.

Out. The dispatcher enters the hours on the hourmeter when the equipment is dispatched. If the hourmeter is broken, write EST in front of the number.

Total. Subtract the OUT hours from the IN hours. This total shows the number of hours used during the dispatch or operation. If the hourmeter is broken, put EST in front of the number.

Report To. The dispatcher prints the name of the person to whom the operator is to report. Give the last name, first name, middle initial, and rank/grade of the person.This person will be responsible for the equipment when in use.

Dispatcher's Signature. The dispatcher signs when the equipment is dispatched.

Destination.

a. You will enter the beginning point of the dispatch, the ending point, any off–post travel stops, or the major operating point.

b. For forms showing dispatches to support maintenance, note miles used by operational or road tests from a DA Form 2407. Print "Road Test" or "Operational Test" in the DESTINATION Block.

Time. Use the 24–hour clock rounded off to the nearest 5 minutes.

Arrive.

a. Log in the time when you arrive at the place.

b. For forms showing dispatches to support maintenance, account for miles/hours used for operation or road tests. Enter the miles/hours on the item upon delivery to support.

Depart.

a. Log in the time when you left this place.

b. For forms showing dispatches to support maintenance, account for miles/hours used for operation or road tests. Enter the miles/hours on the item upon receipt from support.

Released By.

a. The person in charge of the equipment on dispatch or senior person present signs on the line showing the place where the mission was completed, releasing the equipment to the motor pool or place of origin. The person signing in the RELEASED BY block may be different from the person shown in the REPORT TO block when the person designated in the REPORT TO block is not available. The person in charge and responsible for the safety and operation of the equipment and operator will sign in that case.

b. Normally the person signing here will be an officer or NCOIC.

c. Passengers of equipment used as taxis do not sign in this column. In that situation, the dispatcher signs this column when the equipment returns.

d. Signature in this block shows that when an official user has completed the mission with the vehicle and driver, the senior occupant assumes vehicle responsibility.

e. Note the change of days. Draw a line through the next open line under the last entry of a day. Put the new date (YYMMDD) in the RELEASED BY (SIGNATURE) block.

Remarks.

a. The operator or user reports any unusual or abnormal situations. This includes accidents, breakdowns, unplanned stops or changes in location, and so forth. Any unusual operations and faults on the equipment go on the DA Form 2404.

b. The operator will list any oil added to equipment or components under AOAP.

c. Fuel added will be logged if required locally.

d. Enter the word "Exercised"when low usage equipment is exercised.

MOTOR EQUIPMENT UTILIZATION RECORD

DATE (YYMMDD)	TYPE OF EQUIPMENT	REGISTRATION NO./SERIAL NO.	ADMINISTRATION NO.
920623	TRK WRK M984W/W	NP04AR	B-19

ORGANIZATION NAME	ACTION	TIME	MILES	HOURS	FUEL / Engine / Hydr
CoB 164 ECB					205gal / 2gal / 0
1ST OPERATOR (Last Name, First, M.I.)	IN	1700	14340	393	REPORT TO (Last Name, First, M.I.)
Condor, Louis A. PFC	OUT	0900	14270	389	Alcarz, Charles B SFC
OPERATOR'S SIGNATURE	TOTAL	8:00	70	4	DISPATCHER'S SIGNATURE
Louis A. Condor					Arthur J. Duber
2D OPERATOR (Last Name, First, M.I.)	IN	1000	14620	405	REPORT TO (Last Name, First, M.I.)
SIMONSON, Chad E. SPC	OUT	1000	14340	393	Alcarz, Charles B SFC
OPERATOR'S SIGNATURE	TOTAL	48:00	280	12	DISPATCHER'S SIGNATURE
Chad E. Simonson					Mark J. Flemmer
3D OPERATOR (Last Name, First, M.I.)	IN				REPORT TO (Last Name, First, M.I.)
	OUT				
OPERATOR'S SIGNATURE	TOTAL				DISPATCHER'S SIGNATURE
4TH OPERATOR (Last Name, First, M.I.)	IN				REPORT TO (Last Name, First, M.I.)
	OUT				
OPERATOR'S SIGNATURE	TOTAL				DISPATCHER'S SIGNATURE

DESTINATION	TIME ARRIVE	TIME DEPART	RELEASED BY (Signature)	REMARKS
FROM 1. Motor Pool		0910		
TO 2. Bldg 3600	0920	0930		
TO 3. Clarksville, TN	1300	1310	Charles B. Alcaraz	
TO 4. Motor Pool	1700			Fuel: 20gal
TO 5.			920624	920626 Extended Dispatch
TO 6. Motor Pool		1000		
TO 7. FTX	1200			Fuel: 18gal
TO 8.			920625	
TO 9. FTX				Did Not Operate
TO 10.			920626	
TO 11. FTX		0600	Charles B. Alcaraz	
TO 12. Motor Pool	0930			Engine / Hydr Fuel: 20gal, Oil: 2gal
TO 13.				
TO 14.				
TO 15.				
TO 16.				

DD FORM APR 81 1970 EDITION OF FEB 75 MAY BE USED.

Figure 2-3. Sample of a completed DD Form 1970 (Extended Dispatch)

Legend for Figure 2-3:

*Completion instructions for DD Form 1970(Extended Dispatch)***Date.** The dispatcher puts the date the form is started. The date will be reflected as two places for the year, two for the month, and two for the day (e.g.,921222).

Type of Equipment. The dispatcher enters the equipment's noun and model.

Registration No./Serial No. The dispatcher puts in the serial number of the equipment. For equipment you manage by registration number, enter the registration number.

Administration No. The dispatcher enters the equipment bumper number. If the equipment does not have an assigned bumper number, enter the equipment's administration number. If the equipment will be dispatched with a trailer or other item, include the item's bumper or administration number.

Fuel. If required locally, the dispatcher will keep a running total of fuel added to the equipment.This entry shows how much fuel has been added to date when the form was started. Local SOP will state how long fuel totals will be carried.

Oil. For equipment under the AOAP, the dispatcher will keep a running total of oil added to the equipment. This entry shows how much oil has been added for the current period when the form was started. Oil added totals are only kept between oil samples. When a new sample is taken, the total goes back to zero and you start over. For equipment not under AOAP, use this block as required locally.

Note: More than one component on an end item can be under AOAP; for example, the engine and transmission. When that occurs, divide the OIL block into sections, one for each component covered, and enter the oil added for each separately.Print the first letter of the component at the top left corner of the section to indicate which section applies to which component.

Organization Name. The dispatcher enters the organization to which the equipment is assigned.

Operator.

a. The dispatcher prints the name or names of the operator or operators of the equipment. Put the last name first followed by the first name, middle initial, and then rank/grade.

b. You may have to change operators after equipment has been dispatched. This normally happens when an operator becomes sick or overly tired. The operator's supervisor or leader, OIC or NCOIC, will close out the first operator's entry. He or she will log the IN time and miles/hours in the ACTION section for that operator. The new operator's name goes in the next OPERATOR block. The supervisor or leader will sign in the next open DISPATCHER'S SIGNATURE block. If the OPERATOR blocks are all filled, put the names, time, and mile/hours in the REMARKS block.

c. For convoy or other long operations where an operator and assistant operator switch at each rest stop, show a change in operators only when destinations or date entries are made.The assistant operator's name will be shown in REMARKS block.

Operator's Signature. The operator or operators sign in this block.

Action. This section shows the time and miles or hours on the equipment when it is dispatched and returned.

Time. Show time on the 24–hour clock to the nearest 5 minutes.

In. Show the time the equipment came back from dispatch or other use.

Out. Enter the time when the equipment was released by the dispatcher.

Total. Subtract the OUT time from the IN time to get the total time the operator had the equipment in use. Separate hours and minutes by putting a colon (:)between them. Five hours and 20 minutes will be printed 5:20.

Miles. Figure miles to the nearest mile or kilometer.

In. The operator enters the miles or kilometers from the odometer when the equipment comes off the dispatch. If the odometer is broken, estimate the miles or kilometers. Put EST in front of the number.

Out. The dispatcher will enter the miles or kilometers on the odometer when the equipment is dispatched. If the odometer is broken, put EST in front of the estimated miles or kilometers.

Total. Subtract the OUT miles or kilometers from the IN miles. This total shows the number of miles or kilometers the equipment traveled during the dispatch. If the odometer is broken, put EST in front of the figure.

Hours. Figure hours to the nearest whole hour.

In. The operator enters the hours from the hourmeter when the equipment comes off dispatch or other use. If the hourmeter is broken or missing, estimate the hours of use. Put EST in front of the number.

Out. The dispatcher enters the hours from the hourmeter when the equipment is dispatched. If the hourmeter is broken, write EST in front of the number.

Total. Subtract the OUT hours from the IN hours. This total shows the number of hours used during the dispatch or operation. If the hourmeter is broken, put EST in front of the number.

Report To. The dispatcher prints the name of the person to whom the operator is to report. Give the last name, first name, middle initial, and rank/grade of the person.This person will be responsible for the equipment when in use.

Dispatcher's Signature. The dispatcher signs when the equipment is dispatched.

Destination. You must enter the beginning point of the dispatch, the ending point, any off–post travel stops, or the major operating point.

Time. Use the 24–hour clock rounded off to the nearest 5 minutes.

Arrive. Log in the time when you arrive at the place.

Depart. Log in the time when you left this place.

Released by.

a. The person in charge of the equipment on dispatch or senior person present signs on the line showing the place where the mission was completed, releasing the equipment to the motor pool or place of origin. Enter first name, middle initial, last name. The person signing in the RELEASED BY block may be different from the person shown in the REPORT TO block when the person designated in the REPORT TO block is not available. The person in charge and responsible for the safety and operation of the equipment and operator will sign in that case.

b. Normally the person signing here will be an officer or NCOIC.

c. Signature in this block shows that when an official user has completed the mission with the vehicle and driver, the senior occupant assumes vehicle responsibility.

Remarks.

a. The operator or user reports any unusual or abnormal situations. This includes accidents, breakdowns, unplanned stops, or changes in location, etc. Any unusual operations and faults on the equipment go on the DA Form 2404.

b. The Operator will list any oil added to equipment or components under AOAP.

c. Fuel added will be logged if required locally.

d. Note the change of days. Draw a line through the next open line under the last entry of a day. Put the new date (YYMMDD) in the RELEASED BY (SIGNATURE) block. When the equipment is not operated for more than 1 day in a row, you may use one line to cover the combined time. Print "Did Not Operate" in the REMARKS block.

e. Additional "Report to"entries may be needed. Print the name of the next "Report to" in the REMARKS Block for that entry. Also, for extended dispatch, the dispatcher enters "EXTENDED DISPATCH"and the expected date of return on the first line of the REMARKS block.

f. Note if an extended dispatch will be so long that a form may be completed, another DD Form 1970 may be used as a continuation sheet. Enter the equipment's registration or serial number and admin number at the top of the form. Print"Continuation" in the upper left hand corner of the form. Then make normal entries as required.

Registration No./Serial No. The dispatcher puts in the serial number of the equipment. For equipment you manage by registration number, enter the registration number.

Administration No. The dispatcher enters the equipment's bumper number. If the equipment does not have an assigned bumper number, enter the equipment's administration number. If the equipment will be dispatched with a trailer, or other item, include that item's bumper or administration number.

Fuel. If required locally, the dispatcher will keep a running total of fuel added to the equipment.This entry shows how much fuel has been added to date when the form was started. Local SOP will state how long fuel totals will be carried.

Oil. For equipment under the ACAP, the dispatcher will keep a running total of oil added to the equipment. This entry shows how much oil has been added for the current period when the form was started. Oil added totals are only kept between oil samples. When a new sample is taken, the total goes back to zero and you start over. For equipment not under AOAP, use this block as required locally.

Organization Name. The dispatcher enters the organization to which the equipment is assigned.

Operator.

a. The dispatcher prints the name or names of the operator or operators of the equipment. Put the last name first, followed by the first name, middle initial, and then rank/grade.

b. You may have to change operators after equipment has been dispatched. This normally happens when an operator becomes sick overly tired, etc. The operator's supervisor/leader, OIC, or INCOIC, will close out the first operator's entry.He or she will log IN time and miles/ hours in the ACTION section for that operator. The new operator's name goes in the next OPERATOR block. The supervisor/ leader will sign in the next open DISPATCHER'S SIGNATURE block. If the OPERATOR blocks are all filled, put the names in the REMARKS block.

Operator's Signature. The operator or operators sign in this block.

Action. Leave blank.

Time. Leave blank.

In. Leave blank.

Out. Leave blank.

Total. Leave blank.

Miles. Leave blank.

In. Leave blank.

Out. Leave blank.

Total. Leave blank.

Hours. Leave blank.

In. Leave blank.

Out. Leave blank.

Total. Leave blank.

Report To. The dispatcher prints the name of the person to whom the operator is to report. Give the last name, first name, middle initial, and rank/grade of the person.This person will be responsible for the equipment when in use.

Dispatcher's Signature. The dispatcher signs when the equipment is dispatched.

Destination. Enter the date(YYMMDD).

Time. These blocks will be used to show starting and stopping times for each operation.

Arrive. For equipment without an hourmeter, enter the 24–hour clock time (e.g., 1300) when you started the equipment's operation. For equipment with an hourmeter, enter the hours on the equipment when you started this operation.

Depart. For equipment without an hourmeter, enter the 24–hour clock time (e.g., 1300) when you stopped the equipment's operation. For equipment with an hourmeter, enter the hours on the equipment when you stopped this operation.

Released By.

a. The person in charge of the equipment signs in this column.

b. The person signing here will be an off icer or NCOIC.

c. Signature in this block shows that when an official user has completed the mission with the vehicle and driver, the senior occupant assumes vehicle responsibility.

Remarks.

a. When starting a new form for equipment without an hourmeter, enter the accumulative hours on the equipment in LINE 1, REMARKS block.

b. Equipment without an hourmeter, subtract the start time in the ARRIVE block from the stop time in the DEPART block. Enter the number of hours in the REMARKS block.

c. The operator or user reports any unusual or abnormal situations. This includes accidents, breakdowns, unplanned stops, or changes in location, and so forth. Any unusual operations and faults on the equipment go on the DA Form 2404.

d. The operator will list any oil added to equipment or components under AOAP.

e. Fuel added will be logged if required locally.

f. When the form has been completed, add the REMARKS block hours and the accumulative hours, and post on a new DD Form 1970 in the REMARKS block.

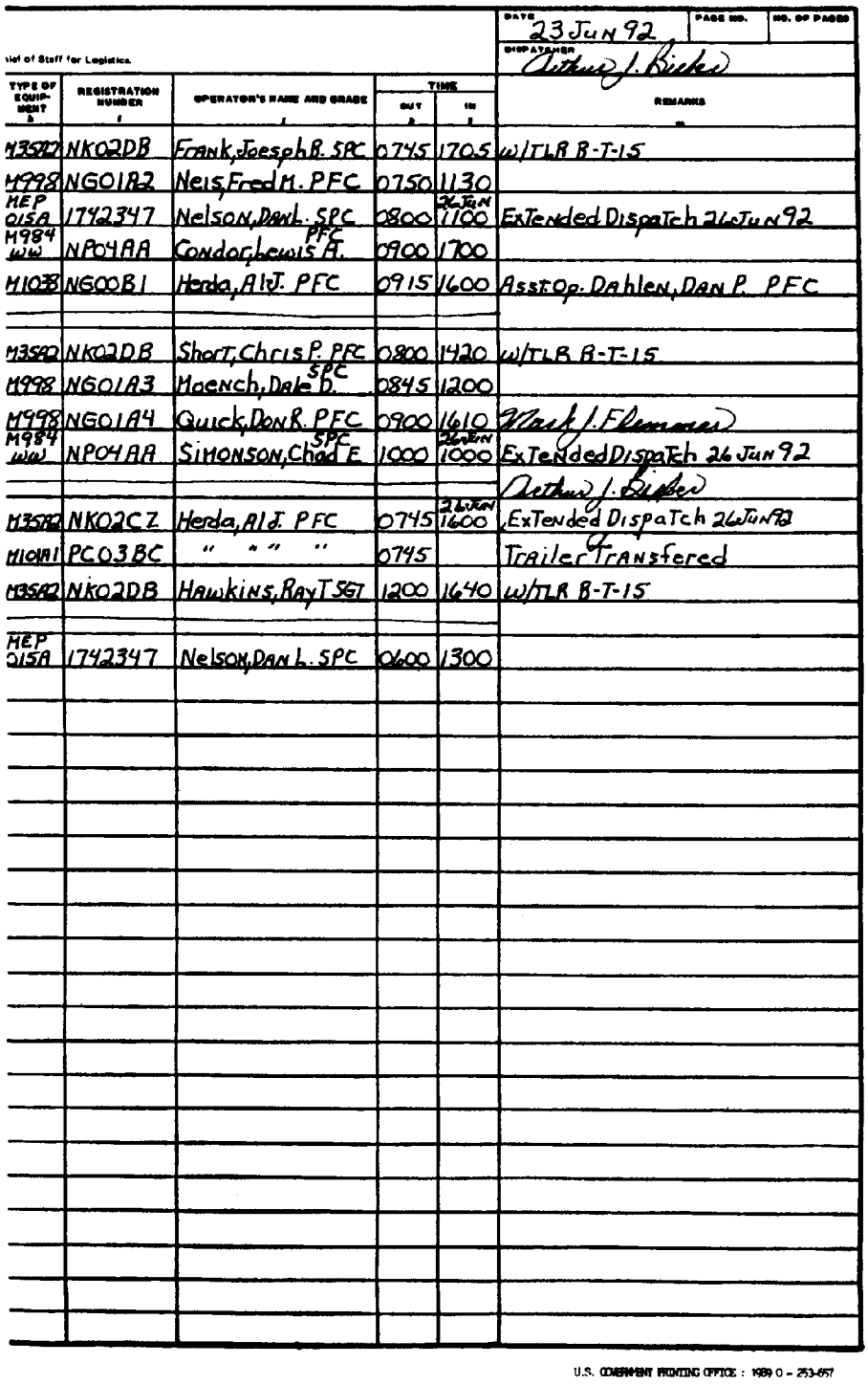
ORGANIZATIONAL CONTROL RECORD FOR EQUIPMENT

Columns a through f will be used for equipment requests. For use of this form, see DA PAM 738-750; the proponent agency is the Office of the Deputy C

OFFICIAL USER a	REPORTING POINT b	PHONE EXT. NUMBER c	TIME TO REPORT d	EXPECT TIME OF RETURN e	DESTINATION f	UNIT IDENTIFICATION NUMBER g
Jones, James R. SFC	Bldg 6309	1367	0800	COB	Trng Area #21	B-15
Klein, Allen B. SSG	Bldg 1850	1529	0800	1200	Camp Grafton So.	B-9
Rankin, Gary (W). SGT	Trng Area #21	1635	0900	24 JUN 1300		B-7
Alcarz, Charles B. SFC	Bldg 2300	1725	0930	1700	Clarksville, TN	B-19
Edkins, Bob K. SFC	Company Hq	1215	0930	1600	Devils Lake	B-1
					24 JUN 92	
Emerick, Glen C. SFC	Bldg 2605	1098	0815	COB	Trng Area #35	B-15
Zimmer, Tim T. CW4	Supply Room	1415	0900	1200	Post Laundry	B-7
Felch, Herb K. SFC	Bldg 1310	1416	0930	1600	CSMS	B-2
Alcarz, Charles B. SFC	Bldg 2300	1725	1015	26 JUN 0930	FTX	B-19
					25 JUN 92	
Ziegler, John R. CW4	Bldg 1200	1245	0800	26 JUN COB	Oakes Armory	B-12
" " "	" "	"	"		" "	B-T-13
Mead, Gerry I SFC	Company Hq	1345	1230	1700	Quannah Range	B-15
					27 JUN 92	
Zimmer, Tim T. CW4	Trng Area #21	1415	0700	1300		B-7

DA FORM 2401

Figure 2-5. Sample of a completed DA Form 2401



ief of Staff for Logistics

DATE: 23 JUN 92 | PAGE NO. | NO. OF PAGES

DISPATCHER: Arthur J. Bicker

TYPE OF EQUIPMENT (a)	REGISTRATION NUMBER (b)	OPERATOR'S NAME AND GRADE (c)	TIME OUT (d)	TIME IN (e)	REMARKS (f)
M35A2	NK02DB	Frank, Joseph R. SPC	0745	1705	w/TLR B-T-15
M998	NG01B2	Neis, Fred M. PFC	0750	1130	
MEP 015A	1742347	Nelson, Dan L. SPC	0800	26 JUN 1100	Extended Dispatch 26 JUN 92
M984 W/W	NP04AA	Condor, Lewis A. PFC	0900	1700	
M108	NG00B1	Herda, Alf. PFC	0915	1600	Asst Op. Dahlen, Dan P. PFC
M35A2	NK02DB	Short, Chris P. PFC	0800	1420	w/TLR B-T-15
M998	NG01A3	Maench, Dale D. SPC	0845	1200	
M998	NG01A4	Quick, Don R. PFC	0900	1610	Mark J. Flemmer
M984 W/W	NP04AA	Simonson, Chad E. SPC	1000	26 JUN 1000	Extended Dispatch 26 JUN 92
					Arthur J. Bicker
M35A2	NK02CZ	Herda, Alf. PFC	0745	26 JUN 1600	Extended Dispatch 26 JUN 92
M101A1	PC03BC	" " " "	0745		Trailer Transfered
M35A2	NK02DB	Hawkins, Ray T SGT	1200	1640	w/TLR B-T-15
MEP 015A	1742347	Nelson, Dan L. SPC	0600	1300	

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Figure 2-5. Sample of a completed DA Form 2401–Continued

Legend for Figure 2-5:

Completion instructions by block title or column

Date. Enter the calendar date the form was started.

Page No. Fill in as required locally.

No. of Pages. Fill in as required locally.

Dispatcher. The dispatcher signs name.

(a) Official User. Print the name of the person or activity asking for the equipment. Enter last name, first name, MI, and rank/grade.

(b) Reporting Point.

a. For a vehicle, write the place or unit where the operator is to report with the equipment.

b. For other than vehicles, write the location or place where the equipment is to be operated.

(c) Phone Ext Number. The telephone number of the person asking for the equipment.

(d) Time to Report. The time the operator is to report to the location in Column b.

(e) Expect Time of Return. Enter Close of Business (COB) or the actual time the user expects to return with the equipment. For extended dispatches, enter the date and time (if known) that the user expects to return the equipment.

(f) Destination.

a. For vehicles, put the place, farthest away, that the vehicle is expected to travel.

b. For other equipment, put the location where the equipment will be operating that is farthest from its normal site. If column f is the same as column b, leave this column blank.

(g) Unit Identification Number. The equipment bumper or admin number.

(h) Type of Equipment. Enter the equipment's model identification number (for example, enter M35A2).

(i) Registration Number. Enter the equipment serial number. For equipment you manage by registration number, put the registration number in this column.

(j) Operator's Name and Grade. Enter the last name, first name, MI, and rank/grade of the equipment operator.

(k) Time Out. Log in the time the equipment was dispatched.

(l) Time In.

a. Log in the time the equipment returned.Get this time from the "IN" Block on the DD Form 1970.

b. For equipment coming off an extended dispatch, put the day, month, and time of return in this column.

(m)Remarks.

a. When an assistant or second operator is needed, enter that person's last name, first name, MI, and rank/grade.

b. When a change of dispatcher takes place during the day, the new dispatcher signs in column m for that item dispatched. When a change of dispatcher takes place at the beginning of the day, the new dispatcher signs in column m on the date line.

c. Note any towed equipment, that will come back with the prime mover, in this column. Write the noun for the towed equipment here. (Make separate entries for towed equipment that will not come back with the prime mover.) Treat towed equipment that will not come back with the prime mover as if it were not towed. Complete all columns except the expected time of return.

d. For equipment on extended dispatch, enter the words "EXTENDED DISPATCH" and the expected date of return.

e. Identify equipment involved in accidents or unusual circumstances.

f. When more room is needed, use NEXT open line. Line out all unneeded columns, (a–1).

Chapter 3
Maintenance Forms

3–1. General

a. The forms in this chapter help in scheduling, doing, recording, and managing maintenance on equipment.

b. The forms show the results of inspections, tests, and maintenance performed. They also show the results in diagnostic checks and form the bond between maintenance and supply actions.

c. This chapter provides procedures and examples of maintenance forms used by manual units as well as those units supported by the Standard Army Maintenance Systems (SAMS). Unique SAMS forms are addressed in chapter 13.

d. In addition to the forms within this chapter, maintenance forms for non–standard air traffic control (ATC) and navigational aid (NAVAID) equipment, when specified in the equipment's technical publications, will also be maintained.Maintain each designated form using guidance found within appropriate technical publication. Examples of non–standard equipment are, but not limited to—

(1) Instrument Landing System (ILS) and all associated marker beacons.

(2) Distance Measuring Equipment (DME) System.

(3) Airport Surveillance Radar (ASR) System.

(4) Automated Radar Terminal System (ARTS).

(5) Air Traffic Control Beacon Interrogator (ATCBI) System.

(6) Flight Data Input/Output (FDIO) System.

(7) Digital Brite Radar Indicator Tower Equipment(D–BRITE) System.

(8) Radar Video Mapper.

(9) Programmable Indicator Data Processor (PIDP).

e. The flow of maintenance forms is shown on DA Poster 750–77 (TAMMS/Supply Crossroads). DA Poster 750–77 is automatically distributed to units who mark the DA poster block on DA Form 12–4–E (Subscription Numbers, Part 1 for Miscellaneous Administrative Publications and Posters).

3–2. DA Form 2402 (Exchange Tag)

a. Purpose. DA Form 2402 serves as an identification tag. (See fig 3–1.)

b. Use.

(1) To identify items held for warranty claims.

(2) To identify other items as needed.

(3) As a receipt for test, measurement, and diagnostic equipment (TMDE) items needing calibration.

c. General instructions.

(1) The DA Form 2402 has four copies and is handled as follows:

(a) Copy one is normally used as a receipt for the unit.

(b) Copy two is a receipt for the battalion level except for warranty claim items. When DA Form 2402 is used to identify or show action completed on a warranty item or claim exhibit, send copy two to the Supporting Warranty Control Office (WARCO). The WARCO will use DA Form 2402 to close out or complete any needed warranty actions or claims.

(c) Copy three serves as a receipt for support units.

(d) Copy four stays with the item until it is repaired and issued. After repair is done, the tag identifies the item as fixed.This form will go with each item sent to supporting maintenance shops (direct support (DS), general support (GS), depot, or contractor for warranty repairs).

(e) Depending on the item, repair needed, and level of work, not all copies may be needed.

(2) Use a separate DA Form 2402 for each item.

d. Disposition.

(1) Destroy the DA Form 2402 when the part or component it applies to is installed or disposed of.

(2) After the action is completed, destroy copies used as a receipt.

(3) When the DA Form 2402 identifies a warranty claim or SF Form 368 (Product Quality Deficiency Report) exhibit, the DA Form 2402 stays on the exhibit until the item is no longer needed.

3–3. DD Form 314 (Preventive Maintenance Schedule and Record)

a. The DD Form 314 is a record of scheduled and performed unit maintenance including lubrication services. It also keeps up with not mission capable (NMCM/NMCS) time, except for missile system/missile subsystem and FAA flight check data of ATC navigational aids. See figures 3–2 through 3–6.

b. DD Form 314 is used to—

(1) Schedule periodic services on equipment, to include components in a system or subsystem, when the technical manual requires a PMCS service to be performed by unit maintenance personnel. This form is also used to schedule the following services performed under the supervision of unit maintenance personnel:

(a) Schedule all non–operator services one service in advance.

(b) The next scheduled due date may fall in the following year.In that case, put the date, miles, and hours due in the Remarks block until a new DD Form 314 is started.

(c) You may mark out weekends and holidays. When these are marked out, schedule services on the next working day.

(d) Use the following symbols to show the type of service scheduled:

1. "T" any test.

2. "I" any inspection.

3. "L" lubrication.

4. "R" recoil exercise.

5. "W" weekly service.

6. "M" monthly (1 month) service.

7. "Q" quarterly (3 months) service.
8. "S" semiannual (6 months) service.
9. "A" annual (1 year) (12 months) service.
10. "E" 18 months service.
11. "B" biennial (2 years) service.
12. "F" quadrennial (4 years) service.
13. "H" tire rotation/inspection.
14. "Z" oil sampling.

(e) The symbol "L" will be used for all periodic lubes required by a lubrication order (LO). The interval block on an LO only tells when to schedule the lubes. It does not tell what services to schedule or symbol to use.

(f) You will get the miles, kilometers, or hours between services from the TM and/or LO.

(g) Other symbols or subsymbols may be used as long as they do not conflict with the symbols required by this pamphlet. Explain those symbols or subsymbols in the Remarks block of the DD Form 314 or in your SOP. For example, you might use S1, SB2, or Lm, L5, L6, L12, or others to show difficult services or manage the services pulled. You may also use subsymbols to explain a service and lube pulled at the same time.

(h) Schedule services in pencil. To schedule a service, put its symbol in pencil in the date due block with its miles, kilometers, or hours beside it as shown below. (Not all services will have miles or hour intervals.)

1. You may not always be able to pull a service when it is scheduled. So you are given a 10 percent variance before or after the schedule of days, miles, or hours. If you stay within the variance, the service is treated as if you did it on the day/miles/hours you scheduled it.

2. Some services may be too critical to have a variance. The equipment maintenance manual will tell you if no variance is allowed.

3. When you do the service within the variance, ink in the symbol with the equipment's miles, kilometers, or hours on the date it was scheduled. When a service outside the variance is completed, erase the scheduled symbol and data, and ink in the symbol with data on the actual day the service was completed. Schedule the next service from the new date.

(i) Lubrications vary the most when the LO requires a lube—

1. By hours, miles, or kilometers only. Put the miles, kilometers, or hours when the next lube is due in the Remarks block.Ink in the symbol "L" and the hours, miles, or kilometers on the equipment in the block for the day you did the lube.

2. On a date interval. Put the symbol "L" on the date block the lube is due. Enter the miles, kilometers, or hours (when they apply) next to the symbol. When the lube is done, ink in the "L" and the miles or hours.

(2) Show completed periodic services and lubes, by inking in the symbol or symbols and miles or hours. DD Forms 314 are tied to unit level services and their intervals. The number of DD Forms 314 you need varies, based on the equipment and how and where your maintenance is pulled. Normally, one DD Form 314 covers one piece of equipment. Several like items may be covered by one DD Form 314 if the services are scheduled and pulled on the same date. Examples of"like items" are small arms and M11 decons. When scheduling services on more than one item, put each item's serial number in the Remarks block. Like equipment or subsystems, reportable under AR 700–138, cannot be combined on one DD Form 314.

(3) Show NMC days on equipment reported under AR 700–138.

(a) NMC time is kept on equipment that is reported under AR 700–138, tables B–1 and B–2, as a single item or as a subsystem.

(b) Equipment reportable under AR 700–138, tables B–1 and B–2, need a record of not mission capable(NMCM/NMCS) time. Keep NMC days on that equipment on the reverse of the DD Form 314 or on a separate DD Form 314 as follows:

1. NMC time is kept only when the equipment has a deficiency defined as not mission capable in the PMCS "not mission capable if" column.

2. Deficiencies that are not covered by the PMCS "not mission capable if" column or equivalent will carry a status symbol X or CIRCLED X, but NMC time will not be counted for those deficiencies. Those deficiencies will be carried on the DA Form 2404.

(c) Show unit NMCM days with the symbol "O". Put an "S" inside the "O" for unit NMCS.Post unit NMCM/NMCS days as they occur. Use the letter "X" for each day the equipment is NMCM at support. Put the letter "S" over an "X" on the days it was NMCS at support. If support does not give you a day–by–day breakout, put the total number of support NMCM/NMCS days in the Remarks block. Use the front side of the DD Form 314 to schedule services. Use the reverse side or another DD Form 314 to show NMCM/NMCS time.

(d) Support maintenance will tell you which or how many days were NMCM/NMCS on the DA Form 2407 or a printout. Post this time to the DD Form 314. NMC time on equipment still in support maintenance at the end of a report period will be provided to the owning unit by telephone or other local means.

(e) For NMC time, equipment that is NMC at the end of the day is counted NMC for the whole day. Equipment that is FMC at the end of the day is counted as FMC for the whole day. A day is the normal work day for your command. See AR 700–138, chapter 4, for missiles.

(f) When equipment is loaned to another unit or activity, a copy of the DD Form 314 will go with the equipment. The borrowing unit will tell the owning unit about any NMCM/NMCS time on the equipment. This information will be given to the owning unit at the end of the reporting period and when the equipment is returned.

(g) Show system NMC time. Post NMC time on a separate DD Form 314 for each subsystem specifically identified in AR 700–138, tables B–1 and B–2. You will keep another separate DD Form 314 on the overall system, which is the system card. The system DD Form 314 shows the NMCM/NMCS time on the combined system.

(4) Schedule oil samples. Scheduling oil samples on the DD Form 314 is optional when the lab gives you a printout that lists when the next sample is due. Schedule oil samples in pencil on the DD Form 314. When the sample is taken, erase the symbol and hours from the DD Form 314 and schedule the next sample in pencil.

(5) Manage maintenance, services, or inspections locally as directed by the unit commander. This can include services performed by other echelons or units when the commander so directs. If a commander wants operator or crew services scheduled, put them in the Remarks block.

(6) Warranty information.

(7) Floating equipment.

(8) Document ATC required data as follows:

(a) Show PMCS technical reference. Within remarks section, exact PMCS technical reference will be shown, down to specific paragraph.

(b) Show PMCS time. Within remarks section, normal time required for each PMCS interval will be shown.

(c) Show flight check data. Within remarks section, show date of last flight check of navigational aid.

c. DD Form 314 is NOT USED for—

(1) Periodic services designated for the operator or crew.

(2) Showing oil samples taken.

(3) Training aids and devices (equipment used ONLY for training). Small arms/weapons must be classified as unusable per AR 190–11 before they can be considered training aids.

(4) Equipment provided with an ADP printout or automated forms that list DD Form 314 data.

(5) Record unit services on test, measurement, and diagnostic equipment (TMDE) when the services are performed by operators without supervision by unit maintenance personnel.

(6) Record NMC time for missile system/missile subsystem per AR 700–138, Chapter 4.

d. Use a signal system to show when a service is scheduled in the current month. A month can be from the first day to the last day of the month (e.g., 1 May through 31 May), or from a day in 1 month to the same day in the next month (e.g., 13 September to 13

October). At the start of each month, put your signals on the date blocks for the service. When the service is pulled, take the signal off the card or move it from the date block to one corner. Use the following signals:

(1) Green signal. A green signal indicates a lube (L) is needed.

(2) Yellow signal. A yellow signal indicates a T, I, R, W, M, Q, S, A, B, H, E, F, Z, or other service is due.

(3) Red signal. Put a red signal over the right corner of the card when equipment is NMC. For equipment reported as a system in AR 700–138, table B–2, use the red signal only on the system card. Take the signal off the card when the equipment is fixed.

e. Low usage is as follows:

(1) *Definition.* Services for equipment that accumulates or is anticipated to accumulate less than a specific mileage/kilometers or hours in the previous or current year may have unit (–20) and direct support services (–34) extended. (See (3) below.)

(2) *Use.*

(a) To place equipment into the low usage servicing system, all service and lubrication tasks in the equipment's –20 and–34 TMs/ LOs (W,M,Q,S,A,E,B) must be performed. After equipment is placed in the program, all services and lubrications will be combined with the annual service. The date, miles/kilometers, and hours when the equipment was placed into the low usage servicing system will be entered in the Remarks block of DD Form 314.

(b) Equipment that exceeds the specified criteria at any time during the year will immediately return to scheduled servicing at normal TM/LO intervals, to be scheduled from information that was entered in the Remarks block of DD Form 314.

(c) Servicing, evaluation, and exercising of recoil mechanisms and tubes will be done per applicable TBs and TMs.

(d) Communications and other subsystems mounted on "low usage" equipment will be serviced when the primary system is serviced.

(e) Low usage servicing will not be used for equipment under warranty and armament, equilibrating, fire control, equipment used within ATC, and sighting components of combat vehicles and missile systems.

(f) Operator/crew level (–10) maintenance intervals in TMs/ LOs will not be changed to low usage.

(g) AOAP will not be extended; see chapter 4.

(3) *Criteria.*

(a) Tactical vehicles, trailers assigned to prime movers, and trailers without prime movers accumulated or anticipated to accumulate less than 3000 miles/4800 kilometers in the current year.

(b) Combat vehicles (except armament, equilibrating systems, fire control, and sighting components), missile systems (except fire control and sighting components), material handling equipment, and construction equipment anticipated to accumulate less than 750 miles/1200 kilometers or 75 hours in the current year.

(c) Generators, pumps, air compressors, support equipment(ROWPU, bath units, etc.), watercraft, rail equipment, power driven NBC equipment, engine driven heaters, and air conditioners anticipated to accumulate less than 75 hours in the current year.

(d) Communication equipment in communication shelters anticipated to accumulate less than 75 hours of operation in the current year.

(e) Non–power driven NBC equipment anticipated to accumulate less than 75 hours of operation in the current year.

(f) Tentage/canvas items, immersion heaters, field ranges and space heaters/stoves, that are not used, will be erected or put up annually.

(g) Small arms and crew served weapons (machine guns, mortars, etc.) that are maintained in a humidity controlled room and not removed (for any reason) at any time during the year will be serviced annually.

(4) *Inspection /exercise.* All equipment, except that stated in (3)(f) above, will be inspected/exercised by operators semiannually. Inspection/exercise will include the following:

(a) Perform all Before (B) through Monthly (M) PMCS checks per the equipment operator's TM.

(b) Tactical (including trailers) and combat vehicles will be driven at least 5 miles to insure their performance is within parameters listed in the operator's TM. Vehicles equipped with radios will have Before (B) through Monthly (M) PMCS performed per the communication equipment operator's TM.

(c) Construction, engineer, and material handling equipment, wreckers, and combat vehicles will be operated sufficiently to ensure hydraulic systems reach operating temperature and equipment is mission capable.

(d) Generators, air compressors, support equipment, pumps, and power driven NBC equipment will be operated for 30 minutes under load or 1 hour no load.

(e) Small arms and crew served weapons will be inspected, without leaving humidity controlled room, for rust and corrosion.High humidity area inspections may be required more often.

(f) Visual inspections, to ensure lubricant is present on all lubrication points, will be performed by the operator/ crew.

(g) Visual inspections will be used to identify, report, or remove any new corrosion that may have formed.

(5) Low usage criteria provides guidance, and does not relieve commanders of their responsibility for adequate maintenance of their equipment.

f. Disposition of the DD Form 314 is as follows:

(1) The DD Form 314 is used for 1 year for equipment reported under AR 700–138. It can be used for 2 years on non–reportable equipment.

(2) Destroy a completed form after transferring needed information to a new form. Transfer the information from these blocks:

(a) Registration number.

(b) Administrative number.

(c) Nomenclature.

(d) Model.

(e) Assigned to.

(f) Remarks: NMCM/NMCS data for the current report; hour meter or odometer change information; symbols; and any other needed maintenance data.

(g) Schedule, in pencil, any services needed.

(3) The current DD Form 314 will go with the equipment when it is transferred. But, the losing unit will keep a record of NMCM/ NMCS time for the current report period up to the day the equipment was dropped from the property book. The gaining unit reports the equipment's NMC time after the item is added to their property book.

(4) Destroy the DD Form 314 when the equipment is sent to salvage. However, the losing unit will keep a record of NMCM/ NMCS time for the current report period.

(5) System DD Form 314 transfers any NMCM/NMCS data for the current reporting period to a new form. Then, destroy the old DD Form 314.

3–4. DA Form 2404 (Equipment Inspection and Maintenance Worksheet)

a. Purpose. DA Form 2404 has three major purposes. (See figs 3–7 through 3–13.) Operators and crews, first–line leaders, maintenance supervisors, and commanders are equally responsible for keeping information current and correct on the DA Form 2404. This form is the central record for managing and controlling maintenance as follows:

(1) It is a record of faults found during an inspection. These faults include PMCS, maintenance activityl inspections, diagnostic checks, and spot checks, except as noted in paragraph b(10) below:

(2) It shows faults and repairs required for estimated cost of damaged reports.

(3) It shows Battlefield Damage and Assessment and Repair(BDAR) performed.

b. Use. The DA Form 2404 will be used by personnel performing inspections, maintenance services, diagnostic checks, technical evaluations, marine condition surveys on watercraft, and PMCSs, except as noted in (10) below:

(1) To inspect all components or subsystems that make up one

equipment system. You may use one DA Form 2404 or separate forms for each subsystem.

(2) To inspect several like items of equipment; e.g., one DA Form 2404 to inspect 25 M16A1 rifles.

(3) As a temporary record of required and completed maintenance.

(4) To list faults that operators or crews cannot fix and list parts replaced.

(5) By unit maintenance during periodic services to list all faults found and action taken to fix faults. When used to inspect several like items, the DA Form 2404 will list all deficiencies, shortcomings, and corrective action taken.

(6) On initial inspection by support maintenance to list all faults found. Attach the initial inspection to the DA Form 2407 that will be given to the person making the repairs. The DA Form 2404 will be used as the worksheet for correcting faults found and reporting any uncorrected unit level faults. Results of the maintenance action will be entered on the DA Form 2407.

(7) On final inspection by support maintenance to list faults found. Attach the final inspection to DA Form 2407 that will be given to the person that performed the repairs. The repairer will correct all faults found during the final inspection.

(8) To collect all maintenance and services performed on equipment that is involved in a DA approved SDC plan. In addition to the requirements in this pamphlet, the applicable FPG may identify additional data required as mandatory entries on the DA Form 2404.

(9) To report battlefield damage repair and/or replacement actions by all personnel. AR 750–1 and the individual equipment battle damage technical manuals govern when and how battlefield damage repairs should be accomplished.

(10) Within ATC maintenance, FAA Form 6030–1 will be used for recording PMCS results in lieu of DA Form 2404.

c. General instructions.

(1) The way you fill out some blocks and columns on the DA Form 2404 varies with the form use. Make sure you read the instructions that apply to your use of the form.

(2) When you need more than one DA Form 2404 for an inspection or service, print the page number in the right side of the form's title block. (Put 1 of 2 on the first page and 2 of 2 on the second, etc.)

(3) Parts on order or actions pending under anticipated not mission capable (ANMC) conditions may go on the DA Form 2408–14 with a diagonal status symbol.

(4) Administrative motor pools, using ADP cards or other automated forms, do not need the DA Form 2404.

d. Disposition.

(1) The DA Form 2404 will be kept in the equipment record folder or in a protected cover until it is completed if no faults have been found. If faults are found during an operator's or crew's PMCS, it will be given to the maintenance supervisor for action.

(a) Maintenance section leaders will review the DA Form 2404 prior to destruction to ensure all corrective actions have been completed.

(b) Transfer faults that must be fixed at support maintenance to the DA Form 2407 and attach DA Form 2404.

(c) Faults that cannot be fixed until a part comes in or that must be deferred go on the DA Form 2408–14.

(d) Status symbol X faults cannot go on the DA Form 2408–14. When there is a NMC deficiency on the DA Form 2404, keep until the deficiency has been repaired. This includes the DA Form 2404 on equipment sent to support maintenance. The form or a locally used signal will be kept in the equipment record folder to keep the equipment from being dispatched.

(2) The DA Form 2404 used for scheduled services will be kept on file for quality control until the next service is performed. All uncorrected faults will be moved to DA Form 2408–14 or DA Form 2407 and the service will be recorded on the DD Form 314. Forms carrying a status symbol X will be kept until the fault is corrected.

(3) Keep the DA Form 2404 that shows a periodic service on equipment that does not have historical records or a DD Form 314.Destroy the form only when the next periodic service is done. Any open faults at that time will go on the new DA Form 2404 unless a separate DA Form 2408–14 is used. This situation normally applies to the form used for services on more than one item or when an operator level service is required and must be documented. If the form lists no faults from previous service, use the same form to show the results of the current service.

(4) DA Form 2404 used for technical inspections will stay with the item until all maintenance is performed or item is disposed of.A copy of the technical inspection will go with an item evacuated to support maintenance units or depots for repair or overhaul.

(5) When the form has been used to report BDAR action, mail the DA Form 2404 to Survivability/Vulnerability Information Analysis Center (SURVIAC), ATTN: AFFDL/FES/CDIC, Wright–Patterson AFB, OH 45433.

(6) DA Form 2404 used for estimated cost of damage (ECOD) is handled as follows:

(a) Two copies will be attached to copy 4 of the DA Form 2407 that requested the ECOD and returned to the requesting unit. One copy will be returned with the DA Form 2407 that requests repair of the damage.

(b) The third copy will be filed with copy 5 of DA Form 2407 at the maintenance support activity.

3–5. DA Form 2405 (Maintenance Request Register)

a. Purpose. The DA Form 2405 is used to record all work requests (DA Form 2407) received and handled by maintenance activities. (See fig 3–14.)

b. Use.

(1) SAMS–1 automates the DA Form 2405 at the DS/GS support maintenance activity. It is used as a consolidated record of all DA Forms 2407 received. The automated form, PCN AHN–007, provides a consolidated list of all open work orders, man–hours, and work order status.

(2) Units supported by a SAMS DS/GS maintenance activity use the manually prepared DA Form 2405 when assigning organization work order number (ORGWON) to the DA Form 2407 for tracking organization work orders reflecting NMC conditions for INOP equipment. Routine maintenance requests (DA Form 2407) sent to support may also be recorded on the DA Form 2405.

(3) The DA From 2405—

(a) Is a maintenance management record at both unit and support levels.

(b) Is a ready source for information on maintenance requests.It also gives information for management reports (like backlog status reports, etc.).

(c) May be used (but not required) at unit level as a record of maintenance requests sent to support activities or for internal management.

(d) Will be used by support activities to record and control DA Form 2407s sent and returned from commercial activities.

c. Disposition.

(1) The DA Form 2405 will be kept for 1 year after last date entered in column "h".

(2) If used for making budgets or planning, it may be kept beyond 1 year until budget or plans are completed. Then, destroy the form.

(3) You may choose to move open work order numbers to a new register if DA Form 2405 is closed at the end of a calendar or fiscal year.

3–6. DA Form 2407 (Maintenance Request) and DA Form 2407–1 (Maintenance Request Continuation Sheet)

a. Purpose. The DA Forms 2407/2407–1 serve as a request for maintenance support and give information to all levels of maintenance management. (See figs 3–15 through 3–22.)The DA Forms 2407/2407–1 are the source of information for the Army's work order data base at USAMC Logistics Support Activity(LOGSA). This data base, called the Work Order Logistics File(WOLF), provides statistical weapon analyses such as mean time to repair and repair parts usage at the DS/GS levels of maintenance for selected

major weapon systems. Submit the maintenance request data to LOGSA through the Standard Army Maintenance System (SAMS) or the Maintenance Information Management System (MIMS).

b. Use. Use the DA Forms 2407/2407–1 as a maintenance request as follows:

(1) At the unit level, they are used to—

(a) Request support maintenance, to include the following:

1. Repairs beyond the unit's authorized capability or capacity.

2. Application of MWOs. (See para 3–7.)

3. Fabrication or assembly of items.

(b) Report work on DA directed items under an approved sampling plan. AR 750–1 governs this program. The specific FPG identifies mandatory data elements for the forms.

(c) Initiate work requests that may become warranty claim actions.

(d) Show all support maintenance done on general purpose and passenger–carrying vehicles, combat and tactical equipment.

(e) Request an estimated cost of damage (ECOD) or technical inspection to determine the serviceability/repairability of an item prior to repair or turn–in for replacement.

(2) At support maintenance levels, they are used to—

(a) Record all work done and repair parts used, except common hardware and bulk material.

(b) Report all MWOs as they are applied as well as all previously applied MWOs.

(c) Send in warranty claim actions.

(d) Ask for repair of components, assemblies, and subassemblies in the reparable exchange program. You may use one form for as many items under an NSN as needed. For example, one DA Form 2407 might cover 10 rifles or 5 starters or 30 carburetors, etc.

(e) Ask for maintenance from another activity or supporting unit.

(f) Report work done on DA data sampling items under AR 750–1 and the specific FPG.

(g) Report battlefield repair actions. AR 750–1 and the individual equipment battlefield damage repair technical manuals govern how such repairs should be done.

(h) Serve as a dispatch record when road testing vehicle being repaired.

(i) Record support maintenance done under contract.

(j) Track serial numbered items within SAMS (see table 13–1 for a list of SNT reportable items).

(3) At the depot level, they are used to—

(a) Report MWOs as they are applied as well as all previously applied MWOs.

(b) Send in warranty claim actions.

(c) Show "onsite" work done by depot personnel.

(d) Report "repair and return to user" work done.

(e) Report work done on DA data sampling items.

(f) Record depot maintenance done under contract.

c. Organization work order number (ORGWON).

(1) *Purpose.* The ORGWON is assigned to all work orders for purposes of tracking INOP equipment and all equipment sent to the support maintenance activity for repair.

(2) *Use.* The ORGWON is the key to the inoperative equipment process.

(3) *General Instructions*

(a) The ORGWON is assigned sequentially from the DA Form 2405.Paragraph 3–5 gives details on the use of DA Form 2405.

(b) Assign an ORGWON when reportable equipment listed in AR 700–138, or when a command maintenance–significant item designated by the local commander, becomes inoperative. Also assign an ORGWON when a nonreportable subsystem of a reportable weapon system causes the weapon system to become inoperative. The positions of the ORGWON are as follows:

1. The first five positions of the ORGWON are the unit identification code (UIC) minus the W. A unit with a UIC of WABCD0(zero) would use ABCD0 (zero) as the first five positions of each ORGWON. The letters "I" and "O" are not permitted in a UIC. Numeric 0 (zero) is authorized to be used in a UIC.

2. If the sixth position of the ORGWON has a zero (0) or one(1), it identifies ground or missile maintenance equipment, and whether it is reportable or not. A zero (0) identifies an end item as reportable under AR 700–138, or when a command maintenance–significant item, selected by a local commander, becomes inoperative. Also assign a zero (0) when a nonreportable subsystem of a reportable weapon system causes the weapon system to be inoperative. A one (1) is used if the item of equipment is not reportable. Also, a one (1) is used if a reportable item needs repair but is not inoperative (INOP); e.g., painting. If the sixth position of the ORGWON has a two (2) or a three (3), it identifies aircraft maintenance equipment, and whether it is reportable or not.A two (2) identifies an end item as reportable under AR 700–138, or when a command maintenance–significant item, selected by a local commander, becomes inoperative. Also assign a two (2) when a nonreportable subsystem of a reportable weapon system causes the weapon system to be inoperative. A three (3) is used if the item of equipment is not reportable. Also, a three (3) is used if a reportable item needs repair but is not inoperative (INOP);e.g., painting.

3. The seventh position of the ORGWON is the year within the decade. For example, the seventh position for each ORGWON assigned in 1992 would be 2.

4. The last five positions of the ORGWON are the sequence number of the work order. The sequence number is assigned at the unit maintenance platoon/section on DA Form 2405 for manual units.

5. The first seven positions of the ORGWON stay the same during the year and will be the same for each work order. The last five positions, however, are unique to each work order (i.e., 00001–99999 or HHC12).

(c) An ORGWON must be assigned for all INOP equipment, even if it is immediately evacuated to DS without any maintenance performed at the unit.

d. General Instructions

(1) The DA Form 2407/2407–1 show the specific item(s)being sent to support maintenance as follows:

(a) A separate DA Form 2407 will be filled out on each item reported under AR 700–138. A separate form will also be filled out on each component of an item reported under AR 700–138, when submitted separate from end item.

(b) You may combine items with the same make, model, and NSN on a single DA Form 2407 when they are not reported under AR 700–138. DA Form 2407–1 may be used when more room is needed.

(c) Items turned in for classification will be on separate forms.

(2) Send a copy of DA Form 2408–5 (Equipment Modification Record) with the equipment going to support maintenance.

(3) The organization asking for maintenance fills out Section I of the DA Form 2407 and sends all copies of the form with the equipment.

(4) The support unit fills in Block 24 and puts a local work order number on the form. Copy one then goes back to the organization as a receipt for the equipment. The unit returns copy one when the equipment is fixed and ready for pickup.

(5) If parts needed for maintenance are not available when a maintenance request is made, the supporting unit may defer the maintenance, except NMC equipment, by printing in the Remarks block"Equipment returned to user, awaiting parts (date). Equipment owner will be notified when parts are available". Support maintenance will retain copy number 1 and the equipment owner will retain all other copies. The unit will return the equipment and maintenance work request no later than the end of the following work day of being notified by support maintenance.

e. Disposition.

(1) *Receipt copy one.* Destroy when the equipment is returned to the unit.

(2) *NMP copy two.* Handle as directed by the local command. Retain for 180 days if copy is turned into SSA or PBO.

(3) *Control copy three.* Handle as directed by the local command. When the form is used for BDAR, mail this copy to the Survivability/Vulnerability Information Analysis Center (SURVIAC), ATTN: AFFDL/FES/CDIC, Wright Patterson AFB, OH 45433.

(4) *Organization copy four.*

(a) The unit keeps this copy for 180 days after the equipment is fixed. For items under a DA approved sampling plan, hold this copy as directed by the plan. The organization may keep the DA Forms 2407/2407–1 showing services (i.e., calibration and load/proof test) until the next service is performed or data transferred to DD Form 314.

(b) When the form is used for ECOD, keep this copy and associated correspondence until released by investigator at the completion of the investigation.

(c) Attach to DA Form 2765–1 (Request for Issue or Turn–In) for items turned into property book office or SSA.

(5) *File copy five.* The maintenance activity/installation maintenance activity keeps this copy for 1 year after the equipment is accepted by owning unit.

3–7. DA Forms 2407/2407–1 used to request or report an MWO

a. Purpose. The DA Forms 2407/2407–1 both request an MWO be applied and show MWOs done. (See figs 3–17 and 3–18.)

b. Use. The DA Forms 2407/2407–1 will be used to—

(1) Request that an MWO be applied. MWOs are normally applied by support, depot maintenance, or commercial contractors.

(2) Report applied MWOs on end items, installed components, and uninstalled components.

(3) Report an MWO against an end item when a modified component replaces an unmodified one.

Note. Note. The responsible sponsoring agency will ensure that equipment owners know when MWOs apply to their equipment. Report MWOs applied at depots as directed by AMC automated procedures.Depot teams and contractors applying MWOs in the field will report applied MWOs on DA Forms 2407/2407–1.

c. General Instructions

(1) The requesting unit will send all copies of the DA Forms 2407/2407–1 to the activity that will apply the MWO. The equipment normally does not go to that activity until MWO kits are on hand. If MWO kits are already on hand, the equipment will go with the form.

(2) When URGENT MWO kits are not on hand, the equipment normally goes to the maintenance activity with the form. The receipt copy one will be returned to the unit.

(3) For other than URGENT MWOs, the maintenance activity will get only the form until the kits arrive. The maintenance activity will print in the Remarks block "Receipt of MWO Request(Date) (Name or Initials)" and return copies 2, 3, 4, and 5 to the unit. Keep copy one of the DA Forms 2407/2407–1. When the MWO kits or parts come in, the unit asking for the MWO will be contacted. The unit will send the equipment and all copies of DA Forms 2407/2407–1 to the maintenance activity. The maintenance activity will fill in Block 24 of the DA Form 2407. The unit asking for the MWO will get copy one as a receipt. All other copies of the form stay with the support maintenance activity.

(4) When an applied MWO changes the NSN of the end item, send in a DA Form 2408–9. See paragraph 5–6c(9).

(5) Reporting MWOs accomplished and applicable to the same vehicle configuration can be listed by serial number on one DA Form 2407–1.

d. Disposition. When the MWO has been applied.

(1) Destroy the receipt copy one when the equipment goes back to the owning unit.

(2) Send NMP copy two to the DA MWO sponsoring agency within 3 working days. The MWO publication will tell you who the agency is and what address to use.

(3) The control copy three is handled as directed by the MWO pub or Materiel Fielding Plan (MFP). Otherwise, handle as directed locally.

(4) Destroy organization copy four.

(5) The maintenance activity keeps file copy five until the next MWO validation.

3–8. Warranty claim action (WCA)

a. Purpose. DA Forms 2407/2407–1 (Maintenance Request and Maintenance Request Continuation Sheet) are the only forms used to file WCAs. Figure 3–20 shows how to prepare the DA Form 2407 for WCAs.

b. Use.

(1) The DA Form 2407 is used to send in WCAs for items with bad components, parts, or assemblies covered by a factory warranty. Do not use SF Form 368 to report warranty claims.

(2) Report all WCAs, settled or unsettled, to the national level on DA Form 2407. (See settled or unsettled below:)

(a) Settled WCAs are for warranted items that have been repaired by organic maintenance units or by a local contractor/dealer.

(b) Unsettled WCAs are for warranted items awaiting disposition instructions or items being retrograded for repair at a higher level of maintenance or to a contractor facility.

c. General Instructions

(1) The Army's Warranty Program covers all items under warranty. Check the warranty technical bulletins (WTB) and with your warranty control office (WARCO) for specific items under warranty.WARCOs are listed in appendix C.

(2) AR 700–139 governs the warranty program. HQ AMC, ATTN: AMCAQ–PM, 5001 Eisenhower Avenue, Alexandria, VA 22333–0001, manages the Army's Warranty Program. The commands/addresses in figures 3–25 through 3–31 consolidate information for WARCOs and equipment under warranty.Items purchased after early 1984 and some items prior to that time will have technical bulletins that describe the actions required for the particular warranty and equipment.

(3) Submission of WCAs will be mostly limited to GS and depot level, except when specifically required by the WTB.

(4) The WARCO will normally operate from the GS, Directorate of Logistics (DOL), Directorate of Installation and Services, supporting maintenance battalion, division/corps, or theater maintenance management center.

(5) The WARCO at support maintenance levels acts as liaison between Army units and local contractors or dealers. The WARCO manages the warranty program at post, camps, or stations. The WARCO—

(a) Establishes local procedures to control WCAs.

(b) Receives, verifies, administers, processes, and distributes WCAs.

(c) Handles local warranty claims that are completed by Army units or contractor dealer/service networks.

(d) Acts as the point of contact for the AMC major subordinate commands (MSC) that buy the equipment for the Army.

(e) Controls shipments of items for warranty work.

(f) Reports on WCAs.

(6) When WCAs, reflecting local contractor/dealer repairs, are completed, that is, all work has been accomplished, the DA Form 2407 will be marked "Information Only" and submitted to the MSC representative listed in figures 3–25 through 3–31.

(7) If there is a disagreement between the Army and a local contractor/dealer/manufacturer over a warranty claim, the WARCO will try to resolve the problem at that level. When the disagreement cannot be resolved locally, the WARCO will contact the MSC representative listed in figures 3–25 through 3–31. In U.S. Army Europe (USAREUR), the WARCO will contact the Logistics Assistance Office (LAO) for help in resolving warranty disputes.

(8) The WARCO must be aware that, when contractors or dealers perform warranty work, other work not covered by the warranty may be done or needed. The contractor or dealer will expect to be paid for that work. The WARCO must stipulate, at the time of delivery, that either no non–warranty work be done or be prepared to pay for the work.

(9) The DA Form 2407 is the only form used to file warranty claim actions. No other forms are authorized as substitutes or replacements. The information listed in the blocks on the DA Form 2407 are placed into the Deficiency Reporting System (DRS) at the MSC to track particular warranties. Performance, part failure, and warranty cost effectiveness can be determined, just to list a few.It is

very important that all the blocks shown in Figure 3–20 be as accurate as you can make them. The DA Form 2407 should list the end item in the header blocks (blocks 1– 11). All WCAs will be processed through the WARCO.

(10) Any component, part, or assembly under warranty that fails during the warranty period becomes a warranty claim exhibit. All exhibits will carry a DA Form 2402 marked "Warranty Exhibit". Exhibits will be retained until disposition instructions are obtained. Normally, disposition instructions will be in the supporting WTB. When the supporting WTB does not provide disposition instructions, the materiel manager provides disposition instructions to you within 30 calendar days after receiving your WCA.

(11) Warranty items evacuated under the Reparable Exchange Program will have DA Form 2407, WCA, initiated prior to sending the item. The WCA will be completed at the normal level of repair.

(12) See appendix C for a list of WARCOs and LAOs.

(13) Each AMC MSC will publish a WTB listing all equipment under warranty.

d. Disposition.

(1) Copy one is kept by the owning unit until the equipment is returned or action is completed.

(2) Copy two is sent to the address listed in figures 3–25 through 3–31 for the item's NSN.

(3) Copy three is sent as directed by the WTB or with copy two.Copy three will normally go with copy two. A few WTBs, however, may require that copy three be sent to a separate location or at a different time when special or expedited parts support is needed.

(4) Copy four is returned to the owning unit or filed by the WARCO.

(5) Copy five stays with the item until the warranty action is completed. Then, dispose of the form.

3–9. Addresses for WCAs

Send WCAs on DA Forms 2407/2407–1 to the addresses in figures 3–25 through 3–31. These addresses are the screening points where all WCAs are to be sent regardless of who furnished the item to you. The screening point is identified in position one of the Materiel Category Structure Code (MAT CAT) in the Army Master Data File (AMDF) for each NSN. If you can't find the MAT CAT Code of the item using the AMDF, use the item's Federal supply class (the first four numbers of the NSN).

MAT CAT Postion 1: B, E, F, J, R, S, T
or FSC:

1070–1080, 1510–1740, 1860–2305, 2620, 2810–2840, 3110–3230, 3455–3770, 3820 [1], 3830–3835, 3915, 3940, 3960, 3990 [2], 4010–5210, 5305–5430, 6115–6116, 6210–6350, 6605–6610, 6620, 6630–6640, 6670–6675, 5810–6810, 6930, 7105–7720, 8145, 8305–8475, 9110–9160, 9310–9999

Send to:
Commander
U.S. Army ATCOM (TROOP)
ATTN: AMSAT–I–MDO
4300 Goodfellow Blvd
St. Louis, MO 63120–1798
DODAAC: W81D18

Call or send message to:

Call:
DSN 693–1955
Comm: (314) 263–1955

Electronic Mail box:
KHUDSON@ST–LOUIS–EMH7.ARMY.MIL

Send Message to:
CDR ATCOM ST LOUIS MO//AMSAT–I–MDO//

Notes:
[1] (well drilling equipment only)
[2] (cargo net only)

Figure 3-25. ATCOM (TROOP)

MAT CAT Postion 1: D or M
or FSC:

1005–1055, 1090–1270, 1285–1330, 1345–1398, 3405–3450, 3611, 3620, 3645, 3650, 3660–3685, 3690, 3693–3695, 4921–4925, 4931–4933, 4940, 5220–5280, 6650, 6665, 6920, 8140
1336 (To determine correct address for particular NSNs under FSC 1336, check the AMDF for position 1 of the MAT CAT.)
1340 (except free rockets)
2320 and 2350 (SP artillery and antiaircraft guns only)

Send to:
Commander
U.S. Army AMCCOM
ATTN: AMSMC–QAD–(R)
Rock Island, IL 61299–6000
DODAAC: W52HIC

Call or send message to:

Call:
DSN 793–7580 ext 733
Comm: (309) 782–7580 ext 733

24-Hour Warranty HOTLINE:
DSN 793–4109
Comm: (309) 782–4109

Electronic Mail box:
AMCCOM.DRS@RIA–EMH1.ARMY.MIL

Send Message to:
CDR AMCCOM ROCK ISLAND IL//AMSMC–QAD//

Figure 3-26. AMCCOM

MAT CAT Postion 1: G, P, Q, U
or FSC:

2596, 2598, 2691, 5450, 5805, 5811, 5815–6080, 6105, 6110, 6125–6145, 6605, 6615, 6625, 6660, 6680, 6695–6780, 6920, 6940–7050, 7450, 7550, 8130

Send to:
Commander
U.S. Army CECOM
ATTN: AMSEL–PA–MS–N
Ft. Monmouth, NJ 07703–5000
DODAAC: W15P6Z

Call or send message to:

Call:
DSN 992–0523/0525/0544
Comm: (201) 532–0523/0525/0544

24-Hour Warranty HOTLINE:
DSN 992–1276
Comm: (201) 532–1276

Send Message to:
CDR CECOM FT MONMOUTH NJ//AMSEL–PA–MS–N//

Electronic Mail box:
AMSEL–PA@MONMOUTH–EMH2.ARMY.MIL

Figure 3-27. CECOM

MAT CAT Postion 1: H
or FSC:

1510–1730, 2810, 2840, 2915, 2925, 2935, 2945, 2995, 3110–3130, 4920, 5303–5365, 6340, 6605, 6610, 6615, 6620

Send to:
Commander
U.S. Army ATCOM (AIR)
ATTN: AMSAT–I–MDO
4300 Goodfellow Blvd
St. Louis, MO 63120–1798

Call or send message to:

Call:
DSN 693–1955
Comm: (314) 263–1955

Send Message to:
CDR ATCOM ST LOUIS MO//AMSAT–I–MDO//

Electronic Mail box:
KHUDSON@ST–LOUIS–EMH7.ARMY.MIL

Figure 3-28. ATCOM (AIR)

MAT CAT Postion 1: K
or FSC:

2310–2315, 2325–2340, 2410–2430, 2520, 2590, 2610, 2630–2805, 2815, 2910–2950, 3020, 3040, 3110–3130, 3805, 3810, 3815. 3990[1], 4310, 5430, 3820[2], 3825, 3895, 3910, 3920, 3930, 3950
2320 and 2350 (except SP artillery and antiaircraft guns)

Send to:
Commander
U.S. Army TACOM
ATTN: AMSTA–MMA
Warren, MI 48397–5000
DODAAC: W56HZY

Call or send message to:

Call:
DSN 786–7537
Comm: (313) 574–7537

Send Message to:
CDR TACOM WARREN MI//AMSTA–MMA//

Electronic Mail box:

AMSTAMMA@TACOM.EMH1.ARMY.MIL

Notes:
[1] (except cargo nets)
[2] (except well drilling equipment)

Figure 3-29. TACOM

MAT CAT Postion 1: L
or FSC:

1280, 1337, 1338, 1410–1450, 1810–1850, 2845, 4935, 4960, 6920, 8140, 9135
1336 (To determine correct address for particular NSNs under FSC 1336, check the AMDF for position 1 of the MAT CAT.)
1340 (Free rockets only)

Send to:
Commander
U.S. Army MICOM
ATTN: AMSMI–MMC–CS–AC
Redstone Arsenal, AL 35898–5180
DODAAC: W81D17

Call or send message to:

Call:
DSN 746–0447
Comm: (205) 876–0447

Send Message to:
CDR MICOM REDSTONE ARS AL//AMSMI–MMC–CS–AC//

Electronic Mail box:
CFO@REDSTONE–EMH2.ARMY.MIL

Figure 3-30. MICOM

MAT CAT Postion 1: U
or FSC: 5810

Send to:
Commander
U.S. Army Communications-Electronics Command
Communications Security Logistics Activity
ATTN: SELCL–LO–A
Fort Huachuca, AZ 85613–7090
DODAAC: W61QL1

Call or send message to:

Call:
DSN 879–7536
Comm: (602) 538–7538

Electronic Mail box:
CSLA–LAD@MONMOUTH–EMH2.ARMY.MIL

Send Message to:
CDRUSACSLA FORT HUACHUCA AZ//SELCL–LO–A//

Notes:
If you cannot decide where the report should go, send it to:
Commander
US Army Materiel Command
ATTN: AMCAQ–PM
5001 Eisenhower Avenue
Alexandria, VA 22333–0001.

Figure 3-31. CECOM CSLA

3–10. DA Form 2408–14 (Uncorrected Fault Record)

a. Purpose. The DA Form 2408–14 is a record of uncorrected faults and deferred maintenance actions on equipment. Deferred maintenance actions are authorized delays for repair or maintenance. (See fig 3–21.) Equipment with deferred maintenance does not meet the Army maintenance standard as addressed in AR 750–1, paragraph 3–1a.

b. Use.

(1) Serves as a record of uncorrected faults and deferred maintenance. That is, an authorized delay for maintenance actions.

(2) Deferred or delayed maintenance can affect operation of the equipment, mission performance, and safety. Therefore, the commander or the commander's designated representative will determine when a fault will be transcribed to DA Form 2408–14. Faults not requiring parts, or faults for which parts are on hand, will be corrected without delay per AR 750–1. Status symbol X faults will not be entered on DA Form 2408–14.

(3) The DA Form 2408–14 will be kept on any item or group of

items that has an open deferred maintenance action. This form is not required when an automated system provides you with a list or printout of deferred maintenance and uncorrected faults that includes all elements on the DA Form 2408–14.

c. General Instructions

(1) Maintenance status symbol HORIZONTAL DASH (–) and DIAGONAL SLASH (/) faults will be annotated on the DA Form 2408–14.

(2) When a deferred maintenance action exists on an item of equipment, the DA Form 2408–14 will be with the equipment when the equipment is undergoing maintenance, on dispatch, under operation, or undergoing a service or inspection.

(3) Separate forms are not required for items (except reportable subsystems) like rifles, protective masks, and M11 decons, when one DA Form 2404 has been used to inspect and record the status of those items. A single form may be used to show deferred faults on such items as long as each fault entry is preceded in column b by the item's administration or serial number.

(4) Operators or crews will check the form before each dispatch. Look for faults that may affect the mission and faults that are overdue to be fixed. For example, look at any dates in column c that have passed or actions that have already been taken.Tell the maintenance supervisor about any you find.

(5) Maintenance supervisors and section leaders (platoon) will review the forms periodically (not less than every 2 weeks for Active Army and 1 month for NG/Reserve Components). Check on the status of parts on order. Look for any faults that have been fixed, but not closed out. Check for any faults overdue to be fixed.

(6) The form will be kept in the equipment record folder or in a protective cover when a deferred maintenance action or uncorrected fault exists on the item of equipment.

(7) Do not start a DA Form 2408–14 until there is an uncorrected equipment fault that cannot be corrected due to lack of repair parts or deferred action.

(8) A second copy of the DA Form 2408–14 may be kept wherever and whenever needed for maintenance supervisors or section leaders.

(9) Parts on order for or actions pending under ANMC conditions may go on the form with a DIAGONAL SLASH status symbol. Line out the entry if the ANMC condition changes to an NMC condition. The status symbol for the NMC condition then changes to an X and the entry can no longer stay on the form. Enter the NMC condition on the current DA Form 2404.

d. Disposition. Destroy the DA Form 2408–14 after the form has been filled up and all the faults have been fixed or moved to a new DA Form 2408–14.

3–11. FAA Form 6030–1 (Facility Maintenance Log)

a. Purpose. FAA Form 6030–1 is a record of all maintenance actions performed at any ATC facility and/or navigational aid. (See fig 3–24.)

b. Use.

(1) FAA Form 6030–1 provides a complete record of all maintenance actions performed at any ATC facility and/or navigational aid. It logs document equipment performance and maintenance activities, as well as provides a historical record of site events.

(2) An FAA Form 6030–1 will be maintained at each navigational aid or ATC equipment area.

(3) One FAA Form 6030–1 may be used to cover all ATC equipment at one specific tactical site.

(4) FAA Form 6030–1 will be used instead of DA Form 2404 for recording organizational preventive maintenance checks and services. Clearly annotate PMCS.

c. General Instructions

(1) *Basic log format.* Log entries will be clear, complete, and concise. The log documents fact, as perceived by the person making the entry.Elaborate detail or opinion will be avoided. The use of standard abbreviations and references to substantive records is encouraged in expressing activities in the clearest manner. Legible entries will be made in ink. All information noted will correlate with related data on other forms, records, and reports. Maintenance activities logged will cite the appropriate technical reference needed to support the entry as a complete, understandable statement.

(2) *Location of logs.* Logs will be kept in the immediate vicinity of the log subject. Exceptions are allowed where this is impractical, but the location will be designated within the maintenance standard operating procedures.

(3) *Log corrections.* There will be no erasures or deletions of any entered data.A corrected entry is mandatory for erroneous entries relating to a facility interruption. Errors will be corrected by one of the following two methods:

(a) The person making the error can void the entry with a single line strikeout followed by their initials and the corrected version. This method will only be used when the correction can be entered adjacent to or immediately below the erroneous entry.

(b) An entry in error will be corrected with an additional entry referenced to the erroneous entry by date and time. The person making the correction will then note the date and time of the corrected entry and their initials in the margin adjacent to the erroneous entry.

(4) *Activities requiring log entries.* Entries in the logs will provide a complete accounting of activities related to facility status, certification, operation, or performance. Entries will include but are not limited to—

(a) Arrivals and departures at facilities not manned. At least one entry will include the purpose of the visit, if not apparent from other entries.

(b) Scheduled or unscheduled interruptions/outages and related activities.

(c) Start and completion of PMCS or corrective maintenance actions performed.

(d) Identification of failed equipment components by reference designation, part number, NSN, or serial number.

(e) Start and completion of flight inspections (where onsite personnel are involved or notified), technical inspections, and aircraft accident investigations.

(f) Equipment changes or replacement, including transfers and channel changes.

(g) Modification, commissioning, or decommissioning activities.

(h) Pilferage, vandalism, or related events.

(i) Adverse weather effects, commercial power failures, access road problems, or any other conditions deemed to have impact on facility or air traffic operations.

(j) Certification or decertification.

(k) Visits by nonsite personnel.

(5) *Initials.* The originator will initial the entry in the area provided on the last line of the entry. Two–party entries will be initialed by the originator's initials on top, a slash (/), and the second party's (observer or second technician) initials under the slash in the initial box.

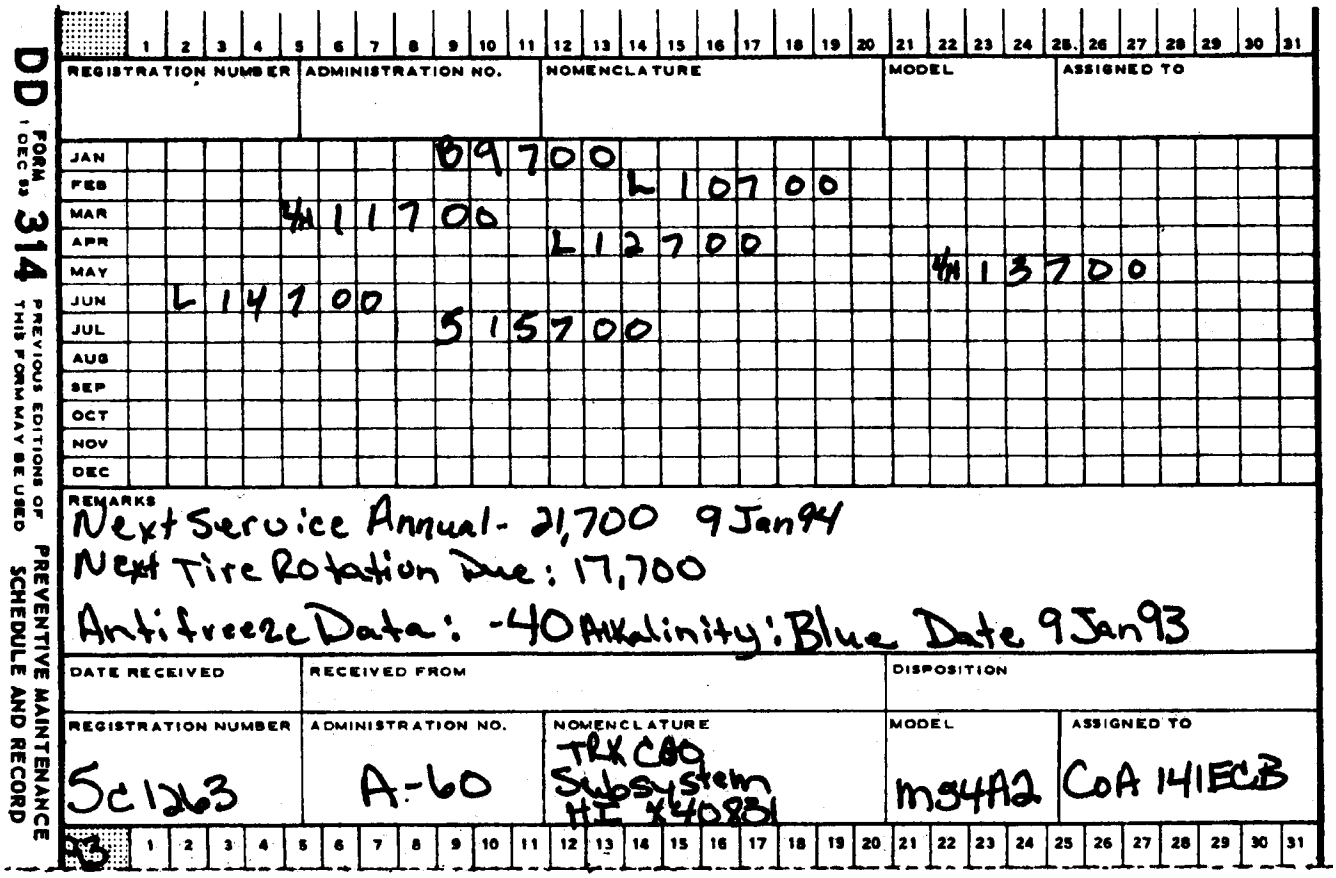
(6) *Page numbering.* All serialized log pages will remain in numerical order with any exceptions noted. When starting a new log, the serial number of the last page of the old log will be referenced in the first entry of the new log. The serial number of the first page in the new log will be referenced in the last entry of the old log or in the lower right margin of the last page.

(7) *Month and year.* The month and year corresponding to the beginning entry on each page of the log will be entered in the "month and year" block at the top of each page of the log.

(8) *Date and time.* All entries will be referenced to date and local time.Consecutive entries on the same calendar date need not be dated at each entry, but the date is required on the first and last entry of each page. Entries continued from the previous page need not have a date and time on the continued portion.

(9) *Initial/final remarks entries.* Begin a new page with each calendar month. On the first line put "First Entry Month of (month)". After last entry of each month, state "Last Entry Month of (month)". Draw a slash (/) through all unused lines.

(10) *Technician's signature.* At the end of each month, the technician having the primary responsibility for the maintenance of the facility or navigational aid covered by the log, is responsible for



This portion is provided for convenience in typing the lower lines on BOTH SIDES.
To be detached prior to placing in KARDEX or other visible-type file.

Figure 3-2. Sample of a completed DD Form 314 (Front side)

Legend for Figure 3-2:

Completion instructions by block title

Use either the blocks at the top or the bottom of the card.

Put the last two digits of the calendar year in the shaded box at the upper left or lower left of the card.

Registration Number. Enter the registration number, if the equipment has one assigned, or the serial number.

Administration No. Enter the equipment's administration number (bumper or locally assigned number). If the equipment does not have an assigned administration number (bumper or locally assigned number), pencil "none assigned" in this block.

Nomenclature.

a. Put the noun abbreviation in this block.

b. For equipment reported under AR 700–138, put the equipment category code (ECC) and line item number (LIN) under the noun. You will find ECCs in appendix B, Table B–18. LINs are in SB 700–20. Use the exact nomenclature format listed in AR 700–138.

c. If the item is a system or part of a subsystem, enter either "system" or "subsystem" as applicable.

Model. Enter the model number;for example, M1009. Use the exact model format listed in AR 700–138.

Assigned To. Enter the name of the unit or organization owning the equipment. Pencil entry if the item is authorized for Operational Readiness Float (ORF).

Remarks.

a. In pencil, annotate any maintenance information that will be needed in the future or on the replacement form for the next year. This information may include service symbols, dates for current and next year, and warranty information.If the equipment is under warranty, print in pencil"Warranted Item" and the length of the warranty in miles, months, hours, or years. Your Warranty Control Office or Logistics Assistance Office can assist you with warranty data for specific pieces of equipment. Use it when filling out the DA Form 2407.

b. Antifreeze entries will be made in the Remarks Block for equipment under warranty or using commercial or arctic antifreeze. For additional information, see TB 750–651.

c. Cooling systems serviced with antifreeze, Mil–A–46153, require the degree of protection, the condition of the cooling system, and the use of antifreeze extender, Mil–A–53009, recorded in this block. See TB 750–651.

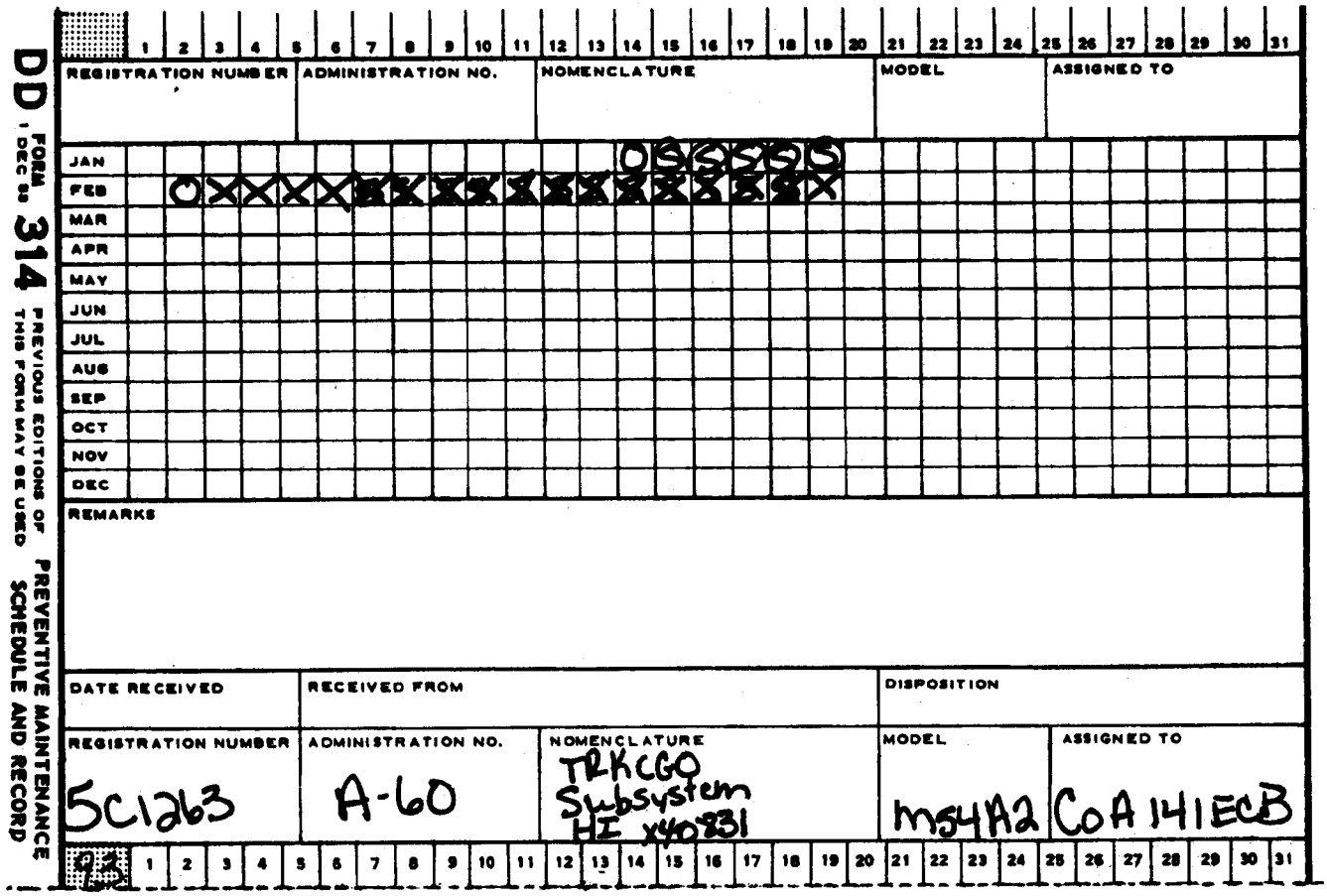
d. PMCS reference, PMCS time, and flight check data will be shown for all ATC equipment.

Date Received. Leave blank or use as needed locally.

Received From. Leave blank or use as needed locally.

Disposition. Leave blank or use as needed locally.

Date Blocks. Indicate services scheduled with pencil entries and services completed with ink pen entries.



This portion is provided for convenience in typing the lower lines on BOTH SIDES.
To be detached prior to placing in KARDEX or other visible-type file. GPO : 1987 O - 185-749

Figure 3-3. Sample of a completed DD Form 314 (Reverse side)

Legend for Figure 3-3:

Completion instructions by block title

Use either the blocks at the top or the bottom of the card.

Put the last two digits of the calendar year in the shaded box at the upper left or lower left of the card.

Registration Number. Enter the registration number, if the equipment has one assigned, or the serial number.

Administration No. Enter the equipment's administration number (bumper or locally assigned number). If the equipment does not have an assigned administration number (bumper or locally assigned number), pencil "none assigned" in this block.

Nomenclature.

a. Put the noun abbreviation in this block.

b. For equipment reported under AR 700–138, put the equipment category code (ECC) and line item number (LIN) under the noun. You will find ECCs in appendix B, Table B–18. LINs are in SB 700–20. Use the exact nomenclature format listed in AR 700–138.

c. If the item is a system or part of a subsystem, enter either "system" or "subsystem" as applicable.

Model. Enter the model number;for example, M1009. Use the exact model format listed in AR 700–138.

Assigned To. Enter the name of the unit or organization owning the equipment. Pencil entry if the item is authorized for Operational Readiness Float (ORF).

Remarks.

a. For equipment reported under AR 700–138, Tables B–1 and B–2, note any NMCM/NMCS time reported as totals by support maintenance. (When support gives you a day–by–day breakout of NMC time, mark the days in the date block.)

b. For equipment with hourmeters or odometers, show the total time of miles on the equipment at the last meter change. For example, "Odometer replaced at 23,169 miles, new reading 0 (zero) miles" or "Hourmeter replaced at 1,327 hours. New reading 5 hours." The"-replaced at" number is the total (cumulative) hours or miles on the equipment at the time the meter was replaced. The"new reading" number is the hours or miles on the new meter when you put it on the equipment. The "replaced at" and "new reading" numbers will be in pencil.When you next replace the meter, add the usage from the meter you're replacing to the "replaced at" figure, and show any miles or hours on the new meter. This information is needed for the DA Form 2408–9 Usage report and others.

Date Received. Leave blank or use as needed locally.

Received From. Leave blank or use as needed locally.

Disposition. Leave blank or use as needed locally.

Date Blocks. Show day–by–day breakout of NMC time. Mark the days in the date block.

EQUIPMENT INSPECTION AND MAINTENANCE WORKSHEET B-6

For use of this form, see DA PAM 738-750 and 738-751; the proponent agency is DCSLOG

1. ORGANIZATION	2. NOMENCLATURE AND MODEL
B Co 214th Avn	Trk, Util C90 1¼ T M998

3. REGISTRATION/SERIAL/NEN	4a. MILES	b. HOURS	c. ROUNDS FIRED	d. HOT STARTS	5. DATE	6. TYPE INSPECTION
12345						PMCS

7. APPLICABLE REFERENCE

TM NUMBER	TM DATE	TM NUMBER	TM DATE
TM9-2320-280-10 w/c2	Jun 91		

COLUMN a — Enter TM item number.

COLUMN b — Enter the applicable condition status symbol.

COLUMN c — Enter deficiencies and shortcomings.

COLUMN d — Show corrective action for deficiency or shortcoming listed in Column c.

COLUMN e — Individual ascertaining completed corrective action initial in this column.

STATUS SYMBOLS

"X"—Indicates a deficiency in the equipment that places it in an inoperable status.

CIRCLED "X"—Indicates a deficiency, however, the equipment may be operated under specific limitations as directed by higher authority or as prescribed locally, until corrective action can be accomplished.

HORIZONTAL DASH "(-)"—Indicates that a required inspection, component replacement, maintenance operation check, or test flight is due but has not been accomplished, or an overdue MWO has not been accomplished.

DIAGONAL "(/)"—Indicates a materiel defect other than a deficiency which must be corrected to increase efficiency or to make the item completely serviceable.

LAST NAME INITIAL IN BLACK, BLUE-BLACK INK, OR PENCIL-Indicates that a completely satisfactory condition exists.

FOR AIRCRAFT-Status symbols will be recorded in red.

ALL INSPECTIONS AND EQUIPMENT CONDITIONS RECORDED ON THIS FORM HAVE BEEN DETERMINED IN ACCORDANCE WITH DIAGNOSTIC PROCEDURES AND STANDARDS IN THE TM CITED HEREON.

8a. SIGNATURE (Person(s) performing inspection)	8b. TIME	9a. SIGNATURE (Maintenance Supervisor)	9b. TIME	10. MANHOURS REQUIRED

TM ITEM NO. a	STATUS b	DEFICIENCIES AND SHORTCOMINGS c	CORRECTIVE ACTION d	INITIAL WHEN CORRECTED e
		11 Aug 92		RH
		12 Aug 92		RH
		13 Aug 92	W	RH
		14 Aug 92		

DA FORM 1 APR 79 2404 Replaces edition of 1 Jan 64, which will be used

Figure 3-7. Sample of a completed DA Form 2404 used for operator/crew PMCS (No fault noted)

EQUIPMENT INSPECTION AND MAINTENANCE WORKSHEET

For use of this form, see DA PAM 738-750 and 738-751; the proponent agency is DCSLOG — B-58

1. ORGANIZATION	2. NOMENCLATURE AND MODEL
B Co 214th Avn	Trk Wkr w/w 10T M984

3. REGISTRATION/SERIAL/NBN	4a. MILES	b. HOURS	c. ROUNDS FIRED	d. HOT STARTS	5. DATE	6. TYPE INSPECTION
NPØ BEU	89Ø	21Ø			16 Sep 92	PMCS

7. APPLICABLE REFERENCE

TM NUMBER	TM DATE	TM NUMBER	TM DATE
TM 9-2320-279-10-1	Nov 86		

COLUMN a — Enter TM item number.

COLUMN b — Enter the applicable condition status symbol.

COLUMN c — Enter deficiencies and shortcomings.

COLUMN d — Show corrective action for deficiency or shortcoming listed in Column c.

COLUMN e — Individual ascertaining completed corrective action initial in this column.

STATUS SYMBOLS

"X"—Indicates a deficiency in the equipment that places it in an inoperable status.

CIRCLED "X"—Indicates a deficiency, however, the equipment may be operated under specific limitations as directed by higher authority or as prescribed locally, until corrective action can be accomplished.

HORIZONTAL DASH "(-)"—Indicates that a required inspection, component replacement, maintenance operation check, or test flight is due but has not been accomplished, or an overdue MWO has not been accomplished.

DIAGONAL "(/)"—Indicates a materiel defect other than a deficiency which must be corrected to increase efficiency or to make the item completely serviceable.

LAST NAME INITIAL IN BLACK, BLUE-BLACK INK, OR PENCIL-Indicates that a completely satisfactory condition exists.

FOR AIRCRAFT-Status symbols will be recorded in red.

ALL INSPECTIONS AND EQUIPMENT CONDITIONS RECORDED ON THIS FORM HAVE BEEN DETERMINED IN ACCORDANCE WITH DIAGNOSTIC PROCEDURES AND STANDARDS IN THE TM CITED HEREON.

8a. SIGNATURE (Person(s) performing inspection)	8b. TIME	9a. SIGNATURE (Maintenance Supervisor)	9b. TIME	10. MANHOURS REQUIRED
SPC William Lloyd				

TM ITEM NO. a	STATUS b	DEFICIENCIES AND SHORTCOMINGS c	CORRECTIVE ACTION d	INITIAL WHEN CORRECTED e
		14 Sep 92		WL
		15 Sep 92	W	WL
1Ø	X	Engine idles at		
		8ØØ RPM.		

DA FORM 2404, 1 APR 79 — Replaces edition of 1 Jan 64, which will be used

Figure 3-8. Sample of a completed DA Form 2404 used for operator/crew PMCS (Fault noted)

Legend for Figure 3-8:

Completion instructions for DA Form 2404 used for operator/ crew PMCSs

Note: Administrative/bumper number will be placed in upper right hand corner or as prescribed by local SOP.

(1) Organization. Enter the name of the unit to which the equipment belongs.

(2) Nomenclature and Model.

a. Enter the noun abbreviation and the model of the equipment.

b. For watercraft, use the noun abbreviation and Hull Design Number.

(3) Registration/Serial/NSN.

a. Enter the serial or registration number.Enter the NSN when no serial or registration number is available.

b. For watercraft, enter the DA Hull Number.

(4a) Miles.

a. When a deficiency or a shortcoming is found, enter the miles or kilometers on the equipment's odometer at the end of the day's dispatch or operation.

b. Round to the nearest mile or kilometer.Put the letter "K" before the number if the reading is kilometers.

c. Leave blank if the item does not have an odometer or if no faults are found.

(4b) Hours.

a. When a deficiency or a shortcoming is found, enter the meter reading at the end of the day's dispatch or operation.

b. Leave blank if hours do not apply to the equipment or if no faults are found.

(4c) Rounds Fired. Leave blank.

(4d) Hot Starts. Leave blank.

(5) Date. Enter the calendar date the deficiency or shortcoming was found.

(6)Type Inspection. Enter"PMCS".

a. Use the same DA Form 2404 for more than 1 day. If you find no faults during the BEFORE OPERATION checks in the PMCS, put the date in column c. If no faults are found DURING or AFTER OPERATION, initial in column e.

b. When no faults are found, this form can be used for more than 1 day even if form was used for concurrent PMCSs, i.e., W/M. Just place the first letter of the type of PMCS performed (W/M) in column d, by that day's date in column c after the PMCS was performed.

(7) TM Number and TM Date.

a. Enter the number and date of the PMCS TM.When two TMs cover an item, put the second TM number and date in the second number and date block.

b. When the manual has changes, print"W/C" and the latest change number after the TM number. Then, put the latest change date in the TM date block.

(8a) Signature. When a deficiency or shortcoming is found, the operator or supervisor signs and enters rank. A signature in this block keeps the form from being used past current dispatch.

(8b) Time. Leave blank or use as needed locally.

(9a) Signature. Maintenance supervisor or the commander's designated representative will sign when corrective action is taken.

(9b) Time. Leave blank or use as needed locally. For a missile system and missile subsystems reported under AR 700–138, (chapter 4), enter the time when item was found to be NMC.

(10) Man–Hours Required. Leave blank or use as needed locally.

Column a. TM Item No.

a. Put the PMCS item number that applies to the fault listed in column c. If the PMCS has no item numbers, list the page, paragraph, or sequence number. Circle the number if the fault is listed in the "Equipment is not ready/available if" column or "Not Mission Capable if" column of the PMCS. If the PMCS has no ready/available or not mission capable column, circle the TM item number, page, or paragraph number of any fault that makes the equipment NMC.

b. Pubs or TM sections other than PMCS may be required for safety faults or local dispatching. For example, AR 385–55 lists safety checks that may not be in the PMCS. Those faults will not be counted as NMC for the DA Form 2406 (Materiel Condition Status Report) unless they are in the PMCS "not ready" column or the "not mission capable"column. But, you will list them if you find a problem with one of them.

c. For those faults not covered by the PMCS, leave this column blank.

Column b. Status. Enter the status symbol that applies to the fault or deficiency.

Column c. Deficiencies and Shortcomings.

a. If you find a fault Ithat can be repaired, stop the PMCS and correct the fault. Do not enter faults that have been repaired on the DA Form 2404. Continue the PMCS to make sure no other faults exist.

b. Briefly describe the fault. Skip one or two lines between faults. This will give maintenance room to note actions they take.

c. When more than one TM covers the equipment, draw a line under the last entry for one TM. Under the line, write the TM number of the manual you will use next. After you finish the PMCS and list all faults you cannot fix, give the form to the maintenance supervisor.

d. When using one DA Form 2404 for more than one item of equipment, enter the serial or administration number for the item with the fault. Write the fault on the line below the serial numbler.

e. When you list faults not covered by the PMCS, add the pub that covers them; for example, SOP or AR 385–55.

Column d. Corrective Action. Explain corrective actions taken.

Column e. Initial When Corrected. The mechanic initials any faults that have been fixed. The initials will go on the last line for the entry in column d. The maintenance supervisor will review the faults corrected and those still not fixed to decide what other action is needed. For quality control, the inspector or a designated representative will check all corrected status symbol X faults. The inspector will then initial the status symbol.

EQUIPMENT INSPECTION AND MAINTENANCE WORKSHEET B-18

For use of this form, see DA PAM 738-750 and 738-751; the proponent agency is DCSLOG

1. ORGANIZATION	2. NOMENCLATURE AND MODEL					
B Co 214th Avn	Trk Cgo 1¼ T M1008					
3. REGISTRATION/SERIAL/NSN	4a. MILES	b. HOURS	c. ROUNDS FIRED	d. HOT STARTS	5. DATE	6. TYPE INSPECTION
345678	183106				5 Jan 92	PMCS

7. APPLICABLE REFERENCE

TM NUMBER	TM DATE	TM NUMBER	TM DATE
TM 9-2320-289-10 w/C 3	Jul 86		

COLUMN a — Enter TM item number.
COLUMN b — Enter the applicable condition status symbol.
COLUMN c — Enter deficiencies and shortcomings.
COLUMN d — Show corrective action for deficiency or shortcoming listed in Column c.
COLUMN e — Individual ascertaining completed corrective action initial in this column.

STATUS SYMBOLS

"X"—Indicates a deficiency in the equipment that places it in an inoperable status.

CIRCLED "X"—Indicates a deficiency, however, the equipment may be operated under specific limitations as directed by higher authority or as prescribed locally, until corrective action can be accomplished.

HORIZONTAL DASH "(-)"—Indicates that a required inspection, component replacement, maintenance operation check, or test flight is due but has not been accomplished, or an overdue MWO has not been accomplished.

DIAGONAL "(/)"—Indicates a materiel defect other than a deficiency which must be corrected to increase efficiency or to make the item completely serviceable.

LAST NAME INITIAL IN BLACK, BLUE-BLACK INK, OR PENCIL-Indicates that a completely satisfactory condition exists.

FOR AIRCRAFT-Status symbols will be recorded in red.

ALL INSPECTIONS AND EQUIPMENT CONDITIONS RECORDED ON THIS FORM HAVE BEEN DETERMINED IN ACCORDANCE WITH DIAGNOSTIC PROCEDURES AND STANDARDS IN THE TM CITED HEREON.

8a. SIGNATURE (Person(s) performing inspection)	8b. TIME	9a. SIGNATURE (Maintenance Supervisor)	9b. TIME	10. MANHOURS REQUIRED
SPC Mark Hoskad		Robert W. Potts 1LT		

TM ITEM NO. a	STATUS b	DEFICIENCIES AND SHORTCOMINGS c	CORRECTIVE ACTION d	INITIAL WHEN CORRECTED e
		4 Jan 92		M.H.
5a	X	transfer will not	Cleared for limited	
		shift to low	operation to transfer	
			vehicle to support	
			maintenance on 5 Jan 92	RWP
5a	X	transfer will not		
		shift to low.		

DA FORM 1 APR 79 2404 — Replaces edition of 1 Jan 64, which will be used

Figure 3-9. Sample of a completed DA Form 2404 used for changing an "X" condition

Legend for Figure 3-9:
Completion instructions for DA Form 2404 used for changing an "X" condition

Note: Administrative/bumper number will be placed in upper right hand corner or as prescribed by local SOP.

(1) Organization. Enter the name of the unit to which the equipment belongs.

(2) Nomenclature and Model.

a. Enter the noun abbreviation and the model of the equipment.

b. For watercraft, use the noun abbreviation and Hull Design Number.

(3) Registration/Serial/NSN.

a. Enter the serial or registration number.Enter the NSN when no serial or registration number is available.

b. For watercraft, enter the DA Hull Number.

(4a) Miles.

a. When a deficiency or a shortcoming is found, enter the miles or kilometers on the equipment's odometer at the end of the day's dispatch or operation.

b. Round to the nearest mile or kilometer.Put the letter "K" if the reading is kilometers.

c. Leave blank if the item does not have an odometer or if no faults are found.

(4b) Hours.

a. When a deficiency or a shortcoming is found, enter the meter reading at the end of the day's dispatch or operation.

b. Leave blank if hours do not apply to the equipment or if no faults are found.

(4c) Rounds Fired. Leave blank.

(4d) Hot Starts. Leave blank.

(5) Date. Enter the calendar date the deficiency or shortcoming was found.

(6) Type Inspection. Enter"PMCS".

a. Use the same DA Form 2404 for more than 1 day. If you find no faults during the BEFORE OPERATION checks in the PMCS, put the date in column c. If no faults are found DURING or AFTER OPERATION, initial in column e.

b. When no faults are found, this form can be used for more than 1 day even if the form was used for concurrent PMCSs, i.e., W/M. Just place the first letter of the type of PMCS performed (W/M) in column d, by that day's date in column c.

(7) TM Number and TM Date.

a. Enter the number and date of the PMCS TM.When two TMs cover an item, put the second TM number and date in the second number and date block.

b. When the manual has changes, print"W/C" and the latest change number after the TM number. Then, put the latest change date in the TM date block.

(8a) Signature. When a deficiency or shortcoming is found, the operator or supervisor signs and enters rank. A signature in this block keeps the form from being used past the current dispatch.

(8b) Time. Leave blank or use as needed locally.

(9a) Signature. The commander or the commander's designated representative will sign name and rank when making a status symbol change or changing from an X to a CIRCLED X status symbol for one time operation.

(9b) Time. Leave blank or use as needed locally. For missile system and missile subsystems reported under AR 700–138, (chapter 4), enter the time when item was found to be NMC.

(10) Man–Hours Required. Leave blank or use as needed locally.

Column a. TM Item Number.

a. Put the TM item number that applies to the fault listed in column c. If the PMCS has no item numbers, list the page, paragraph, or sequence number. Circle the number if the fault is listed in the "Equipment not ready/available if" column or "Not Mission Capable if" column of the PMCS. If the PMCS has no ready/available or not mission capable column, circle the TM item number, page, or paragraph number of any fault that makes the equipment NMC.

b. Pubs or TM sections other than PMCS may be required for safety faults or local dispatching. For example, AR 385–55 lists safety checks that may not be in the PMCS. Those faults will not be counted as NMC for the Materiel Condition Status Report (MCSR) unless they are in the PMCS "not ready"column or the "not mission capable" column. But, you will list them if you find a problem with one of them.

c. For those faults not covered by the PMCS, leave this column blank.

Column b. Status. Repair of status symbol X faults cannot be postponed or delayed, but they may be changed to a CIRCLED X status symbol for limited operation. The commander or the commander's designated representative may change an X status symbol fault to a CIRCLED X status symbol. Changing of status symbols should only be done when the equipment is crucial to the mission. No X status symbol faults will be changed to a CIRCLED X if it endangers the operator/crew or causes further damage to the equipment. CIRCLED X conditions will be for one time operation or mission. (Common sense must be used.)

Column c. Deficiencies and Shortcomings.

a. If you find a fault that can be repaired, stop the PMCS and correct the fault. Do not enter faults that have been repaired on the DA Form 2404. Continue the PMCS to make sure no other faults exist.

b. Briefly describe the fault. Skip one or two lines between faults. This will give maintenance room to note actions taken.

c. When more than one TM covers the equipment, draw a line under the last entry for one TM. Under the line, write the TM number of the manual you will use next. After you finish the PMCS and list all faults you cannot fix, give the form to the maintenance supervisor.

Column d. Corrective Action.

a. Print "Cleared for limited operations," and the specific limits under which the equipment can be operated. For example, limits may involve speed, type of mission, distance, weather, or time. The change may affect a subsystem of a system listed in AR 700–138. If so, make sure the limits include the part of the mission the system can no longer do.

b. Deficiencies changed to a CIRCLED X will return to an X status symbol at the end of the day or mission.

c. Equipment cleared for limited operations will still be carried as NMC for the DA Form 2406, DA Form 3266–2R, and the DD Form 314.

d. When a deficiency is corrected immediately or changed to a CIRCLED X, entries in blocks 4 and 5 will be made at the end of the dispatch or operation.

Column e. Initial When Corrected.

a. The commander or the commander's designated representative initials for limited operation entries.

b. The person taking the action or transferring the document/NSN initials other entries.

c. The initials will go on the last line of the entry.

EQUIPMENT INSPECTION AND MAINTENANCE WORKSHEET B-2Ø

For use of this form, see DA PAM 738-750 and 738-751; the proponent agency is DCSLOG

1. ORGANIZATION	2. NOMENCLATURE AND MODEL					
B Co 214th Avn	Trk Cgo 1¼ T M1ØØ8					
3. REGISTRATION/SERIAL/NSN	4a. MILES	b. HOURS	c. ROUNDS FIRED	d. HOT STARTS	5. DATE	6. TYPE INSPECTION
67890	10389				16 Apr 92	Annual

7. APPLICABLE REFERENCE

TM NUMBER	TM DATE	TM NUMBER	TM DATE
TM 9-2320-289-20	Jan 88	TM 9-2320-289-20P	

COLUMN a — Enter TM item number.

COLUMN b — Enter the applicable condition status symbol.

COLUMN c — Enter deficiencies and shortcomings.

COLUMN d — Show corrective action for deficiency or shortcoming listed in Column c.

COLUMN e — Individual ascertaining completed corrective action initial in this column.

STATUS SYMBOLS

"X"—Indicates a deficiency in the equipment that places it in an inoperable status.

CIRCLED "X"—Indicates a deficiency, however, the equipment may be operated under specific limitations as directed by higher authority or as prescribed locally, until corrective action can be accomplished.

HORIZONTAL DASH "(-)"—Indicates that a required inspection, component replacement, maintenance operation check, or test flight is due but has not been accomplished, or an overdue MWO has not been accomplished.

DIAGONAL "(/)"—Indicates a materiel defect other than a deficiency which must be corrected to increase efficiency or to make the item completely serviceable.

LAST NAME INITIAL IN BLACK, BLUE-BLACK INK, OR PENCIL-Indicates that a completely satisfactory condition exists.

FOR AIRCRAFT-Status symbols will be recorded in red.

ALL INSPECTIONS AND EQUIPMENT CONDITIONS RECORDED ON THIS FORM HAVE BEEN DETERMINED IN ACCORDANCE WITH DIAGNOSTIC PROCEDURES AND STANDARDS IN THE TM CITED HEREON.

8a. SIGNATURE (Person (s) performing inspection)	8b. TIME	9a. SIGNATURE (Maintenance Supervisor)	9b. TIME	10. MANHOURS REQUIRED
PFC Chuck Palmer		SSG John Mora		

TM ITEM NO. a	STATUS b	DEFICIENCIES AND SHORTCOMINGS c	CORRECTIVE ACTION d	INITIAL WHEN CORRECTED e
8	/	Class II leak at	torqued bolts to 35 ft lb.	
		rear diff. cover	checked fluid level	CP
			annotate on 2408-14. JM	JM
			CDRAA12345	
9	/	Rear shock bushings	2310-01-561-1083 4Ea	
		starting to dry rot.	pg. 98 fig. 5 item 2	
			Doc. # 2108-0010	
			Annotate on 2408-14.	J.M.

DA FORM 1 APR 79 2404 — Replaces edition of 1 Jan 64, which will be used

Figure 3-10. Sample of a completed DA Form 2404 used for maintenance services/inspections

Legend for Figure 3-10:
Completion instructions for DA Form 2404 used for maintenance services/inspections

Note: Administrative number/bumper number will be put in the upper right hand corner or as prescribed by local SOP.

(1) Organization. Enter the name of the unit to which the equipment belongs.

(2) Nomenclature and Model.

a. Enter the noun abbreviation and the model of the equipment.

b. For watercraft, use the noun abbreviation and Hull Design Number.

(3) Registration/Serial/NSN.

a. Enter the serial or registration number.Enter the NSN when no serial number or registration number is available.

b. For watercraft, enter the DA hull number.

c. For more than one item, leave blank.

(4a) Miles.

a. When a deficiency or a shortcoming is found, enter the miles or kilometers on the equipment's odometer at the end of the day's dispatch or operation.

b. Round to the nearest mile or kilometer.Put the letter "K" before the number if the reading is in kilometers.

c. Leave blank if the item does not have an odometer or if no faults are found.

(4b) Hours.

a. When a deficiency or a shortcoming is found, enter the meter reading at the end of the day's dispatch or operation.

b. Leave blank if hours do not apply to the equipment or if no faults are found.

(4c) Rounds Fired. Leave blank.

(4d) Hot Starts. Leave blank.

(5) Date. Enter the calendar date the service is performed.

(6) Type Inspection.

a. Enter the type of inspection or service to be done (lubrication, monthly, quarterly, semiannual, etc.).

b. When doing more than one inspection or service at the same time, put the service symbols in block 6 (L/S, etc.).

(7) TM Number and TM Date.

a. Enter the number and date of the PMCS TM.When two TMs cover an item, put the second TM number and date in the second number and date block.

b. When the manual has changes, print"W/C" and the latest change number after the TM number. Then, put the latest change date in the TM date block.

(8a) Signature. Personnel performing service/ inspection signs and enters rank after inspection is completed.

(8b) Time. Leave blank or use as needed locally.

(9a) Signature. The maintenance supervisor or the commander's designated representative signs name and rank after service/inspection is completed.

(9b) Time. Leave blank or use as needed locally. For missile systems and missile subsystems items reported under AR 700–138, (Chapter 4), enter the time when item was found to be NMC.

(10) Man–Hours Required. Leave blank or use as needed locally.

Column a. TM Item Number.

a. Put the PMCS item number that applies to the fault listed in column c. If the PMCS has no item numbers, list the page, paragraph, or sequence number. Circle the number if the fault is listed in the "Equipment not ready/ available" column or "Not Mission Capable" column of the PMCS. If the PMCS has no ready/available or not mission capable column, circle the TM item number, page, or paragraph number of any fault that makes the equipment NMC.

b. Pubs or TM sections other than PMCS may be required for safety faults or local dispatching. For example, AR 385–55 lists safety checks that may not be in the PMCS. Those faults will not be counted as NMC for the DA Form 2406 unless they are listed in the PMCS "not ready" column or the"not mission capable" column. But you will list them if you find a problem with one of them.

c. For those faults not covered by the PMCS, leave this column blank.

Column b. Status. Enter the status symbol that applies to the fault or deficiency.

Column c. Deficiencies and Shortcomings.

a. If you find a fault that can be repaired, stop the PMCS and correct the fault. Do not enter faults on the DA Form 2404 that you have repaired. Continue the PMCS to ensure no other faults exist.

b. Briefly describe uncorrected faults.

Column d. Corrective Action.

a. Explain corrective action taken.

b. For equipment needing a DA Form 2409, note repair work done and parts replaced. Put that information on the DA Form 2409. Print "DA Form 2409" in column d for those items.

c. If parts are needed, the PLL clerk will order them and enter the document numbers.

d. Faults that need support maintenance will go on a DA Form 2407. Print "DA Form 2407 (SPT)" in column d.

e. The commander's designated representative will decide what maintenance can be delayed. Faults that do not affect the operation of the equipment and the operator's safety can be deferred because:

(1) Support is backed up and cannot get to the equipment right away.

(2) The needed repair part is not on hand.

(3) Other reasons at the CO's discretion.

f. Faults that the commander's designated representative decides to defer go on the DA Form 2408–14.Print "DA Form 2408–14" in column d for those items.

Column e. Initial When Corrected.

a. The person taking the action or transferring the information initials other entries.

b. The initials will go on the last line of the entry.

c. For quality control, the inspector or commander's designated representative will check all corrected status symbol X faults to ensure proper repairs have been completed.If properly repaired, the inspector or the commander's designated representative will initial the status symbol.

EQUIPMENT INSPECTION AND MAINTENANCE WORKSHEET A-3

For use of this form, see DA PAM 738-750 and 738-751; the proponent agency is DCSLOG

1. ORGANIZATION	2. NOMENCLATURE AND MODEL					
A Btry 4/50th FA	How, SP m109 A1					
3. REGISTRATION/SERIAL/NSN	**4a. MILES**	**b. HOURS**	**c. ROUNDS FIRED**	**d. HOT STARTS**	**5. DATE**	**6. TYPE INSPECTION**
174563	28700				17 Oct 92	BDAR

7. APPLICABLE REFERENCE

TM NUMBER	TM DATE	TM NUMBER	TM DATE
tm 9-2350-274-BD	Jan 84		

COLUMN a — Enter TM item number.

COLUMN b — Enter the applicable condition status symbol.

COLUMN c — Enter deficiencies and shortcomings.

COLUMN d — Show corrective action for deficiency or shortcoming listed in Column c.

COLUMN e — Individual ascertaining completed corrective action initial in this column.

STATUS SYMBOLS

"X"—Indicates a deficiency in the equipment that places it in an inoperable status.

CIRCLED "X"—Indicates a deficiency, however, the equipment may be operated under specific limitations as directed by higher authority or as prescribed locally, until corrective action can be accomplished.

HORIZONTAL DASH "(-)"—Indicates that a required inspection, component replacement, maintenance operation check, or test flight is due but has not been accomplished, or an overdue MWO has not been accomplished.

DIAGONAL "(/)"—Indicates a materiel defect other than a deficiency which must be corrected to increase efficiency or to make the item completely serviceable.

LAST NAME INITIAL IN BLACK, BLUE-BLACK INK, OR PENCIL-Indicates that a completely satisfactory condition exists.

FOR AIRCRAFT-Status symbols will be recorded in red.

ALL INSPECTIONS AND EQUIPMENT CONDITIONS RECORDED ON THIS FORM HAVE BEEN DETERMINED IN ACCORDANCE WITH DIAGNOSTIC PROCEDURES AND STANDARDS IN THE TM CITED HEREON.

8a. SIGNATURE (Person(s) performing inspection)	8b. TIME	9a. SIGNATURE (Maintenance Supervisor)	9b. TIME	10. MANHOURS REQUIRED
SGT John Manor		Ray Parker CWO		

TM ITEM NO. a	STATUS b	DEFICIENCIES AND SHORTCOMINGS c	CORRECTIVE ACTION d	INITIAL WHEN CORRECTED e
		fuel filter clogged	By passed	J.M.

DA FORM 2404 1 APR 79 — Replaces edition of 1 Jan 84, which will be used

Figure 3-12. Sample of a completed DA Form 2404 used for BDAR

Legend for Figure 3-12:
Completion instructions for DA Form 2404 used for battlefield damage assessment and repair

Note: Administrative/bumper number will be placed in upper right hand corner or as prescribed by local SOP.

(1) Organization. Enter the name of the unit to which the equipment belongs.

(2) Nomenclature and Model.

a. Enter the noun abbreviation and the model of the equipment.

b. For watercraft, use the noun abbreviation and Hull Design Number.

(3) Registration/Serial/NSN.

a. Enter the serial or registration number.Enter the NSN when no serial or registration number is available.

b. For watercraft, enter the DA Hull Number.

(4a) Miles.

a. Enter the miles or kilometers on the equipment's odometer as of the date in block 5.

b. Round to the nearest mile or kilometer.Put the letter "K" before the number if the reading is kilometers.

c. Leave blank if the item does not have an odometer.

(4b) Hours.

a. Enter the meter reading in hours as of the date in block 5.

b. Leave blank if hours do not apply to the equipment.

(4c) Rounds Fired. Leave blank.

(4d) Hot Starts. Leave blank.

(5) Date. Enter the calendar date.

(6) Type Inspection. Enter the letters "BDAR."

(7) TM Number and TM Date.

a. Enter the number and date of the PMCS TM.When two TMs cover an item, put the second TM number and date in the second TM number and date block.

b. When the manual has changes, print"W/C" and the latest change number after the TM number. Then, put the latest change date in the TM date block.

(8a) Signature. When the repair or replacement has been accomplished, the person doing the job will sign name and enter rank.

(8b) Time. Leave blank or use as needed locally.

(9a) Signature. The maintenance supervisor or the commander's designated representative will sign name and rank. This is to ensure that when corrective actions are taken, no safety faults still exist that would endanger the operator or cause further damage to the equipment.

(9b) Time. Leave blank or use as needed locally.

(10) Man–Hours Required. Leave blank or use as needed locally.

Column a. TM Item Number. Leave blank.

Column b. Status. Leave blank.

Column c. Deficiencies and Shortcomings.

a. Briefly describe the fault.

b. If more than one deficiency or shortcoming is noted, leave enough room between entries to allow for corrective action taken to be annotated.

Column d. Corrective Action. Explain actions taken to correct or repair the fault. Note any parts replaced, parts ordered, and work done.

Column e. Initial When Corrected. The person taking the action initials here.

MAINTENANCE REQUEST
For use of this form, see DA PAM 738-750 and 738-751; the proponent agency is DCSLOG

PAGE NO	NO OF PAGES	REQUIREMENT CONTROL SYMBOL CSGLD-1047(R1)

SECTION I - CUSTOMER DATA

1a UIC CUSTOMER	1b CUSTOMER UNIT NAME	1c. PHONE NO
WX3WYF	B Co 214th AV	278-5419

2a SAMS-2 UIC/SAMS-I/TDA	2b UTILIZATION CODE	2c. MCSR
	Φ	Y

SECTION II - MAINTENANCE ACTIVITY DATA

3a. WORK ORDER NUMBER (WON)	3b. SHOP	3c. PHONE NO

4a. UIC SUPPORT UNIT	4b. SUPPORT UNIT NAME

SECTION III - EQUIPMENT DATA

5 TYPE MNT REQ CODE	6. ID	7 NSN
	A	3320ΦΦΦ7716164

15a. FAILURE DETECTED DURING/WHEN DISCOVERED CODE (Enter code) See DA Pamphlets 738-750 and 738-751	A

15b. FIRST INDICATION OF TROUBLE/HOW RECOGNIZED CODE (Enter Code) See DA Pamphlets 738-750 and 738-751	16. MILES/KILOMETERS/HOURS/ROUNDS
Φ99	M 37,218 K H R

8 MODEL	M35A2
9 NOUN	Trk Cgo 2½T

10a. ORG WON/DOC NO	10b. EIC
X3WYFΦ3ΦΦ3121	BIMA

11 SERIAL NUMBER	12. QTY	13. PD
17336	Φ1	Φ13

17. PROJECT CODE (If assigned)	18. ACCOUNT PROCESSING CODE	19. IN WARRANTY? (enter Y or N)	20. ADMIN NO
		N	B25

14. MALFUNCTION DESCRIPTION (for DSU, GSU/AVIM, DEPOT use)	21. REIMBURSABLE CUSTOMER (If intransit customer enter Y or N) N
	22. LEVEL OF WORK F — 23. SIGNATURE Richard Watch

24. DESCRIBE DEFICIENCIES OR SYMPTOMS ON THE BASIS OF COMPLETE CHECKOUT AND DIAGNOSTIC PROCEDURES IN EQUIPMENT TM (Do not prescribe repairs)

Class III leak, steering gear box

25. REMARKS

PREPARATION INSTRUCTIONS FOR THIS PAGE

SECTION I

Block 1a. Enter UIC of submitting organization.
Block 1b. Enter name of submitting organization.
Block 1c. Enter number to be called when maint. is completed.
Block 2a. Enter UIC of supporting SAMS-2/SAMS-I/TDA if work is requested while intransit and away from your support maintenance unit.
Block 2b. Enter utilization code. See DA Pamphlets 738-750 and 738-751.
Block 2c. Enter "Y" if reportable under AR 700-138. If not, leave blank.

SECTION II

Leave blank. To be completed by the support maintenance DSU/GSU/AVIM/DEPOT.

SECTION III

Block 5. Enter the Type Maintenance Request Code. See DA Pamphlets 738-750 and 738-751.
Block 6. Enter ID associated with block 7. See DA Pamphlets 738-750 and 738-751.
Block 7. Enter the NSN or stock number of the item being submitted.
Block 8. Enter model of item being submitted.
Block 9. Enter noun/nomenclature of item being submitted.
Block 10a. Enter Work Order Number (*WON*)/*DOC NO* assigned when item is submitted. Otherwise, leave blank.
Block 10b. Enter End Item Code. See AMDF.
Block 11. Enter serial number of item being submitted.

SECTION III (Cont'd)

Block 12. Enter the quantity of items being submitted.
Block 13. Enter the maintenance priority designator determined from DA PAM 710-2-1.
Block 14. For DSU, GSU/AVIM, DEPOT use.
Block 15a. Enter the code that most accurately describes when the fault or deficiency was detected. See DA Pamphlets 738-750 and 738-751.
Block 15b. Select one. Enter the code. See DA Pamphlets 738-750 and 738-751.
Block 16. Enter the accumulated usage data in blocks, when equipment is subject to usage reporting.
Block 17. Enter the project code if one has been assigned. If not, leave blank.
Block 18. See DA Pamphlets 738-750 and 738-751.
Block 19. Enter "Y" or "N" to indicate whether equipment is still under manufacturer's warranty.
Block 20. Enter the admin number assigned for property control purposes for the equipment being submitted.
Block 21. For DSU/GSU/AVIM/Depot use.
Block 22. Enter level of work performed "O" for UNIT LEVEL/AVUM, "F" for DSU/AVIM, "H" for GSU, "D" for DEPOT, "K" for contractor or "L" for Spc Rpr Act.
Block 23. Enter the signature of the CO or the CO's designated representative when the priority designator is 01-10. For priority designators 11-15, leave blank.
Block 24. Enter a brief description of the deficiencies or symptoms that you feel require attention at this level of maint.
Block 25. Self-explanatory.

34a. SUBMITTED BY	35a. ACCEPTED BY	35c. DATE
R. Watch		

34b. DATE	35b. STATUS	35d. TIME
930005		

Block 34a. Enter first initial and last name of submitter.
Block 34b. Enter ordinal date submitted (*YYDDD*).
Block 35a. Enter first initial and last name of person accepting maint. request.
Block 35b. Enter the initial status. See DA Pamphlets 738-750 and 738-751.
Block 35c. Enter ordinal date accepted (*YYDDD*).
Block 35d. Enter military time.

DA FORM 2407, JUL 94 — **RECEIPT COPY 1**

Figure 3-15. Sample of a completed DA Form 2407 to request support maintenance

Legend for Figure 3-15:
Completion instructions for DA Form 2407 to request support maintenance

Section I–Customer Data.

Note: Blocks (BLK) 1, 5, 6, 7, 10a, 10b, 11,12, 13, 15, 16, 20, and 24 are mandatory if equipment is inoperable.Inoperable equipment is equipment that is NMC, in accordance with AR 700–138, a subsystem of a reportable weapon system, or command maintenance significant.

(1a) UIC Customer. Enter the UIC of the customer that owns the equipment.

(1b) Customer Unit Name. Enter the name of the unit identified by the UIC in block 1a.

(1c) Phone number. Enter the phone number of the unit identified by the UIC in block 1a.

(2a) SAMS–2 UIC/SAMS–I/TDA. If intransit, enter UIC for SAMS–2 or SAMS–1 /TDA unit.

(2b) Utilization Code. Enter Utilization Code. See Appendix B.

(2c) MCSR Item. Print the word"yes" or the letter "Y" if the item is reported under AR 700–138. This also applies to components and subsystems of an item/system that is reportable. If not, leave this block blank.

Section II–Maintenance Activity Data. To be completed by support maintenance DSU/GSU/AVIM/DEPOT.

Section III–Equipment Data.

(5) Type MNT REQ Code. Enter the Type Maintenance Request Code. Appendix B, Table B–20, lists the codes.

(6) ID. Enter the Identification(ID) Code as shown below that identifies the type of number you will enter in Block 7.

A—National/NATO Stock Number.

C—Manufacturer's Code and Reference Number (Part Number).

D—Management Control Number (MCN).

P—Other Numbers.

(7) NSN. Enter the National Stock Number or appropriate number identified in block 6.

(8) Model. Enter model number.

(9) Noun. Enter noun nomenclature of item.

(10a) ORGWON/DOC NO. Enter organization work order number or organization document number. For assignment of organization work order number (ORGWON), see Paragraph 3–6c.

(10b) EIC. Enter the end item code (EIC). See AMDF.

(11) Serial Number.

a. Enter the serial number of the item in Block 9.

b. For nontactical wheeled vehicles, use the registration number.

c. For ammunition, use the lot number.

d. Leave blank if the form is used for more than one item.

e. Leave blank if the equipment has more than one serial number.

f. Mandatory entry if equipment is INOP.

(12) QTY. Enter the number of items. (Must be only one item listed if equipment is reportable under AR 700–138 and is NMC.)

(13) PD. Enter the Priority Designator. (See DA Pam 710–2–1).

(14) Malfunction Description.(DS, GS, AVIM, Depot Use.)

(15a) Failure Detected During/When Discovered Code.

a. Enter failure detected code from Table B–3 or When Discovered Code from DA Pam 738–751.

b. Leave blank if no failure occurred.

(15b) First Indication of Trouble/How Recognized Code. Enter first indication of trouble code from Table B–4 or How Recognized Code from DA PAM 738–751.

(16) Miles/ Kilometers/ Hours/Rounds. Enter the miles or kilometers from the odometer on the equipment beside the "M" or "K". Round to the nearest mile or kilometer. If the equipment has no odometer, leave blank. Enter the hour reading (to the nearest hour) beside the"H" from the hour meter mounted on the equipment. If the equipment has no meter, leave blank. Enter the total equivalent full charge (EFC) rounds fired beside the "R". See the item's DA Form 2408–4. If rounds do not apply to the equipment, leave blank.

(17) Project Code. Enter the project code if one has been assigned. If not, leave blank.

(18) Account Processing Code. Enter the Account Processing Code (APC) if required by your unit.The APC is a code prescribed locally for costing and budget identification of customers and organizations (reference TM 38–711–13). If not required, leave blank.

(19) In Warranty? Enter"Y" or "N" to indicate whether equipment is still under manufacturer's warranty. If "Y", submit one work request for each serial numbered item.

(20) Admin Number. Enter the bumper number/materiel control number, or administrative number assigned to the item of equipment.

(21) Reimbursable Customer. For DSU/GSU/AVIM/ Depot use.

(22) Work Performed By. Enter code for level of work from Table B–24.

(23) Signature. The commander or the commander's designated representative will sign for all priority 01 through 10 requests. This signature approves the use of the PD.

(24) Describe Deficiencies or Symptoms.

a. Using the information in column "c" of DA Form 2404, briefly describe the fault or symptoms.For example, Print "Engine does not develop full power" or "Equipment uses two quarts of oil daily,"etc. Do not ask for general or specific repair of parts to be replaced; for example, do not tell support to "replace the hydraulic system" or "repair as needed."

b. When the form is asking for work on more than one item with the same NSN, list the number of items, their serial numbers (if they have serial numbers), and anything else support will need. INOP equipment (equipment reported on the Materiel Condition Status Report), components/ subsystems of reportable equipment, or command maintenance significant equipment)must have its own separate forms.

c. When the form is for components or assemblies with a recoverability code of A, D, F, H, or L, give the end item NSN. Put the NSN on the last line of block 25. You will find recoverability codes in the RC code column on the Army Master Data File (AMDF). You will also find the codes listed as part of the item's Source, Maintenance, and Recoverability (SMR) code in the parts manual.

d. If you need more room, use a DA Form 2407–1.

e. When the form is requesting standard repair after a battle–damage expedient has been applied, print"BDAR" in bold letters before describing the fault or symptoms. NOTE: The end item's BDAR TM and AR 750–1 describe when and how BDAR repairs will be made.

(25) Remarks.

a. When the item in block 7 needs"onsite" or "deferred" maintenance, support wil note that action here. Shop office NCO will make one of these entries for onsite or deferred work:

(1) Maintenance request received on (date), signature of shop office NCO.

(2) Onsite repair scheduled for (date), signature of shop office NCO.

(3) Owner to return item on (date) for repair, signature of shop office NCO.

b. Block 35a will be filled in by support only when the onsite repair is started or the deferred item is brought back to support.

c. The receipt copy will be sent to the support unit. The owning unit keeps all other copies until the onsite repair is started or deferred item is taken back to support.

Section VII. Action Signatures.

(34a) Submitted By. The person sending in the DA Form 2407 enters first initial and last name in this block.

(34b) The person signing the forms enters the original ordinal date the form was given to support.

MAINTENANCE REQUEST (*Continuation Sheet*)
For use of this form, see DA PAM 738-750 and 738-751; the proponent agency is DCSLOG

PAGE NO	NO OF PAGES	REQUIREMENT CONTROL SYMBOL
2	2	CSGLD-1047(R1)

SECTION II - MAINTENANCE ACTIVITY DATA

3a. WORK ORDER NUMBER (*WON*)	3b. SHOP SECTION CODE	3c. PHONE NO
H18B29804960	A	645-9727

SECTION III - EQUIPMENT DATA

25 REMARKS

SECTION IV - TASK REQUIREMENTS DATA

27a. FILE INPUT ACT CD	27b. TASK NO	27c. ACT CODE	27d. TASK DESCRIPTION	27e. QTY TO BE RPR	27f. WORK CENTER	27g. FAILURE CODE	27h. MH PROJ	27i. MH EXP
A	A7	A	Replaced Transit Assy	01	Auto		2.6	2.5
A	I2	G	Final Inspection	01	Insp		1	1

SECTION V - PART REQUIREMENTS

28a. FILE INPUT ACT CD	28b. TASK NO	28c. ID NO	28d. NSN OR PART NUMBER	28e. SFX CD	28f. QTY RQD	28g. QTY ISSUED	28h. NMCS CD	28i. FAILURE CODE	28j. STORAGE LOCATION	28k. INITIALS	28l. COST $
A	A5	A	5310002125318		02	02	N		8A4C	BJ	28.10
A	A6	A	2530002501835		01	01	N		15B1F	BH	15.40
A	A7	A	5420002183150		01	01	N		10A4B	BH	370.00

28m. TOTAL MANHOURS	28n. TOTAL MANHOURS COSTS $	28o. TOTAL PARTS COSTS $
30	285.15	518.28

DA FORM 2407-1, JUL 94

FILE COPY

Figure 3-22. Sample of a completed DA Form 2407–1

Legend for Figure 3-22:

Completion instructions for DA Form 2407–1, Maintenance Request Continuation Sheet

Page No. Enter the page number when all needed entries are in Sections IV–VII. Enter page numbers as required.

No. of Pages. Enter the total number of pages used when entries are in Sections IV–VII.Enter page numbers as required.

SECTION II—Maintenance Activity Data.

(3a) Work Order Number (WON). Enter WON (see paragraph 3–6c for assignment of WONs).

(3b) Shop. Enter shop section code. These codes are assigned to uniquely identify a particular maintenance shop section. Codes A through Z are assigned locally by each maintenance battalion operating SAMS. Examples: A =Automotive Shop, B =Battery Shop, C =Commo Shop, etc.

(3c) Phone No. Enter the phone number of the Maintenance Activity.

SECTION III—Equipment Data. Use as needed or as prescribed locally.

Note: When used as a DA Form 2407 continuation, fill in the following sections and blocks according to the instructions for the original form.

SECTION IV—Task Requirement Data, Blocks 27a–27i.

SECTION V—Part Requirements, Blocks 28a–28o.

1. NOMENCLATURE: TRUCK, GPO, 2½T | 2. MODEL: M35A2 W/W | 3. SERIAL NUMBER: 13215

STATUS SYMBOL a	FAULT b	REASON FOR DELAY c	DATE (From DA FORM 2404) d	ENTRY APPROVED (Signature) e	DATE (To DA Form 2407) f
X	CLUTCH PEDAL PAD MISSING	2158-[illegible] 2320-00-510-2115	8 June 92	[signature]	10 July 92
	SHEAR PIN BROKEN	2160-[illegible] 2320-00-216-1248	10 June 92	[signature]	
	FRONT TOW SHACKLES MISSING	2160-[illegible] 2320-00-501-1215	10 June 92	[signature]	
	RIGHT FRONT FENDER CRACKED	Repair Weld at next S service 16 Sept 92	9 July 92	[signature]	

DA FORM 2408-14, JUN 94

UNCORRECTED FAULT RECORD

For use of this form, see DA PAM 738-750; the proponent agency is ODCSLOG

Figure 3-23. Sample of a completed DA Form 2408–14

Legend for Figure 3-23:

Completion instructions for DA Form 2408–14, Uncorrected Fault Record

(1) Nomenclature. Enter the noun of the item.

(2) Model. Enter the model number.

(3) Serial Number.

a. Enter the serial or registration number.

b. For watercraft, enter the DA Hull number.

(a) Status Symbol. Enter the status symbol that applies to the fault. Status symbol X faults will not go on this form.

(b) Fault. Enter the fault.Entries will be transcribed from column c, DA Form 2404.

(c) Reason for Delay.

a. Give the reason for delay.

b. If the reason is a part on order, print the document number and NSN or part number for each. For parts on order from QSS, print QSS and the Julian date you were told the part was not on hand. For items on order from the Self–Service Supply Center (SSSC), print SSSC and the Julian date you were told the item was not on hand.

c. If the part is cancelled later, print"cancelled" and the Julian date the part was cancelled. Then line through the entry from columns a through f. If you still need the part, reorder it. Put the fault, NSN or part number, and new document number on the next open line.

d. If the delay is until the next scheduled service, print "Schedule for next PM service." State which service and the date of miles/hours when it is due.

e. If the delay is for a shop backup, put the work or job request number in column c. Support work or job request numbers are entered only when the request has been deferred by support.

f. identification of a leak by itself is not a fault or action that can be entered on the DA Form 2408–14.But, delays required to correct a Class I or Class II leak may be entered. Each entry will have a calendar date when the leak will be repaired or re–evaluated. Under observation does not correct a leak and will not be entered on the DA Form 2408–14 as a reason for delay. Class I and II leak entries go on

the DA Form 2408–14 only when they require a repair or definitive action.Class III leaks are deficiencies. Repair of Class III leaks will not be deferred.

g. Do not list faults that are on a support DA Form 2407 for repair, except support work order requests that do not render the equipment NMC (i.e., Communication shelters).

(d) Date. Enter the calendar date the entry was transcribed to DA Form 2408–14.

(e) Entry Approved (Signature). The commander or the commander's designated representative will sign in this block when the entry is made. Enter first name and last name.

(f) Date. Enter the calendar date the fault was actually corrected or transcribed to DA Form 2407. The individual correcting the fault will enter his or her last name initial over the status symbol in column a.

Station. Enter name of installation or tactical site designation (Examples: Fort Rucker;Sun FOC).

Subject of Log. Enter type of equipment or facility for which maintenance log applies (Examples:ILS; NDB; R–401 Tactical Site).

Month and Year. Enter calendar month and year for which maintenance form applies (Example: June 1992).

Date. Enter calendar day of month (Example: 6).

Time. Enter local time of entry using 24 hour clock (Example: 1430).

Code. Leave blank.

Remarks.

a. Begin a new page with each calendar month. On the first line, put "First Entry Month of _____."

b. After last entry of each month, state"Last Entry Month of _____." Draw a slash (/)through all unused lines.

c. Upon each visit, show "Arrived Site" and "Departed Site," and show what was found and/or done. As a minimum document the following:

(1) Purpose of site visit.

(2) Condition /configuration of site upon arrival.

(3) All actions or maintenance performed at site. Annotate change out of all circuit cards or electronic modules by nomenclature, National Stock Number (if one has been assigned), and/or manufacturer's part number.

(4) Condition/configuration of site at departure.

Initials. Initials of person making each entry.

Date/Signature of Sector Manager/Designee. Enter date of maintenance supervisor's review of log entries followed by maintenance supervisor's signature.

Date/Signature of Maintenance Technician. Enter date of last entry and signature of technician closing out maintenance log.

Chapter 4
Nonaeronautical Equipment, Army Oil Analysis Program (AOAP)

4–1. Objectives

a. The AOAP is a condition monitoring program which is designed to—

(1) Improve equipment reliability and readiness by early detection of potential failures.

(2) Lower support costs by reducing the number of catastrophic failures and curtailing excessive component wear.

(3) Reduce resource usage by conserving petroleum products by adhering to the On Condition Oil Change (OCOC) policy. (See policy in (a) through c below:)

(a) This policy eliminates the wasteful requirement of changing component oil based on hours/miles/calendar days as currently specified by many TMs and LOs. Oil will not be changed unless recommended by the AOAP laboratory. When recommended, both the oil and the oil filter(s) will be changed at the same time.

Note. Oil filter(s) will be serviced/cleaned/changed when they are known to be contaminated, or clogged; service is recommended by AOAP laboratory analysis; or at prescribed hard time intervals as described in LO or TM.

(b) When a unit is deployed and oil analysis service is not readily available, the unit maintenance officer may authorize an oil and filter change when oil contamination is evident. A sample will be submitted to the laboratory as soon as AOAP service becomes available or the unit is redeployed, whichever comes first. The remarks block of the DD Form 2026 (Oil Analysis Request)accompanying this sample to the laboratory will be annotated to reflect the oil and filter change, because it may affect the trend analysis performed by the AOAP laboratory.

(c) The OCOC policy does not change or modify procedures and guidance for new equipment under manufacturer's warranty or seasonal oil change requirements in current TMs and LOs.

b. An effective AOAP is only possible when the AOAP is fully integrated into the maintenance system. This chapter provides pertinent information and instructions to commanders and equipment users and encourages efficient performance of the AOAP.

c. AOAP is an effective maintenance diagnostic tool and not a maintenance substitute. This chapter will not be interpreted to mean AOAP minimizes, in any way, the need to employ good maintenance practices and strong maintenance discipline.

4–2. Description

a. Oil, hydraulic fluid, and grease analysis is used as a diagnostic tool to determine the physical condition of used lubricants and the internal condition of engines, transmission, hydraulic systems, and other fluid–wetted components.

b. Spectrometric analysis is used to determine the concentrations of various wear metals in oil samples. Wear metals are metal particles of microscopic size, produced by the friction of moving parts within mechanical systems, that enter the oil stream and are dispersed and suspended throughout the lubricating oil system. The kinds of metal particles, and the quantities in which they are present, are detected by spectroscopy. Analysis helps determine which component parts may have generated the particles. By periodically sampling and testing the lubricants from mechanical systems, abnormal wear can be detected, and worn parts can be repaired or replaced before they cause damage.

c. Physical property tests are analytical tests used to detect property changes in used oil. For example, changes in viscosity, fuel dilution, or water content may be indicative of faulty equipment, operating conditions, or maintenance procedures.

d. Ferrographic analysis is used as a supplemental oil analysis test on selected components to monitor wear metals that cannot be detected by spectrometric analysis, Ferrography is used not only to determine the size, shape, and type of wear–metal particles being generated by a piece of equipment, but also to determine the kind of wear (spalling, cutting, and rubbing)producing the wear–metal particles.

e. A resample is a sample specifically requested by the laboratory, of the same oil taken under the same condition as the previous sample.

f. Designated equipment/components are those enrolled in AOAP.

g. Contamination is a problem that most frequently affects sample integrity. Wear–metal, water, unusual color, and particular matter are indications of contamination.

h. Installation management reports are computer–generated reports provided by the laboratories to installation/unit monitors and others on a monthly or as requested basis.

4–3. AOAP participation

Participation in the AOAP is mandatory. AOAP responsibilities of the commanders of major Army commands, the U.S.Army Reserve, the Army National Guard, and the Program Director (PD)are defined in AR 750–1.

4–4. What to sample

a. Only the equipment/components listed in tables 4–1 through 4–8, and other equipment/components authorized by the PD, AOAP, will be sampled. Exceptions will be through letters of authorization from major command level to laboratories. To be valid, letters must be issued from the major command that owns and supports the laboratory. Copies of any such correspondence will be provided to the PD, AOAP.

b. To request authorization for new enrollment in the AOAP, the following information will be submitted to the PD, AOAP:

(1) Nomenclature and model of the end item.

(2) End item NSN.

(3) Component nomenclature and model.

(4) End Item Code (EIC) assigned to the NSN of the end item.

(5) Hydraulic system capacity.

4–5. When to sample

a. Routine samples are to be submitted at prescribed intervals as

established in paragraphs 4–11 through 4–15. Note that the intervals are not the same for all items of equipment.Samples should be taken as near the prescribed interval as possible.Sampling at the prescribed time is not always possible. In such instances a 10 percent variance before or after the scheduled date, hours, or miles for sampling is permissible.

b. Special samples are those samples other than routinely scheduled. Special samples will be submitted to the laboratory under the following circumstances:

(1) At the request of the laboratory.

(2) Immediately before transfer among commands or overseas deployment of equipment. These special samples will be processed by the laboratory prior to the transfer or deployment.

(3) After maintenance, overhaul, or replacement of a component.

(4) After indication of a problem, for example, overheating, excessive oil loss, or loss of oil pressure.

(5) After indication of contamination, that is, cloudy, sludge, M60A1 Tank water, excessively dirty, visible metal particles, etc.AOS

Note. Special samples will be clearly marked "SPECIAL"and banded with red tape or marked in some other conspicuous manner so that the laboratory may easily identify them. The DD Form 2026 that accompanies the samples to the laboratory will be marked SPECIAL in the remarks block and its borders will be outlined in red.

c. When a vehicle is in storage, no sampling is required until the vehicle is scheduled for operational use.

d. Maintenance float equipment will be sampled at 25 hours of operation or quarterly, whichever occurs first.

e. When a vehicle is used for developmental purposes, used as a training aid or static display, authorization to discontinue sampling or to sample at longer intervals may be granted by the applicable major command. When the equipment returns to normal operation sampling intervals established in tables 4–1 through 4–7 will once again apply.

Table 4–1
Combat vehicles

End Item Model	Nomenclature	Component(s)
M1	Tank	AGT–1500 X1100–3B
M1A1	Tank	AGT–1500 X1100–3B
M1A2	Tank	AGT–1500 X1100–3B
M1IP	Tank	AGT–1500 X1100–3B
M2	Infantry Fighting Vehicle	VTA–903T HMPT–500 HMPT–500–3 HMPT–500–3E HMPT–500–B
M2A1	Infantry Fighting Vehicle	VTA–903T HMPT–500 HMPT–500–3 HMPT–500–3E HMPT–500–B
M2A2	Infantry Fighting Vehicle	VTA–903T HMPT–500 HMPT–500–3 HMPT–500–3E HMPT–500–3TEC
M3	Cavalry Fighting Vehicle	VTA–903T HMPT–500 HMPT–500–3 HMPT–500–3E HMPT–500–B

Table 4–1
Combat vehicles—Continued

End Item Model	Nomenclature	Component(s)
M3A1	Cavalry Fighting Vehicle	VTA–903T HMPT–500 HMPT–500–3 HMPT–500–3E HMPT–500–B
M3A2	Cavalry Fighting Vehicle	VTA–903T HMPT–500–3 HMPT–500–3E HMPT–500–3TEC
M60	Tank	AVDS–1790–2DA CD–850–6A CD–850–6A1
M60A1	Tank	AVDS–1790–2DA CD–850–6A CD–850–6A1
M60A1 AOS	Tank	AVDS–1790–2DA CD–850–6A CD–850–6A1
M60A1 RISE	Tank	AVDS–1790–2C AVDS–1790–2CA CD–850–6A CD–850–6A1
M60A1 RISE PASSIVE	Tank	AVDS–1790–2C AVDS–1790–2CA CD–850–6A CD–850–6A1
M88A1	Recovery Vehicle	AVDS–1790–2DR XT–1410–4
M106A1	Self Propelled Carrier	6V53 TX100–1
M106A2	Mortar Carrier	6V53 TX100–1
M109A2	Self Propelled Howitzer	8V71T XTG–411–2A
M109A3	Self Propelled Howitzer	8V71T XTG–411–2A
M109A4	Self Propelled Howitzer	8V71T XTG–411–2A
M109A5	Self Propelled Howitzer	8V71T XTG–411–2A
M109A6	Self Propelled Howitzer	8V71T XTG–411–4
M110A2	Self Propelled Howitzer	8V71T XTG–411–2A
M113A1	Personnel Carrier	6V53 TX100–1
M113A2	Personnel Carrier	6V53 TX100–1
M113A3	Personnel Carrier	6V53 TX200–4
M125A1	Self Propelled Carrier	6V53 TX100–1
M125A2	Mortar Carrier	6V53 TX100–1
M132A1	Flame Thrower	6V53 TX100–1

12. Exhibit Released to. Enter the name, address, and phone number (DSN/Commercial) of the person and/or company that will ship the exhibit.

Chapter 12
Unit Level Logistics System (ULLS) User Procedures

12–1. General ULLS Information

a. ULLS is the Army's Unit Level Logistics System. ULLS collects maintenance and supply data and provides management information at the unit level.

b. ULLS automates/replaces portions of TAMMS. The following DA/DD Forms have been automated and the ULLS generated printouts(shown with a –E) are authorized replacements:

(1) DA Form 5823 (Equipment Identification Card). DA Form 5823 is not required if you are operating with ULLS; this information is on the dispatch printout.

(2) DD Form 1970 (Motor Equipment Utilization Record) (DA Form 5987–E, Motor Equipment Utilization Record (Automated)).

(3) DA Form 2401 (Organizational Control Record for Equipment)(DA Form 5982–E, Dispatch Control Log (Automated)).

(4) DD Form 314 (Preventive Maintenance Schedule and Record)(Front side Only) (DA Form 5986–E, Preventive Maintenance Schedule and Record (Automated)).

Note. The DA Form 2406 (Materiel Condition Status Report) and backside of the DD Form 314 will be automated upon the completion of the Army Material Status System (AMSS) module, which is scheduled to be included in Software Change Proposal (SCP) 05.

(5) DA Form 2404 (Equipment Inspection and Maintenance Worksheet) (DA Form 5988–E, Equipment Inspection/Maintenance Worksheet (Automated)).

(6) DA Form 2405 (Maintenance Request Register) (DA Form 5989–E, Maintenance Request Register (Automated)).

(7) DA Form 2407 (Maintenance Request) (DA Form 5990–E, Maintenance Request (Automated)).

(8) DA Form 2408–14 (Uncorrected Fault Record). This form was eliminated by including all its information on the DA Form 5988–E (Equipment Inspection and Maintenance Worksheet).

(9) DD Form 2026 (Oil Analysis Request) (DA Form 5991–E, Oil Analysis Request (Automated)).

(10) DA Form 2408–9 (Equipment Control Record) (Usage only) (DA FORM 5992–E, Equipment Usage Request (Automated)).

Note. Transfers, Gains & Losses are done at the property book level.

(11) DA Form 348 (Equipment Operator Qualification Record) (DA Form 5983, Equipment Operator Qualification Record (Automated) and 5983–1–E, Operator's Qulification Record (Automated)).

(12) Optional Form 346 (U.S. Government Motor Vehicle Operator's Identification Card) (DA Form 5984–E, Operator's Permit Record(Automated)).

(13) SF Form 46 (Operator's Identification Card) (DA Form 5984–E)

c. The forms and records produced and recorded in ULLS will be maintained by all units, organizations, and activities who operate self–powered vehicles, towed vehicles, and stationary equipment. The local commander may also require weapons and non serial numbered items to be maintained on this system.

d. Units operating under ULLS will use printouts or automated reports in place of the manual forms prescribed in other chapters.However, units that are not automated will maintain manual forms as required by chapters 2, 3, 4, 5, 9, 11, and appendix E.

Note. . The automated processes in ULLS supersede all manual procedures. In cases that there is a conflict on form disposition between DA Pam 738–750 and the user manual, DA Pam 738–750 will take precedence.

e. There are four separate categories of maintenance processes within ULLS. This chapter contains information for—

(1) Operational processes.
(2) Equipment data update.
(3) Equipment data reports.
(4) Maintenance support.

12–2. Operational processes

Operational records and system generated reports provide the information needed to plan, manage, and control equipment. The operational processes menu contains the following functions:

a. Equipment dispatch and return. This process provides for the regular dispatch or alert dispatch of equipment and return as shown below:

(1) *Equipment dispatch.* Allows the user to dispatch equipment with option to produce the Equipment Maintenance and Inspection Worksheet. This replaces the requirement for a DD Form 1970 and DA Form 2404 (see fig 12–1).

(2) *Alert dispatch.* Provides dispatches, by DODAAC, for all equipment listed in the equipment data file as alert dispatchable (see Fig 12–2).

(3) *Equipment dispatch – returning.* This process is used when returning equipment from regular dispatch. It updates the end item, component usage, operator record, fuel usage, and dispatch control files.

b. DA Form 5988–E (Automated). This process allows user to print an Equipment Maintenance and Inspection Worksheet for each piece of equipment by DODAAC, admin number, or by FSC to facilitate PMCS and other scheduled inspections. The FSC option allows the user to select an item on file by FSC, e.g., to select only generators, enter "6115". The system will check the document control register (DCR)and maintenance fault file and print all faults and parts that have been ordered. (See figs 12–3 through 12–5.)

c. The DA Form 5988–E (Automated) (figs 12–3 through 12–5) is used at organization level to—

(1) Record faults found during an inspection. These faults include PMCS, maintenance activity inspections, diagnostic checks, and spot checks.

(2) Record marine conditions surveys of watercraft.

(3) Record the results of technical inspections on equipment.When needed, this form will show condition codes listed in AR 725–50, AR 750–1, TB, or other publications requiring the technical inspection.

(4) Collect all maintenance and services performed on vehicles that are involved in a DA approved Sample Data Collection (SDC)Plan. In addition to the requirements in this pamphlet, the applicable Field Planning Guide (FPG) will identify additional data required as mandatory entries on the PCN AWACF184 (DA Form 5988–E (Automated).

(5) Report Battle Damage Assessment and Repair (BDAR).

d. Operators, crews, and unit maintenance personnel use the AWACF184 (DA Form 5988–E) to list faults they cannot fix and faults corrected by replacing parts.

e. Operators and crews, first–line leaders, maintenance supervisors, and commanders are equally responsible for updating ULLS with current information recorded on the form.

f. Disposition is as follows:

(1) The AWACF184, DA Form 5988–E (Automated), used for operator PMCS on an equipment will be kept in the equipment record folder or in a protective cover until it is no longer needed; for example, upon updating the ULLS system and generating a new listing.

(2) The AWACF184, DA Form 5988–E (Automated), listing faults found during an operator's or crew's PMCS, goes to the maintenance supervisor for action. Maintenance section leaders review the form prior to destruction to ensure all actions have been taken or recorded within ULLS.

(3) The DA Form 5988–E (Automated) used for scheduled services will be kept on file for quality control until next service is performed.

(4) The DA Form 5988–E (Automated) used for technical inspections will stay with the item until all maintenance is performed or the item is destroyed.

DATE: 26-APR-93 EQUIPMENT MAINTENANCE AND INSPECTION WORKSHEET DA FORM 5988-E

WK4WRC B CO, 703 INF 8N

---------- EQUIPMENT DATA ----------

ADMIN NUM:	B12	EQUIP SERIAL NUM:	Ø50493
EQUIP MODEL:	M998	REGISTRATION NUM:	NG38NA
EQUIP NOUN:	TRK UTL CGO 1.25T 4X4	TYPE INSPECTION:	W
EQUIP NSN:	2320011077155	CURRENT READING:	M 010987

	NUMBER	DATE	CHANGE NUMBER
PUBLICATION:	TM 9-2320-280-10	Ø6/91	Ø2
PUBLICATION:	TM 9-2320-280-10-HR	Ø5/88	ØØ

SIGNATURE: Sid Jones SP TIME: _____ SIGNATURE: Val Emmett SSG TIME: _____

---------- PARTS REQUESTED ----------

FAULT	DOC NUM	NIIN	QTY DUE/REC	STATUS DATE	DATE COMP	PRI	DLC
ØØØ1	3116 ØØØ1	ØØØ785961	ØØØØ2 -----		Ø	13	N
ØØØ2	3116 ØØØ2	ØØØØØØØØ1	ØØØØ1 -----		Ø	13	N

---------- MAINTENANCE FAULTS ----------

ITEM NUM	FAULT DATE	FAULT STATUS	FAULT DESCRIPTION	CORRECTIVE ACTION	INITIALS
ØØØ1	26-APR-93	/	WON'T START	ELECTRICAL	
ØØØ2	26-APR-93	X	CLUTCH SLIPPING	ADJUST	
ØØØ3	26-APR-93	X	EXHAUST MANIFOLD LEAKING	REPLACE PACKING	
			27 APR 93	W	JDW
			28 APR 93		JDW
			29 APR 93		JDW
(10)	30 APR 93	X	ENGINE IDLES AT		
			800 RPM		

Figure 12-3. Sample of an ULLS generated DA Form 5988–E, Equipment Maintenance and Inspection Worksheet(for operator/crew PMCS)

DATE: 26-APR-93 EQUIPMENT MAINTENANCE AND INSPECTION WORKSHEET DA FORM 5988-E

WK4WRC B CO, 703 INF BN

---------- EQUIPMENT DATA ----------

ADMIN NUM:	812	EQUIP SERIAL NUM:	050493
EQUIP MODEL:	M998	REGISTRATION NUM:	NG38NA
EQUIP NOUN:	TRK UTL C60 1.25T 4X4	TYPE INSPECTION:	W
EQUIP NSN:	2320011077155	CURRENT READING:	M 010987

	NUMBER	DATE	CHANGE NUMBER
PUBLICATION:	TM 9-2320-280-10	06/91	02
PUBLICATION:	TM 9-2320-280-10-HR	05/88	00

SIGNATURE: Sid Storey SP TIME: _____ SIGNATURE: Mike Post 1LT TIME: _____

---------- PARTS REQUESTED ----------

FAULT	DOC NUM	NIIN	QTY DUE/REC	STATUS DATE	DATE COMP	PRI	DLC
0001	3116 0001	000785961	00002 -----		0	13	N
0002	3116 0002	000000001	00001 -----		0	13	N

---------- MAINTENANCE FAULTS ----------

ITEM NUM	FAULT DATE	FAULT STATUS	FAULT DESCRIPTION	CORRECTIVE ACTION	INITIALS
0001	26-APR-93	/	WON'T START	ELECTRICAL	
0002	26-APR-93	X	CLUTCH SLIPPING	ADJUST	
0003	26-APR-93	X	EXHAUST MANIFOLD LEAKING	REPLACE PACKING	
			27 APR 93		JDW
(59)	28 APR 93	⊗	TRANSFER WILL NOT		
			SHIFT TO LOW	CLEARED FOR	
				LIMITED OPERATION	
				TO TRANSFER	
				VEHICLE TO SUPPORT	
				MAINTENANCE ON	
				28 APR 93	MJP
(59)	28 APR 93	X	TRANSFER WILL NOT		
			SHIFT TO LOW		

Figure 12-4. Sample of an ULLS generated DA Form 5988–E, Equipment Maintenance and Inspection Worksheet(for changing an "X" condition)

Legend for Figure 12-4:

Completion instructions for ULLS generated Equipment Maintenance and Inspection Worksheet, DA Form 5988–E(Automated) (used for operator/crew PMCS and changing an "X" condition).

Equipment Data Section:

a. Admin number, Equipment Model, Equipment Noun, Equipment National Stock Number (NSN), Equipment Serial Number, Registration Number, Type Inspection, and the Publication Numbers (with changes) will be retrieved from the equipment data file. No entries from the operator/crew chief are needed in these areas.

b. The operator/crew chief must ensure that data contained in these areas are correct prior to pulling PMCS. If any fields are not current,

notify the ULLS operator so he/she can update the data fields through the ULLS Menu process. For more information about these data fields, refer to the ULLS End User Manual ADSM–25–L3N–AWA–ZTH–EUM.

Type Inspection.

Operator/crew chief requests the ULLS operator to print an Equipment Maintenance and Inspection Worksheet with the type inspection to be performed. See ULLS End User Manual or chapter 3 of this pamphlet for an explanation of these symbols.

(1) Use the same worksheet for more than 1 day. If you find no faults during the BEFORE OPERATION checks in the PMCS, write the calendar date under the fault description column. If no faults are found DURING or AFTER OPERATION CHECKS, put your initials in the initial column.

(2)When no faults are found, this worksheet can be used for more than 1 day even if the worksheet was used for concurrent PMCSs; that is, W/M. Just place the first letter of the type of PMCS performed (W/M) under the corrective action column by that day's date in the fault description column.

Signature.

When a deficiency or shortcoming is found, the operator or supervisor signs and enters rank. A signature in this block keeps the form from being used past current dispatch.

Time. Leave blank or use as needed locally.

Signature (For figure 12–3). Operator's supervisor will sign and enter rank when a fault is found on the PMCS.

Time. Leave blank or use as needed locally.

Signature (For figure 12–4). The commander or the commander's designated representative will sign name and enter rank when making a status symbol change or changing from an X to a circled X status symbol for one time operation.

Time. Leave blank or use as needed locally. For missile system/subsystem reported under AR 700–138, enter the time when you find a deficiency.

Parts Requested Section:

The system will check the Document Control Register (DCR) and print any parts that have been ordered against the admin number on the worksheet. Operator/crew chiefs and supervisors will review this section and take appropriate action as required. For more information about this section, see the ULLS End User Manual ADSM–25–L3N–AWA–ZTH–EUM.

Fault. Shows the fault number for which the part is requested.

Doc Number. The document number under which the required part has been ordered.

NIIN. National Item Identification Number.

QTY Due. Due–in quantity for the part on order.

QTY Rec. The quantity received.

Status Date. Shows date of status code.

Date Comp. The date that all parts were received for document number listed or transaction closed.

PRI. The priority for item ordered.

DLC. Deadline code. "D" if deadlined; "N" if not deadlined.

Maintenance Faults Section:

Item Num.

a. Write the PMCS item number that applies to the fault listed in this column. If the PMCS has no item numbers, list the page, paragraph, or sequence number. Circle the number if fault is listed in the "Equipment is not ready/available if" column or "Not Mission Capable if" column of the PMCS. If the PMCS has no ready/available or not mission capable column, circle the TM item number, page, or paragraph number of any fault that makes equipment NMC.

b. Pubs or TM sections other than PMCS may be required for safety faults or local dispatching. For example, AR 385–55 lists safety checks that may not be in the PMCS. Those faults will not be counted as NIVIC for Materiel Condition Status Report reporting unless they are in the PMCS "not ready" column or the not mission capable column. But, you will list them if you find a problem with one of them.

c. For those faults not covered by the PMCS, leave this column blank.

Fault Date. Enter the calendar date the deficiency or shortcoming was found.

Fault Status (Figure 12–3). Enter the status symbol that applies to the fault or deficiency.

Fault Status (Figure 12–4). Repair of status symbol X faults cannot be postponed or delayed, but they may be changed to circle X status symbol for limited operation. The commander or the commander's designated representative may change an X status symbol fault to a circle X status symbol. Changing of status symbols should only be done when the equipment is crucial to the mission. No X status symbol faults will be changed to a circle X if it endangers the operator/crew or may cause further damage to the equipment. Circle X conditions will be for one time operation or mission (common sense must be used).

Fault Description.

a. If you find a fault that can be repaired, stop the PMCS and correct the fault. Do not enter faults that have been repaired or already listed on the worksheet. Continue the PMCS to make sure no other faults exist.

b. Briefly describe fault. Skip one or two lines between faults. This will give maintenance room to note actions they take.

c. When more than one TM covers the equipment, draw a line under the last entry for one TM. Under the line, write the TM number of the manual you will use next. After you finish the PMCS and list all faults you cannot fix, give the form to the maintenance supervisor.

Corrective Action (Figure 12–3). Explain corrective actions taken.

Corrective Action (Figure 12–4).

a. Print "Cleared for Limited Operations." Provide the specific limits under which equipment can be operated. For example, limits may involve speed, type of mission, distance, weather, or time. The change may affect a subsystem of a system listed in AR 700–138. If so, make sure limits include that part of the mission the system can no longer do.

b. Deficiencies changed to a circle X will return to an X status symbol at the end of the day or mission.

c. Equipment cleared for limited operations will still be carried as NMC for the Materiel Condition Status Reporting.

d. When a deficiency is corrected or changed to a circle X, enter the miles and calendar date in the corrective action column at the end of the dispatch or operation.

Initials (Figure 12–3). The mechanic initials any faults that have been fixed. The mechanic gives it back to maintenance supervisor. Maintenance supervisor will review the faults corrected and those still not fixed to decide what other action is needed. For quality control, the inspector or a designated representative will check all corrected status symbol X faults. The inspector will then initial the status symbol.

Initials (Figure 12–4).

a. The maintenance supervisor or the commander's designated representative initials for limited operations entries.

b. The person taking the action or transferring the document/NSN initials other entries.

c. The initials will go on the last line of entry.

DATE: 26-APR-93 EQUIPMENT MAINTENANCE AND INSPECTION WORKSHEET DA FORM 5988-E

WK4WRC B CO, 703 INF BN

EQUIPMENT DATA

ADMIN NUM:	B12	EQUIP SERIAL NUM:	050493
EQUIP MODEL:	M998	REGISTRATION NUM:	NG38NA
EQUIP NOUN:	TRK UTL CGO 1.25T 4X4	TYPE INSPECTION:	W
EQUIP NSN:	2320011077155	CURRENT READING:	M 010987

	NUMBER	DATE	CHANGE NUMBER
PUBLICATION:	TM 9-2320-280-10	06/91	02
PUBLICATION:	TM 9-2320-280-10-HR	05/88	00

SIGNATURE: Sid Jones SP TIME: _____ SIGNATURE: Val Emmett SSG TIME: _____

PARTS REQUESTED

FAULT	DOC NUM	NIIN	QTY DUE/REC	STATUS DATE	DATE COMP	PRI	DLC
0001	3116 0001	000785961	00002 -----		0	13	N
0002	3116 0002	000000001	00001 -----		0	13	N

MAINTENANCE FAULTS

ITEM NUM	FAULT DATE	FAULT STATUS	FAULT DESCRIPTION	CORRECTIVE ACTION	INITIALS
0001	26-APR-93	/	WON'T START	ELECTRICAL	
0002	26-APR-93	X	CLUTCH SLIPPING	ADJUST	
0003	26-APR-93	X	EXHAUST MANIFOLD LEAKING	REPLACE PACKING	
8		/	CLASS II LEAK AT	TORQUED BELTS TO	
			REAR DIFF.	35 LB FT, CHECKED	
				FLUID LEVEL	R.J.
9		/	REAR SHOCK BUSHINGS	2310-01-561-1083	
			STARTING TO DRY ROT	4 EA	

Figure 12-5. Sample of an ULLS generated DA Form 5988–E, Equipment Maintenance and Inspection Worksheet(for maintenance services and inspections)

Legend for Figure 12-5:
Completion instructions for ULLS generated Equipment Maintenance and Inspection Worksheet, DA Form 5988–E(Automated) (used for maintenance services and inspections)
Equipment Data Section:

a. Admin number, Equipment Model, Equipment Noun, Equipment National Stock Number (NSN), Equipment Serial Number, Registration Number, Type Inspection, and the Publication Numbers (with changes) will be retrieved from the equipment data file. No entries from the operator/supervisor are needed in these areas.

b. The person performing the service or inspection will review the data fields prior to ensure information listed on the worksheet is correct. If any fields are incorrect, pencil in the correct data and give to the ULLS operator. The OLLS operator will update data fields using the ULLS Menu process. For more information about these data fields, refer to the ULLS End User Manual ADSM–25–L3N–AWA–ZTH–EUM.

Type Inspection. The person performing the service or inspection will request a worksheet with the type of inspection or service to be performed. See ULLS End User Manual or Chapter 3 of this pamphlet for explanation of these symbols.

Note: A continuation sheet may be needed to perform the inspection or service. The ULLS has this option available.

Signature. The person performing service/inspection signs and enters rank after inspection is completed.

Time. Leave blank or use as needed locally.

Signature. The maintenance supervisor or designated representative signs name and enters rank after service/inspection is completed and parts have been ordered.

Time. Leave blank or use as needed locally. For missile system/subsystem reported under AR 700–138, enter the time when you find a deficiency.

Part Requested Section: The system will check the document control register (DCR) and print any parts that have been ordered against the admin number on the worksheet. Maintenance personnel and supervisors will review this section and take appropriate action as required. For more information about this section, see the ULLS End User Manual ADSM–25–L3N–AWA–ZTH–EUM.

Fault. Shows the fault number for which the part is requested.

Doc Number. The document number under which the required part has been ordered.

NIIN. National Item Identification Number.

QTY Due. Due–in quantity for the part on order.

QTY Rec. The quantity received.

Status Date. Shows date of status code.

Date Comp. The date the transaction was completed.

PRI. The priority for item ordered.

DLC. Deadline code. “D” if deadlined; “N” if not deadlined.

Maintenance Faults Section:

Item Num.

a. Put the PMCS item number that applies to the fault listed in this column. If the PMCS has no item numbers, list the page, paragraph, or sequence number. Circle the PMCS number if the fault is listed in the “Equipment is not ready/available if” column or “Not Mission Capable if” column of the PMCS. If the PMCS has no ready/available or not mission capable column, circle the TM item number, page or paragraph number of any fault that makes equipment NMC.

b. Pubs or TM sections other than PMCS may be required for safety faults or local dispatching. For example, AR 385–55 lists safety checks that may not be in the PMCS. Those faults will not be counted as NMC for Materiel Condition Status Report (MCSR) reporting unless they are in the PMCS “not ready” column or the not mission capable column. But, you will list them if you find a problem with one of them.

Fault Date. Enter the date the service is performed or the date the equipment went non mission capable (NMC).

Fault Status. Enter the status symbol that applies to the fault or deficiency.

Fault Description.

a. If you find a fault that can be repaired, stop the PMCS and correct the fault. Do not enter faults that have been repaired or already listed on the worksheet. Continue the PMCS to make sure no other faults exist.

b. Briefly describe the fault. Skip one or two lines between faults. This will give maintenance room to note actions they take.

c. When more than one TM covers the equipment, draw a line under the TM. Under the line, write the TM number of the manual you will use next. After you finish the PMCS and list all faults you cannot fix, give the form to the maintenance supervisor.

Corrective Action.

a. Explain corrective actions taken.

b. If parts are needed, the mechanic will enter the NSN or part number in this column.

c. Faults that need support maintenance will go on a ULLS, generated maintenance request. Print (SPT–MAINT)in this column.

d. The commander’s designated representative will decide what maintenance can be delayed. Faults that do not affect the operation of the equipment and the operator’s safety can be deferred because

: (1) Support is backed up and cannot get to the equipment right away.

(2) The needed repair part is not on hand.

(3) Other reasons at the commander’s discretion.

e. Those faults that the commander’s designated representative decides to defer will be printed in this column.

Initals.

a. The mechanic initials any dash or diagonal status symbols that are fixed. For status symbol “X”, the mechanic’s initials will go on the last line for entry. The inspector or a designated rep will check all corrected status symbol “X” faults. The inspector will then initial the status symbol. The person who did the work initials in the initial column.

b. For quality control, the worksheet will be maintained on file until the next service is completed.

DATE: 27-OCT-92 OPERATOR QUALIFICATION RECORD DA FORM 348-E

LAST NAME: DUTRA FIRST NAME: ANN INITIAL: K

DOB: 17-APR-53 SEX: F WT: 99 HT: FT 5 IN 1 HAIR: BRO EYES: GRE

SOCIAL SECURITY NUMBER: 324-14-3241 LICENSE EXPIRATION DATE: 01-OCT-95

MILES SINCE LAST ACTION: 097697 HOURS SINCE LAST ACTION: 000099

DAYS SINCE LAST ACTION: 000004 TOTAL MILES DRIVEN: 097697

COMMANDER'S SIGNATURE: Randy P. Cook CPT

EQUIPMENT QUALIFICATIONS

EQ CLS CD	CODE DESCRIPTION	DATE QUALIFIED
E3	GENR 200 KW AND BELOW	01-OCT-92
LI	LICENSE ISSUED	06-OCT-92
T1	M1 FAMILY	12-SEP-92
T2	M2/3 FAMILY	12-SEP-92
T3	M113 FAMILY EXC M548	12-SEP-92
W1	1 - 1/4 TON AND BELOW	21-OCT-92

CODE	DATE	DESCRIPTION	VERIFIER
R1	26-OCT-92	EYEGLASSES REQUIRED	DELGADO
R2	26-OCT-92	DAYLIGHT ONLY	DELGADO

CODE	DATE	DESCRIPTION	VERIFIER
AA	23-OCT-92	DRUNK DRIVING AT NIGHT	GARCIA

Figure 12-6. Sample of an ULLS generated DA Form 348–E, Operator Qualification Record

Legend for Figure 12-6:

Completion instructions for ULLS generated Operator Qualification Record/DA Form 348–E (Automated). This listing is produced as required, but always when you are adding a new operator or changing an already registered operator. This is to ensure that the new/updated data is correct and verified by the operator driver. This listing will also be provided to the operator upon reassignment to a new unit. Then, delete the record from the file.

Operator Information

(1) Last Name. Self–explanatory.

(2) First Name. Self explanatory.

(3) Initial. Operator's middle initial.

(4) DOB. Date of Birth.

(5) Sex. Self Explanatory.

(6) WT. Weight in pounds.

(7) HT, FT, IN. Height in feet and inches.

(8) Hair. Color.

(9) Eyes. Color.

(10)Social Security Number. Self Explanatory.

(11) Miles Since Last Action. Number of miles recorded for the operator since last award, accident, etc.

(12) Days Since Last Action. Cumulative days since last action posted. (System calculates from latest "AA" remarks code date to current date; i.e., latest Remark code date =1 Jan 91 and current date =1 Jan 92, then last days since last action =365.)

(13) License Expiration Date. License Expiration Date.

(14) Hours Since Last Action. Number of Hours recorded since last action (award, accident, etc.).

(15) Total Miles Driven. Shows total accumulated miles driven.

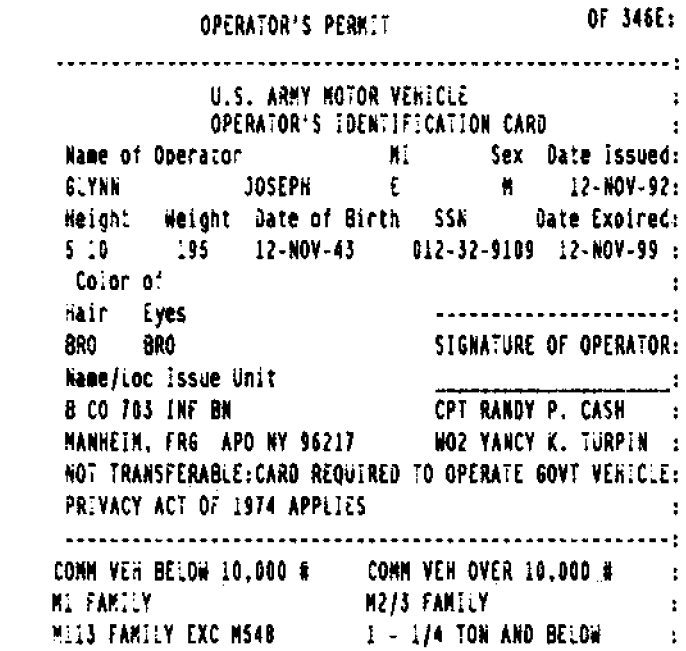
(16) Commander's Signature–Primarily used when an Individual transfers. This verifies information and qualifications.

Equipment Qualifications

This section is used to record the driver's equipment class code, code description, and date qualified.

The Code, Date, Description, and Verified Section reflects restrictions/actions. The last grouping shown displays a record of accident data, traffic violations, safety awards earned, etc. "OO" codes reflect special training, and "AA" codes reflect awards, accidents, etc.

Verifier. The person verifying the remarks/action will be entered by the ULLS operator.



```
                OPERATOR'S PERMIT                    OF 346E:
-------------------------------------------------------------:
                U.S. ARMY MOTOR VEHICLE                      :
                OPERATOR'S IDENTIFICATION CARD               :
 Name of Operator                MI      Sex  Date Issued:
 GLYNN          JOSEPH           E       M    12-NOV-92:
 Height  Weight  Date of Birth   SSN      Date Expired:
 5 10    195     12-NOV-43      012-32-9109  12-NOV-99 :
  Color of                                               :
 Hair   Eyes                    ---------------------:
 BRO    BRO                     SIGNATURE OF OPERATOR:
 Name/Loc Issue Unit            _____:
 B CO 703 INF BN                CPT RANDY P. CASH    :
 MANNHEIM, FRG  APO NY 96217    WO2 YANCY K. TURPIN  :
 NOT TRANSFERABLE:CARD REQUIRED TO OPERATE GOVT VEHICLE:
 PRIVACY ACT OF 1974 APPLIES                           :
 -------------------------------------------------------:
COMM VEH BELOW 10,000 #     COMM VEH OVER 10,000 #    :
M1 FAMILY                   M2/3 FAMILY               :
M113 FAMILY EXC M548        1 - 1/4 TON AND BELOW     :
```

Figure 2-13. Sample of an ULLS generated OF 346E, Operator's Permit

Legend for Figure 2-13:
Completion instructions for ULLS generated U.S. Army Motor Vehicle Operator's Identification Card (OF 346E)

Name of Operator. The operator's last and first name.

MI. The operator's middle initial.

Sex. M for male; F for female.

Date Issued. Self–explanatory.

Height. Self–explanatory.

Weight. Self–explanatory.

Date of Birth. Self–explanatory.

SSN. Operator's Social Security Account Number.

Date expired. Date the license will expire.

Color of Hair/Eyes. Self–explanatory.

Signature of Operator. The operator whose name appears will sign here.

Name/Loc Issue Unit. The name and location of the issuing unit. In addition, this block contains the name and title of the issuing officer. The issuing officer will sign above name.

The date below the dotted line displays Operator's qualifications and/or restrictions.

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HANDOUTS FOR LESSON 1: L331 version 2

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Military Briefing Performance Evaluation Checklist	SH-2-1 thru SH-2-3
SH-3, Criteria for Evaluating Military Briefing	SH-3-1 thru SH-3-5
SH-4, Extract FM 101-5, App E	SH 4-1

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of one hour of conference/discussion and four hours of a performance test.

Overview

This lesson will provide you the information you must know to present a military briefing. The lesson consists of a before class reading assignment, a classroom discussion, and a graded oral presentation that the students will present on day 7.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Conduct a military information briefing.
Conditions:	As a section sergeant, in a classroom environment, given a requirement to provide an information briefing, a specified briefing time, and access to student materials IAW FM 101-5, Appendix E.
Standards:	Conducted a military information briefing with enthusiasm, correct stance, and gestures. Maintained eye contact and incorporated voice variable with clarity and passed the information briefing examination with a satisfactory rating or better IAW SH-2 and SH-3.

ELO A Discuss the four types and format of a military briefing.
ELO B Discuss the four steps in the preparation of a military information briefing.
ELO C Discuss the six key communication factors.

Assignment

The student assignments for this lesson--

- Read FM 101-5, Appendix E (SH-4).
- Study Student Handouts 2 and 3.
- Review the key communication factors used to deliver an information briefing.

Additional Subject Area Resources

None

Bring to Class

You must bring the following material to class--

- All reference material received for this lesson.
- Pencil or pen, and writing paper.

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Student Handout 2

Military Briefing Performance Evaluation Checklist

This student handout contains the Military Briefing Performance Evaluation Checklist.

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MILITARY BRIEFING
Performance Evaluation Checklist

Student Name:	**Student Number:**	**Rank:**
Subject/Topic:	**SGL/Instructor Name:**	**Date:**

Student must receive a "GO" in eight out eleven Performance Measures and be within time to receive an overall "GO"rating. The six key communication factors do not affect the rating, but the SGL/instructor will comment on the student's strengths, weaknesses, and ways to improve in these areas.

PERFORMANCE MEASURES	**GO**	**NO-GO**
INTRODUCTION		
• **Greeting:**	( )	( )
• **Type and Classification of Briefing:**	( )	( )
• **Purpose and Scope:**	( )	( )
• **Outline or Procedure:**	( )	( )
BODY		
• **Main Ideas in a Logical Sequence:**	( )	( )
• **Visual Aids:**	( )	( )
• **Transitions:**	( )	( )
• **Prepared to Answer Questions:**	( )	( )
CLOSING (Pause timing. Q & A time does not count against briefing time.)		
• **Asked for Questions:**	( )	( )
• **Recap and Concluding Statement:**	( )	( )
• **Announced the next speaker:**	( )	( )
TIME: _____(min/sec) Critical	( )	( )
KEY COMMUNICATION FACTORS	**SAT**	**IMPROVE**
• **Enthusiasm**	( )	( )
• **Stance**	( )	( )
• **Gestures**	( )	( )
• **Eye Contact**	( )	( )
• **Voice Variables**	( )	( )
• **Clarity**	( )	( )
OVERALL EVALUATION:	**GO**	**NO-GO**

SGL/Instructor's Signature:	**Student's Signature:**

MILITARY BRIEFING
Performance Evaluation Checklist

STRENGTHS:

WEAKNESSES:

NEEDS IMPROVEMENT:

SGL/Instructor's Signature:	**Student's Signature**

Student Handout 3

Criteria for Evaluating Military Briefing

This student handout contains standards for oral presentations. It does not provide doctrine. You can use this handout to help in preparation of your oral presentations.

Criteria for Evaluating Military Briefing page SH-3-2 thru SH-3-5

RECOVERABLE PUBLICATION

YOU RECEIVED THIS DOCUMENT IN A DAMAGE-FREE CONDITION. DAMAGE IN ANY WAY, TO INCLUDE HIGHLIGHTING, PENCIL MARKS, OR MISSING PAGES WILL SUBJECT YOU TO PECUNIARY LIABILITY (STATEMENT OF CHARGES, CASH COLLECTION, ETC.) TO RECOVER PRINTING COSTS.

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Criteria for Evaluating Military Briefing

INTRODUCTION

Greeting
Type and Classification of Briefing
Purpose and Scope
Outline or Procedures

GO: Introduction gained audience attention; adequately stated main point and announced major points. Main point relevant and focused on a specific idea. For a briefing only: introduction included all elements required by FM 101-5 for the type of briefing and summary of key points and title visuals.

NO-GO: Introduction failed to secure attention; lacked imagination and ingenuity. Main point is not clear, not relevant to the purpose of audience, or not focused on a specific idea. Failed to announce major points. For a briefing only: introduction failed to include elements required by FM 101-5 for the type of briefing or summary of key points and title visuals.

BODY

Main Idea in a Logical Sequence

GO: Organized presentation; logical development of subject matter and ideas; selection and sequencing of major points supported main idea. For a briefing only: body included all elements required by FM 101-5 for the type of briefing and used visual for key points.

NO-GO: Presentation failed because of poor organization, lack of unity, or inappropriate methods and techniques; sequencing inconsistent with main idea and major points; major points did not support the main idea. For a briefing only: body failed to include elements required by FM 101-5 for the type of briefing or use visual for key points. Issued handouts, if used, while conducting briefing.

Visual Aids:

GO: Visual supports were relevant and generally illustrated the points. Briefer/speaker was familiar with them, introduced them at the proper times, and used them with adequate skill.

NO-GO: Visual supports inadequate or lacking, failed to illustrate the point, or contained misspelled words. Briefer/speaker unprepared to effectively use visual supports, used them as a crutch, directed all of his attention to them, insufficiently explained them, or handled them clumsily.

Transitions

GO: Usually made smooth transitions.

NO-GO: Moved from one point to another without clear transitions.

Prepared to Answer Questions.

Criteria for Evaluating Military Briefing (cont)

CLOSING

Asked for Question

GO: Usually used proper question and answer techniques. Responses revealed an adequate knowledge of the specific subject. Responded candidly when unsure of an answer.

NO-GO: Failed to ask for questions. Failed to use proper question and answer techniques. Responses revealed a fundamental lack of knowledge; answers lacked allied or supportive information; frequent errors of facts; many ambiguities and misleading statements; bluffed to cover up inadequacies; avoided answering direct questions.

Recap and Concluding Statement

GO: Recapped major points and returned to main idea. For a briefing only: Summary included elements required by FM 101-5 for the type of briefing and summary of key points visuals. Concluding statement adequate for type of presentation and used title visual.

NO-GO: No summary, or only an ineffective, token summary. For a briefing only: Summary failed to include elements required by FM 101-5 for the type of briefing or summary of key points visuals. Failed to make Concluding statement. For a briefing only: Closing statement failed to include elements required by FM 101-5 for that type of briefing or use title visual.

Announced the Next Speaker

GO: Announced the next speaker.

NO-GO: Failed to announce the next speaker.

Time

Length

Specified time for your briefing is 6 minutes (+ or - 2 minutes).

GO: Presented briefing/speech within the time limits specified for the oral presentation.

NO-GO: Failed to present briefing/speech within the time limits specified for the oral presentation. (A NO-GO rating for time will automatically result in an overall evaluation of NO-GO for the entire presentation.)

NOTE: Question and answer time does not count against briefing time.

Criteria for Evaluating Military Briefing (cont)

Key Communication Factors

Enthusiasm (Personality, Voice Volume, Facial Expression)

Satisfactory: Generally enthusiastic presentation; conveyed speaker's personality and interest in the subject. Voice strong enough for all members of the audience to hear; volume varied and created a general feeling of confidence and enthusiasm. Facial expressions natural and varied and reflected interest in the subject.

Improve: Presentation generally lacked enthusiasm and personality. Speaker seemed bored, tired, timid, or apologetic. Speaker hard to hear; voice noticeably weak and lacking in confidence and enthusiasm; volume unvaried and monotonous. Facial expression lacked variety; conveyed impression of boredom or disinterest.

Stance (Posture, Appearance, Movement)

Satisfactory: Posture straight with weight on balls of feet. Neat and well-groomed IAW appropriate uniform regulation. Not tied to lectern. Movements varied and usually smooth and purposeful but not excessive; generally supported message

Improve: Posture unprofessional, slouching, or hunched. Untidy and careless in attire; unkempt personal appearance and grooming; uniform wrinkled. Did not move during presentation (tied to lectern) or movements were awkward, jerky, repetitious, meaningless, or excessive.

Gestures

Satisfactory. Gestures were natural and appropriate to the occasion; usually purposeful; few distracting mannerisms.

Improve: Gestures stilted, meaningless, affected, or excessive; speaker had extremely distracting mannerisms; all gestures looked alike.

Eye Contact

Satisfactory: Usually maintained eye contact with the audience; made eye contact with all members of a small audience or with groups in a larger audience. Only referred to notes occasionally.

Improve: Stared at floor, ceiling, or a fixed point in the room; depended completely on notes or script. Failed to make eye contact with audience.

Voice variables (Pace, Pitch, Pause)

Satisfactory: Pace varied and appropriate (not too fast or too slow) for subject matter and audience size. Pitch varied within normal range for speaker, not uncharacteristically shrill or monotone. Use of pauses generally effective and usually free of vocalizations.

Improve: Uneven, excessively choppy speech; too rapid; created an impression of excessive nervousness or anxiety; words not clear to all members of the audience; pace too slow to keep audience's attention; pace unvaried and monotonous. Voice was uncharacteristically raspy or shrill; pitch monotonous. Use of pauses erratic and made the ideas difficult to follow; speaker rushed words instead of pausing; speaker vocalized pauses.

Criteria for Evaluating Military Briefing (cont)

Clarity (Word Choice, Grammar, Pronunciation)

Satisfactory: Articulated most thoughts and ideas clearly. Used appropriate words. Errors in grammar were minor and not distracting. Seldom mispronounced words.

Improve: Did not articulate thoughts or ideas clearly. Often used wrong words or words chosen to impress the audience. Made frequent errors in grammar. Frequently mispronounced words.

Overall Evaluation

GO: Student achieved eight or more Go ratings out of the eleven possible areas.

NO-GO: Student achieved eight or more NO-GO ratings out of the eleven possible areas for the introduction, body, conclusion, and overall comments. Students who fail to present the briefing within the time requirements 6 minutes (+ or - 2 minutes). or failed to turn in a briefing outline will receive an overall NO-GO rating.

Student Handout 4

Extracted Material from FM 101-5

This student handout contains 7 pages of extracted material from the following publication:

FM 101-5, Staff Organization and Operations, 31 May 1997

Appendix E, Military Briefings pages E-1 thru E-7

Disclaimer: The training developer downloaded the material from the General Dennis J. Reimer Training and Doctrine Digital Library Home Page. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Appendix E

MILITARY BRIEFINGS

Briefings are a means of presenting information to commanders, staffs, or other designated audiences. The techniques employed are determined by the purpose of the briefing, the desired response, and the role of the briefer. This appendix describes the types of military briefings and gives briefing formats for each type.

TYPES OF BRIEFINGS

There are four types of military briefings:

- Information.
- Decision.
- Mission.
- Staff.

Information

The information briefing is intended to inform the listener and to gain his understanding. The briefing does not include conclusions and recommendations, nor require decisions. The briefing deals primarily with facts. The briefer states that the purpose of the briefing is to provide information and that no decision is required. The briefer provides a brief introduction to define the subject and to orient the listener and then presents the information. Examples of an information briefing are information of high priority requiring immediate attention; information of a complex nature, such as complicated plans, systems, statistics, or charts, requiring detailed explanation; and controversial information requiring elaboration and explanation.

Decision

The decision briefing is intended to obtain an answer or a decision. It is the presentation of a staff officer's recommended solution resulting from analysis or study of a problem or problem area. Decision briefings vary as to formality and detail depending on the level of command and the decision maker's knowledge of the subject (the problem or problem area). In situations where the person receiving the briefing has prior knowledge of the problem and some information relating to it, the briefing normally is limited to a statement of the problem, essential background information, and a recommended solution.

However, the briefer must be prepared to present his assumptions, facts, alternative solutions, reason for choosing the recommended solution, and the coordination involved. If the person who is being briefed is unfamiliar with the problem and the facts surrounding it, then a more detailed briefing is necessary. In this case, the briefing should include any assumptions used in analyzing the problem, facts bearing on the problem, a discussion of the alternatives, the conclusions, and the coordination involved. The staff study format in Appendix D provides a logical sequence for presenting a detailed decision briefing.

At the outset of the briefing, the briefer must state that he is seeking a decision. At the conclusion of the briefing, if the briefer does not receive a decision, he asks for it. The briefer should be certain that he understands the decision thoroughly. If he is uncertain, he asks for clarification. In this regard, a precisely worded recommendation that may be used as a decision statement, once approved by the commander, assists in eliminating possible ambiguities. Following the briefing, if the chief of staff (executive officer) is not present, the briefer informs the SGS or other appropriate officer of the commander's decision.

Mission

The mission briefing is used under operational conditions to provide information, to give specific instructions, or to instill an appreciation of a mission. It is usually presented by a single briefing officer, who may be the commander, an assistant, a staff officer, or a special representative. This depends on the nature of the mission or the level of the headquarters. In an operational situation or when the mission is of a critical nature, it may become necessary to provide individuals or smaller units with more data than plans and orders provide. This may be done by means of the mission briefing. The mission briefing reinforces orders, provides more detailed requirements and instructions for each individual, and explains the significance of each individual role.

Staff

The staff briefing is intended to secure a coordinated or unified effort. This may involve the exchange of information, the announcement of decisions within a command, the issuance of directives,

or the presentation of guidance. The staff briefing may include characteristics of the information briefing, the decision briefing, and the mission briefing. Attendance at staff briefings varies with the size of the headquarters, the type of operation being conducted, and the personal desires of the commander. Generally, the commander, deputies or assistants, chief of staff (executive officer), and coordinating and special staff officers attend. Representatives from major subordinate commands may be present. The chief of staff (executive officer) usually presides over the staff briefing. He calls on staff representatives to present matters that interest those present or that require coordinated staff action. Each staff officer is prepared to brief on his area of responsibility. In garrison, staff briefings are often held on a regularly scheduled basis. In combat, staff briefings are held when required by the situation. The presentation of staff estimates culminating in a commander's decision to adopt a specific course of action is a form of staff briefing. In this type of briefing, staff officers involved follow the general pattern prescribed for the staff estimate being presented.

BRIEFING STEPS

A briefing assignment has four steps:

1. Analyze the situation. This includes analyzing the audience and the occasion by determining—

- Who is to be briefed and why?
- How much knowledge of the subject does the audience have?
- What is expected of the briefer?

Before briefing an individual the first time, the briefer should inquire as to the particular official's desires. The briefer must understand the purpose of the briefing. Is he to present facts or to make a recommendation? The purpose determines the nature of the briefing. The time allocated for a briefing will dictate the style, physical facilities, and the preparatory effort needed. The availability of physical facilities, visual aids, and draftsmen is a consideration. The briefer prepares a detailed presentation plan and coordinates with his assistants, if used. The preparatory effort is carefully scheduled. Each briefer should formulate a "briefing outline" (next page). The briefer initially estimates the deadlines for each task. He schedules facilities for practice and requests critiques.

2. Construct the briefing. The construction of the briefing will vary with its type and purpose. The analysis provides the basis for this determination. The following are the major steps in preparing a briefing:

- Collect material.
- Know the subject thoroughly.
- Isolate the key points.
- Arrange the key points in logical order.
- Provide supporting data to substantiate validity of key points.
- Select visual aids.
- Establish the wording.
- Rehearse before a knowledgeable person who can critique the briefing.

3. Deliver the briefing. A successful briefing depends on how it is presented. A confident, relaxed, forceful delivery, clearly enunciated and obviously based on full knowledge of the subject, helps convince the audience. The briefer maintains a relaxed, but military bearing. He uses natural gestures and movement, but he avoids distracting mannerisms. The briefer's delivery is characterized by conciseness, objectivity, and accuracy. He must be aware of the following:

- The basic purpose is to present the subject as directed and to ensure that it is understood by the audience.
- Brevity precludes a lengthy introduction or summary.
- Logic must be used in arriving at conclusions and recommendations.
- Interruptions and questions may occur at any point. If and when these interruptions occur, the briefer answers each question before proceeding or indicates that the questions will be answered later in the briefing. At the same time, he does not permit questions to distract him from his planned briefing. If the question will be answered later in the briefing, the briefer should make specific reference to the earlier question when he introduces the material. The briefer must be prepared to support any part of his briefing. The briefer anticipates possible questions and is prepared to answer them.

4. Follow-up. When the briefing is over, the briefer prepares a memorandum for record (MFR). This MFR should record the subject, date, time, and place of the

briefing and ranks, names, and positions of those present. The briefing's substance is concisely recorded. Recommendations and their approval, disapproval, or approval with modification are recorded as well as any instruction or directed action. This includes who is to take action. When a decision is involved and doubt exists about the decision maker's intent, the briefer submits a draft of the MFR to him for correction before preparing it in final form. The MFR is distributed to staff sections or agencies that must act on the decisions or instructions contained in it or whose operations or plans may be influenced.

BRIEFING OUTLINE

1. **Analysis of the Situation**
   a. Audience.
      (1) How many are there?
      (2) Nature.
         (a) Who composes the audience? Single or multiservice? Civilians? Foreign nationals?
         (b) Who are the ranking members?
         (c) What are their official positions?
         (d) Where are they assigned?
         (e) How much professional knowledge of the subject do they have?
         (f) Are they generalists or specialists?
         (g) What are their interests?
         (h) What are their personal preferences?
         (i) What is the anticipated reaction?
   b. Purpose and type.
      (1) Information briefing (to inform)?
      (2) Decision briefing (to obtain decision)?
      (3) Mission briefing (to review important details)?
      (4) Staff briefing (to exchange information)?
   c. Subject.
      (1) What is the specific subject?
      (2) What is the desired coverage?
      (3) How much time will be allocated?
   d. Physical facilities.
      (1) Where will the briefing be presented?
      (2) What arrangements will be required?
      (3) What are the visual aid facilities?
      (4) What are the deficiencies?
      (5) What actions are needed to overcome deficiencies?

2. **Schedule of Preparatory Effort**
   a. Complete analysis of the situation.
   b. Prepare preliminary outline.
   c. Determine requirements for training aids, assistants, and recorders.
   d. Edit or redraft.
   e. Schedule rehearsals (facilities, critiques).
   f. Arrange for final review by responsible authority.
3. **Constructing the Briefing**
   a. Collect material.
      (1) Research.
      (2) Become familiar with subject.
      (3) Collect authoritative opinions and facts.
   b. Prepare first draft.
      (1) State problem (if necessary).
      (2) Isolate key points (facts).
      (3) Identify courses of action.
      (4) Analyze and compare courses of action. State advantages and disadvantages.
      (5) Determine conclusions and recommendations.
      (6) Prepare draft outline.
      (7) Include visual aids.
      (8) Fill in appropriate material.
      (9) Review with appropriate authority.
   c. Revise first draft and edit.
      (1) Make sure that facts are important and necessary.
      (2) Include all necessary facts.
      (3) Include answers to anticipated questions.
      (4) Polish material.
   d. Plan use of visual aids.
      (1) Check for simplicity—readability.
      (2) Develop method for use.
   e. Practice.
      (1) Rehearse (with assistants and visual aids).
      (2) Polish.
      (3) Isolate key points.

(4) Commit outline to memory.

(5) Develop transitions.

(6) Use definitive words.

4. **Follow-Up**

a. Ensure understanding.

b. Record decision.

c. Inform proper authorities.

Format for an Information Briefing

1. **Introduction.**

Greeting.

Address the person(s) being briefed. Identify yourself and your organization.

"Good morning, General Smith. I'm Captain Jones, the S3 of the 1st Bn 28th Artillery.

Type and Classification of Briefing.

"This is a SECRET information briefing."

"This is an UNCLASSIFIED decision briefing."

Purpose and Scope.

Give the big picture first.

Explain the purpose and scope of your briefing.

"The purpose of this briefing is to bring you up to date on our battalion's General Defense Plan."

"I will cover the battalion's action during the first 72 hours of a general alert."

Outline or Procedure.

Briefly summarize the key points and your general approach.

Explain any special procedures (demonstrations, displays, or tours). "During my briefing, I'll discuss the six phases of our plan. I'll refer to maps of our sector, and then my assistant will bring out a sand table to show you the expected flow of battle."

2. **Body.**

Arrange the main ideas in a logical sequence.

Use visual aids correctly to emphasize your main ideas.

Plan effective transitions from one main point to the next.

Be prepared to answer questions at any time.

3. **Closing.**

Ask for questions.

Briefly recap your main ideas and make a concluding statement.

Announce the next speaker.

Format for a Decision Briefing

1. **Introduction.**

   Military greeting.

   Statement of the type, classification, and purpose of the briefing.

   A brief statement of the problem to be resolved.

   The recommendation.

2. **Body.**

   Key facts bearing upon the problem.

   Pertinent facts that might influence the decision.

   An objective presentation of both positive and negative facts.

   Necessary assumptions made to bridge any gaps in factual data.

   Courses of Action.

   A discussion of the various options that can solve the problem.

   Analysis.

   The criteria by which you will evaluate how to solve the problem (screening and evaluation).

   A discussion of each course of action's relative advantages and disadvantages.

   Comparison.

   Show how the courses of action rate against the evaluation criteria.

3. **Conclusion.**

   Describe why the selected solution is best.

4. **Questions.**

5. **Restatement of the Recommendation** so that it only needs approval/disapproval.

6. **Request a decision.**

The Mission Briefing

1. **General.** The mission briefing is an information briefing presented under tactical or operational conditions, usually given by a single briefing officer.

2. **The Purposes of a Mission Brief.**

   Give specific instructions.

   The mission briefing serves to—

   - Issue or elaborate on an operation order, warning order, and so forth.
   - Instill a general appreciation of a mission.
   - Review the key points of a forthcoming military operation.
   - Ensure participants know the mission's objective, problems they may confront, and ways to overcome them.

3. **Format.**

While the mission briefing has no set format, a convenient format is the five-paragraph operation order:

1. Situation.
2. Mission.
3. Execution.
4. Service support.
5. Command and signal.

The Staff Briefing

1. **General.** The staff briefing is a form of information briefing given by a staff officer. Often it's one of a series of briefings by staff officers.

2. **Purposes of a Staff Briefing.** The staff briefing serves to—

- Keep the commander and staff abreast of the current situation.
- Coordinate efforts through rapid oral presentation of key data.

3. **Possible Attendees:**

- The commander, his deputy, and chief of staff.
- Senior representatives of his primary and special staff; commanders of his subordinate units.

4. **Common Procedures:**

- The person who convenes the staff briefing sets the agenda.
- The chief of staff or executive officer normally presides.
- Each staff representative presents information on his particular area.
- The commander usually concludes the briefing but may take an active part throughout the presentation.

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HANDOUTS FOR LESSON: T323 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extract from STP 21-1 SMCT	SH-2-1
SH-3, Extract from FM 7-0, Chap 2	SH-3-1 thru SH-3-16
SH-4, Extract from FM 7-1, Chap 3	SH-4-1 thru SH-4-23

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of two hours of small group instruction.

Overview

During this lesson you will look at the Army's doctrine, battle focused training, and the mission essential task list (METL). It will provide you with some basic information you must know to train your soldiers in order to prepare for war. You will learn that the Army intends to train its force on ten principles known as the "Principles of Training." If you train your squad according to these principles, you will develop combat-ready soldiers. Although this lesson does not examine all topics in FM 7-1, the lesson emphasizes the platoon sergeant and squad leader responsibilities in the METL development and the training planning processes.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Implement training management at the squad level.
Conditions:	While serving as a squad leader in simulated operational conditions.
Standards:	Implemented training management at the squad level IAW FM 7-0, FM 7-1, and STP 21-1 SMCT.

ELO A Explain battle focused training.

ELO B Identify squad leader responsibilities in METL development and training management.

Assignment

The student assignments for this lesson are:

- Read SH-1.
- Read SH-2 (Extract from STP 21-1 SMCT).
- Read FM 7-0, Chapter 2.
- Read FM 7-1, Chapter 3.

Additional Subject Area Resources

None

Bring to Class

- SH-1, Advance Sheet.
- SH-2, Extract from STP 21-1 SMCT.
- SH-3, Extract from FM 7-0, Chap 2.
- SH-4, Extract from FM 7-1, Chap 3.
- Pen or pencil and writing paper.

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Student Handout 2

Extracted Material from STP 21-1 SMCT

This student handout contains five pages of extracted material from the following publication:

STP 21-1 SMCT**,** Soldier's Manual of Common Tasks, 31 August 2003.

Table of Contents pages i thru v

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***STP 21-1-SMCT**

Soldier Training Publication
No. 21-1-SMCT

Headquarters
Department of the Army
Washington, DC, 31 August 2003

SOLDIER'S MANUAL OF COMMON TASKS

Skill Level 1

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Distribution Restriction: Approved for public release; distribution is unlimited.

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Student Handout 3

Extracted Material from FM 7-0

This student handout contains 15 pages of extracted material from the following publication:

FM 7-0, Training the Force, 22 Oct 2002

Chapter 2 Pages 2-1 thru 2-15

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Chapter 2

Battle Focused Training

The key to fighting and winning is an understanding of "how we train to fight" at every echelon. Training programs must result in demonstrated tactical and technical competence, confidence, and initiative in our soldiers and their leaders. Training will remain the Army's top priority because it is the cornerstone of combat readiness!

General Carl E. Vuono

Commanders train their units to be combat ready. Training is their number one priority. Commanders achieve this using tough, realistic, and challenging training. At every echelon, commanders must train their unit to the Army standard. Battle focus enables the commander to train units for success on the battlefield. Using the Army Training Management Cycle, the commander continuously plans, executes, and assesses the state of training in the unit. This cycle provides the framework for commanders to develop their unit's METL, establish training priorities, and allocate resources.

Commanders and leaders at all echelons use the Principles of Training discussed in this chapter to develop and execute effective training. As commanders train their units on METL tasks, senior commanders reinforce training by approving and protecting training priorities and providing resources.

PRINCIPLE OF TRAINING

2-1. There are 10 Principles of Training.

- **Commanders are responsible for training.**
- **NCOs train individuals, crews, and small teams.**
- **Train as a combined arms and joint team.**
- **Train for combat proficiency.**
  - **Realistic conditions.**
  - **Performance-oriented.**
- **Train to standard using appropriate doctrine.**
- **Train to adapt.**
- **Train to maintain and sustain.**
- **Train using multiechelon techniques.**
- **Train to sustain proficiency.**
- **Train and develop leaders.**

Figure 2-1. Principles of Training

COMMANDERS ARE RESPONSIBLE FOR TRAINING

2-2. Commanders are responsible for the training and performance of their soldiers and units. They are the primary training managers and trainers for their organization, are actively engaged in the training process, and adhere to the 10 principles of training in figure 2-1. To accomplish their training responsibility, commanders must—

- Be present at training to maximum extent possible.
- Base training on mission requirements.
- Train to applicable Army standards.
- Assess current levels of proficiency.
- Provide the required resources.
- Develop and execute training plans that result in proficient individuals, leaders, and units.

2-3. Commanders delegate authority to NCOs in the support channel as the primary trainers of individuals, crews, and small teams. Commanders hold NCOs responsible for conducting standards-based, performance-oriented, battle-focused training and provide feedback on individual, crew, and team proficiency.

NCOS TRAIN INDIVIDUALS, CREWS, AND SMALL TEAMS

2-4. NCOs continue the soldierization process of newly assigned enlisted soldiers, and begin their professional development. NCOs are responsible for conducting standards-based, performance-oriented, battle-focused training. They–

- Identify specific individual, crew, and small team tasks that support the unit's collective mission essential tasks.
- Plan, prepare, rehearse, and execute training.
- Evaluate training and conduct AARs to provide feedback to the commander on individual, crew, and small team proficiency.

2-5. Senior NCOs coach junior NCOs to master a wide range of individual tasks.

TRAIN AS A COMBINED ARMS AND JOINT TEAM

2-6. The Army provides a JFC with trained and ready forces that expand the command's range of military options in full spectrum operations. Army commanders tailor and train forces to react quickly to any crisis. Army forces provide a JFC the capability to—

- Seize areas previously denied by the enemy.
- Dominate land operations.
- Provide support to civil authorities.

2-7. Army forces seldom operate unilaterally. Joint interdependence from the individual, crew, and small team to the operational level requires training to develop experienced, adaptive leaders, soldiers, and organizations prepared to operate with joint, and multinational forces and to provide interagency unity of effort.

2-8. The fundamental basis for the organization and operation of Army forces is combined arms. Combined arms is the integrated application of several arms to achieve an effect on the enemy that is greater than if each arm was used against the enemy separately or in sequence. Integration involves arrangement of battlefield actions in time, space, and purpose to produce maximum relative effects of combat power at a decisive place and time. Through force tailored organizations, commanders and their staffs integrate and synchronize the battlefield operating systems (BOS) to achieve combined arms effects and accomplish the mission.

2-9. Today's Army doctrine requires teamwork at all echelons. Well-trained Army combined arms teams can readily perform in JIM environments. When committed to battle, each unit must be prepared to execute operations without additional training or lengthy adjustment periods. Leaders must regularly practice of habitually associated combat arms, combat support, and combat service support capabilities. Teams can only achieve combined arms proficiency and cohesiveness when they train together. Similarly, peacetime relationships must mirror wartime task organization to the greatest extent possible.

2-10. Commanders are responsible for training all warfighting systems. The full integration of the combined arms team is attained through the task organization approach to training management. Task organizing is a temporary grouping of forces designed to accomplish a particular mission. This approach acknowledges that the maneuver commander integrates and synchronizes the BOS. In short, the maneuver commander, assisted by higher echelon leaders, forges the combined arms team. An example of a *task-organized brigade* and its warfighting systems is depicted at figure 2-2.

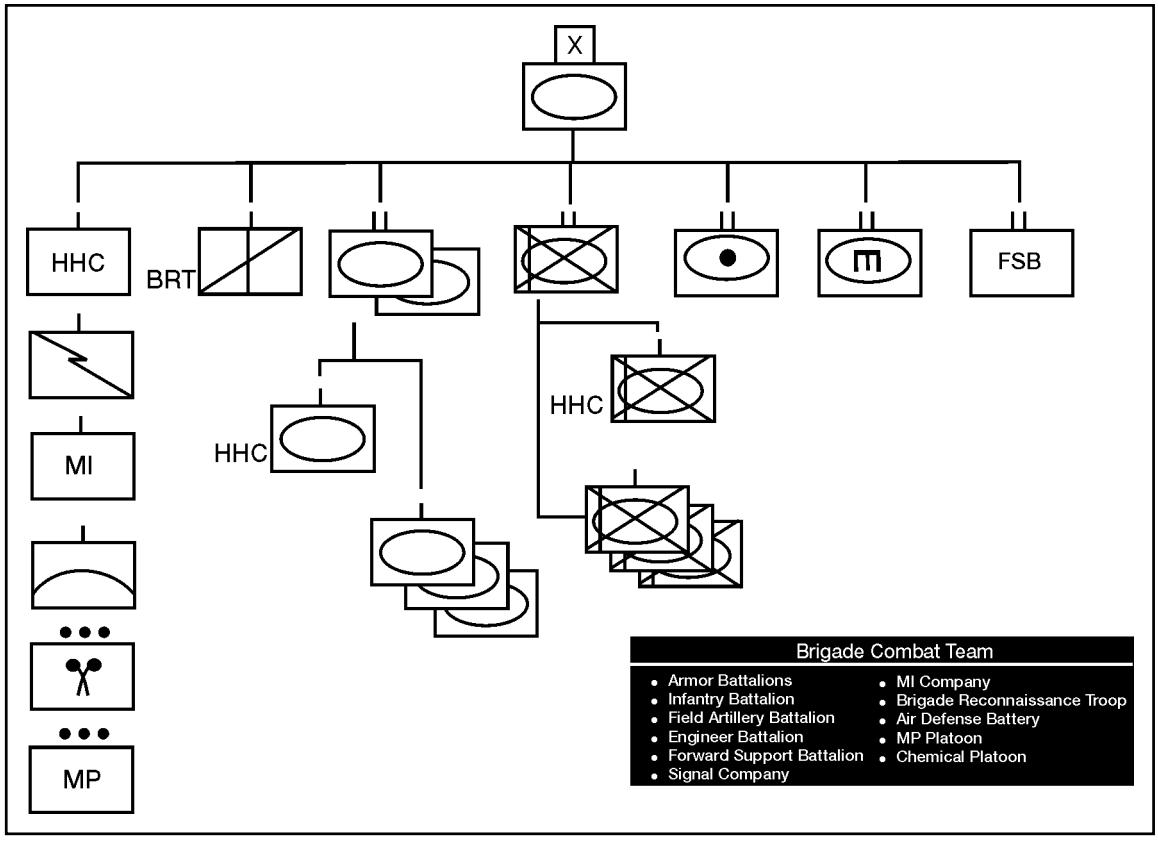

Figure 2-2. Brigade Combat Team

2-11. The commander of the *task-organized* force must develop a training plan that addresses two complementary challenges. The commander's training plan must achieve combined arms proficiency and ensure functional training proficiency of the combat arms, combat support, and combat service support units of the task force. Combined arms proficiency requires effective integration of BOS functions. Effective integration of BOS results in synchronization. Functional BOS proficiency is fundamental for effective BOS integration. The commander's training plan must integrate combined arms and functional training events.

2-12. Combined arms training is standards based. The independent training of functional tasks and combined arms tasks to standard will not guarantee the desired effects of applying combat power at a decisive place and time. The standard for effective combined arms training requires a sequenced and continuous execution of functional tasks and combined arms tasks to standard in order to achieve "…integrated relative combat power at a decisive place and time."

2-13. The role of commanders and NCOs in combined arms training cannot be overemphasized. Commanders have training responsibilities that encompass both BOS functional task proficiency and special staff officer combined

arms task proficiency. Likewise, NCOs have similar training responsibilities to ensure BOS related individual and crew functional task proficiency, as well as, individual and staff section related combined arms task proficiency. Combined arms training requires commanders' and NCOs' active involvement in all phases of training.

2-14. Functional proficiency requires expertise in a particular BOS function, its capabilities, and its requirements. Organizations that provide elements of a specific BOS function, such as corps support command and divisional air defense artillery battalion, must train to maintain their functional proficiency. Integration involves expertise in coordination among functional troop unit commanders and staffs, and other functional commanders and staffs.

2-15. The combined arms training challenge is the same for all echelons of command. The complexity, however, increases at each higher echelon of command. The tempo, scope, and scale of operations at higher command echelons increase coordination requirements for planning and executing staff, joint, multinational, and interagency training. Commanders, at every echelon, focus combined arms training on specific integration and synchronization tasks based on their METL. Figure 2-3 illustrates the scope and scale of the combined arms training challenge.

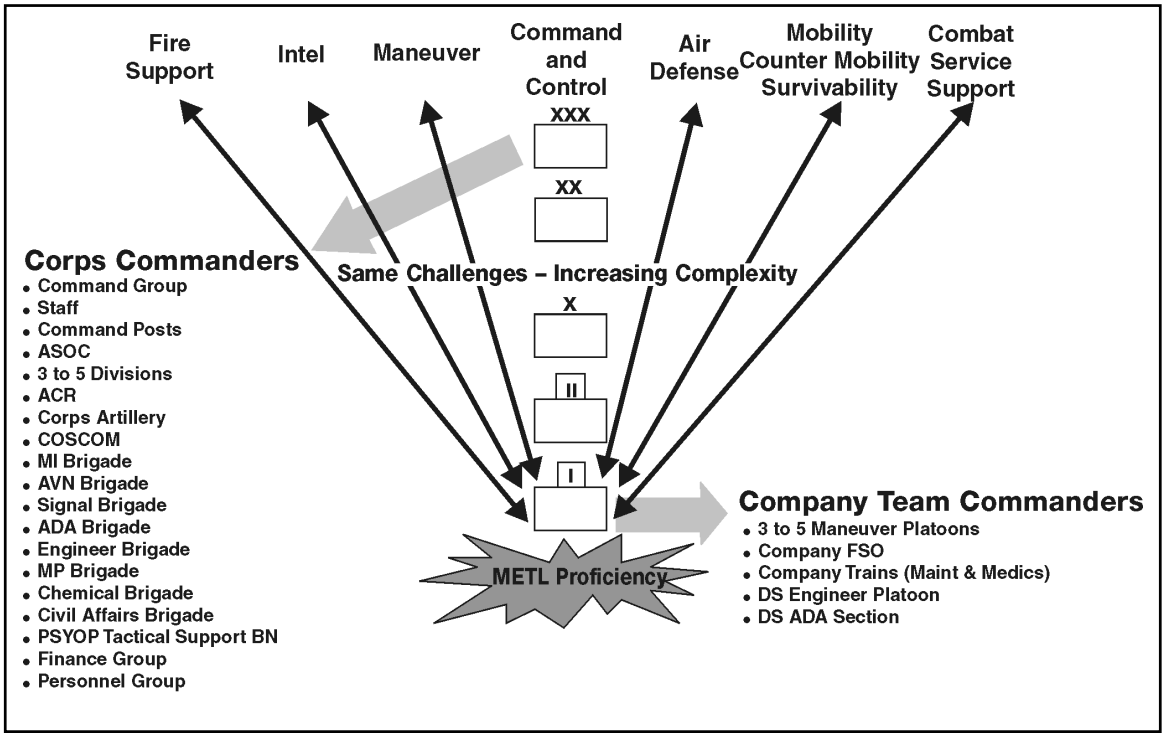

Figure 2-3. Combined Arms Training—Scope and Scale

TRAIN FOR COMBAT PROFICIENCY

2-16. The goal of all training is to achieve the standard. This develops and sustains combat capable warfighting organizations. To achieve this, units must train to standard under realistic conditions. Achieving standards requires hard work by commanders, staff officers, unit leaders, and soldiers. Within the confines of safety and common sense, commanders and leaders must be willing to accept less than perfect results initially and demand realism in training. They must integrate such realistic conditions as imperfect intelligence; reduced communications; smoke; noise; rules of engagement; simulated nuclear, biological, and chemical environments; battlefield debris; loss of key leaders; civilians on the battlefield; JIM requirements; and varying extremes in weather. They must seize every opportunity to move soldiers out of the classroom into the field; fire weapons; maneuver as a combined arms team; and incorporate protective measures against enemy actions. Although CTCs provide the most realistic and challenging training experience in the Army, they must not be viewed as an "end point" in the unit-training life cycle. Rather, they provide a "go to war experience" by which commanders can assess their METL proficiency and determine the effectiveness of their training program.

- **Realistic.** Tough, realistic, and intellectually and physically challenging training excites and motivates soldiers and leaders. Realistic training builds competence and confidence by developing and honing skills, and inspires excellence by fostering initiative, enthusiasm, and eagerness to learn. Successful completion of each training phase increases the capability and motivation of individuals and units for more sophisticated and challenging achievement. This is the commanders' continuous quest.
- **Performance-Oriented.** Units become proficient in the performance of critical tasks and missions by practicing the tasks and missions. Soldiers learn best by doing, using an experiential, hands-on approach. Commanders and subordinate leaders plan training that will provide these opportunities. All training assets and resources, to include training aids, devices, simulators, and simulations (TADSS), must be included in the unit's training strategy.

TRAIN TO STANDARD USING APPROPRIATE DOCTRINE

2-17. Training must be done to the Army standard and conform to Army doctrine. If mission tasks involve emerging doctrine or non-standard tasks, commanders establish the tasks, conditions and standards using mission orders and guidance, lessons learned from similar operations, and their professional judgment. The next higher commander approves the creation of the standards for these tasks. FM 3-0 provides the doctrinal foundations; supporting doctrinal manuals describe common TTP that permit commanders and organizations to adjust rapidly to changing situations. Doctrine provides a basis for a common vocabulary across the force. In units, new soldiers will have little time to learn non-standard procedures. Therefore, units must train to the Army standard contained in the MTP and STPs, while applying Army doctrine and current regulatory guidance. When serving as a joint headquarters and conducting joint training Army organizations use joint doctrine and TTP. Joint doctrine establishes the fundamentals of joint opera-

tions and provides guidance on how best to employ joint forces. This linkage between operational and training doctrine is critical to successful training.

TRAIN TO ADAPT

2-18. Commanders train and develop adaptive leaders and units, and prepare their subordinates to operate in positions of increased responsibility. Repetitive, standards-based training provides relevant experience. Commanders intensify training experiences by varying training conditions. Training experiences coupled with timely feedback builds competence. Leaders build unit, staff and soldier confidence when they consistently demonstrate competence. Competence, confidence, and discipline promote initiative and enable leaders to adapt to changing situations and conditions. They improvise with the resources at hand, exploit opportunities and accomplish their assigned mission in the absence of orders. Commanders at every echelon integrate training events in their training plans to develop and train imaginative, adaptive leaders and units.

TRAIN TO MAINTAIN AND SUSTAIN

2-19. Soldier and equipment maintenance is a vital part of every training program. Soldiers and leaders are responsible for maintaining all assigned equipment and supplies in a high state of readiness to support training or operational missions. Units must be capable of fighting for sustained periods of time with the equipment they are issued. Soldiers must become experts in both the operation and maintenance of their equipment. This link between training and sustainment is vital to mission success.

TRAIN USING MULTIECHELON TECHNIQUES

2-20. Multiechelon training is the most effective and efficient way of sustaining proficiency on mission essential tasks with limited time and resources. Commanders use multiechelon training to—

- Train leaders, battle staffs, units, and individuals at each echelon of the organization simultaneously.
- Maximize use of allocated resources and available time.
- Reduce the effects of personnel turbulence.

2-21. Large-scale training events provide an excellent opportunity for valuable individual, leader, crew, and small unit training. Multiechelon training can occur when an entire organization is training on one single METL task or when different echelons of an organization conduct training on related METL tasks simultaneously. (See chapter 4 for detailed discussion on multiechelon training.) All multiechelon training techniques—

- Require detailed planning and coordination by commanders and leaders at each echelon.
- Maintain battle focus by linking individual and collective battle tasks with unit METL tasks, within large-scale training event METL tasks.
- Habitually train at least two echelons simultaneously on selected METL tasks.

TRAIN TO SUSTAIN PROFICIENCY

2-22. Once individuals and units have trained to a required level of proficiency, leaders must structure individual and collective training plans to retrain critical tasks at the minimum frequency necessary to sustain proficiency. Sustainment training is the key to maintaining unit proficiency through personnel turbulence and operational deployments. MTP and individual training plans are tools to help achieve and sustain collective and individual proficiency. Sustainment training must occur often enough to train new soldiers and minimize skill decay. Army units train to accomplish their missions by frequent sustainment training on critical tasks. Infrequent "peaking" of training for an event (CTC rotation, for example) does not sustain wartime proficiency. Battle focused training is training on wartime tasks. Many of the METL tasks that a unit trains on for its wartime mission are the same as required for a stability operation or support operation that they might execute.

2-23. Sustainment training enables units to operate in a Band of Excellence (figure 2-4) through appropriate repetition of critical tasks. The Band of Excellence is the range of proficiency within which a unit is capable of executing its wartime METL tasks. For RC units the Band of Excellence is the range of proficiency within which a unit is capable of executing its premobilization tasks. Training to sustain proficiency in the Band of Excellence includes training leaders, battle staffs, and small lethal units. The solid black line shows the results of an effective unit training strategy that sustains training proficiency over time, maintaining it within the Band of Excellence. The dotted black line shows an ineffective training strategy that often causes the unit to fall outside the Band of Excellence, thus requiring significant additional training before the unit is capable of executing its wartime METL tasks. Personnel turbulence and availability of resources pose a continuous challenge to maintaining METL proficiency within the Band of Excellence.

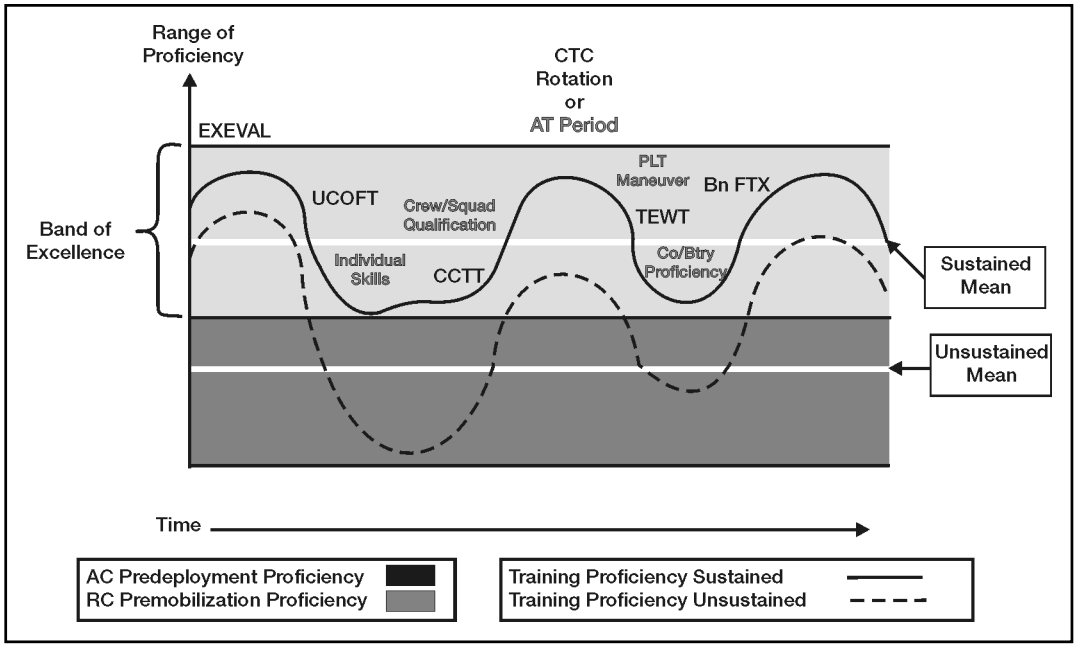

Figure 2-4. Band of Excellence

2-24. The Army provides combat ready forces on short notice to combatant commanders. Units transition from training locations to operational theaters using the train-alert-deploy sequence. Commanders recognize that crises rarely allow sufficient time to correct training deficiencies between alert and deployment. They strive to ensure their units are prepared to accomplish their METL tasks before alert and refine mission specific training in the time available afterwards. Accordingly, applying the principles of training, a commander conducts training to sustain proficiency on METL tasks within the Band of Excellence to ensure mission readiness. Mission specific training can be conducted as organizations are alerted and deployed based on time available.

2-25. RC units require postmobilization training to achieve proficiency at level organized. Postmobilization training time can be minimized by focusing on MOS qualification, and crew, squad, section and platoon proficiency for combat arms, and company, battery, and troop proficiency for CS/CSS units during premobilization training.

TRAIN AND DEVELOP LEADERS

2-26. Commanders have a duty and execute a vital role in leader training and leader development. They teach subordinates how to fight and how to train. They mentor, guide, listen to, and "think with" subordinates. They train leaders to plan training in detail, prepare for training thoroughly, execute training aggressively, and evaluate short-term training proficiency in terms of desired long-term results. Training and developing leaders is an

embedded component of every training event. Nothing is more important to the Army than building confident, competent, adaptive leaders for tomorrow.

COMMANDERS AND TRAINING

2-27. Effective training is the number one priority of commanders. The commander is the primary trainer and responsible for the wartime readiness of their formation. In wartime, training continues with a priority second only to combat or to the support of combat operations. Commanders and senior leaders must extract the greatest training value from every training opportunity. Effective training requires the commander's continuous personal time and energy to accomplish the following—

DEVELOP AND COMMUNICATE A CLEAR VISION

2-28. The senior leader's training vision provides the direction, purpose, and motivation necessary to prepare individuals and organizations to win in battle. It is based on a comprehensive understanding of—

- Mission, doctrine, and history.
- Enemy/threat capabilities.
- Operational environment.
- Organizational and personnel strengths and weaknesses.
- Training environment.

TRAIN ONE ECHELON BELOW AND EVALUATE TWO ECHELONS BELOW

2-29. Commanders are responsible for training their own unit and one echelon below. Commanders evaluate units two echelons below. For example, brigade commanders train battalions and evaluate companies; battalion commanders train companies and evaluate platoons.

REQUIRE SUBORDINATES TO UNDERSTAND AND PERFORM THEIR ROLES IN TRAINING

2-30. Since good training results from leader involvement, one of the commander's principal roles in training is to teach subordinate trainers how to train and how to fight. The commander provides the continuing leadership that focuses on the organization's wartime mission. The commander assigns officers the primary responsibility for collective training and NCOs the primary responsibility for individual, crew, and small team training. The commander, as the primary trainer, uses multiechelon techniques to meld leader, battle staff, and individual training requirements into collective training events, while recognizing the overlap in training responsibilities (figure 2-5). Commanders teach, coach, and mentor subordinates throughout.

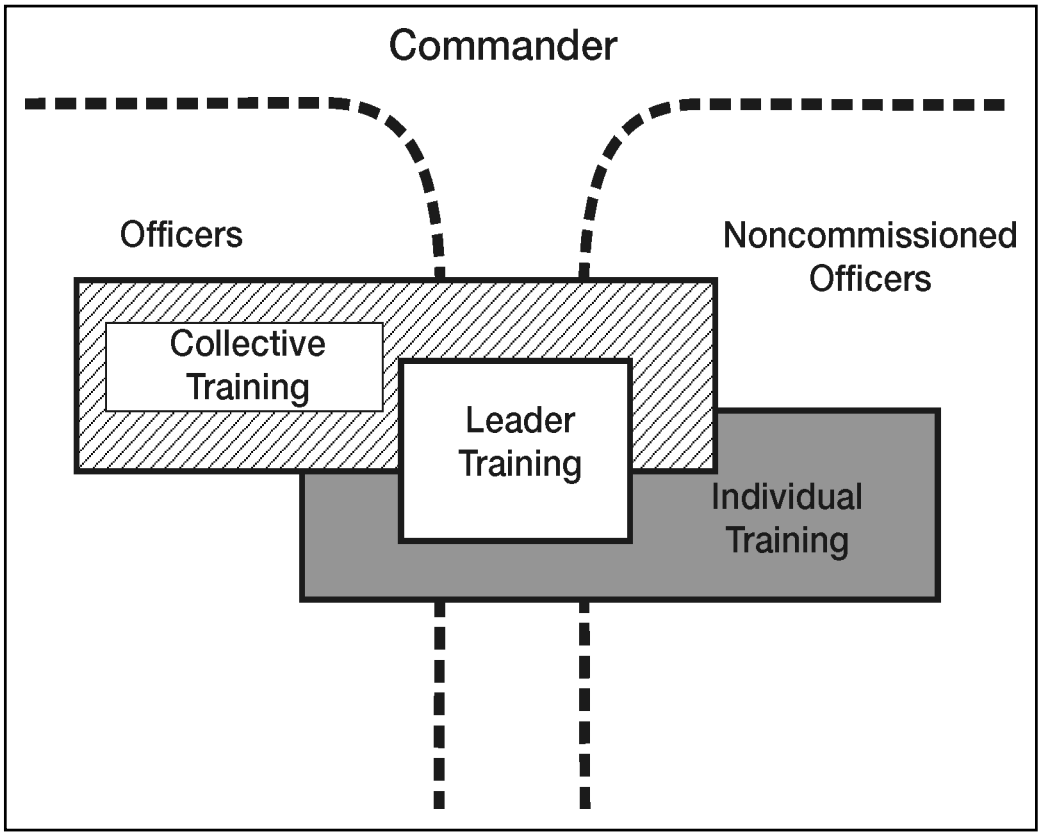

Figure 2-5. Overlapping Training Responsibilities

TRAIN ALL ELEMENTS TO BE PROFICIENT ON THEIR MISSION ESSENTIAL TASKS

2-31. Commanders must integrate and train to Army standard all BOS, within and supporting their command, on their selected mission essential tasks. An important requirement for all leaders is to project training plans

far enough into the future and to coordinate resources with sufficient lead time.

DEVELOP SUBORDINATES

2-32. Competent and confident leaders build cohesive organizations with a strong chain of command, high morale, and good discipline. Therefore, commanders create leader development programs that develop warfighter professionalism—skills and knowledge. They develop their subordinates' confidence and empower them to make independent, situational-based decisions on the battlefield. Commanders assist subordinates with a self-development program and share experienced insights that encourage subordinates to study and learn their profession. They train leaders to plan training in detail, prepare for training thoroughly, execute aggressively, and evaluate short-term training proficiency in terms of desired long-term results. Effective leader development programs will continuously influence the Army as junior leaders progress to higher levels of responsibility.

INVOLVE THEMSELVES PERSONALLY IN PLANNING, PREPARING, EXECUTING, AND ASSESSING TRAINING

2-33. The senior commander resources training and protects subordinate commanders' training time. They are actively involved in planning for future training. They create a sense of stability throughout the organization by protecting approved training plans from training distracters. Senior commanders protect the time of subordinate commanders allowing them to be present at training as much as possible. Subordinate commanders are responsible for executing the approved training to standard. Senior commanders are present during the conduct of training as much as possible and provide experienced feedback to all participants.

DEMAND TRAINING STANDARDS ARE ACHIEVED

2-34. Leaders anticipate that some tasks will not be performed to standard. Therefore, they design time into training events to allow additional training on tasks not performed to standard. It is more important to train to standard on a limited number of critical tasks, rather than attempting and failing to achieve the standard on too many tasks, rationalizing that corrective action will occur during some later training period. Soldiers will remember the enforced standard, not the one that was discussed.

ENSURE PROPER TASK AND EVENT DISCIPLINE

2-35. Senior leaders ensure junior leaders plan the correct task-to-time ratio. Too many tasks guarantee nothing will get trained to standard and no time is allocated for retraining. Too many events result in improper preparation and recovery.

FOSTER A COMMAND CLIMATE THAT IS CONDUCIVE TO GOOD TRAINING

2-36. Commanders create a climate that rewards subordinates who are bold and innovative trainers. They challenge the organization and each individ-

ual to train to full potential. Patience and coaching are essential ingredients to ultimate achievement of the Army standard.

ELIMINATE TRAINING DISTRACTIONS

2-37. The commander who has planned and resourced a training event is responsible to ensure participation by the maximum number of soldiers. Administrative support burdens cannot be ignored, however, they can be managed using an effective time management system. Senior commanders must support subordinate commanders' efforts to train effectively by eliminating training distracters and reinforcing the requirement for all assigned personnel to be present during training.

TOP-DOWN/BOTTOM-UP APPROACH TO TRAINING

2-38. The top-down/bottom-up approach to training is a team effort in which senior leaders provide training focus, direction and resources, and junior leaders provide feedback on unit training proficiency, identify specific unit training needs, and execute training to standard in accordance with the approved plan. It is a team effort that maintains training focus, establishes training priorities, and enables effective communication between command echelons.

2-39. Guidance, based on wartime mission and priorities, flows from the top-down and results in subordinate units' identification of specific collective and individual tasks that support the higher unit's mission. Input from the bottom up is essential because it identifies training needs to achieve task proficiency on identified collective and individual tasks. Leaders at all echelons communicate with each other about requirements, and planning, preparing, executing, and evaluating training.

2-40. Senior leaders centralize planning to provide a consistent training focus from the top to the bottom of the organization. However, they decentralize execution to ensure that the conduct of mission related training sustains strengths and overcomes the weaknesses unique to each unit. Decentralized execution promotes subordinate leaders' initiative to train their units, but does not mean senior leaders give up their responsibilities to supervise training, develop leaders, and provide feedback.

BATTLE FOCUS

2-41. Battle focus is a concept used to derive peacetime training requirements from assigned and anticipated missions. The priority of training in units is to train to standard on the wartime mission. Battle focus guides the planning, preparation, execution, and assessment of each organization's training program to ensure its members train as they are going to fight. Battle focus is critical throughout the entire training process and is used by commanders to allocate resources for training based on wartime and operational mission requirements. Battle focus enables commanders and staffs at all echelons to structure a training program that copes with non-mission related requirements while focusing on mission essential training activities. It is recognition that a unit cannot attain proficiency to standard on every task

whether due to time or other resource constraints. However, commanders can achieve a successful training program by consciously focusing on a reduced number of critical tasks that are essential to mission accomplishment.

2-42. A critical aspect of the battle focus concept is to understand the responsibility for, and the linkage between, the collective mission essential tasks and the individual tasks that support them. The diagram at figure 2-6 depicts the relationships and the proper sequence to derive optimum training benefit from each training opportunity.

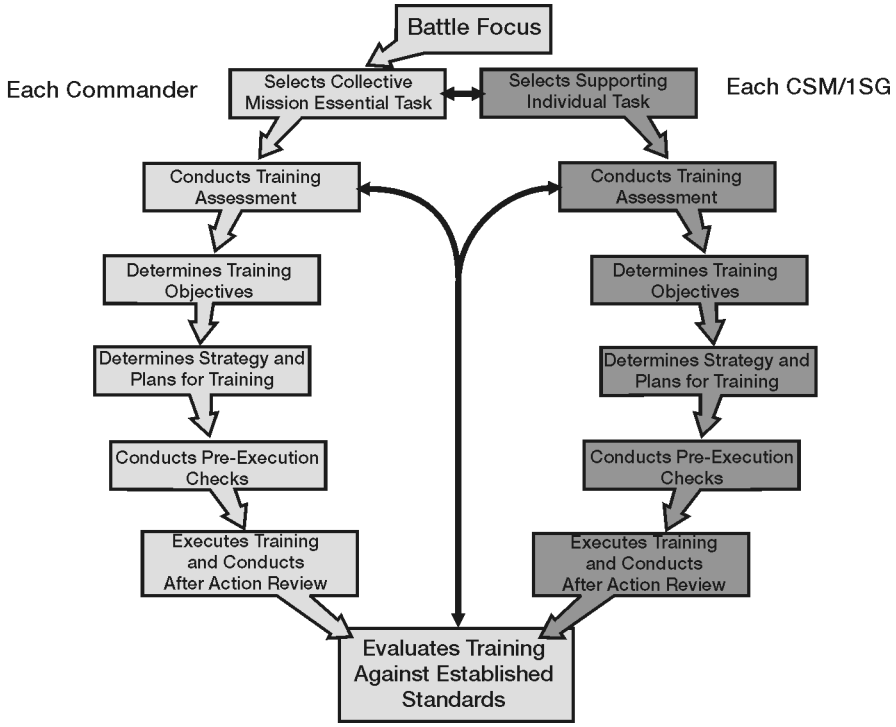

Figure 2-6. Integration of Collective and Individual Training

2-43. The commander and the CSM or 1SG must jointly coordinate the collective mission essential tasks and individual training tasks on which the unit will concentrate its efforts during a given period. The CSM or 1SG must select the specific individual tasks that support each collective task to be trained. Although NCOs have the primary role in training and sustaining individual soldier skills, officers at every echelon remain responsible for training to established standards during both individual and collective training. Battle focus is applied to all missions across the full spectrum of operations.

ARMY TRAINING MANAGEMENT CYCLE

2-44. The foundation of the training process is the Army Training Management Cycle (figure 2-7). In the METL development process (chapter 3), training must be related to the organization's wartime operational plans and focus

on METL tasks. The availability of resources does not affect METL development. The METL is an unconstrained statement of the tasks required to accomplish wartime missions. Resources for training, however, are constrained and compete with other missions and requirements. Leaders develop the long-range, short-range, and near-term training plans (chapter 4) to utilize effectively available resources to train for proficiency on METL tasks. After training plans are developed, units execute training by preparing, conducting, and recovering from training (chapter 5). The process continues with training evaluations that provide bottom-up input to organizational assessment. Organizational assessments provide necessary feedback to the senior commander that assist in preparing the training assessment (chapter 6).

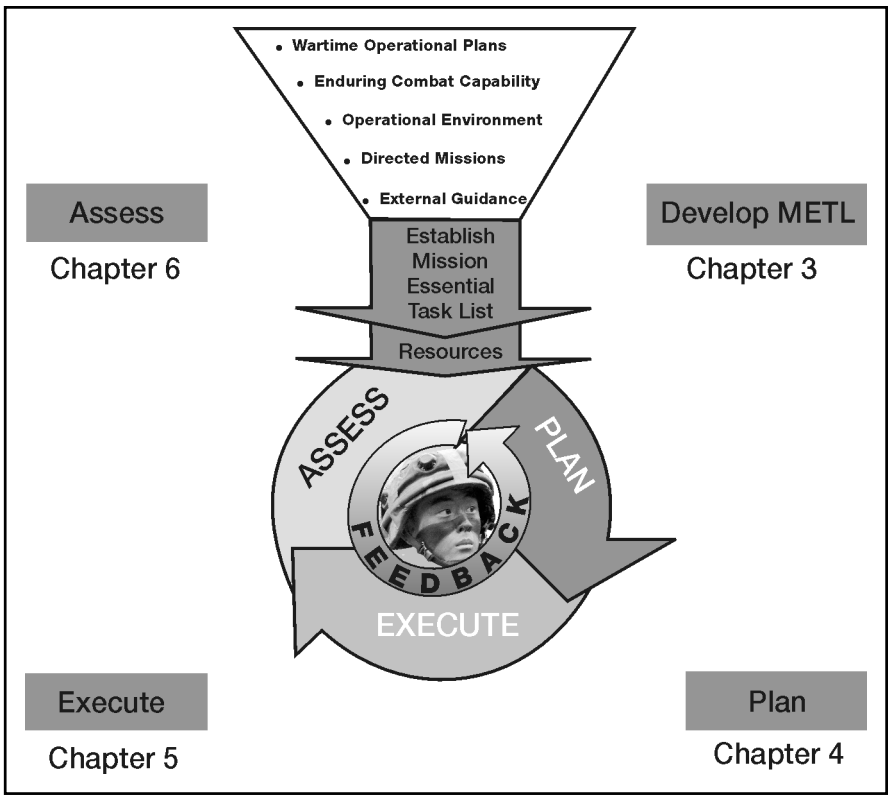

Figure 2-7. Army Training Management Cycle

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Student Handout 4

Extracted Material from FM 7-1

This student handout contains 23 pages of extracted material from the following publication:

FM 7-1, Battle Focused Training, 15 Sep 2003

Chapter 3 Pages 3-1 thru 3-23

Disclaimer: The training developer downloaded the extracted material from the General Dennis J. Reimer Training and Doctrine Digital Library. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the army Writing Style Program.

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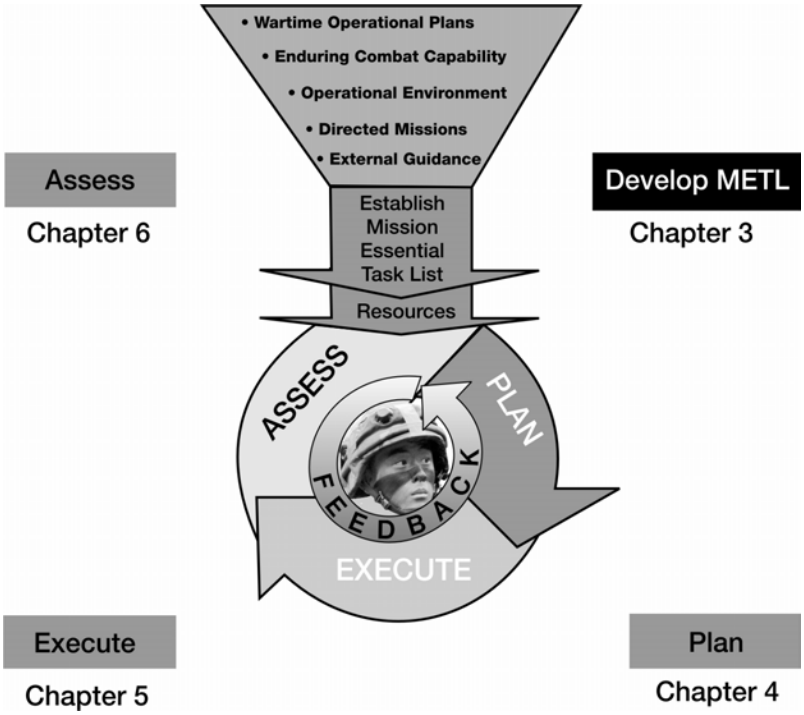
Chapter 3

Mission Essential Task List (METL) Development

We focus our training programs to accomplish unit missions decisively for our nation's warfighting needs.

- *Maximize all training opportunities.*
- *Commander's first priority is training.*
- *Training must be standards-based and should include assessments against an established standard.*
- *Train as we fight.*
- *Every training event is a leader development opportunity (training builds soldier and leader confidence).*

General John N. Abrams



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METL DEVELOPMENT PROCESS

3-1. The METL development process links the unit's wartime operational mission with its training. Battle focused training programs are based on wartime operational requirements. Army organizations, whether they are AC or RC, Modification Table of Organization and Equipment (MTOE) or Table of Distribution and Allowances (TDA), cannot achieve and sustain proficiency on every possible training task. The commander is responsible for identifying the tasks essential to accomplish the organization's wartime operational mission. Battle focused METL identifies the tasks essential to accomplish the unit's wartime operational mission and provides the foundation for the unit's training program. All company-level and above units, AC and RC, MTOE and TDA, develop a METL. Staffs at each level also develop a METL that supports their unit's METL. Detachments that are organized with a commander and under a distinct MTOE or TDA (for example, special forces detachments, explosive ordnance detachments, transportation port operation cargo detachments, and preventive medicine medical detachments) are examples of these units.

3-2. The METL development process is the catalyst to focus training on wartime operational missions. It—

- Uses the wartime operational mission and other inputs to METL development to focus the unit's training on essential tasks.
- Provides a forum for professional discussion and leader development among senior, subordinate, and adjacent commanders concerning the linkage between mission and training.
- Enables subordinate commanders and key NCOs to crosswalk collective, leader, and individual tasks to the mission.
- Leads to "buy-in" and commitment to the organization's training plan by unit leaders.

3-3. Figure 3-1 depicts the process commanders use to identify and select the mission essential tasks that make up the METL.

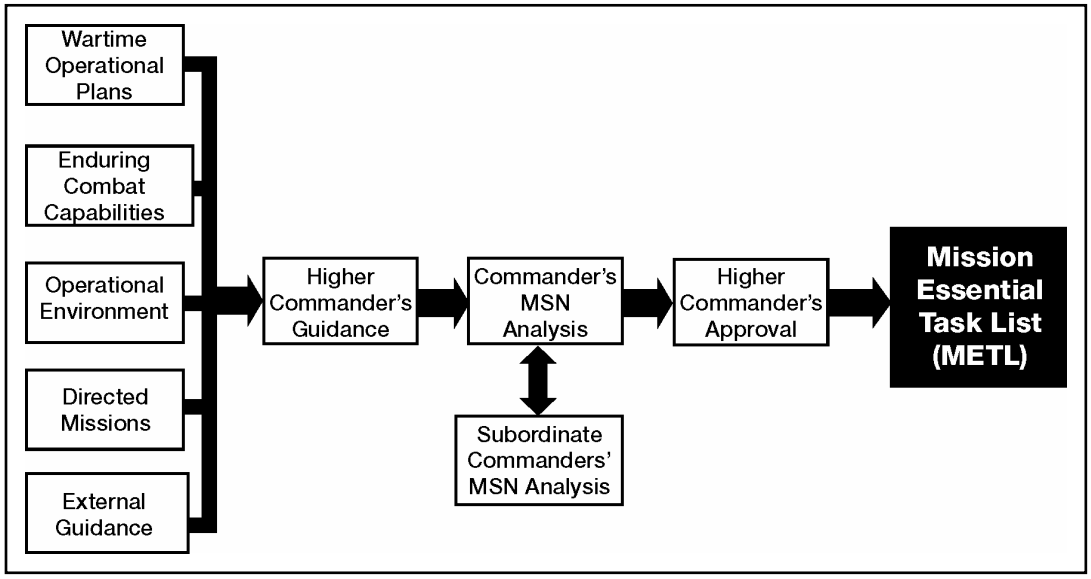

Figure 3-1. Mission Essential Task List Development Process

INPUTS TO METL DEVELOPMENT

3-4. There are five primary inputs to METL development—

- **Wartime operational plans**. The most critical input to METL development is the organization's wartime operational mission.
- **Enduring combat capabilities**. The fundamental reason for the organization and operation of Army forces is to generate effects of combined arms. Army commanders form combat, CS, and CSS forces into cohesive teams through training for combat proficiency. Enduring combat capabilities are the unique contribution each unit makes to ensure that the Army successfully accomplishes any mission, anytime, anywhere.
- **Operational environment**. The six dimensions of the operational environment are defined in FM 3-0, Chapter 1. They are: threat, political, unified action, land combat operations, information, and technology.
- **Directed missions**. Army organizations are frequently directed to execute a mission other than their assigned wartime operational mission. These missions can range from major combat operations to humanitarian assistance, security cooperation activities, or other types of stability operations or support operations, and often include a combination of all of these mission types.
- **External guidance**. External guidance serves as an additional source of training tasks that relate to an organization's wartime operational mission. Some examples of these external sources of guidance are—
  - Higher headquarters directives.
  - ARTEP-MTPs.
  - Mobilization plans.
  - Installation wartime transition and deployment plans.

- Force integration plans.
- Army Universal Task List (AUTL).
- Universal Joint Task List (UJTL).

3-5. The UJTL (CJCSM 3500.04C) serves as a common language and common reference system for joint force commanders to communicate mission requirements. It is the basic language for developing a joint METL (JMETL). The UJTL defines tasks and functions performed by joint headquarters, the Army, and other service components operating at the operational and strategic levels of war.

3-6. The AUTL (FM 7-15) is a comprehensive listing of Army tactical-level collective tasks and functions for tactical units (company through corps) and staffs. It complements the UJTL. The AUTL provides a basis for establishing unit-specific ARTEP-MTP linkage to the UJTL. This mission-to-task-to-training linkage assists forces in training the way they intend to fight. The AUTL—

- Provides a common, doctrinal structure for Army tactical mission tasks.
- Articulates what the Army does to accomplish missions.
- Applies to all four types of military operations (offense, defense, stability, support).
- Lists collective Army tactical tasks subordinate to each of the seven BOS.

3-7. Figure 3-2 illustrates the UJTL, AUTL, and ARTEP-MTP relationship.

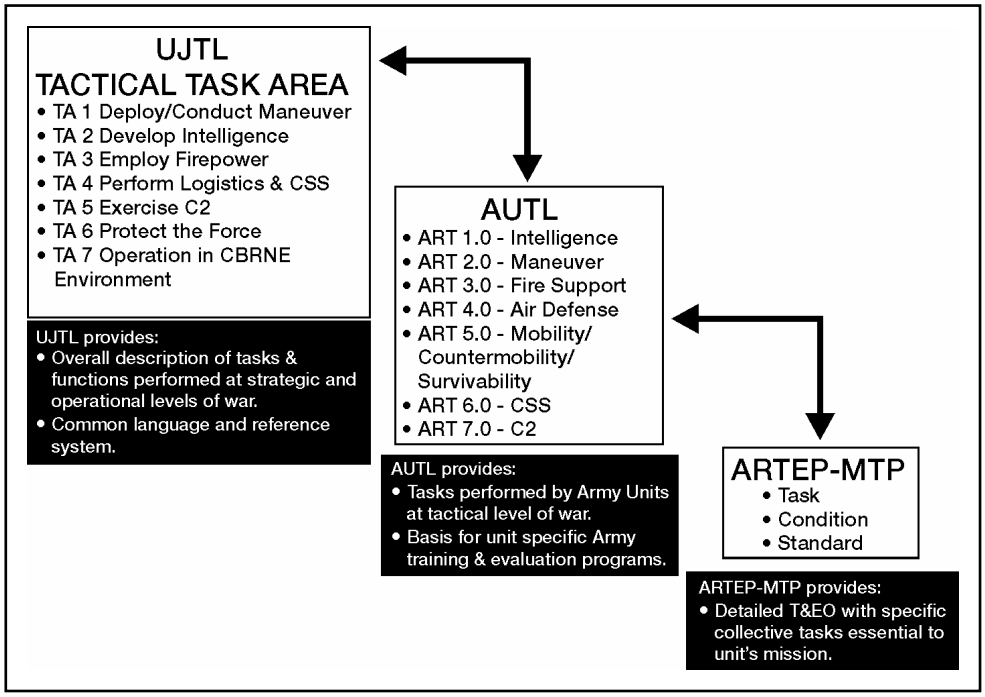

Figure 3-2. UJTL–AUTL–ARTEP-MTP Crosswalk

3-8. Unit-specific doctrinal manuals are primary sources for training tasks. The applicable ARTEP-MTP is a good starting point for selecting collective tasks to support the missions at the battalion and company levels. Leaders may develop task lists using the following sources when no ARTEP-MTP exists—

- MTOE.
- TDA.
- Tactical standing operating procedures (TSOPs).
- ARTEP-MTPs for other units with similar organization or a similar mission or task.
- Technical manuals (TMs).
- Training circulars (TCs).
- Combined Arms Center (CAC) Lessons Learned Data Base.
- Readiness standing operating procedures (RSOPs).
- State operational contingency plans for the ARNG.

3-9. METLs may vary significantly in similar types of organizations because of different wartime operational missions and geographical location. For example, a continental United States (CONUS)-based power projection organization may identify strategic deployment requirements as critical tasks while a like forward-deployed organization may identify tactical deployment requirements such as rapid assembly and tactical road march as critical tasks. Geography also influences the selection of different mission essential tasks for units. The presence of significant water obstacles; mountainous terrain; tropical, cold, or desert environments; indigenous population patterns; and other related demographics all have the potential to affect an organization's METL.

COMMANDERS' ANALYSIS

3-10. To identify mission essential tasks, the commander conducts an analysis of the unit's operational mission. In the absence of a directed operational mission, analysis is based on the unit's assigned mission in wartime operational plans. In the absence of clear alignment with wartime operational plans, mission analysis is based on analysis of missions for which the unit was designed to accomplish in wartime, as established in the unit's MTOE/TDA and how-to-fight doctrine. Higher commanders provide guidance to help their subordinate commanders focus their analysis. Mission analysis results in identification of specified and implied tasks the unit must perform and in a restatement of the unit's mission. To provide battle focus, the commander identifies those tasks critical for mission accomplishment. These tasks constitute the organization's METL. The next higher commander approves the METL. A change of operational mission requires the commander to analyze the mission again and adjust the unit's METL accordingly.

3-11. The METL development process reduces the number of tasks on which the organization must train and focuses the organization's training efforts on the most important collective training tasks required to accomplish the mission.

METL DEVELOPMENT FUNDAMENTALS

3-12. The following fundamentals apply to METL development—

- The METL is derived from the organization's war plans and related tasks in external guidance.
- Mission essential tasks must apply to the entire organization. METL does not include tasks assigned solely to subordinate organizations.
- Each organization's METL must support and complement the METL of higher headquarters or the supported unit.
- The availability of resources does not affect METL development. The METL is an unconstrained statement of tasks required to accomplish wartime missions.
- METL is not prioritized; however, all tasks may not require equal training time.
- Commanders direct operations and integrate the BOS through plans and orders. The BOS are used to systematically ensure that the interdependent organizational tasks necessary to generate, sustain, and apply combat power are directed toward accomplishing the overall mission.

3-13. Figure 3-3 summarizes the fundamental concepts in the METL development process:

- ♦ METL is derived from the organization's war plans and related tasks in external guidance.
- ♦ METL must apply to the entire organization. METL does not include tasks assigned solely to subordinate organizations.
- ♦ METL must support and complement the METL of higher headquarters. METL for CS and CSS units must also support and complement the supported unit METL.
- ♦ Resource availability does not affect METL development. METL is an unconstrained statement of tasks required to accomplish wartime missions.
- ♦ METL is not prioritized. However, all tasks may not require equal training time.
- ♦ Commanders use BOS to apply combat power.

Figure 3-3. Fundamental Concepts Used in METL Development

BATTLEFIELD OPERATING SYSTEMS

3-14. The battlefield operating systems (BOS) are—

- Intelligence.
- Maneuver.
- Fire support.
- Air defense.
- Mobility/countermobility/survivability.
- Combat service support.
- Command and control.

INTELLIGENCE

3-15. The intelligence system plans, directs, collects, processes, produces, and disseminates intelligence on the threat and the environment; performs intelligence preparation of the battlefield (IPB); and accomplishes other intelligence tasks. Intelligence is developed as a part of a continuous process and is fundamental to Army operations.

MANEUVER

3-16. Commanders maneuver forces to create the conditions for tactical and operational success. Maneuver involves movement to achieve positions of advantage with respect to enemy forces. Through maneuver, friendly forces gain the ability to destroy enemy forces or hinder enemy movement by direct and indirect application of firepower or threat of its application.

FIRE SUPPORT

3-17. Fire support consists of fires that directly support land, maritime, amphibious, and special operations forces in engaging enemy forces, combat formations, and facilities in pursuit of tactical and operational objectives. Fire support integrates and synchronizes fires and effects to delay, disrupt, or destroy enemy forces, systems, and facilities. The fire support system includes the collective and coordinated use of target acquisition data, indirect fire weapons, fixed-winged aircraft, electronic warfare, and other lethal and non-lethal means to attack targets.

AIR DEFENSE

3-18. Air defense protects the force from air and missile attack and aerial surveillance. It prevents enemies from interdicting friendly forces while freeing commanders to synchronize maneuver and fire power. Weapons of mass destruction (WMD) and proliferation of missile technology increase the importance of the air defense systems.

MOBILITY/COUNTERMOBILITY/SURVIVABILITY

3-19. Mobility operations preserve the freedom of maneuver for friendly forces. Mobility missions include breaching obstacles, increasing battlefield circulation, improving or building roads, providing bridge and raft support, and identifying routes around contaminated areas. Countermobility denies mobility to enemy forces. Survivability operations protect friendly forces from the effects of enemy weapon systems and from natural occurrences. NBC defense measures are essential survivability tasks.

COMBAT SERVICE SUPPORT

3-20. Combat service support (CSS) provides the physical means with which forces operate, from the production base and replacement centers in CONUS to soldiers engaged in close combat. CSS includes many technical specialties and functional activities. It maximizes the use of host nation infrastructure and contracted support.

COMMAND AND CONTROL

3-21. Command and control (C2) has two components—the commander and the C2 system. The C2 system supports the commander's ability to make informed decisions, delegate authority, and synchronize the BOS. Moreover, the C2 system supports the commander's ability to adjust plans for future operations, even while focusing on current operations. Reliable communications are central to C2 systems. Staffs work within the commander's intent to direct units and control resource allocations. Through C2, commanders initiate and integrate all BOS toward the common goal—mission accomplishment.

METL DEVELOPMENT SEQUENCE

3-22. Commanders involve subordinate commanders, their CSM or 1SG, and key NCOs in METL development to create a team approach to battle focused training. Subordinate participation develops a common understanding of the organization's critical wartime operational mission requirements so that METLs throughout the organization are mutually supporting. Subordinate commanders can subsequently apply insights gained during preparation of the next higher headquarters' METL in the development of their METL. The CSM/1SG and other key NCOs must understand the organization's collective METL so that they can identify individual tasks for each collective mission essential task.

3-23. The higher commander should use the METL for leader development. The senior commander can have a professional dialogue with subordinates on METL development, selection of battle tasks, and training. This dialogue gives the commander the opportunity to coach and mentor subordinates and train them for positions of higher authority. This mentoring and training should be done at all levels.

BATTLE TASKS

3-24. After review and approval of subordinate organizations' METL, the senior commander selects battle tasks. A battle task is a staff or subordinate organization mission essential task that is so critical that its accomplishment determines the success of the next higher organization's mission essential task. Similar units may have different battle tasks selected, depending on their mission. Battle tasks are selected down to the company level. Company commanders are the lowest echelon commander that selects battle tasks. Battle tasks allow the senior commander to define the training tasks that—

- Integrate the BOS.
- Receive the highest priority for resources, such as ammunition, training areas, facilities (to include live and virtual simulators and constructive simulations), materiel, and funds.
- Receive emphasis during external evaluations.

3-25. Figure 3-4 depicts the higher-to-lower relationship of mission and METL. It illustrates the relationship the subordinate units' METL has with the higher headquarters' METL through the selection of battle tasks. Although an MTOE brigade is used as the example, the METL/battle/critical/leader/individual task construction is the same for

all units, including TDA, echelons above division, and echelons above corps—

- Battalions have METL tasks selected as brigade battle tasks.
- Companies have METL tasks selected as battalion battle tasks.
- Platoons have critical tasks selected as company battle tasks.

3-26. Figure 3-4 also shows the connection between a company METL and platoon, squad, leader, and individual soldier tasks. These relationships are examined in detail later in this chapter.

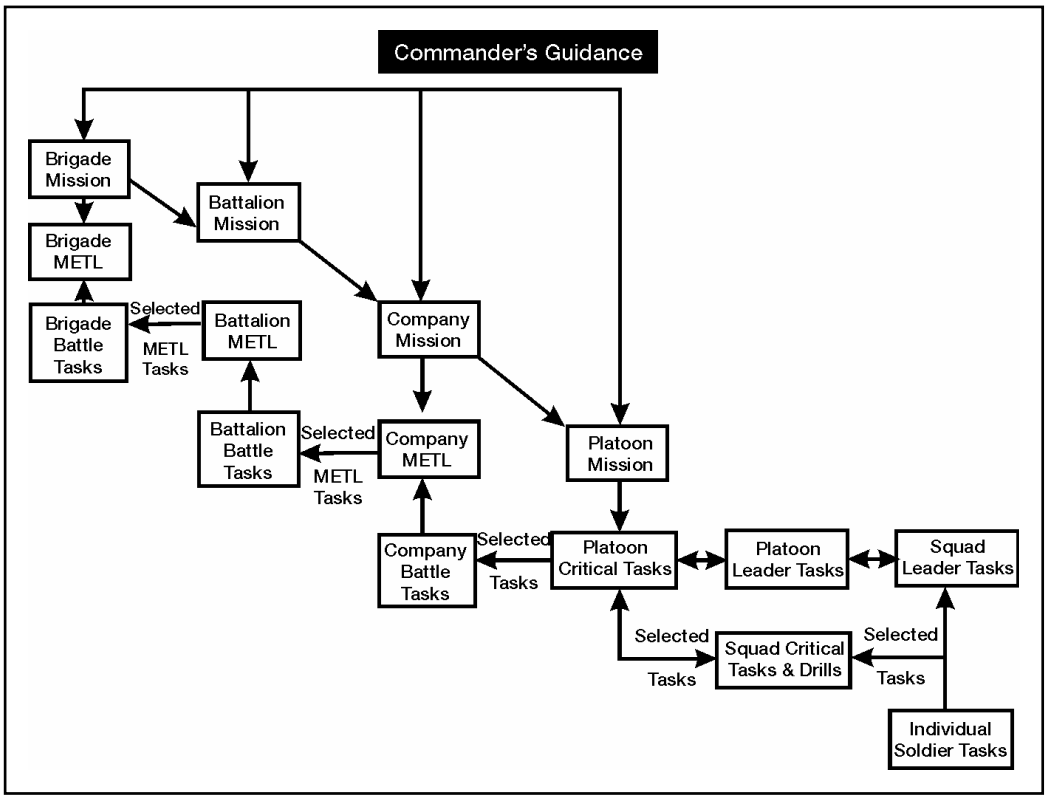

Figure 3-4. Relationships between Mission, METL, Critical Tasks, and Battle Task

BRIGADE METL DEVELOPMENT

3-27. The BCT commander involves all subordinate combat, CS, and CSS unit commanders, their CSM/1SG's, and the BCT staff in the METL development process. Their participation ensures a better understanding of the BCT mission and METL, providing insights that can be applied when they develop their METL. The BCT commander follows the METL development sequence shown in figure 3-5.

METL DEVELOPMENT SEQUENCE:

- Analyze brigade assigned mission and identify specified and implied tasks.
- Analyze operational environment and external guidance.
- Review division commander's mission and METL.
- Restate the brigade's operational mission.
- Identify collective tasks that support the brigade's restated mission. Select tasks critical for mission accomplishment. These tasks become the brigade's METL.
- Sequence METL tasks as they are expected to occur during mission execution.
- Back-brief division commander and obtain approval of brigade METL. Division commander designates selected brigade METL tasks as division battle tasks.
- Provide approved METL to staff, and to battalion and separate company commanders.

Figure 3-5. Brigade METL Development Sequence

3-28. The brigade commander—

- Analyzes the brigade's assigned mission and identifies specified and implied tasks.
- Analyzes the operational environment and other external guidance to identify any other tasks.
- Reviews the division commander's mission and METL.
- Restates the brigade wartime operational mission.
- Uses the mission-to-collective task matrix found in the ARTEP-MTP to identify the collective tasks that support the brigade's restated mission, and selects those collective tasks that are critical for wartime mission accomplishment. These tasks become the brigade's METL.
- Sequences the METL tasks as they are expected to occur during the execution of the wartime operational mission.
- Back-briefs the division commander and obtains approval of the brigade METL. The division commander selects specific brigade METL tasks as division battle tasks.
- Provides the approved METL to the staff, and battalion and separate company commanders.

BATTALION METL DEVELOPMENT

3-29. The battalion commander involves all subordinate company commanders, CSMs, 1SGs, staff, and key NCOs in the battalion METL development process. Their participation ensures a better understanding of the battalion mission and METL, providing insights that can be applied when they develop the company METLs. The battalion commander follows the METL development sequence shown in figure 3-6.

METL DEVELOPMENT SEQUENCE:

- Analyze battalion assigned mission and identify specified and implied tasks.
- Analyze operational environment and external guidance.
- Review brigade commander's mission and METL.
- Restate the battalion's operational mission.
- Identify collective tasks that support the battalion's restated mission. Select tasks critical for mission accomplishment. These tasks become the battalion's METL.
- Sequence METL tasks as they are expected to occur during mission execution.
- Back-brief brigade commander and obtain approval of battalion METL. Brigade commander designates selected battalion METL tasks as brigade battle tasks.
- Provide approved METL to staff and company commanders.

Figure 3-6. Battalion METL Development Sequence

3-30. The battalion commander—

- Analyzes the battalion's assigned mission and identifies specified and implied tasks.
- Analyzes the operational environment and other external guidance to identify any other tasks.
- Reviews the brigade commander's mission and METL.
- Restates the battalion wartime operational mission.
- Uses the mission-to-collective task matrix found in the ARTEP-MTP to identify the collective tasks that support the battalion's restated mission, and selects those collective tasks that are critical for wartime mission accomplishment. These tasks become the battalion's METL.
- Sequences the METL tasks as they are expected to occur during the execution of the wartime operational mission.
- Back-briefs the brigade commander and obtains approval of the battalion METL. The brigade commander selects specific battalion METL tasks as brigade battle tasks.
- Provides the approved METL to the staff and company commanders.

3-31. Figure 3-7 illustrates the battalion and separate company METL for the BCT METL task "Conduct an Attack."

3-32. The remainder of this chapter describes and illustrates—

- Company METL development.
- Platoon critical task and drill list development.
- Squad/section/crew/team critical task and drill list development.
- Individual soldier task list development.

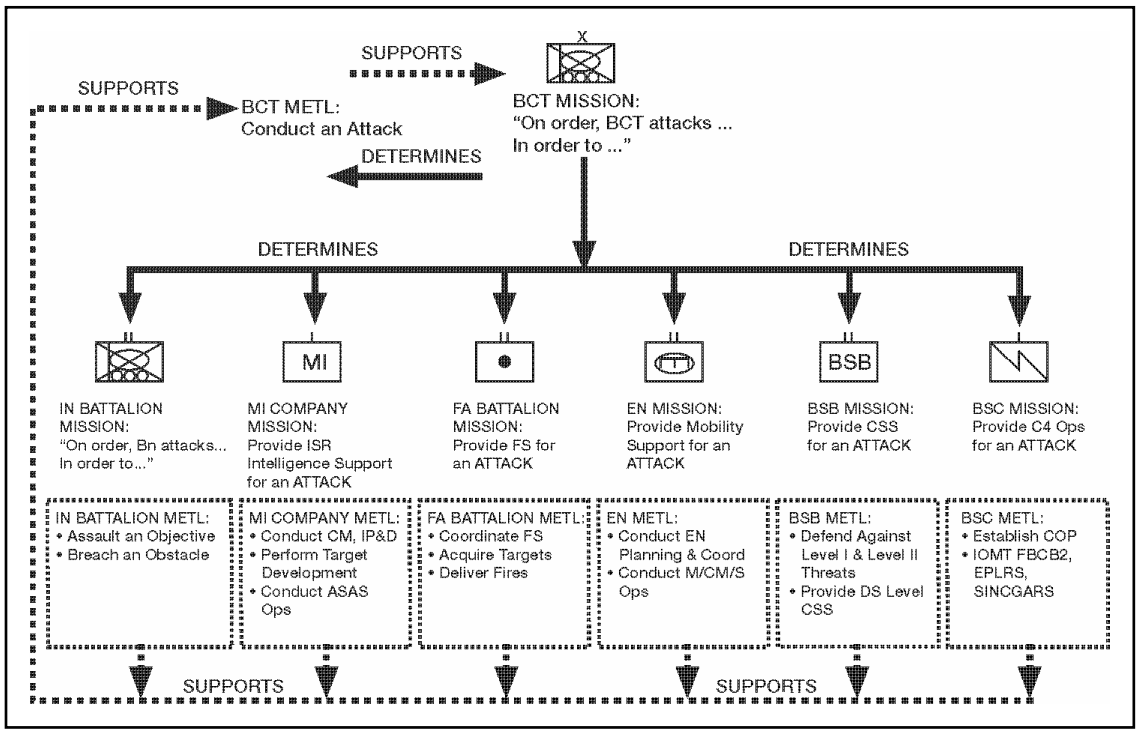

Figure 3-7. METL Crosswalk

COMPANY METL DEVELOPMENT

Description

3-33. The company commander involves the 1SG, all platoon leaders, and key NCOs in the company METL development process. Their participation ensures a better understanding of the company's mission and METL, providing them insights that can be applied when they develop the platoon critical tasks and platoon-level leader tasks. The company commander follows the METL development sequence shown in figure 3-8.

METL DEVELOPMENT SEQUENCE:

- Analyze company assigned mission and identify specified and implied tasks.
- Analyze operational environment and external guidance.
- Review battalion commander's mission and METL.
- Restate company operational mission.
- Identify collective tasks that support the company's restated mission. Select tasks critical for mission accomplishment. These tasks become the company's METL.
- Sequence METL tasks as they are expected to occur during mission execution.
- Back-brief battalion commander and obtain approval of company METL. Battalion commander designates selected company METL tasks as battalion battle tasks.
- Provide approved METL to platoon leaders and subordinate leaders.

Figure 3-8. Company METL Development Sequence

3-34. The company commander—

- Analyzes the company's assigned mission and identifies specified and implied tasks.
- Analyzes the operational environment and other external guidance to identify any other tasks.
- Reviews the battalion commander's mission and METL.
- Restates the company wartime operational mission.
- Uses the mission-to-collective task matrix found in the ARTEP-MTP to identify the collective tasks that support the company's restated mission, and selects those collective tasks that are critical for wartime mission accomplishment. These tasks become the company's METL.
- Sequences the METL tasks as they are expected to occur during the execution of the wartime operational mission.
- Back-briefs the battalion commander and obtains approval of the company METL. The battalion commander selects specific company METL tasks as battalion battle tasks.
- Provides the approved METL to the platoon leaders and other subordinate leaders.

3-35. The importance of METL development followed by the collective task to individual task crosswalk at company, battery, and troop level and below cannot be over emphasized. Figure 3-9 illustrates the company commander's analysis sequence used during METL development. The company commander pays particular attention to company METL tasks selected by the battalion commander as battalion battle tasks. The company commander must acknowledge the critical importance of achieving and sustaining proficiency on company METL tasks necessary to the battalion accomplishing its wartime operational mission.

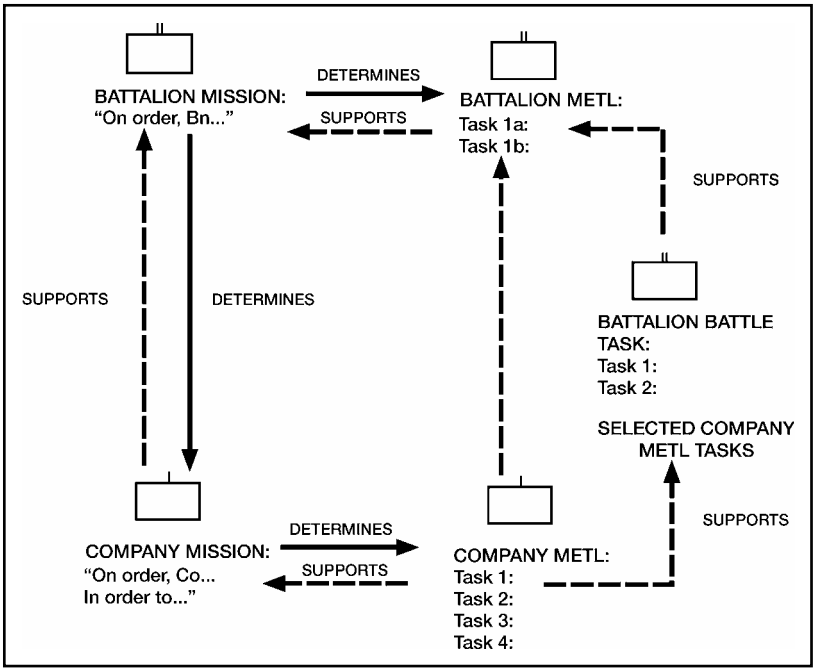

Figure 3-9. Company METL Development

Company METL Development Examples

3-36. An example of METL development for an infantry company is shown in figure 3-10. This example illustrates the supporting relationships of the infantry company mission and METL to the infantry battalion mission and METL.

3-37. An example of METL development for an FA battery is shown in figure 3-11. This example highlights the supporting relationships between an FA battalion's METL, a firing battery's METL, and an FA battalion tactical operations center's (TOC's) and fire direction center's (FDC's) staff METL tasks.

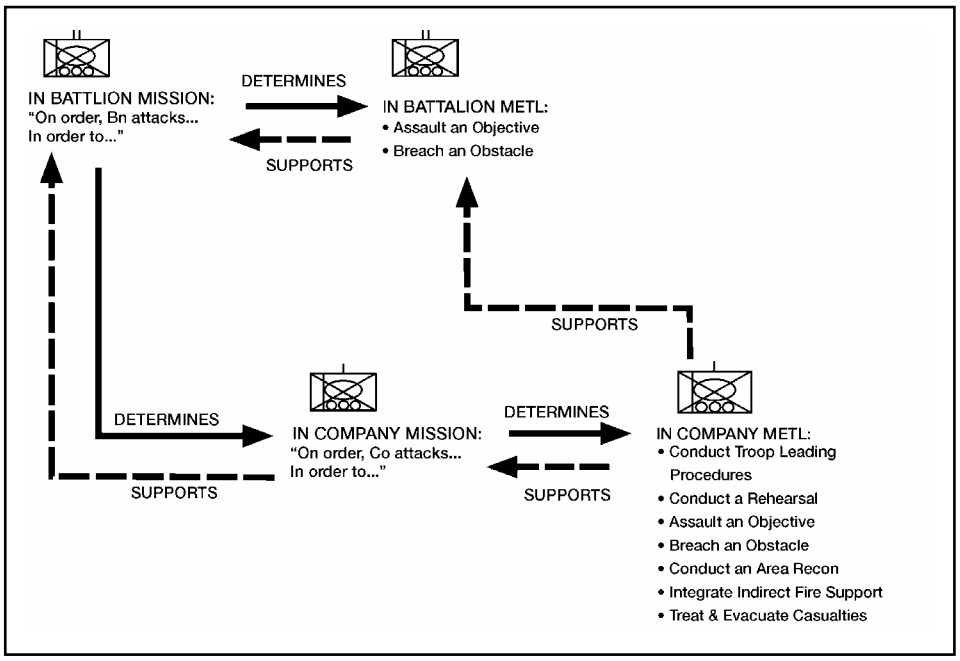

Figure 3-10. Infantry Company METL Development

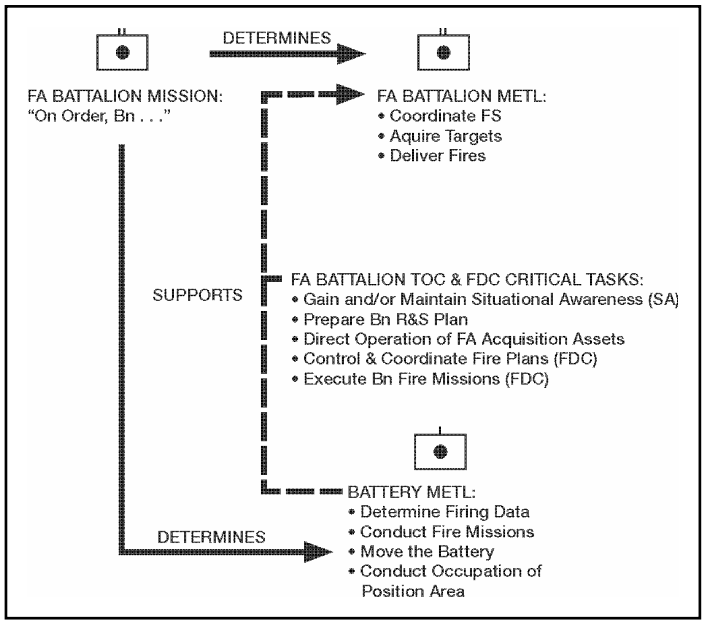

Figure 3-11. Battery METL Development

3-38. An example of METL development for a brigade support medical company in the brigade support battalion (BSB) is shown in figure 3-12. It illustrates the supporting relationships of the brigade support medical company mission and METL to the BSB mission and METL. The headquarters and distribution company and the forward maintenance company of the BSB also follow this same METL development process.

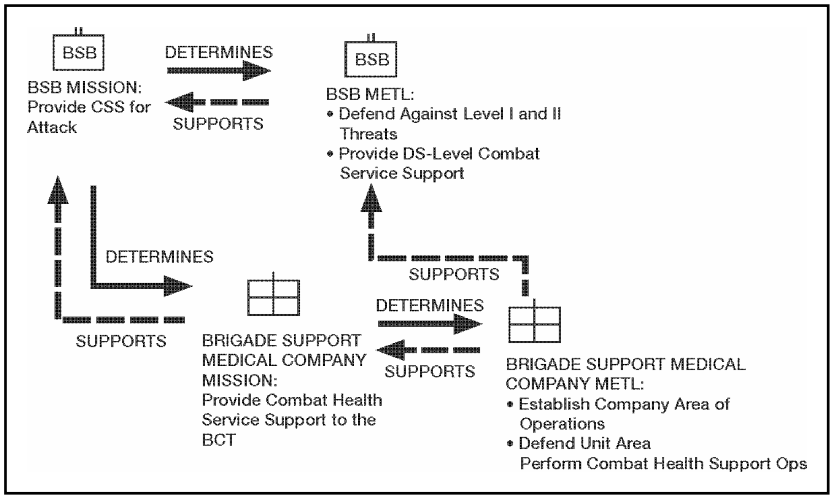

Figure 3-12. Brigade Support Medical Company METL Development

PLATOON CRITICAL TASK AND DRILL LIST DEVELOPMENT

Description

3-39. Platoon and below must perform critical tasks that are essential to company METL accomplishment. The development of the platoon critical tasks and drills list requires discussion between the company commander and platoon leader—

- The company commander and 1SG discuss the company mission and METL with the platoon leader and platoon sergeant (PSG). The platoon leader back-briefs the company commander on the platoon mission.
- The platoon leader, with the PSG, and using the appropriate ARTEP-MTP, selects platoon critical tasks and drills that support the company METL and platoon mission.
- The platoon leader discusses the proposed platoon critical tasks and drills list with the company commander. The company commander provides feedback on the selected platoon critical tasks and drills list. The company commander approves (modifies as necessary) the platoon critical tasks and drills list.
- The company commander designates platoon-level leader tasks that are essential for the platoon leader to execute platoon critical tasks and drills to standard.

3-40. Figure 3-13 illustrates company commander, platoon leader, and PSG actions during selection of platoon critical tasks and drills and platoon-level leader tasks. The platoon leader uses the battalion commander approved METL as the start point.

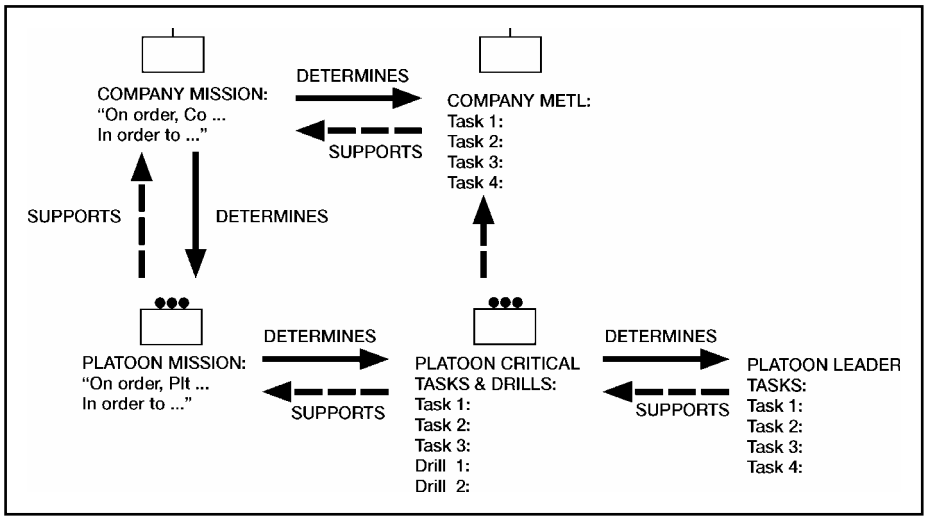

Figure 3-13. Selection of Platoon Critical Tasks and Platoon-Level Leader Tasks

Examples

3-41. Examples of platoon critical tasks and platoon-level leader tasks selected for an infantry platoon are shown in figure 3-14. The figure illustrates the relationship of the platoon mission and critical tasks to the company mission and METL. It also shows the supporting relationships of the platoon-level leader tasks to the platoon critical tasks.

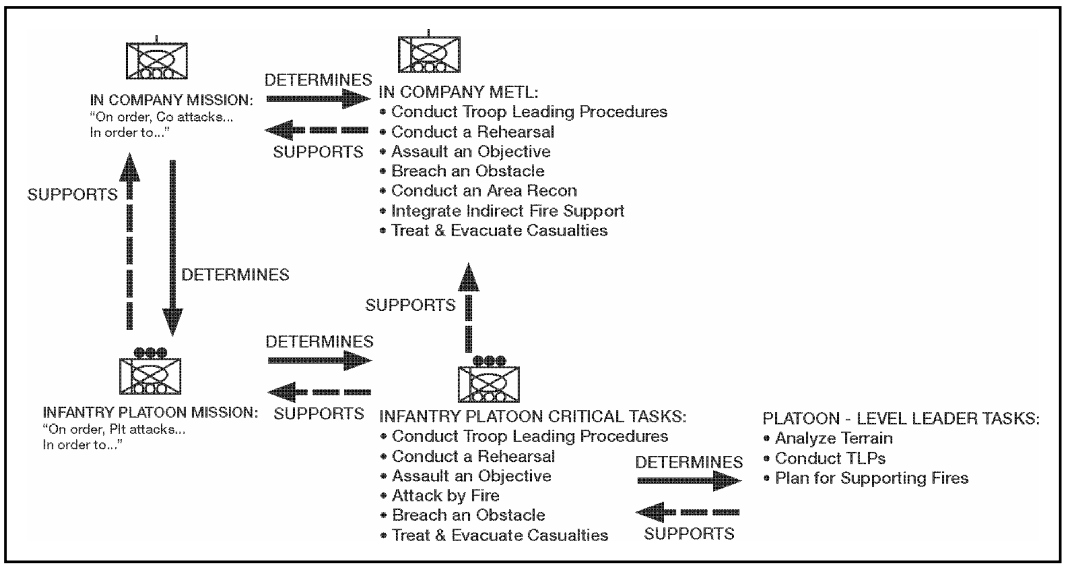

Figure 3-14. Selection of Infantry Platoon Critical Tasks and Platoon-Level Leader Tasks

3-42. Figure 3-15 illustrates the results of the FA battery commander, XO, FDO, and firing platoon leaders analysis to select FDC and howitzer platoon critical tasks. It also shows the results of the company FSO and fire support NCO (FSNCO) analysis to select FIST critical tasks.

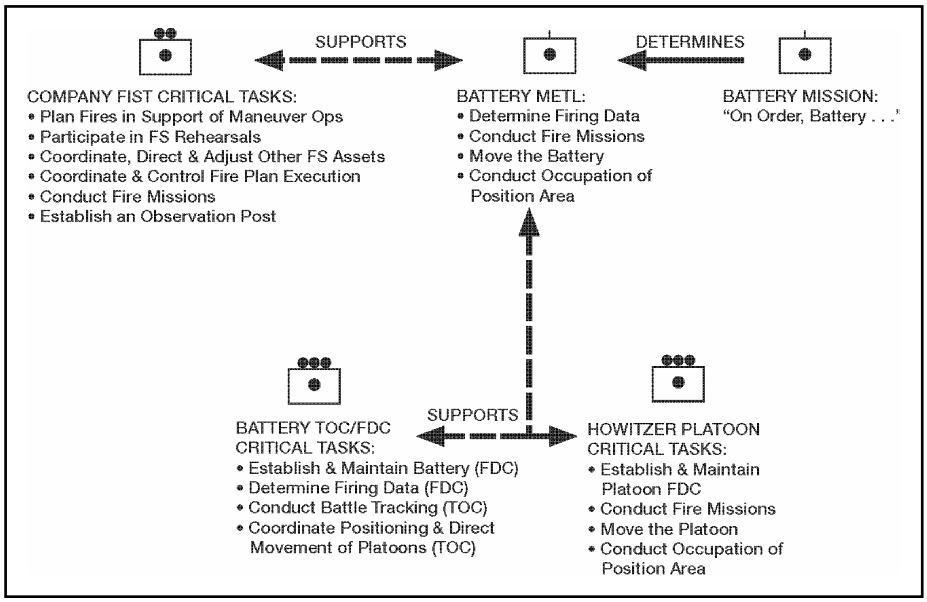

Figure 3-15. Selection of Platoon, Section, and Team Critical Tasks

3-43. An example of platoon critical tasks and platoon-level leader task selection for the ambulance platoon of the brigade support medical company is shown at figure 3-16.

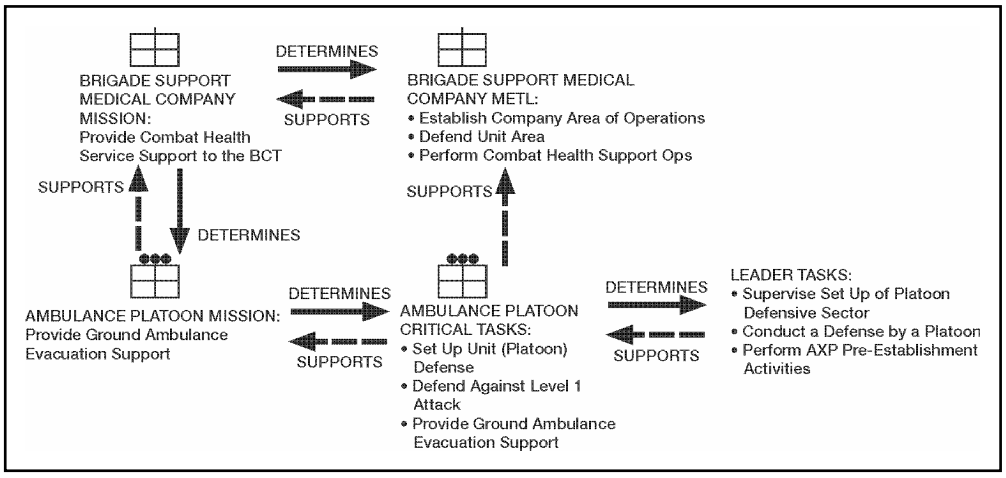

Figure 3-16. Selection of Ambulance Platoon Critical Tasks and Platoon-Level Leader Tasks

SQUAD/SECTION/CREW/TEAM CRITICAL TASK AND DRILL LIST DEVELOPMENT

Description

3-44. The development of the squad/crew/team critical task and drill list, supporting squad-level leader tasks, and supporting individual soldier tasks requires discussion between the platoon leader, PSG, and squad leaders—

- The platoon leader briefs the platoon sergeant and squad leaders on the platoon mission, critical task and drill list, and platoon-level leader tasks.
- The platoon sergeant and squad leaders, using the appropriate ARTEP-MTP and drills, discuss and select squad/crew/team collective tasks and drills, and squad-level leader tasks that support the platoon's critical task and drill list.
- The PSG and squad leaders back-brief the platoon leader on selected supporting squad/crew/team critical tasks and drills, and squad-level leader tasks. The platoon leader approves (modifies as necessary) the proposed squad/crew/team critical task and drill list, and squad-level leader tasks.

3-45. Figure 3-17 depicts platoon leader, PSG, and squad leader actions during the selection of squad critical tasks and drills and squad-level leader tasks. Platoon leaders use the company commander-approved platoon critical task and drill list as their start point.

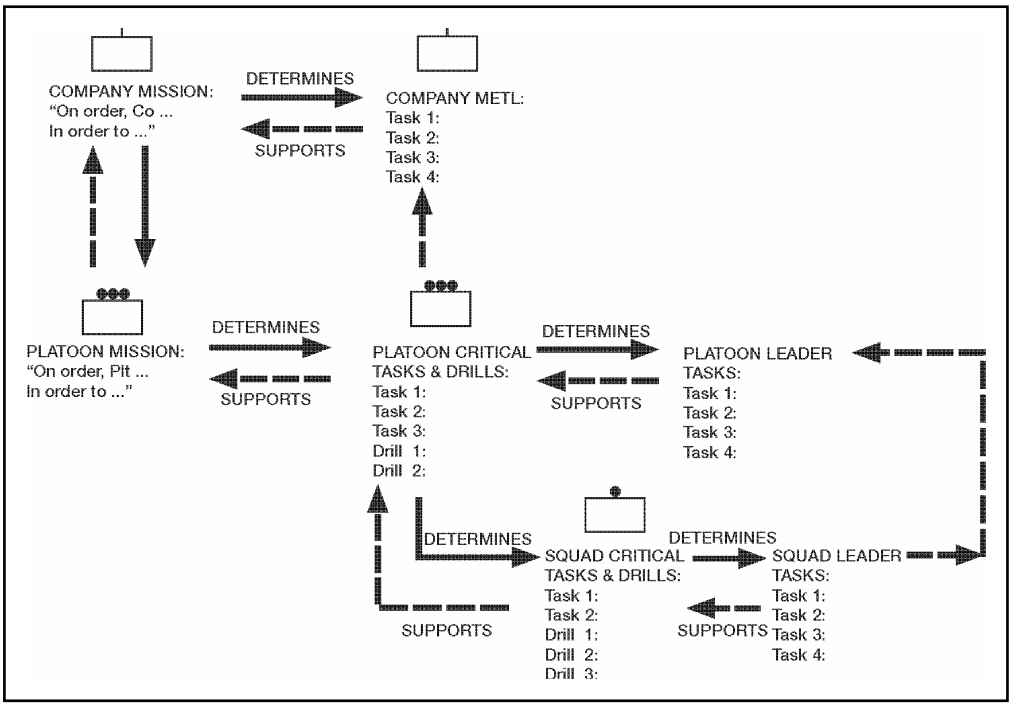

Figure 3-17. Selection of Squad Critical Tasks and Drills, and Squad-Level Leader Tasks

Examples

3-46. Figure 3-18 illustrates the process of developing an infantry squad critical task and drill list.

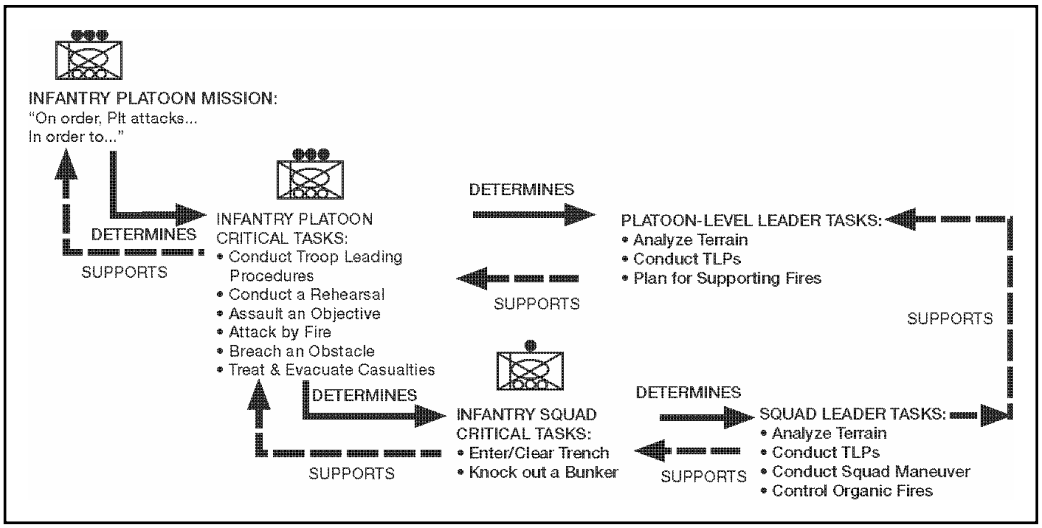

Figure 3-18. Selection of Infantry Squad Critical Tasks and Squad-Level Leader Tasks

3-47. Figure 3-19 shows an example of battery FDC, howitzer section, and FIST critical tasks. The figure also shows the battery FDO, howitzer section sergeant, and company FSO-level leader task selections for a BCT direct support (DS) FA battalion.

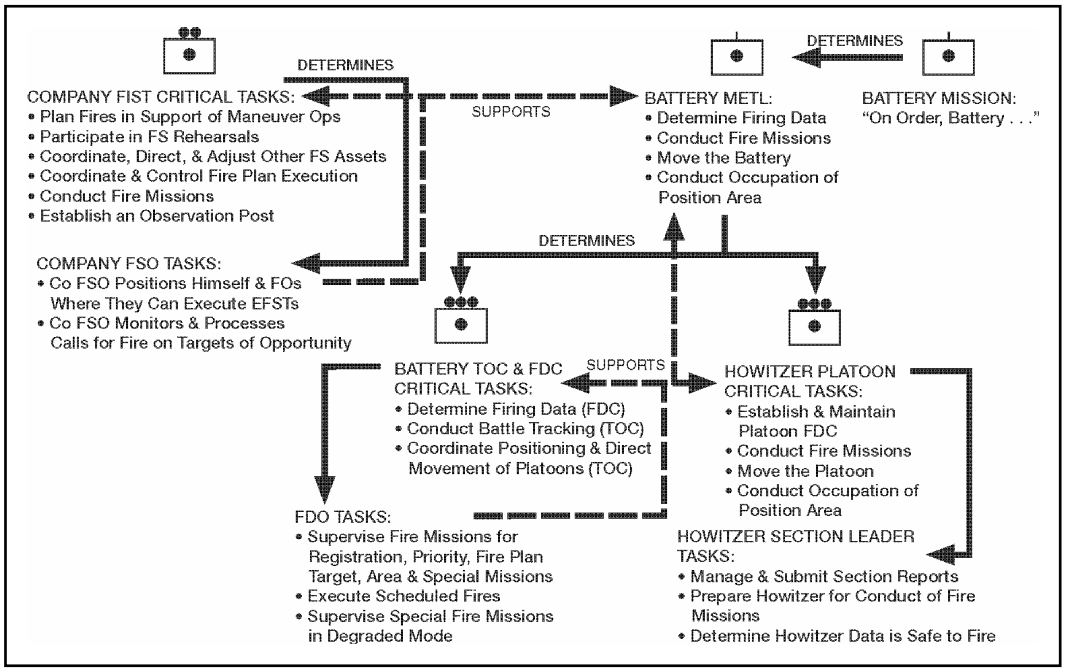

Figure 3-19. Selection of Section Critical Tasks and Section-Level Leader Tasks

3-48. Squad critical task and squad-level leader task selections for an ambulance squad in the brigade support medical company are illustrated in figure 3-20.

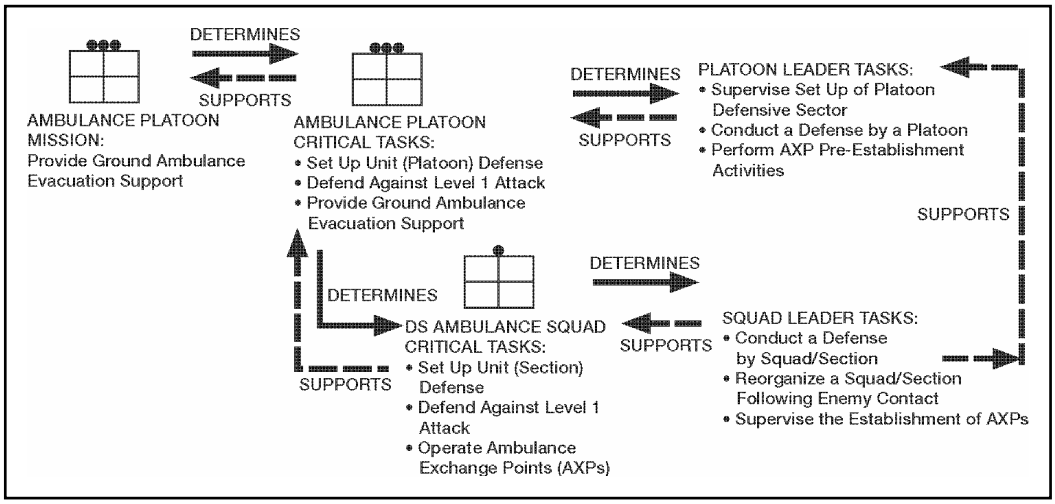

Figure 3-20. Selection of Ambulance Squad Critical Tasks and Squad-Level Leader Tasks

INDIVIDUAL SOLDIER TASK SELECTION

Description

3-49. The development and selection of supporting individual soldier tasks requires discussion between the platoon leader, PSG, and squad leaders—

- Based on the platoon leader's guidance, the PSG and squad leaders, using appropriate ARTEP-MTP and STP, select individual soldier tasks that support platoon and squad/crew/team critical tasks and drills.
- The PSG provides feedback to the squad leaders on selected individual soldier tasks. The PSG reviews and modifies as necessary supporting individual soldier tasks selected by the squad leaders.
- The platoon leader approves the supporting individual soldier tasks selected by the squad leaders.
- The PSG briefs the company 1SG on the platoon leader's approved squad/crew/team critical collective tasks and drills and supporting individual soldier tasks.

3-50. Figure 3-21 illustrates the process of selecting individual soldier tasks. This figure shows that individual task proficiency provides the basic building block of collective task proficiency.

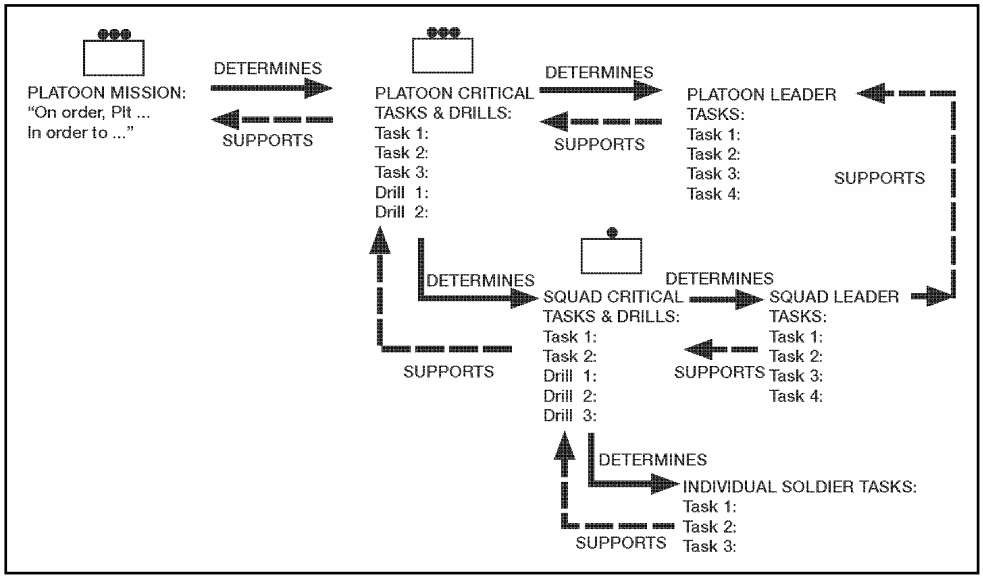

Figure 3-21. Selection of Individual Soldier Tasks

Examples

3-51. Figure 3-22 illustrates the individual soldier task selection process for the soldiers of the infantry squad.

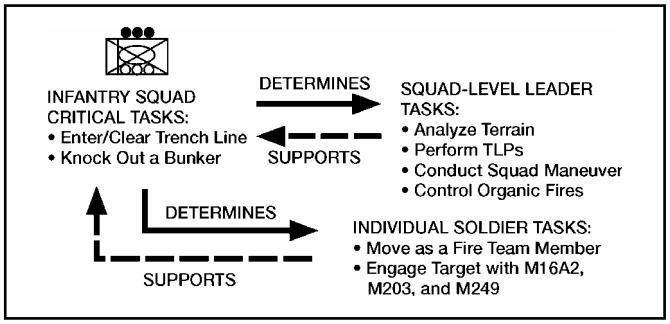

Figure 3-22. Selection of Infantry Individual Soldier Tasks

3-52. An example of individual soldier task selection for an FA battery FDC, howitzer section, and company FIST is shown in figure 3-23.

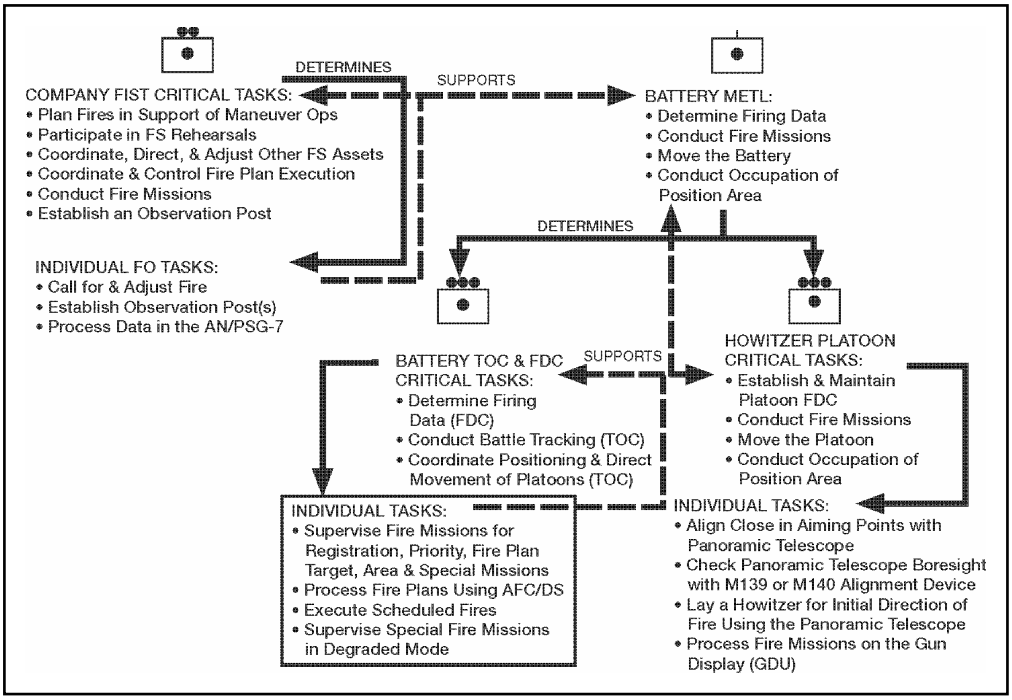

Figure 3-23. Selection of Individual Tasks

3-53. Individual soldier task selection for soldiers of the ambulance squad is shown in figure 3-24.

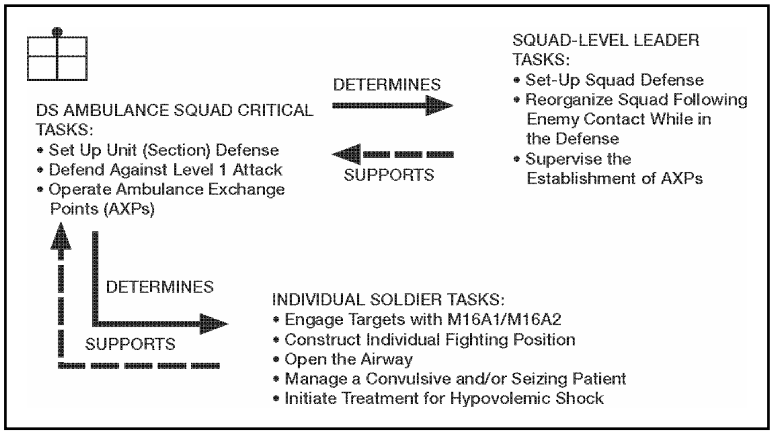

Figure 3-24. Selection of Medical Individual Soldier Tasks

PRACTICAL EXERCISE 1

Title

TASK LIST DEVELOPMENT

Lesson Number/Title

T323 / TRAINING MANAGEMENT AT THE SQUAD LEVEL

Introduction

Training is the Army's top priority. It prepares us to fight. As leaders, our sacred responsibility is to ensure that no soldier ever dies in combat due to lack of, or improper training.

Motivator

As a squad leader, one of your responsibilities is selecting the tasks in which your squad must become proficient in order to support the unit's METL.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Implement training management at the squad level.
Conditions:	While serving as a squad leader in simulated operational conditions.
Standards:	Implemented training management at the squad level IAW FM 7-0, FM 7-1, and STP 21-1 SMCT.

Safety Requirements

None

Risk Assessment

Low

Environmental Considerations

None

Evaluation

During this course, you will take a 50-question examination. The examination will include questions on the ELOs and TLO from this lesson. You must correctly answer at least 35 questions to receive a GO. A GO is a graduation requirement.

Instructional Lead-In

This PE will provide you an opportunity to select tasks that you and your squad should train to support the unit's METL and the training mission.

Resource Requirements	**Instructor Materials:** • Paper, easel paper and/or white board. • PE-1 • Solution for PE-1 **Student Materials:** • Advance sheet. • SH-3, extract from FM 7-0, Chap 2. • SH-4, extract from FM 7-1, Chap 3. • Student Handout 2, extract from STP 21-1 SMCT. • Pencils or pens and writing paper.
Special Instructions	None
Instructions	Read the scenario on page C-3. Using the information in SH-2, determine what task you selected for training for your squad to support the critical tasks identified for the platoon. You will have 30 minutes to complete the PE. We will discuss your responses in class.
Feedback Requirements	None

PRACTICAL EXERCISE-1

General Instructions:

1. You are a member of A company, 521st Transportation battalion. The battalion commander approved your unit's METL. The METL identifies critical tasks for each platoon and now it is time for squad leaders to select tasks to train that support the platoon's critical tasks.

2. The platoon's critical tasks are as follows:

   a. Breach obstacles.
   b. Guard detained POWs.
   c. Treat casualties.
   d. Conduct platoon movements.
   e. Breach minefields.
   f. Move under fire.

3. Use the information in SH-2 to select the appropriate tasks (title and task number) for your squad to train that support the platoon's critical tasks. Write your answers on a separate sheet of paper.

HANDOUT FOR LESSON 1: W324 version 1

This Appendix Contains

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1
SH-2, Extracted material from FM 3-3	SH-2-1
SH-3, Extracted material from FM 3-11.4	SH-3-1
SH-4, Extracted material from FM 25-51	SH-4-1

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Student Handout 1

Advance Sheet

Lesson Hours

This lesson consists of two hours of small group instruction.

Overview

You as a leader will have to prepare your soldiers for the threats of NBC attacks on the modern battlefield. This lesson will show you how to be successful in preparing your soldiers in identifying the basic characteristics, effects, and actions necessary to function in a Nuclear, Biological, and Chemical (NBC) environment.

Learning Objective

Terminal Learning Objective (TLO)

Action:	Direct the actions necessary to function in a Nuclear, Biological, and Chemical (NBC) environment on the battlefield.
Conditions:	As a small unit leader in a company or battalion level unit.
Standards:	Identified the basic characteristics, effects, and actions necessary to function in a Nuclear, Biological, and Chemical (NBC) environment on the battlefield IAW FM 25-51, FM 3-3, FM 3-11.4.

ELO A Describe the basic effects of a nuclear detonation.
ELO B Describe the categories of a biological weapon and avoidance procedures.
ELO C Describe the categories of a chemical weapon.
ELO D Identify actions to take before, during, and after Nuclear, Biological, or Chemical (NBC) attacks.

Assignments

The student assignments for this lesson are:

- Read Student Handout 1.
- Read FM 3-3, Chemical and Biological Contamination Avoidance, Chapter 3, pages 3-0 and 3-1 and Chapter 4, pages 4-0 thru 4-9 (SH-2).
- Read FM 3-11.4, Multiservice Tactics, Techniques, and Procedures for Nuclear, Biological, and Chemical (NBC) Protection, Chapter II (SH-3).
- Read FM 25-51, Battalion Task Force Nuclear Training, Chapter 2 (SH-4).

Additional Subject Area Resources

None.

Bring to Class

- All reference material received for this lesson.
- Pen or pencil and writing paper.

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Student Handout 2

Extracted Material from FM 3-3

This student handout contains 12 pages of extracted material from the following publication:

FM 3-3, Chemical and Biological Contamination Avoidance, 16 Nov 1992, w/chg 1, 29 Sep 94.

Chapter 3	pages 3-0 and 3-1
Chapter 4	pages 4-0 thru 4-9

Disclaimer: The training developer downloaded the extracted material from the General Dennis J. Reimer Training and Doctrine Digital Library. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Chapter 3
Chemical Agents

Avoidance of chemical agents requires a complete understanding of physical characteristics, employment, and weather and terrain conditions. Units can then estimate when and where specific type of chemical agents will be used, where the hazards are, and how best to avoid them.

Threat forces are equipped, structured, and trained to conduct chemical operations. We expect them to use chemical agents as part of their conventional fighting capability because so much of their training revolves around the use of such agents.

The basic threat principle is to use chemical agents on unprotected troops to create casualties. Against protected troops, the primary purpose is to make the use of equipment, terrain, and operations more difficult. The use of chemical weapons by the threat forces initially may require a decision at the same level as nuclear weapons. But they most likely will be used more freely once the initial use has been authorized. Threat forces consider chemical weapons as an extension of conventional warfare. If units understand the uses of chemical agents, they will be better able to avoid chemical hazards.

Types of Chemical Agents

Chemical agents may be classified persistent, nonpersistent and dusty. Threat forces classify chemical agents according to their effect on the body. They identify six major types—nerve, blood, blister, choking, psychochemical, and irritants.

Persistent

Threat forces are known to stockpile persistent and nonpersistent agents.

Persistent agents are used to impede the use of critical terrain, channelize the attacking force, or contaminate materiel. Persistent chemical agents are used to produce casualties (immediate or delayed). Immediate casualties occur when the soldier inhales the vapor. Delayed casualties occur and is absorbed through the skin demonstrating the need for protective equipment.

Persistent agents are used to—

- Contaminate rear area supply depots.
- Defend avenues of approach.
- Neutralize personnel defending a strong point.
- Protect flanks.
- Degrade unit efficiency,

To avoid persistent agents-

Avoid areas heavily splashed with liquid contamination which may be persistent for several days (depending on weather and type of agent). See FM 3-6 for more details.

- Cover personnel, equipment, and supplies whenever possible.
- Monitor for the chemical agent for 2 to 10 days (depending on weather and type of agent). See FM 3-6 for more details.
- Concentrate on finding clean areas and routes (recon units).
- Cross contaminated areas in MOPP 4.
- Mark contaminated areas.
- Avoid contact with unknown liquids.

Nonpersistent

Threat forces currently stockpile blood agents, choking agents, psychochemical agents and nerve agents such as Tabun (GA), Sarin (GB), and Soman (GD). Although G-series nerve agents (GA, GB, GD and GF) are classified as nonpersistent agents, some G agents may persist for hours to days. Refer to Table 1-2 in Chapter 1 of this Field Manual or FM 3-4 for persistency data. Nonpersistent agents should be expected along the forward line of troops (FLOT), and against units in contact with the attacking echelon. These agents are used to immobilize, injure, or hinder activities of the unit under attack. For example, threat may use a blood agent at a critical moment in battle to force troops into a higher MOPP level. Forcing troops into a higher MOPP level reduces morale and degrades performance. Another advantage is that the threat would not need to decontaminate the area before occupying it. Nonpersistent agents act through the respiratory system or through skin absorption.

Nonpersistent agents are used to—

- Create favorable fighting conditions.
- Produce casualties prior to an assault.
- Degrade and suppress troops by forcing them into a higher MOPP level.
- Allow occupation without decontamination.

To avoid nonpersistent agents-

- Avoid low areas and enclosed spaces where vapors lingers.
- Camouflage
- Maintain discipline

Dusty

Dusty agents, (toxic dust or dust-impregnated agents as they may be referred to) are not new. These agents have been subjected to extensive scientific research since the 1930's. These agents are primarily mustard (HD) and the nerve agent sarin (GB) impregnated onto a solid sorbent (usually on silica) and dispensed as aerosols. These agents generally have a lower vapor pressure and a dramatic increase in inhalation toxicity.

Vapors off gassing from the solid sorbent may be detected by the M256 Chemical Agent Detector Kit, Chemical Agent Monitor (CAM) or when mixed in water, by the M272 Water Test Kit.

Detection and Identification

Following OPSEC measures, the next most important step in chemical contamination avoidance is detecting and locating chemical agents. Once agents are detected units can be warned to take appropriate protective measures, and can plan operations to minimize the effects of chemical agents. Detection allows individuals to survive and units to accomplish their missions.

Chemical agents will be delivered either directly on unit positions (on-target attacks) or upwind to drift over the unit position (off-target attacks). Detection methods differ for each type of attack.

On-target attacks produce immediate casualties by contaminating troops and equipment. If the attack is intended to produce immediate casualties, a large amount of agent must be delivered in a very short time (within 30 seconds). The M8 series alarm does not detect all chemical agents; it takes several seconds to respond to those agents it does detect. Therefore, a large percentage of troops might be exposed to chemical agents before the alarm sounds. As an example the M8 Alarm will sound within 2-3 minutes when exposed to an nonpersistent nerve agent concentration of GB at 0.2 mg/m^3 and persistent nerve agent VX at 0.4 mg/m^3. The M8A1 alarm will sound within 1-2 minutes with an agent concentration of GB at 0.1 mg/m^3 and VX at 0.1 mg/m^3. This means that troops must recognize the delivery of the chemical agent, observe a color change in the detector paper, or recognize symptoms of chemical agent poisoning.

Off-target attacks are easier to protect against. Units use the M8 series alarm to alert the unit that a chemical agent is about to drift over their position. Detector paper also can alert units that they are moving into a contaminated area. Protective action can then be taken before troops are exposed to the agent. Table 3-1 shows the arrival time of chemical agents for various wind speeds. A distance of 150 meters was chosen for the table because it is the optimum distance that the detector can be placed upwind and a chemical agent cloud cannot slip behind the alarm and hit the unit.

Table 3-1. Wind speed effects on arrival time of chemical agents.

Wind Speed (kmph)	Time Before Agent Reaches Unit Location (seconds)	Distance Between Unit and Detectors (meters)
5	108	150
10	54	150
15	36	150
20	27	150
25	22	150

When using this chart, commanders must realize that if the concentration of chemical agents is low, the alarm may not respond for several seconds. Also the average time for individuals to mask (including reaction time) is about 15 seconds. Warning times for different distances and wind speeds can be determined using the following formula—

$$\text{Warning time (see)} = \frac{\text{Distance (m)} \times 36}{\text{Wind speed (kmph)} \times 10}$$

36 is the factor to convert hours to seconds

10 is the factor to convert kilometers to meters

This method can be used only to warn against agents drifting into the unit location. On-target attacks circumvent detectors placed at this maximum distance.

Automatic Chemical Agent Alarm

The automatic chemical agent alarm (ACAA) can be used in a stationary position. Keep the detector upwind at all times.

As soon as a unit arrives in an area it plans to occupy, it emplaces the alarms. The detectors are always placed upwind. Unless circumstances do not permit, they should be no more than 150 meters upwind from the farthest upwind position of the unit. This warns the soldiers upwind as well as the soldiers farther downwind. The detector units should never be placed more than 400 meters from the alarm unit. Otherwise the signal may not be strong enough to sound the alarm. The optimum spacing of 300 meters between detectors reduces the risk that a chemical agent cloud will drift between detectors without sounding the alarm. The number of alarms needed to protect a unit depends on the unit size. The larger the unit front, the more detectors are needed to warn the unit. In this case, front means the upwind direction. Front could be the left or right flank or the forward or rear edge of the unit. Table 3-2 gives an estimate of the number of detectors needed for fixed employment of the alarms.

Chapter 4
Biological Agents

The avoidance of biological agents requires an understanding of what biological agents are, how they may be used, and what happens to them once they are released. Units can then anticipate when and where biological agents will be used. They can estimate where the hazard is located so avoidance procedures can be initiated.

Biological agents are divided into two broad categories — pathogens and toxins.

Pathogens

Pathogens are infectious agents that cause disease in man, animals, or plants. Agents that constitute antipersonnel biological warfare (BW) threats include bacteria, viruses, and rickettsias (see Appendix B). These are commonly referred to as germs. While the vast majority of microorganisms are harmless or even helpful, there are about 100 naturally occurring pathogens that could be used as biological warfare (BW) agents. Pathogens cause disease (infection) by entering the body through the lungs, digestive tract, through the skin and mucous membranes of body openings.

Once they enter the body, pathogens multiply, overcoming the body's natural defenses, and produce disease. All bacteria do not require living cells for growth. Symptoms most commonly associated with pathogen infection include upper respiratory flu or cold like symptoms, vomiting, diarrhea, pneumonia or skin lesions (spots or rashes). Some pathogens, cause nervous systems damage (headache, paralysis, convulsions, or coma).

Bacteria

Bacteria are living microorganisms. Unlike viruses and rickettsias, they are capable of reproduction outside living cells. If they enter the body and if the victim is not properly treated, the microorganism will multiply and incapacitate the host. Bacteria can be found in almost any environment. Those few that are potential BW agents have the ability to rapidly cause illness after entering the body through the lungs or digestive tract. A typical bacterial cell is 1-2 microns in diameter and 2-10 microns in length (1,000,000 microns = 1 meter).

Viruses

Viruses constitute a large group of infectious organisms. Unlike bacteria, they must be inside a cell in order to multiply. Viruses multiply by taking over the cell, causing it to produce viruses instead of normal cell components. After producing hundreds or even thousands of virus particles, the cell is often destroyed as these particles are released. Viruses are much smaller than bacteria, ranging from 0.02 - 0.2 microns in size. Their small size means that a relatively small amount of agent can infect a large number of personnel across a wide area.

Rickettsiae

Rickettsiae are bacteria that are unable to multiply unless they are within a living cell. Most are spread from one person to another by means of an insect or tick that serves as a vector. The rickettsia will be picked up by the vector from one infected person or animal, which then transmits the rickettsia when it bites its next victim. Rickettsiae are smaller than most bacteria, but larger than viruses.

Toxins

Toxins are poisonous substances produced as by-products of microorganisms (the pathogens), plants, and animals. Some toxins can be chemically synthesized, and some can be artificially produced with genetic engineering techniques. Toxins exert their lethal or incapacitating effects by interfering with certain cell and tissue functions. Basically, there are toxins that disrupt nerve impulses (neurotoxins) and toxins that destroy cells by disrupting cell respiration and metabolism (cytotoxins). There is a vast range of signs and symptoms with both toxin types. These signs and symptoms can be confused with both chemical and pathogen poisoning.

The neurotoxins tend to be quick acting and produce nerve agent-like symptoms in seconds to hours. Symptoms of neurotoxin poisoning range from mental confusion, loss of balance, and vision problems to a limp paralysis or convulsive-type seizures leading to coma and death.

An example of a neurotoxin is palytoxin, produced by a bacterium in palython soft corals. This is a fast acting toxin causing muscle paralysis then death within 5 minutes.

Cytotoxins tend to be slower acting and produce choking, blistering, or even radiation-like symptoms in a period of hours to days. Symptoms range from skin lesions such as blisters, to vomiting, diarrhea, coughing, and choking (the latter three signs may be accompanied by bloody discharges) to marked weakness, coma, and death.

An example of a cytotoxin is trichothecenes (T-2

toxin) which is a group of about 40 delayed acting. fungal toxins (mycotoxins). These are produced from molds of infected grain and were reportedly used in Southeast Asia and Afghanistan in the 1970's and 1980's. T-2 toxin is often referred to as "yellow rain."

Characteristics of BW Agents

Delayed Effects

Both pathogens and some toxins - especially cytotoxins - can cause delayed effects. These effects may take hours to days before the onset of disease.

The effects of pathogens are delayed due to the required incubation period. This incubation period is the growth process of pathogens inside the body prior to disease production and differs among agents.

Toxins, unlike pathogens, are not living organisms The delayed effects are not caused by an incubation period. The delay is caused by the time required to kill or inactivate cells. Repeated exposures to small amounts (less than incapacitating or lethal effective doses) can add up to an incapacitating or lethal effective dose.

Large Area Coverage

Biological agents can be disseminated over large areas. They cart sail with the wind and travel extensive distances downwind. Pathogens can infect the target with as little as 1 to 20 microorganisms. Billions of pathogenic cells can be packed in 1 gram of agent. The light weight and small size allow these pathogens to spread easily to all areas that are not airtight. Similarly. toxins are very potent and are more toxic than nerve agents. They require very low doses to exert their effects. Toxins, like pathogens can cover large areas when disseminated.

Control

Somewhat more control can be achieved in employing toxins as compared to pathogens and they can cover larger areas than those covered by chemical aerosols. Compared to the pathogens, they are extremely toxic and lightweight, particularly if employed as art aerosol. However, being chemical by-products rather than living organisms, toxins are not infectious, contagious, nor capable of self- reproduction. Thus, area coverage and the results of the attack are much more predictable and reliable.

Pathogens, however, are difficult to control: especially if they are artifically disseminated. Because some pathogens cause contagious diseases, the victim himself becomes the sourse of agent. Both sick and dead soldiers, and their wastes, can become a hazard to those around them. The extent of this hazard will vary from agent to agent, but it is an important part of controlling and avoiding further casualties. Also, the coverage patterns of pathogen agent clouds are very sensitive to wind direction and speed. The enemy may decide to use pathogens in an attack located close to their own positions. In this case the enemy will be form-xl to use a pathogen for which their troops have immunization, or the enemy must be willing to accept some casualties.

In general, healthy skin provides an adequate barrier against most agents of biological origin. Skin (usually in a tropical environment) that has rashes, scratches, fungal infections, etc . . . is more susceptible to skin penetrants.

Skin Penetration

Some toxins, due to their small molecular weight, size, and solubility, may also penetrate the skin. MOPP gear protects the skin from the effects of such toxins and therefore must be used. For maximum protection and the lowest risk of incurring casualties, soldiers should wear the protective gear for 4 hours after the unit has been attacked or the agent cloud is predicted/known to have passed through the unit area. During this time every effort is made to identify the exact agent including its characteristics.

Weather Effects on Biological Agents

Sunlight

Most biological pathogens and some toxins are affected by ultraviolet rays in sunlight. Most attacks will likely occur at night, during extended twilight, or during overcast conditions. To overcome this problem, encapsulation (a natural or man made protective covering around the pathogen), or possibly genetic engineered pathogens, may produce agents that are resistant to direct sunlight. Thus. any agent delivered during conditions of direct sunlight, or after beginning morning nautical twilight (BMNT), should be considered as a sunlight resistant agent.

Humidity

The relative humidity that is the most favorable for the employment of a biological aerosol attack depends upon whether the agent is disseminated as a wet or dry aerosol. For a wet aersol, a high relative humidity slows the evaporation of the tiny droplets of agent. This lowers the rate of decay of the wet agent because drying may result in the death of pathogens. On the other hand, a low relative humidity favors the employment of dry agents. The extra moisture present in the air when

humidity is high may increase the decay rate of pathogens in a dry aerosol. High humidity may also promote a clumping of particles causing them to fall out of the air more rapidly.

Wind

High wind speeds increase the area covered by biological agents, but lower the casualty percentages within an area due to dilution of the agent. Most BW attacks will occur under conditions of moderate windspeed, the most effective windspeeds for target coverage being 12-30 kmph. As the agent cloud travels downwind, it gradually loses its effectiveness due to dilution caused by agent fallout, dispersal, and death of the pathogen agent or neutralization of the toxin. However, because most biological agents are lighter and more potent (weight to effect basis) than chemical agents, the downwind hazard areas of biological weapons will be much larger than those of chemical weapons. If delivered directly on target, as with a bomblet attack, the wind direction and speed will have a more limited effect on coverage, however, downwind efforts must stall be considered. If dissemination occurs far upwind from the target area in a more elevated manner, downwind effects can be even more dramatic.

Temperature Gradient

Temperature gradients may exert some effects upon the behavior of a biological aerosol cloud. However, prediction of these effects require specific knowledge of the agent and its potential carriers. The effects of temperature gradient upon biological agents are similar to those upon chemical agents. However, because biological agents are effective in lower concentrations than chemical agents, the effects of temperature gradient are less upon a biological cloud than a chemical agent cloud. A stable atmosphere (inversion) results in the greatest effects. Under unstable (lapse) and neutral conditions, more atmospheric mixing occurs leading to a cloud of lower concentration, but still sufficient to inflict casualties. Temperature gradients for biological agents normally are listed in Pasquill Stability Classes. These classes are listed in Table 4-1. As stated previously, stable atmospheric conditions produce the best effects for biological agents. This means Stability Class E or F. The Simplified Biological Downwind Hazard Prediction (SBDWHP) procedures will be used for all temperature gradients.

Precipitation and Temperature

Precipitation will tend to wash biological agents out of the air more rapidly. This will slightly reduce the downwind hazard. Most pathogens are stable at normal temperatures, thus, the effects of temperature are expected to have little or no effect on hazard predictions. With the advent of toxins, bioengineering of pathogens and encapsulation, even arctic or desert conditions are much less restrictive to the user of BW. Most toxins are more stable than pathogens and are less susceptible to the influence of temperature, relative humidity, and radiation. As a general rule cool temperatures favor the employment of wet agents and warm temperatures favor the employment of dry agents.

Table 4-1. Pasquill Stability Classes

Class	Definition
A	Extremely unstable
B	Moderately Unstable
C	Slightly Unstable
D	Neutral
E	Slightly Stable
F	Moderately Stable

Conditions:

	Daytime		Nighttime		
Surface Wind Speed, M/Sec	Strong	Moderate	Slight	Cloudy	Clear
<2	A	A-B	B		
2-3	A-B	B	C	E	F
3-4	B	B-C	C	D	E
4-6	C	C-D	D	D	D
>6	C	D	D	D	D

Windows of Vulnerability

Coordinate with higher headquarters, intelligence sources, and medical personnel to determine what biological agent is most likely to be employed by the enemy. Determine, based on agent the optimum weather conditions and method of dissemination for greatest effect for each agent considered.

Coordinate with the Divisional Staff Weather Officer (SWO) to determine when these optimal weather conditions are projected to exist m the Area of Operaation (AO). These projected times that the optimal weather conditions exists is called “the wimdow of vulnerability”. This “window” represents the best time, based on weather, for the enemy to employ biological agents. During this “window of vulnerability” if the unit is attacked with something that appears to be a chemical agent; yet no chemical alarm or detector kit responds to the agent, submit a Suspected Biological Report and obtain samples.

Persistence of Biological Agents/hazard

The persistency of a biological agent refers to the

duration of effectiveness of the agent and varies greatly between agents.

The persistency of a biological agent will depend on many factors. Weather, terrain, ultra violet rays, method of dissemination, and type of agent are just a few of the factors that contribute to the persistency of a biological hazard. These factors must be considered when determining or initiating unmasking procedures. The persistence of microbes can be enhanced by encapsulating them with a microscopic protective coat. In addition, some microbes will produce a very resistant form called a spore. This is an essentially dormant state which can reactivate when the proper conditions exist. Spores will survive heat, drying and even some radiation for years. The spore can remain on the ground until conditions become appropriate for the organism to survive. In a process called reaerosolization, the organism will be returned to its aerosol form by some outside means. The most probable scenario is that heavy vehicle traffic or winds will cause many of the organisms to be suspended in the air. This particle suspension will cause a hazard area of military significance. The threat of casualties due to reaerosolization of the biological agent is agent specific, but in most cases it will be below 5 percent.

Due to the sheer magnatiude of potential agents, persistency data, or decay rates for biological agents is beyond the scope of this manual. Two biological agents with desirable weaponizing characteristics are Bacillus, Anthracis, and Botulinum Toxin. Decay rate or persistency rate graphs for these two agents are depicted in Appendix B, Figures B-1 through B-4.

Use of Biological Agents Against US Forces

It is possible that pathogens and toxins will be used against U.S. forces. The employment of pathogens and toxins throughout the entire battle area cannot be discounted. Possible targets of pathogens include:

- Rear area command centers and key facilities.
- Troop assembly areas.
- Ports of embarkation or supply points, airfields and industrial centers prior to the outbreak of hostilities.

Possible targets of toxins include —

- Forward combat areas and logistical areas.
- Any area that presents a likely target for a terroist or insurgent group.

The use of biological agents will complement the effects of other weapon systems. For example, threat forces could use pathogens with incubation periods that will cause the outbreak of disease, days or weeks after a nuclear attack. This would maximize the effects radiation has on reducing the body's immune system. They could also use pathogens before a planned offensive maneuver. The maneuver would be timed to coincide with the incubation period of the pathogen. Troops in a weakened state due to the onset of illness will be more susceptible to fatigue, have slower reaction time, and will have their ability to make decisions hampered. This further reduces our capability to wage war. Biological agents can be used singularly or in combination with other biological or chemical agents. This causes confusion in diagnosis, delays and compounds treatment, and magnifies incapacitating or lethal effects.

U.S. forces may also be exposed to immediate and residual biological hazards as a result of direct attack or by crossing biologically contaminated areas. Contamination avoidance is essential to reduce the impact of biological hazards. Our ability to survive, fight, and win on a biologically contaminated battlefield, requires the capability for warning and detecting an attack and identifying the agent. Detecting biological agent attacks are not easy. A detection/waming device for pathogens is under development. An improved version of the M256 Detector Kit will be able to detect T2 mycotoxin. Future developmental items may include the ability to detect biological agents with the on-board mass-spectrometer for the NBC Recon System (FOX). For those agents that cannot be identified, detection is accomplished by -

Recognizing a pattern of employment to predict an attack.

- Using the IPB process with specific PIRs for advance warning.
- Recognizing the signatory symptoms, signs, and effects of biological agents.
- Sampling with air samplers may provide indication of an attack in progress.

The first two methods of detection are the only methods we have of warning troops of an attack before it occurs. The last method will alert the unit that an attack has occurred, and therefore allow the unit to take necessary protection and decon procedures to minimize the effects. Additionally, this method will help to establish a pattern of employment and, during future attacks, it will give notice (or at least high suspicion) that the enemy is employing biological agents. At this point, it should be added that when a unit is attacked, the unit can only suspect a biological attack. This suspicion is based on dissemination techniques, patterns of employment and the "window of vulnerability". Confirmation of a biological attack occurs only when a sample of the unknown agent is obtained and laboratory analysis confirms that the unknown substance is

biological in origin.

Prior to this laboratory confirmation, the unit will not know if the attack was biological or chemical from an unknown source. Mission Oriented Protective Posture (MOPP) will protect the wearer against all known chemical or biological agents. Therefore, the unit must assume MOPP Level 4 (full protection) and apply those tactics, techniques and procedures (TTP) depicted in Appendix A for chemical or biological contamination avoidance.

Using Intelligence Sources

Intelligence can yield useful information for predicting biological attacks. Intelligence also can yield information that drives the scope and intensity of the biological defense program. Combat, technical, medical, and strategic intelligence sources must be used. Strategic intelligence gives the commander an estimate of the threat force's overall capabilities, limitations, and probable intentions for the employment of biological agents. Combat intelligence gives the commander an estimate of the threat force's battlefield readiness to employ biological agents. Technical intelligence enables evaluation of the effectiveness of enemy biological agents, possible dissemination systems and of protective equipment. Medical intelligence provides information about enemy preventive medicine, medical treatment, types of potential pathogens employed and preparations in medically related areas that could indicate a possible biological attack. See FM 8-10-8 for additional information on medical intelligence.

Recognizing a Pattern of Employment

Using the IPB process, windows of vulnerability based on weather, enemy activity, and movement of likely dissemination systems. help characterize the patterns of employment. The time of attack, method of dissemination, type of munition used, or the stage of the operation in which the agent is employed may be similar. Similar situations or patterns will not be definite proof that a biological agent attack is imminent but early warning should be given to all units in the potential hazard area.

Recognizing Distinguishing Symptoms, Signs, and Effects

Detecting a biological attack by this method is the least desirable way. But, due to the lack of detection devices, covert dissemination, and delayed effects of biological agents, this may be the first indication of a biological agent attack. With common diseases the number of personnel affected gradually increases. Natural food poisoning can be caused by a bacterial toxin. But in such a case, the casualties would be limited to those personnel that consumed the infected food. This can be verified by a medical analysis. When a biological agent has been used, large numbers of soldiers are exposed at or about the same time. This causes "explosive" epidemic numbers of casualties. Criteria (signs, symptoms, and effects) for suspecting a biological attack include:

- Epidemic number of casualties occurring within hours to three days of each other (most within 24 hours of each other).
- Higher death or infection rates than normally encountered with the disease.
- Diseases or increased outbreaks of a particular disease not normally encountered in a particular region or country (for example, yellow fever in Europe).
- An aerosol dissemination technique is indicated by high numbers of respiratory signs—particularly when in nature the disease affects the body through a different portal of entry (such as pulmonary or lung-infecting anthrax versus the much more common form of skin-infecting anthrax).
- Multiple outbreaks of zoonotic disease(s) (diseases that are communicable from small animals to man).
- Personnel working in a protected environment do not contract the disease (or vice versa could indicate a covert dissemination of a biological agent).
- Casualties occurring downwind, downstream, or within a supply line pattern.
- Large numbers of sick or dead animals are observed, especially if suffering the same symptoms of the disease which is affecting the human population.
- The sudden appearance of large numbers of strange insects or ticks that have not been encountered previously in an area of operations. This information may be obtained through preventive medicine sections.

Once suspected and reported, medical staff personnel can conduct epidemiological studies and determine if there could be other causes for the outbreak and thus prevent the perpetuation of false NBC reports.

Dissemination Techniques and Avoidance Procedures

To avoid a biological agent hazard, first; prevent the attack and second, combat (limit) the effects on personnel and supplies in the event of an attack.

The method of dissemination determines the extent and severity of contamination. However, some agent specific defenses can be administered before the agent is disseminated. These defenses may take the form of immunizations or prophylaxis, (taking medicine oraly).

There are three general methods of disseminating biological agents. Each helps the agent to get into the body.

- Aerosol dissemination is used when the respiratory system is targeted.
- Vectors (such as fleas, lice, ticks, and mosquitoes) and some toxins are used to attack through the skin.
- Covert (hidden) methods are employed to attack both the respiratory and digestive systems.

Aerosol Dissemination Procedures

Biological agents may be disseminated by ground or airbursting munitions, aircraft spray tanks, boat or truck mounted aerosol generators. The attack most likely will occur in a covert (or hidden) manner. Tactical level are those directed at specific units or elements on the battlefield. They are likely to occur at altitudes of 1,000 feet or less (100-foot optimum). Estimation of the hazard areas resulting from dissemination at altitudes greater than 1,000 feet above ground level requires extensive meteorological analysis. Toxins can be disseminated as a liquid (such as with "yellow rain"). This makes the toxin highly visible; but the hazard will generally be limited to the immediate area of the attack.

In a tactical aerosol attack, the aerosol cloud (after initial formation) will travel downwind at a rate determined by wind speed. The cloud will lengthen and widen as it travels downwind. The length of the agent cloud will equal about one-third of the distance traveled. Units near the release point will encounter a more concentrated agent cloud. However, units located farther downwind (even though exposed to a less concentrated agent cloud) will be exposed for a longer time, so unprotected personnel will inhale a higher total dose. Figure 4-1 shows the typical downwind movement and characteristics of a biological agent cloud. The peak danger area will be located in the area where the cloud stays in tact while at the same time is at its maximum width and length. This distance is approximately the maximum downwind hazard prediction for a chemical agent; therefore, it is vital to determine whether or not the attack is biological or chemical. The biological agent cloud can cause both immediate or delayed casualties. This is due to the fact that each individual will receive a different dose and the time until the onset of symptoms will be dependent on the amount of agent and each soldiers physiological makeup. The onset of illness will also be affected by the soldiers reaction time and any other forms of protection (i.e inoculation, masking time) that were available against the agent. Biological agent

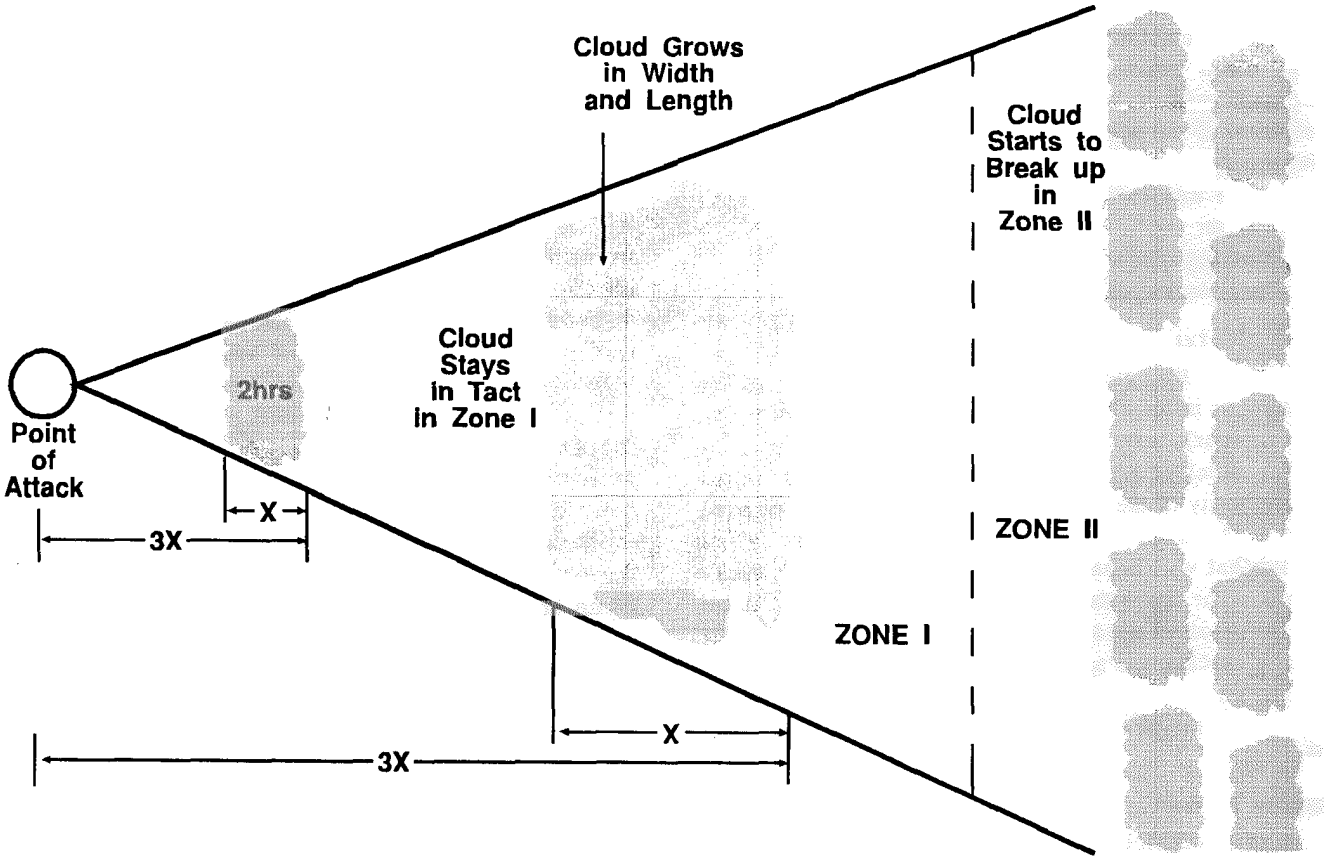

Figure 4-1. Downwind Movement and Characteristics of a Biological Agent Cloud.

casualties can occur in an area as much as two times the maximum downwind hazard distance for a chemical agent. Traveling farther downwind, the cloud is exposed to environmental elements. It is subjected to dispersal and settling and impaction on terrain features. The agent cloud will lose much of its concentration and the losses will be such that the majority of unprotected personnel will not receive an infective (pathogen) or effective (toxin) dose. However, dispersal will not be uniform and casualties may occur as far as four to five times the maximum downwind hazard distance of chemical agents. The following two examples illustrate biological aerosol strength:

- If the infective dose of a particular agent is one organism and there is a concentration of just one organism per 5 liters of air, the average soldier, breathing at a rate of 15 liters/minute, can breathe in three times the infective dose in one minute.
- It has been calculated that as little as 2 to 3 grams of tularemia bacteria Francisella tularensis (causative agent of rabbit fever) may be sufficient to create a bacterial aerosol 100 meters high and extending over an area 1 square kilometer. This can infect humans, breathing at a normal rate, with 100 minimum infective doses per minute.

Knowing biological cloud behavioral characteristics, units may calculate the approximate cloud arrival time and cloud exposure time. This provides both an estimation of the exposure period as well as the time of exposure if the point of attack has been identified. This information is presented later in this chapter.

There are two primary aerosol dissemination techniques:

- Bursting type munitions.
- Spray tanks/generators.

Bursting type munitions

When a biological projectile or bomb bursts on the ground or in the air, the filling (either a liquid slurry or dry powder), is initially dispersed in all directions.

An effective ground bursting munition, will project the majority of the filling into the air to form an aerosol cloud. Air bursting munitions may also form an aerosol cloud that will behave in a similar manner to a spray attack. The agent may however, also be designed to fall to the ground as a surface contaminant much like persistent chemical agents.

The dimensions of the aerosol cloud will be influenced by the means of delivery, the weather conditions, and the terrain.

Spray Tanks/Generators

Aircraft/vehicle spray tanks, or aerosol generators, may also be employed to form an aerosol cloud. This form of attack is likely to take place as covertly as possible. Tactical attacks (those directed at specific units or elements on the battlefield) with biological agents are likely to occur at altitudes of approximately 300 meters or less. Determining the hazard areas resulting from biological agent dissemination at altitudes of greater than 300 meters will require in-depth meteorological analysis and is therefore beyond the capabilities of most units. The simplified biological downwind hazard prediction (SBDWHP) pertains to aerosol disseminations that occur at or below 300 meters above ground level, Biological agents may also be disseminated as a liquid (such as "yellow rain") and the hazard generated by this means of delivery will be limited to the area of attack.

Zones of Contamination

After its initial formation, the aerosol cloud will travel downwind. The agent cloud will lengthen and widen. While it is highly concentrated, it will cause a high number of casualties (immediate or delayed) among unprotected personnel (approaching 100% with some agents). The area in which casualties among unprotected personnel will be high enough to cause significant disruption, disability, or elimination of unit operations or effectiveness is defined as Zone I. Priority medical treatment may be required for individuals exposed to the Zone I hazard. Units in this zone should increase their protective postures during the period of greatest hazard or upon alert if near the attack area. Units should be able to calculate this period using the equations for cloud arrival and cloud exposure times.

After traveling downwind, exposure to the elements will disperse the aerosol cloud to a degree at which the majority of unprotected personnel will not receive an infective (pathogen)/effective (toxin) dose. However, dispersal will not be uniform, and casualties may occur relatively far from the point of attack. This area of reduced, but definable hazard is Zone II. Personnel in this zone may assume a limited protective posture, including the protective mask, wearing work or protective gloves, buttoning up the uniform, rolling down uniform sleeves, and covering or bandaging any exposed cuts or scratches. Monitoring of personnel in Zone II for symptoms/effects of BW agents is required. Zone II includes all areas in which hazards to unprotected personnel are likely to exceed negligible risk levels under an aerosol disseminated attack. This zone may be very large; under some conditions encompassing thousands of square kilometers. Dividing the hazard areas into zones allows commanders to weigh the tactical considerations against performance degradation of MOPP with some knowledge of the relative risks. The end line for Zone I is the 20-30% casualty line and the end line for Zone II is the 1-3% casualty line. Figure 4-2

shows casualty probability curves for both Zone I and Zone II. It is important to note that the curves will be different for each agent and will depend greatly on the weather conditions that exist at the time of dissemimtion.

Aerosol Avoidance Procedures

Before the attack

- Establish and enforce preventive medicine programs to include immunizations, area sanitation and personal hygiene standards, and rest and nutritional needs of the troops.
- Gain intelligence on threat capabilities and intentions.
- Seek out, intercept, and destroy enemy weapon systems, production facilities and storage sites.
- Instruct troops on the threat and recognition of the attack and protective measures.
- Train and drill on fitting and putting on protective mask and clothing.
- Set up collective protection systems for personnel, equipment, and supplies. (NOTE: Field expedient

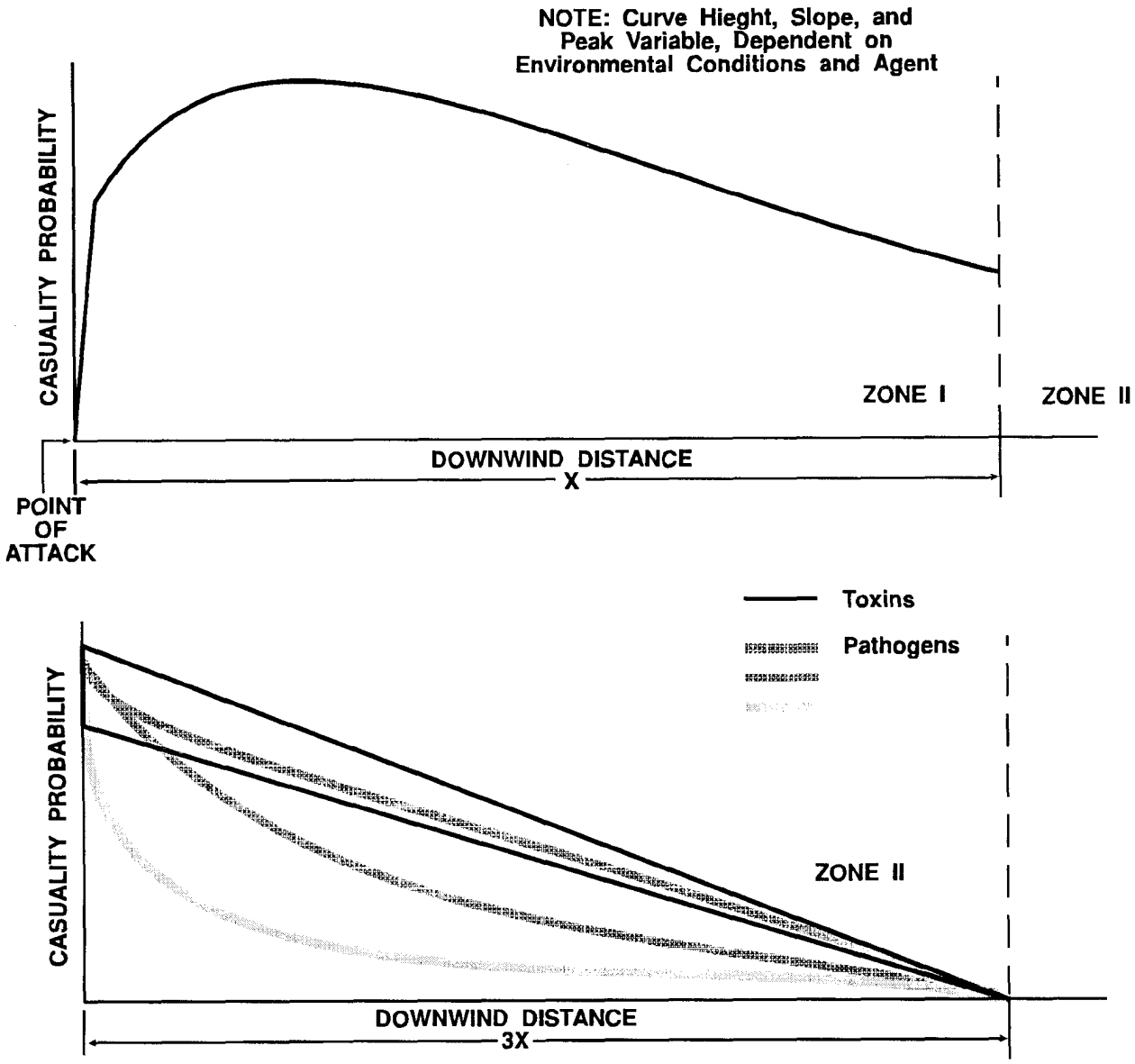

Figure 4-2. Biological Casualty Probability Curves for Zone I and II.

collective protection must be airtight.)

- Identify backup (alternate) food, water, and supply sources.
- Establish detection and sampling procedures.
- Conduct vulnerability analysis.

During the attack:

- Recognize the attack.
- Initiate personnel protective measures. Masking is the first priority, but since the attack may be chemical or toxin, MOPP 4 is required initially. For maximum protection and the lowest risk of incurring casualties, soldiers should wear protective clothing and mask for at least 4 hours after the unit has been attacked or the agent cloud is predicted/known to have passed through the unit area. Every effort must be made to identify the exact agent, including its characteristics. If the skin is contaminated, remove contamination immediately with large amounts of warm soapy water (if available) and decontaminate the skin with the M258A1 kit or M291 kit. (FM 3-5, Chapter 2, has detailed instructions on skin decon).
- Repulse or eliminate delivery vehicle or weapons.
- Observe for distinguishing signs between biological and chemical agent attack or a mixture of conventional and biological attack.
- Report the attack utilizing the NBC Warning and Reporting System (NBCWRS). (A biological attack that can not be immediately identified will be reported as an NBC 1, agent unknown or Suspected Biological Report).

After the attack:

- Estimate the downwind hazard (significant casualties in unprotected personnel can be at least two times the maximum downwind hazard distance for a chemical agent).
- Begin sampling/collection procedures IAW unit SOP.
- Consume only sealed rations and properly contained water (outer container surfaces, if exposed, must be properly decontaminated. See FM 3-5). Call preventive medicine personnel when safety of unit level water supplies are questionable. Ensure veterinary personnel inspect food storage depots and supply points. Replenish water supplies from water purification units.
- Separate biological casualties. Use minimum number of personnel (to limit exposure) to provide supportive medical care until evacuation.

Vector Dissemination Procedures

Some pathogens may be delivered by use of arthropods and other vectors such as fleas, ticks, lice, and mosquitoes. Bulk container aircraft dissemination or small cage vector bomblets can be used. The enemy may use vectors to circumvent the protective mask or MOPP gear. Any experienced field soldier or outdoorsman knows the the tick is capable of crawling under even the most constrictive clothing. Some flying insects can travel considerable distances against prevailing winds. This makes dissemination patterns hard to determine. Some pathogens can remain within the infected vector for the life of the vector, so biological hazards can be prolonged (one to two months for some mosquitoes and six to seven months for some fleas). If the enemy decides to use vectors, control is a limiting factor. Of course, frigid temperatures that may kill the vectors, will also have an effect. This dissemination method also limits the enemy because he has no way of controlling the vectors once they have been released. Logistical and production problems can arise in the delivery of a live pathogen inside a living vector in sufficient quantities to be an effective weapon. The prediction of hazard areas caused by vector dissemination is virtually impossible based on the unpredictability of the vectors.

Vector Avoidance Procedures

Before the attack:

- Apply insect repellant on exposed skin.
- Gain intelligence on threat capabilities and intentions.
- Seek out, intercept, and destroy enemy weapon systems and production and storage sites.
- Instruct troops on the threat, recognition of the attack, and protective measures.
- Establish and enforce preventive medicine programs to include immunizations, area sanitation, personal hygiene standards, rest and nutritional needs of the troops.

During the attack:

- Recognize and report suspicious indications of the vector attack (the sudden appearance of large numbers or strange kinds of insects not previously encountered in an operational area or the finding of vector bomblet cages).
- Cover exposed skin. Balance between protection and degradation of performance. Protective overgarments will not totally exclude the determined tick. Bloused trousers and rolled down and buttoned sleeves with insect repellant properly applied will probably afford as much protection with less degradation.
- Apply insect repellant liberally—especially to neck, face, ankle, and wrist areas.
- Report the attack.

After the attack :

- The NBCC should coordinate with the supporting medical authority for preventive medicine assistance.

• Begin insecticide and other pest control measures as outlined by preventive medicine personnel. Logistical support for unit-size pest control procedures should be a coordinated effort between the NBCC and the supporting medical authority. Physically remove body lice, ticks, and fleas by self aid and buddy aid as necessary.

• Make hazard estimates. Recon and medical reports may help the NBCC in assessing hazard areas.

Convert Dissemination and Avoidance Procedures

Sabotage and terrorist personnel may possess a variety of aerosol and contamination/poisoning techniques for various targets. Aerosol techniques can be fairly large operations, using aerosol generators (or foggers) that produce large open-air hazard areas. These techniques also can be more limited and selective, targeting the enclosed air space of key command and control facilities, aircraft, ships, troop billets, and other similar type areas. Biological agents in liquid, powders, or spray can be placed directly into food stuffs at harvest, processing, distribution, and preparation points. They can be placed into the water reservoir/distribution chain.

Before the attack:

• Maintain OPSEC.

• Identify covert/sabotage threat force capabilities and intentions through intelligence.

• Arrange for security measures to be taken based upon threat assessment.

• Identify alternate supply sources for those high-risk items.

• Instruct troops to be alert to dissemination devices or signs of covert tampering as intelligence dictates.

• Establish and enforce preventive medicine programs to include immunizations, area sanitation, personal hygiene standards, and rest and nutrition needs of the troops. (NOTE: Based on intelligence, protection of food and water may prevent successful employment of a specific biological agent.)

During the attack:

• Report the observation of an attack, the apprehension of enemy agent(s) engaged in such activity, or the finding of signs and indications of covert attacks.

• Initiate personnel and collective protection. For maximum protection and the lowest risk of incurring casualties, soldiers should maintain this protective posture for at least 4 hours.

After the attack :

• Warn personnel downstream, downwind, and/or down supply lines. The NBCC will do so based on at-hand medical and intelligence information and analysis of NBC 1 Reports.

• In conjunction with the veterinary and surgeon general initiate disposal and replacement of food, water, and other supplies. The NBCC can coordinate inspections and medically approved replenishment sources. Actions involving disposal of major quantities of food must be coordinated with the supporting veterinary personnel. Actions involving disposal of major quantities of other nonmedical supplies should be coordinated with the NBCC.

• Initiate sampling based on knowledge, consent, and special sampling requirements of the NBCC. If a BW attack is suspected, wash surfaces with at least a 5% solution of bleach. Bleach is a very effective form of decontamination for most BW agents.

Warning and Reporting

Determining that a biological attack has occurred will pose considerable difficulties for soldiers. There are the usual indicators of CB attack, such as low flying aircraft spraying mists or fogs, munitions with little or no explosive effect, or ground generators spraying a fog or mist, all during the "windows of vulnerability". But even if fortunate enough to observe the attack, the field soldier will not be able to distinguish a biological attack from a chemical attack.

The NBCWRS is used to report biological attacks. However, the number of potential agents, the various dissemination methods and techniques, and the lack of automated detection and identification devices have thwarted an all-encompassing simplified biological hazard prediction. So, the use of the NBCWRS will be extremely limited. Until intelligence and prior experience come into play, it is unlikely that biological reports will go past the NBC 3 Report.

Observed attacks will be transmitted (most likely) by the NBCC as an NBC 1 Chemical Report, agent unknown or NBC 1 Suspected Biological Report. Upon receipt of the initial NBC 1 Report, the NBCC will send an NBC 3 Chemical Report.

Reports from units in the immediate attack area will help determine the nature of the attack. The observation of two events in the attack may indicate a biological rather than a chemical attack. An attack that has no apparent immediate effect on birds, animals, insects, or unprotected personnel could indicate a pathogen attack or delayed action toxin especially if the attack occurs during the "window of vulnerability". Observation of immediate effects coupled with a lack of detection/identification of a chemical agent could indicate a rapid-acting toxin attack. This information should be transmitted on a follow-up NBC 1 Report.

Student Handout 3

Extracted Material from FM 3-11.4

This student handout contains 19 pages of extracted material from the following publication:

- FM 3-11.4, Multiservice Tactics, Techniques, and Procedures for Nuclear, Biological, and Chemical (NBC) Protection, June 2003

  Chapter II pages II-7 thru II-25

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no warning of missile or artillery attacks. However, aircraft, cruise missile, and remotely piloted vehicle attack warning times (due to different flight profiles) may be long enough (tens of minutes) to allow extensive preplanned actions. Regardless of the warning times, commanders and their staffs must quickly analyze the available attack information, evaluate the effect on current operations, and decide on the most effective COAs within the time available.

(17) Monitoring status of NBC Equipment and Supplies. Units assess the logistics supportability of each COA and determine what equipment and supplies (see Appendix G) are needed.

(18) Preparing for Contingencies. Units prepare for unexpected situations. The preparation could include handling instructions for weapons of mass destruction (WMD) threats using postal mail or packages (see Appendix H).

b. Specific preattack, during-attack, and postattack actions (unique to NBC, COLPRO, and TIM) are discussed in the following paragraphs.

3. Nuclear Protection

This paragraph discusses preattack, during-attack, and postattack aspects of protection that can be accomplished in the event of a nuclear attack. Personnel must make defensive preparations to protect themselves; the effective use of terrain and shelter is also very important. Additionally, a nuclear attack can also create EMP effects.

- By knowing how terrain affects nuclear weapons, personnel can greatly reduce the risk of becoming casualties. With training and practice, they can learn to recognize defensive positions that will give them optimum protection against a nuclear blast.

- Hills and Mountains. Reverse slopes of hills and mountains give some nuclear protection. Heat and light from the fireball of a nuclear blast and the initial radiation tend to be absorbed by hills and mountains. What is not absorbed deflects above the personnel because of the slope.

- Depressions and Obstructions. The use of gullies, ravines, ditches, natural depressions, fallen trees, and caves can reduce nuclear casualties. However, predicting the actual point of a nuclear attack is almost impossible. The best protection remains an area below ground with some sort of overhead cover.

- Obscuration. When the threat of nuclear weapons use is high, smoke can be used to attenuate the thermal energy effects from nuclear detonations.

a. Preattack Actions. Preattack actions are critical because they will increase the unit's survivability to the greatest possible extent. These actions range from selecting the right shelters, fortifying those shelters, and protecting vital equipment to using equipment to increase survivability. Whenever the tactical situation permits, units prepare defensive positions. These will vary from individual fighting positions to improved defensive positions. These actions and good prior planning protect against nuclear effects. One primary concern should be protection from gamma and neutron radiation. Gamma

radiation protection requires thick layers of dense or heavy shielding material, such as lead, iron, or stone. On the other hand, light, hydrogen-based material gives good neutron radiation protection. Some examples are water, paraffin, and oil.

Note: The balance of the information in paragraphs 2 through 4 applies to land forces. See NWP 3-20.31 (Revision A), *Surface Ship Survivability*, for TTP on maritime CBR defense measures.

Note: See Appendix D for more detailed information on radiological protection—such as operational exposure guide (OEG), low-level radiation (LLR) exposure, and depleted uranium (DU).

(1) Fighting Positions.

(a) Digging in provides improved defense, because earth is a good shielding material. A well-constructed fighting position gives excellent protection against initial nuclear effects. It can also reduce residual radiation (fallout). Personnel must harden their fighting positions against the blast wave as time permits. Lining or revetting fighting positions can significantly increase survivability and decrease the size of the opening into the position. Smaller openings allow entry of less initial and residual radiation. However, many metal surfaces are good thermal reflectors. Cover these surfaces to prevent an increased danger of burns from the heat of nuclear blasts.

(b) The smaller the fighting position opening, the better. Most of the gamma radiation in the bottom of a fighting position enters through the opening. The smaller opening of a one-person fighting position reduces gamma radiation two to four times below the amount that a two-person foxhole allows to enter.

(c) A deep fighting position gives more radiation protection than a shallow one. It places a greater thickness of shielding material or earth between the occupant and the nuclear detonation. Therefore, it prevents less initial radiation from entering. In a two-person fighting position, radiation reduces by a factor of 2 for each 16 inches of fighting position depth.

(d) Thermal radiation can reach personnel in fighting positions by line-of-sight (LOS) exposure or by reflection off the sides. Use dark, rough materials to cover potential reflecting surfaces and as protective covers. Examples are wool (such as blankets) and canvas. Remember that thermal exposure may still burn or char these materials. Avoid direct contact with them. Do not use rubber or plastic materials alone. These items might melt and cause burns. Simply covering a position with ordinary metal screening material blocks the thermal radiation by about 50 percent. Use this screening for thermal protection without entirely blocking the view through the ports. Personnel must cover exposed portions, and they must keep low. Keeping low reduces thermal exposure just as it reduces nuclear radiation exposure.

(2) Field-Expedient Overhead Cover.

(a) An overhead covering of earth or other material reduces exposure to thermal and initial nuclear radiation and fallout. Overhead covering helps prevent collapse. It also provides protection against debris, such as falling rocks.

(b) Beware of poorly constructed overhead covers. A cover must be strong enough to withstand the blast wave. Use U-shaped metal pickets, timbers, or certain fabrics; and overlay them with sandbags or earth. Ammunition boxes filled with earth also make good cover. In constructing an effective overhead cover, remember the following:

- Choose dense covering materials.
- Cover in depth.
- Provide strong supports.
- Cover as much of the opening as possible.

(c) A vehicle provides expedient overhead cover. A simple and fast method is to drive a vehicle over the top of a fighting position. A heavy armored vehicle is better than a wheeled vehicle. As with any type of overhead cover, initial radiation can still enter the fighting position through the earth sides or the openings in the sides of the vehicle (between treads, road wheels, and tires). If time allows, use sandbags to cover these openings. Remember, the vehicle is not a good neutron shield. Also, the blast wave may violently displace the vehicle and collapse a fighting position.

(3) Earth-Shielded Positions.

(a) Well-constructed fighting positions and bunkers can provide excellent protection against all effects of a nuclear detonation. Radiation is still an important concern, though, because of its great penetrating power. Radiation scatters in all directions after a blast.

(b) It is important that as much earth cover as possible be placed between the individual and the blast. The more earth cover, the better the shielding. Table II-3 (page II-10) illustrates the value of increasing amounts of earth shielding from a hypothetical, free-in-air dose. An open fighting position gives a protection factor of 8. It blocks most of the LOS radiation and allows only a fraction of scattered radiation to enter. Each added 6-inch thickness of overhead earth cover reduces the scattered radiation by a factor of 2.

Table II-3. Shielding Values of Each Cover for a 2,400-Centigray, Free-In-Air Dose

Personnel In	Radiation Protection Factor	Resultant Dose cGy
Open	None	2,400
Open Fighting Position (4" Earth Cover)	8	300
Open Fighting Position (6" Earth Cover)	12	200
Open Fighting Position (12" Earth Cover)	24	100
Open Fighting Position (18" Earth Cover)	48	50
Open Fighting Position (24" Earth Cover)	96	25

(c) The flat earth cover of an underground shelter protects much better than an equivalent thickness of cover on a similar aboveground structure. This is because the underground LOS thickness is greater.

(d) A second layer of sandbags gives more protection to fighting positions. Each layer of sandbags, if filled with sand or compacted clay, reduces the transmitted radiation by a factor of 2. Table II-4 shows the advantage of adding layers of sandbags for a hypothetical, free-in-air dose of 2,400 centigray (cGy).

Table II-4. Shielding Values of Each Cover for a 2,400-Centigray, Sand or Clay-Filled Sandbags, Free-In-Air Dose

Personnel In	Radiation Protection Factor	Resultant Dose cGy
Open	None	2,400
Open Fighting Position, 4' Deep	8	300
Open Fighting Position, 4' Deep, 1 Layer (4 Inches)	16	150
Open Fighting Position, 4' Deep, 2 Layers (8 Inches)	32	75
Open Fighting Position, 18' Deep, 3 Layers (12 Inches)	64	38

(e) Sand or compacted clay gives better radiation shielding than earth because it is denser. Each layer of sand- or clay-filled sandbags can give up to 66 percent more radiation protection than the same thickness of soil or soil-filled sandbags. Table II-4 shows that three layers of sand or clay-filled sandbags give a protection factor of 64 (38 cGy). Generally, heavy sandbags protect better than light ones.

(f) Neutron radiation can be stopped. Water delays and absorbs neutrons, but since some gamma radiation is given off in the process, dense shielding is still required. Damp earth or concrete protects from both forms of radiation. For example, only 12 inches

of concrete or 24 inches of damp earth reduce neutron radiation exposure by a factor of 10. Wet sandbags achieve a reduction factor of 2 for every 4-inch layer. Other expedient neutron-shielding materials include containers of water, fuel, or oil. Remember that radiation scatters in all directions, and shielding must provide all-around protection.

(g) Protect sandbags from exposure to thermal radiation. Sandbags can burn and spill their contents, which can then be moved more easily by the blast wave. Cover sandbags with a small amount of earth and/or sod to eliminate this problem. Covering sandbags also enhances camouflage and provides valuable fragmentation protection.

(4) Buildings.

(a) Certain types of buildings offer excellent shelter from nuclear hazards and require minimum of time and effort to adapt for use. Choose buildings carefully. The stronger the structure, the better the protection against blast effects. The strongest are heavily framed buildings of steel and reinforced concrete. The worst choices are shed-type industrial buildings with light frames and long beam spans. Even well-constructed frame houses are stronger than the latter. Ammunition storage bunkers also give exceptional protection. These are usually large enough for most vehicles and equipment.

(b) Many European, rural and urban structures can provide good protection. Many types of pre-World War II European buildings provide good blast and radiation protection. Examples are farmhouses, churches, and municipal buildings. Characteristics to look for include the following:

- Pre-World War II buildings. These have thick, full-span floor and ceiling beams; heavy roofing tiles; dense, reinforced walls; and, in most cases, a full basement.

- Full basements constructed of concrete or stone. Make sure that there is an exit directly to the outside as well as through the upper floors in case of emergency.

- Thick-walled masonry structures.

- Buildings with very little glass. European windows are typically protected by roll-up or folding shutters. These coverings provide some additional blast and thermal protection.

(c) A shielded building is best. Exterior rows of buildings in closely arranged groups (towns) shield buildings in the interior. These shielded structures suffer less blast overpressure and structural damage than exposed structures. However, debris and rubble problems and fire hazards may increase toward the center of town. Commanders should consider using shelters located two or three building rows from the edge of town to avoid serious hindrance to postattack mobility.

(d) Personnel should move below ground level. The basement, because it is below ground, provides increased blast protection and much more LOS radiation

protection than aboveground floors. This additional protection results from the surrounding earth fill. Add additional radiation protection by placing a layer of earth or sandbags on the floor above. This additional deadweight will be significant and may require shoring up the floor. Alternately, more protection can be gained by sandbagging a smaller shelter in the basement (such as a sturdy table) without increasing the possibility of the entire floor collapsing. Block windows with sandbags and enhance the radiation protection and structural strength of any aboveground exterior walls by piling dirt and sandbags against the walls. Generally speaking, personnel can reduce radiation by a factor of 10 in basements as compared to levels in aboveground floors.

(e) Positions inside the building can make a difference if sufficient time is available to properly prepare them. On floors aboveground, the center of the building offers the greatest protection from both initial and residual radiation. Belowground, the corners of the building give the greatest protection. In either case, the dose to prone personnel would be about one-half the dose to a standing individual. The lesson here is to seek shelter in an underground structure and lie in a corner. If an underground shelter is not available, lie in the center of a shelter under a sturdy table. Other options include lying inside a fireplace, under a stairway, or in a bathroom where the plumbing and relatively close spacing of walls might provide increased structural strength.

(5) Tents. Tents are not a preferred shelter against the effects of nuclear weapons. A tent does provide some protection from residual nuclear effects (e.g., particulate fallout).

(6) Armored Vehicles. Armored vehicles provide good nuclear protection. In most situations, tanks offer the best vehicular protection available. Lightly armored vehicles also offer good protection. These vehicles include infantry fighting vehicles (IFVs), self-propelled artillery, and some heavy engineer equipment. If time is available, this protection can be improved with any of the following actions:

(a) Keep as low as possible inside an armored vehicle. Crew members normally elevated in a tank turret should get on the floor of the armored vehicle. This applies to the tank commander, gunner, and loader. Assuming such a low position reduces the radiation received by a factor of 4.

(b) Keep all hatches shut. Obviously, an open hatch will expose the crew unnecessarily to explosion effects. It could subsequently allow the entry of fallout particles and scattered gamma radiation. Close any other openings, such as the main gun breech.

(c) Prevent injury while inside an armored vehicle. The blast wave will throw personnel violently about inside an armored vehicle. Wear a helmet with the chinstrap secured to help prevent head injuries.

(d) Secure all loose equipment inside the vehicle. The force of the blast can throw about unsecured, loose equipment (such as tools, weapons, and helmets) inside the vehicle and cause injury or death to personnel.

(e) Dig-in armored vehicles (hull defilade) or place them in trenches or cuts in roadways. This provides some limited LOS radiation protection and considerable

blast protection. A hull defilade fighting position or a trench that allows half of the vehicle sides to be covered can reduce gamma radiation by as much as a factor of 2.

(f) Use sandbags as radiation shielding. A single layer of sandbags placed on top of a tank turret or an armored vehicle hull provides valuable overhead gamma shielding. Each layer of sandbags reduces the gamma radiation by a factor of 2. Wetting the sandbags enhances the neutron radiation shielding and protects the sandbags from thermal damage.

(7) Wheeled Vehicles.

(a) Avoid using wheeled vehicles as shelter. Generally, wheeled vehicles provide little or no protection from the effects of nuclear explosions. Worse still, they are particularly vulnerable to overturning. This exposes drivers and passengers to increased risks.

(b) Ensure that personnel protect themselves as much as possible inside the vehicles.

(c) Secure all loose equipment inside the vehicles.

(d) Plan for and prepare adequate field shelters immediately adjacent to facilities that require personnel to continue operations in wheeled vehicles. Parking the vehicle inside or under a shelter gives some protection to the personnel inside. Existing or natural structures—such as ammunition bunkers, underpasses, tunnels, and caves—are in this category.

(8) Aircraft Ground Operations.

(a) Revetments give little protection against blast overpressure. However, revetments and barricades protect aircraft from damage by dynamic wind. These also protect aircraft from other hazards—such as the impact of rocks, sand, and other aircraft or aircraft debris. The tactical situation may require revetting for protection from conventional weapons blast and fragmentation damage. Use overhead cover for aircraft if it is available. Close doors and windows against damaging overpressure.

(b) Tie-downs can reduce damage from tumbling of the aircraft. Generally, tie-downs do not produce excessive stress on tie-down points. Aircraft plexiglass windows shatter into fragments. This can happen at low-blast overpressure (1.5 pounds per square inch [psi]) when there is no other significant damage. Tape the edges and the centers of windows. This reduces the extent of fragmentation and the nuisance that fragments may cause to cockpit operations.

(9) Electromagnetic Equipment. When enough warning has been given, commanders must ensure that electronic equipment, such as radios and computers, are turned off and protected. EMP is the high-energy, short-duration pulse (similar in some respects to a bolt of lightning) generated by a nuclear detonation. It can induce a current in any electrical conductor and temporarily disrupt or overload and damage components of improperly protected or unprotected electronic equipment.

b. During-Attack Actions. Nuclear attack indicators are unmistakable. The bright flash, enormous explosion, high winds, and mushroom-shaped cloud clearly indicate a nuclear attack. An enemy attack would normally come without warning. Initial actions must, therefore, be automatic and instinctive.

(1) An attack occurring without warning is immediately noticeable. The first indication will be very intense light. Heat and initial radiation come with the light, and the blast follows within seconds. Time needed to take protective action will be minimal. If exposed when a detonation occurs, personnel should do the following:

- Drop facedown immediately with feet facing the blast. This will lessen the possibility of heat/blast injuries to the head, face, and neck. A log, a large rock, or any depression in the earth's surface provides some protection.

- Close eyes.

- Protect exposed skin from heat by putting hands and arms under or near the body and keeping the helmet on.

- Remain facedown until the blast wave passes and debris stops falling.

(2) Personnel should stay calm, check for injury, check weapons and equipment for damage, and prepare to continue the mission. Personnel in fighting positions can take additional precautions. The fighting position puts more earth between personnel and the potential source of radiation. They can curl up on one side, but the best position is on the back with knees drawn up to the chest. This position may seem vulnerable, but the arms and legs are more radiation-resistant and will protect the head and trunk. Personnel can also seek other forms of overhead protection (if available) within a fighting position/shelter in case the overhead cover/roof collapses. Store bulky equipment, such as packs or radios, in adjacent pits if they prevent personnel from keeping low in their positions, or place these items over the face and hands for additional radiation and blast protection.

(3) Personnel inside shelters should take protective actions. A blast wave can enter the shelter with great force, and the debris it carries can cause injuries. Lying facedown on the floor of the shelter offers protection. However, avoid the violent flow of air from doors or windows. Lying near a wall is safer than standing away from a wall. Constructing baffles or turns in shelter entrances can prevent overpressure buildups and the entry of dust and debris.

c. Postattack Actions. Protection must not stop when the attack ends. Immediately after an attack, postattack recovery begins.

(1) Personnel must check for radioactive contamination and, then, must reduce the hazard with basic decontamination. Decontamination techniques to reduce radioactive contamination are to brush, scrape, or flush radiological contamination from surfaces.

(2) As a minimum, unit personnel cover positions and shelters, and radiac meter operators begin continuous monitoring. IPE reduces the amount of contaminants that can enter the lungs and the potential for skin burns from beta and alpha particles.

(3) For the commander, poststrike actions include damage assessment and the restoration of combat power.

(4) Commanders and NBC personnel must also monitor schedules for pieces of NBC equipment having filters. Exchange is based on service equipment directives or when the following conditions are applicable:

- Physical damage occurs.
- Filters have become waterlogged or wet.
- High resistance to airflow is observed.
- Directed to exchange filters by higher HQ.
- Listed as unserviceable in applicable directives.

d. Nuclear Casualties. Blast, thermal radiation, and nuclear radiation all cause nuclear casualties. Except for radiation casualties, treat nuclear casualties the same as conventional casualties. Wounds caused by blast are similar to other combat wounds. Thermal burns are treated as any other type of burn. First aid cannot help radiation casualties. These casualties must be referred to medical facilities.

4. Biological Protection

This section discusses preattack, during-attack, and postattack aspects of protective actions that must be accomplished in the event of a biological attack. Protection against biological agents begins long before the actual attack happens. Biological agents can enter the body through the skin, respiratory tract, and digestive tract. Key preparations begin with personal health maintenance followed by NBC defensive training, which all personnel must master.

a. Biological Agents. Biological agents can be classified according to their biological type, operational effects, and physiological action. Operationally, biological agents are best thought of as either pathogens or toxins.

- Pathogens. Pathogens are living organisms. As such, they require certain conditions of temperature, humidity, protection from sunlight, and a susceptible host population. The biological agent must overcome a host's natural defenses (during a latent period) in order to cause illness. The duration period of this incubation could last from hours to days. Pathogens can be disseminated in wet or dry form or by vectors (e.g., mosquitoes). Additionally, some pathogens are contagious and can be spread from individual to individual; therefore, personnel not in the initial area of attack could become casualties. Following a large-scale dissemination of a biological agent, an initial disease outbreak of epidemic proportions might occur.

- Toxins. Toxins are poisons naturally produced through the activities of living organisms. Some toxins can now be artificially synthesized (e.g., powder form) and disseminated in liquid or dry form. Generally, toxins do not cause immediate casualty-

producing effects, and any casualties will arise hours to days after exposure. Unlike pathogens, toxins are not contagious (e.g., one person cannot infect another).

(1) Duration of effectiveness. The effectiveness duration of a biological agent depends on the characteristics of the agent, environmental factors, and any residual hazards. Solar (ultraviolet) radiation, relative humidity, wind speed, and temperature gradient are some of the most important weather factors in determining the effectiveness duration. As previously mentioned, biological agents can be disseminated as aerosols, liquid droplets, or dry powders.

(2) Cause of Casualty-Producing Effects. The primary cause of biological-agent, casualty-producing effects is through inhalation of an aerosol containing particles. Additionally, casualties can also be caused by the percutaneous effects of agents such as mycotoxins. Weather conditions have a tremendous impact on the employment of biological agents. Pathogenic agents will generally dissipate and decay in the presence of ultraviolet radiation. Some of the agent-containing particles (e.g., spores) disseminated as an aerosol, may settle out of suspension onto the ground; however, the impact of any residual hazard from reaerosolization of spores, such as anthrax, may present a hazard for personnel operating in a contaminated area for extended periods of time.

(3) Protective Measures. Protective measures include the use of IPE (e.g., a well-fitted mask), good hygiene, proper sanitation, and up-to-date immunizations. An individual's IPE provides protection against BW agents; however, based on the delayed casualty-producing effects of BW agents, personnel will not likely know an attack has occurred. See applicable service publications for information on the prevention and treatment of biological-agent casualties.

b. Preattack Actions. Preparations before an attack can be accomplished long before a biological attack happens. Personal health maintenance and realistic training are just two ways in which commanders can minimize their biological casualties. All personnel and leaders must adhere to the basic principles of good health; this applies especially under NBC conditions.

(1) Up-to-Date Immunizations. Immunizations reduce the chances of becoming biological casualties. Proper immunizations protect against many known disease-producing biological agents. All personnel should receive basic immunizations. Medical personnel will periodically screen these records and keep them up to date. If units deploy to areas in which specific diseases are prevalent, readiness preparation may include providing additional immunizations for needed protection. This prophylactic inoculation should be part of the IPB process and should be brought to the commander's attention.

(2) Good Hygiene. Protect against the spread of disease by practicing good health habits. The best defense against biological agents is good personal hygiene, keeping the body as clean as possible. This means not only washing the face and hands, but all parts of the body—particularly the feet and exposed skin. Hands need to be cleaned before meals or anytime bare hands are used to help ingest food and liquid or when smoking. Shaving may seem unimportant in the field, but it is required to achieve a proper seal of the mask. This is important because biological agents are usually most effective when received via the respiratory system or the skin. Small nicks, scratches, and cuts are

unavoidable in a field situation. Pathogens, either naturally occurring or intentionally employed as biological agents, enter these breaks in the skin and will cause infections if left untreated. Personnel should clean any breaks in skin with soap and water followed by first aid treatment.

(3) Area Sanitation. Another way to stop the spread of disease is to keep the area clean. Bury all empty ration packets and residue. Locate, construct, and use field sanitation facilities properly. Latrine facilities should include soap and water for hand washing. Latrines need to be cleaned daily. Avoid leaving such facilities open, and make sure that they are properly filled and marked before moving to help prevent accidental digging in the areas. Control of insects and rodents is also essential in preventing the spread of disease. Additional information on field sanitation can be found in service preventive-medicine (PVNTMED) publications.

(4) Physical Conditioning. Good physical condition requires maintaining the body in a well-rested, well-fed, and healthy state. Personnel should get as much exercise and rest as the situation permits, and they must remember to eat properly. If they stay healthy, their bodies will be better able to fight off germs. A high level of physical fitness also reduces the likelihood of heat stress when MOPP gear is worn for extended periods. Continuous operations will require that personnel learn to sleep in short naps and in MOPP4. This is also part of the conditioning process. It may also become necessary to eat smaller portions and at more frequent intervals.

(5) DOD Insect Repellent System. Proper implementation of the DOD Insect Repellent System will provide protection from those insects and ticks that may be used as biological agent vectors.

(6) NBC Training. Training in an NBC environment is integrated into all areas of unit training—individual and collective. Personnel learn, practice, and train to perform individual NBC survival tasks. Leaders are directly responsible for reinforcing these tasks through continuous training, thereby instilling individual confidence.

c. During-Attack Actions. If threat forces attack with biological agents, there may be little or no warning. This will depend on the IPB assessment. Units automatically assume MOPP4 to protect themselves against contamination when there are high-probability indicators of an attack.

(1) Biological-Attack Indicators. Biological agents may be disseminated as aerosols, liquid droplets, or dry powder. Attacks with biological agents can be very subtle or direct, if favorable weather conditions prevail. In nearly all circumstances, an individual will not know a biological attack has occurred. Symptoms can appear from minutes to days after an attack has occurred. Indicators may include—

- Mysterious illness (many individuals sick for unknown reasons).
- Large numbers of vectors, such as insects or unusual insects.
- Large numbers of dead or strange-acting (wild and domestic) animals.

- Mass casualties with flu-like symptoms—fever, sore throat, skin rash, mental abnormalities, pneumonia, diarrhea, dysentery, hemorrhaging, or jaundice.

- Artillery shells with less powerful explosions than high-explosive (HE) rounds.

- Aerial bombs that pop rather than explode.

- Mist or fog sprayed by aircraft or aerosol generators.

- Unexploded bomblets found in the area.

(2) Immediate Actions. Assuming MOPP provides protection against biological agents. However, an agent can gain entry through openings such as buttonholes; zipped areas; stitching; poor sealing at ankles, wrists, and neck; or through minute pores in the clothing fabric. Some toxins, however, require the same amount of protection as chemical agents. Since no wide-scale immediate-warning, biological-agent detection device is fielded, consider any unknown agent cloud as a sign of a biological attack and take the same actions prescribed for a chemical attack. For COLPRO, personnel must be housed inside a shelter with an efficient air filter system. Many buildings may be converted into temporary shelters if cracks are carefully sealed and a CB filter system with a ventilating mechanism is installed.

d. Postattack Actions. Actions after a biological attack include submitting NBC reports, beginning post attack recovery, and other actions—such as taking samples, identifying casualties by the symptoms they exhibit, and treating those symptoms. Early recognition of symptoms and treatment is essential in trying to limit the effects. Additionally, personnel should decontaminate immediately after an attack by using decontamination kits or washing with soap and water.

Note: Postexposure chemoprophylaxis is essential for preventing anthrax. See FM 8-284, *Treatment of Biological Warfare Agent Casualties,* for details.

(1) Agent Exposure. It is necessary to isolate individuals showing symptoms of contagious disease. This isolation helps prevent possible spread to others if the disease is communicable. Treatment of biological-agent casualties requires medical assistance as soon as possible. Further, symptoms associated with some toxins mimic other illness or chemical-casualty symptoms. Agent symptoms may include—

- Dizziness, mental confusion, or double or blurred vision.

- Skin tingling, numbness, paralysis, or convulsions.

- Formation of rashes or blisters.

- Coughing.

- Fever, aching muscles, fatigue, and difficulty in swallowing.

- Nausea, vomiting, and/or diarrhea.

- Bleeding from body openings or blood in urine, stool, or sputum (spit).
- Shock (symptoms appear in minutes or hours after the toxin attack).

(2) Unmasking Procedures. Unless prior warning is received from higher HQ to mask in advance of the arrival of a biological attack, units will likely not be aware that they have been exposed to a biological agent. However, if a unit has received prior warning of an advancing cloud, there are procedures that can be implemented. For example, a biological agent point detector can indicate (through its air-monitoring capability) when an aerosol cloud has passed the point detector. Once that occurs, units use devices, such as hand-held assays, to conduct testing to determine if positive test results are received. The report information is passed to the NBC center (NBCC). The commander, with the advice from the intelligence officer/noncommissioned officer (NCO), NBC officer/NCO, and the command surgeon considers this data as well as data from other sources (e.g., weather, time of day, threat, etc). Based on the multiple sources of data, the commander considers whether to reduce protective levels.

(3) Filter Exchange. When assessing filter exchange criteria several factors must be considered. Exchange criteria for filters is based on service equipment directives or when the following conditions are applicable:

- Physical damage occurs.
- Filters have become waterlogged or wet.
- High resistance to airflow is observed.
- Directed to exchange filters by higher HQ.

5. Chemical Protection

This paragraph discusses preattack, during-attack, and postattack aspects of protection that must be accomplished in the event of a chemical attack. Protection against chemical agents begins before an attack. Chemical agents can enter the body through the skin, eyes, ingestion, and respiratory tract. Leaders conduct defensive planning against possible chemical-agent attack. Units prepare SOPs that specify their chemical defense techniques and procedures.

a. Background.

(1) Chemical agents having military significance are categorized as nerve, blister, blood, incapacitating, or choking agents. These chemical agents kill, seriously injure, or incapacitate unprotected personnel. Chemical agents are classified according to their physical states, physiological actions, and uses. The terms “persistent” and “nonpersistent” describe the duration of chemical agents remaining in a targeted area.

(2) Agents may exist as vapors, solids, liquids, or gases (depending on the temperature); and they may cause casualties in multiple physical states. For example, an agent may be disseminated as a liquid casualty hazard from a delivery vehicle, yet remain a

vapor hazard if the agent has high volatility or off-gases from a porous surface during high temperatures. To a certain extent, the state in which an agent exists determines its use, fate, and effects.

(3) Personnel can be exposed to chemical warfare (CW) agents through breathing (inhalation), the skin, and the eyes. The casualty-producing effects of chemical agents can occur within seconds, minutes, or hours. For example, nerve agents are quick-acting and can cause casualty-producing effects within minutes. Alternatively, blister agents can take hours to cause their casualty-producing effects. Drink and food contaminated by CW agents are also harmful. Other means of exposure are breaching of the full-protective ensemble (e.g., from a tear caused by a munitions fragment) and/or transfer from a contaminated surface during processing through a contamination control area (CCA).

(4) Personnel could potentially come into contact with casualty-producing liquid agents prior to the agents absorbing into a nonporous surface. Alternatively, once a liquid agent absorbs into a porous surface, such as concrete (e.g., during cool evening temperatures), the agent may off-gas as a vapor during higher daytime temperatures and also cause chemical-agent symptoms among exposed personnel. Furthermore, there are other possible situations wherein casualty-producing effects of chemical agents can be impacted by temperature and type of surface (for example, during cold weather, chemical agent droplets are absorbed by an individual's protective clothing, the agent off-gases during the person's entry into a shelter for warming, causing the individual to exhibit chemical agent signs and symptoms).

(5) Solid and liquid agents may provide an operational hazard for hours, days, or months depending on the agent, weather conditions, and other factors.

b. Preattack Actions.

(1) Assess chemical threat, potential risk, and likelihood of attack.

(2) Implement coordinated chemical defense plan.

(3) Prepare to provide first aid for unit personnel.

(4) Determine and implement appropriate MOPP levels.

(5) Minimize skin exposure.

(6) Continue good hygiene and sanitation methods.

(7) Deploy and activate detectors.

(8) Designate and prepare shelters.

(9) Watch for attack indicators (e.g., a chemical cloud, a distinctive odor, and release of an agent).

(10) Cover unprotected mission-essential equipment.

c. During-Attack Actions.

(1) Give Attack Warnings. Detection and warning of the attack are critical to the implementation of protective measures. The warning signal for the attack directs personnel to take cover and use protective measures.

(2) Take Cover. Taking cover protects personnel against blast, shrapnel, heat, liquid, and particulate contamination. After taking cover, personnel don their masks and other protective gear, as appropriate.

(3) Use MOPP4. All personnel should assume MOPP4 (full IPE) in the absence of any other information and remain in MOPP4 until directed to reduce their MOPP level. The use of the MOPP ensemble could also be supplemented by the use of protective clothing—such as wet-weather clothing; an air crewman's cape; or the suit, contamination avoidance, and liquid protective (SCALP). (See Appendix A for more information on these items of IPE.)

d. Postattack Actions.

(1) Begin post attack recovery. If an adversary uses an air-bursting chemical munition, mission permitting, personnel will avoid outside activities to the maximum extent possible after an attack during the chemical droplet fall phase. Additionally, the chemical droplet fall phase could last up to approximately 60 minutes. The length of time depends on factors such as meteorological data and the weapon's height of burst. Outside activities could result in erroneous initial reconnaissance results and unnecessarily contaminated personnel and equipment.

(2) Avoid potentially contaminated surfaces/areas. All personnel should minimize contact with potentially contaminated surfaces until there are indications that surface contamination is no longer a hazard.

(3) Obtain and report observations or evidence of an attack. Personnel provide reconnaissance and assessment information for all types of damage, hazards, and chemical agents.

(4) Survey, control, and mitigate health hazards (treat and evaluate casualties). The HSS provides treatment for casualties according to established medical protocols.

(5) Adjust MOPP. Commanders should adjust MOPP to the lowest possible level consistent with identified hazards.

(6) Document exposure. Medical staffs should clearly document exposure in the medical records of those personnel who have been exposed.

(7) Sample, monitor, and analyze for residual hazard. Once the situation permits, the detection efforts determine the extent and duration of the residual hazards.

(8) Plan and implement decontamination and contamination containment actions. These actions are planned and implemented to minimize the operational impacts of contamination.

(9) Conduct unmasking procedures (all-clear). Commanders should revert to an appropriate MOPP level based on the current threat in conjunction with the all-clear signal. Personnel engaged in passive-defense functions should repair and resupply defense equipment in preparation for follow-on attacks. All personnel should return their IPE to a ready status in anticipation of the next attack warning.

(a) Selective Unmasking. Selective unmasking is an operational precautionary procedure used to support mask removal decisions. The unmasking process acknowledges detector limitations and requires one or more individuals to unmask for brief periods while others observe them for agent effects. Do not perform selective unmasking if agent detectors continue to detect an agent within the area or structure. Also recognize that the recommended unmasking methodology should meet personnel safety requirements and that accomplishing unmasking procedures does not guarantee the absence of low-level exposure.

(b) Unmasking Procedures Using the M256-Series Chemical Detector Kit. An M256-series chemical detector kit does not detect all agents. Therefore, consider also using unmasking procedures listed below in subparagraph (c), even if the detector is available. These procedures take approximately 15 minutes. After all tests with the kit, including a check for liquid contamination, have been performed and the results are negative, the senior person should select one or two individuals to start the unmasking procedures. If possible, move to a shady place. Bright, direct sunlight can cause pupils in the eyes to constrict, giving false signs of nerve agent exposure. The selected individuals unmask for 5 minutes and then reseal and clear their masks. Observe them for 10 minutes. If no symptoms appear, the commander/leader considers issuing the all-clear signal for unmasking. Continue to watch the personnel for possible delayed symptoms. Always have first aid treatment immediately available in case it is needed.

(c) Unmasking Procedures Without the M256-Series Chemical Detector Kits. If an M256-series kit is not available, the unmasking procedures take at least 35 minutes. Find a shady area. Use M8/M9 paper to check the area for possible liquid contamination. When a reasonable amount of time has passed after the attack, the senior person should select one or two individuals. They take a deep breath, hold it, and break the seal for 15 seconds, keeping their eyes wide open. They then clear and reseal their masks and are observed for 10 minutes. If no symptoms appear, the selected individuals break the seal of their mask, take two or three breaths (keeping their eyes wide open), and clear and reseal their masks. Observe them for 10 minutes. If no symptoms appear, the selected individuals unmask for 5 minutes and then remask. If no symptoms appear in 10 minutes after remasking, the commander considers issuing a directive for an all-clear. This process takes a minimum of 35 minutes. Leaders continue to observe the selected personnel in case delayed symptoms develop.

(d) Personnel Displaying Symptoms. In both cases, if personnel display symptoms of agent poisoning, ensure that first aid procedures are available and provided. If an agent is still present, the senior person present must select one of the following options:

- If possible, move to a new area and retest.

- If the mission dictates that movement cannot be conducted, conduct a retest after 1 hour.

Note: Leaders remain aware that selected chemical agents (e.g., blister agents) may not result in the onset of symptoms for several hours.

(e) Assessing Detector Information. Detector capabilities necessitate that leaders analyze the situation to determine if it is safe to unmask after the detection instruments or devices indicate negative results. This need for analysis exists because of the potential presence of low-level vapors that, through their cumulative effect on the body, may cause eye damage or more severe effects within minutes or hours. Analysis is required even if the above-mentioned unmasking procedures are used. NBC personnel should utilize service directives and materials to assist in this process. The key is the use of risk assessment to balance force survivability and the mission and to acknowledge that different agents dissipate at various rates from different surfaces. For example, the hazard time lines associated with contaminated equipment may exceed those associated with soil and/or concrete surfaces.

(10) Chemical Filter Exchange. Filter exchange is another action that is based on design, physical condition, climatic conditions, and the possible threat agent that could be employed. Information in the following paragraphs addresses peacetime, transition-to-war, and wartime exchange criteria.

Note: The information in this section is not meant to supersede other guidance contained in service-specific TTP or technical publications.

(a) Peacetime Filter Exchange. When assessing filter exchange criteria, several factors must be considered. Commanders and NBC personnel must monitor replacement schedules for pieces of NBC equipment having filters. Peacetime exchange criteria for all filters must occur when the following conditions are applicable:

- Physical damage occurs.

- Filters have become waterlogged/wet.

- High resistance to airflow is observed.

- Directed to exchange filters by higher HQ.

- Filters are listed as unserviceable in applicable supply bulletins (SBs), technical orders (TOs), etc. Selected service directives, may indicate specific filter lot numbers are unserviceable; however, if those filters are not clogged or damaged, they should still be considered serviceable for peacetime applications.

(b) Transition to War Filter Exchange. Commanders will determine when their units should remove their training filters and replace them with filters from unit contingency stocks. This guidance should be reflected in an SOP or an order. Factors for filter exchange consideration are unit location, unit readiness/deployability alert status,

last filter exchange, threat, time availability, and stocks available. For example, a forward deployed unit commander, based on an enemy chemical capability in the AO, directs (by SOP) that his unit install its contingency filter set. Alternatively, a CONUS-based unit commander determines that the basis for installing contingency filters would occur upon an increase in unit alert status for deployment to an area with an NBC threat. Before initiating filter exchange, leaders consider the implications for their units. Some considerations are—

- Mission. What is the unit mission?
- Enemy. What is the current NBC threat assessment? Is the unit likely to be attacked on arrival in the operational area?
- Terrain and weather. Where should filters be exchanged—at the home station, en route, or in the operational area?
- Time available. When should filters be exchanged? When will there be adequate time to exchange filters?
- Troops and support available. Are the right people available to conduct the exchange?

(c) Wartime Filter Exchange. The decision to change filters is driven by two considerations: the amount of chemical agent the filter has been exposed to and the time the filter has been exposed to the atmosphere. These separate considerations are based on the two mechanisms by which the filter provides protection from chemical agents. For all agents, the filter uses mechanical filtration and absorption as the protection mechanism. For blood agent cyanogen chloride (CK), the filter uses a chemical reaction. The chemical reaction mechanism is degraded by prolonged exposure to CK. The absorption capacity is degraded by exposure over time to air, particularly hot, humid air. Based on these factors, the following filter change criteria apply:

Note: In an AO with no chemical attacks confirmed and no CK threat, filters should be changed annually. In an AO with no chemical attacks confirmed but where a CK threat exists, the filters should be changed according to guidance provided in Table II-5.

Note: Information in this table is applicable to USA units; other services follow directives as prescribed in applicable TOs and TMs.

- Physical damage occurs.
- Filters have become waterlogged/wet.
- High resistance to airflow observed.
- When directed by higher authority.
- For units that have received chemical attacks, change all filters every 30 days.

Table II-5. Wartime Climatic Filter Exchange Intervals, Blood Agent Threat Is High (Given In Weeks)

Climate Category					
Filter	**Cold Humid**	**Warm Moderate**	**Hot Dry**	**Hot Humid**	**System**
C-2/M13A2	52	52	39	10	M40/M42/M43/MC-2AP-series protective mask.
M10A1	52	52	52	13	M24/M25 protective mask.
M18 Gas	52	39	26	4	Filter composition of M13 tank GPFU.
M12A1 Gas	52	39	26	4	Fixed site filter used in structures and buildings.
M48 Gas/Particulate	52	52	39	10	M1A1 tank overpressure system.
MCPE Gas/Particulate	52	39	26	4	MCPE.
M10 Gas	52	39	26	4	Fixed-site shelter.
C-22 R1 Gas	52	52	52	13	GPFU M46 fixed-site filter.

Climatic Definitions		
Category	Mean Temp (F)	Mean Relative Humidity (%)
Cold Humid	Less than 15 degrees	Less than 90 percent
Warm Moderate	Less than 80 degrees	Less than 70 percent
Hot Dry	Less than 98 degrees	Less than 27 percent
Hot Humid	Less than 96 degrees	Less than 76 percent

Note: The climactic intervals listed are applicable to USA units; other services follow directives as prescribed in applicable technical publications.

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Student Handout 4

Extracted Material from FM 25-51

This student handout contains 13 pages of extracted material from the following publication:

FM 25-51, Battalion Task Force Nuclear Training, Jun 91

Chapter 2 pages 2-1 thru 2-13

Disclaimer: The training developer downloaded the extracted material from the General Dennis J. Reimer Training and Doctrine Digital Library. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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CHAPTER 2

NUCLEAR WEAPON EFFECTS

THIS CHAPTER IMPLEMENTS STANAGs 2083 AND 2111.

Perceptions of conventional-nuclear combat are usually distorted by the popularized versions of the "holocausts" at Hiroshima and Nagasaki in August 1945. Certainly, those two bombs demonstrated explosive combat power that was several orders of magnitude more potent than any other weapon then known. However, the incendiary bombing of Tokyo in March 1945 had created a holocaust that lasted for two days, took more lives, and destroyed a larger area than either of the first atomic bombs. Most current nuclear weapons that will be used for battlefield nuclear fire support are smaller than the Hiroshima or Nagasaki bombs. Although many may have yields as small as 1/10th to 1/100th the size of the first nuclear weapons used, they are still many times more powerful than most conventional munitions. Nevertheless, their effects on the battlefield are finite and limited to "tactical" distances from a few hundred meters (m) to a few kilometers (km). The actual yields of nuclear weapons currently in the field are classified. Consequently, this chapter will discuss only four hypothetical yields, namely 2 kilotons, 5 kilotons, 10 kilotons, and 20 kilotons. These four yields span most of the range of yields likely to be employed to provide nuclear battlefield support, and they are useful in portraying the effects of weapons in this yield range. The nuclear weapon effects data presented in this chapter are realistic.

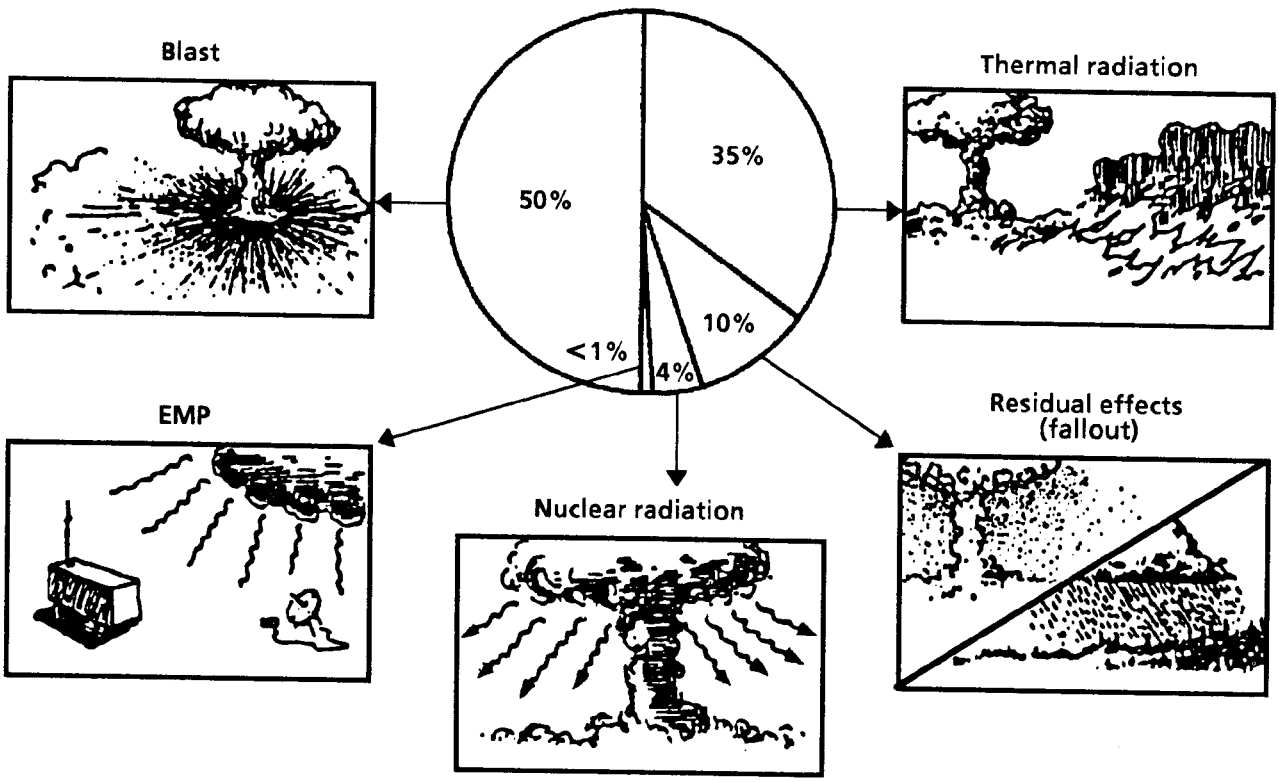
The effects of a nuclear detonation of concern to a commander and to his unit are:

- *Psychological.*
- *Nuclear radiation.*
- *Electromagnetic pulse (EMP).*
- *Blast.*
- *Thermal.*

The extent of each effect occurs in relationship to the yield of the nuclear blast. The dominant effect or the effect which extends furthest out from ground zero depends on the yield of the weapon and is important for a commander to know. This will be provided in the figures and graphs which follow. The figure on page 2-2 illustrates the type of energy, by percentage, that a nuclear weapon will produce. The degree of hazard from each effect depends on—

- *The type of weapon, the yield, the height of burst, and the distance between the point of detonation and the target.*
- *The environment in which the weapon is detonated.*
- *The vulnerability of the target. Nuclear weapons may be detonated in the air, on the surface, or beneath the surface. Each type of detonation produces a different result as shown in the figure on page 2-2.*

Distribution of energy



Results of detonation types

Type Burst	Blast	Thermal	Nuclear Radiation	EMP
Air	Great and widespread.	Great and widespread.	Considerable prompt radiation. No significant residual radiation except for small areas under blast.	Effect 3 to 9 miles from GZ up to altitudes of 19 miles. Great and widespread for burst above 19 miles.
Surface	Great but radius of effect somewhat reduced.	Great but not widespread.	Great, prompt, but not widespread. Residual radiation will appear as fallout.	Extends outward 3 to 5 miles from GZ.
Subsurface	Great but radius of effect greatly reduced.	Negligible.	Little or no instant radiation. Great amount of residual fallout.	Limited to area around GZ.

PSYCHOLOGICAL

An effect that is most often forgotten when talking about nuclear effects is the psychological effect it has on soldiers. It is often referred to as acute combat reaction or stress. Although it is possible to estimate roughly the number of injured and dead which would result from the thermal, blast, and radiation effects of a nuclear weapon used in combat, it is much more difficult to predict the numbers and types of psychiatric patients. It is generally felt that the acute psychological problems which would occur would be essentially the same as those seen in other combat situations, and that the treatment methods developed as a result of experience in past wars would be appropriate.

The primary psychological abnormality which develops in severe stress or disaster situations is a transient, fluid state of emotional disruption. This abnormality occurs when an individual cannot cope with the danger presented to him by his environment. Its major features are fear and the results therefrom. The fear develops largely from the individual's inability to make meaningful decisions or to initiate purposeful actions; and as a result, even minor decisions become difficult to make. A vicious circle of fear-inaction-fear may ensue, and the individual involved may become ineffective. This may vary in degree from very mild to complete helplessness.

Panic defined as frantic, irrational behavior associated with real or supposed trapping would probably be rare since it has been found to be rare in other disaster situations. Chronic mental disease, either psychotic or neurotic, also would probably be rare. This again reflects the finding that these reactions are not commonly seen in disaster situations.

Characteristic disturbances would include stunned mute behavior, uncontrolled flight, tearful helplessness, apathetic depressed states, inappropriate activity, increased tension, or preoccupation with somatic representations. These disturbances can last for minutes, hours, days, or sometimes weeks. Fortunately, people with the milder and shorter reactions are in the majority.

The frequency and severity of the psychological disturbances vary with several factors:

- Intensity and severity of stress. Stressful situations of brief duration are rather easily tolerated, and recovery of individuals with mild degrees of mental disruption under these circumstances is rapid. If stressful situations follow one another rapidly, or if any one of them is of long duration, more severe psychological reactions of longer duration may increase.
- Degree of personal involvement. If an individual has a "close call" or if he sees close friends or relatives severely injured, his reaction will be more severe than if he remains "relatively" remote from danger.
- Degree of training. This is the most important factor in that it is the one which is most easy to modify. A well-trained individual, who can react instinctively to dangerous situations and initiate appropriate actions, will develop a minimum of incapacitating fear. The fear he does develop will, if anything, help him. It will be an integral part of a reaction of increased awareness or alertness allowing more efficient fight or flight.
- Degree of warning. This is closely related to the above paragraph. Warning helps a trained person to prepare. He can initiate proper actions early. For an untrained person, the effect will be variable. If fear of incapacitating degree occurs, then the warning may well result in more harm or danger. If the fear is not incapacitating, then the untrained person who cannot react automatically to initiate proper actions may be able to use the time to improvise appropriate action. Whatever time he has to do this will help.
- Presence or absence of leadership. In a group in a disaster situation, a few individuals will emerge as leaders. These may not be the appointed leaders, although in a military unit this is usually not the case unless the appointed or regular leaders become ineffective or are lost. When effective leadership is available, the group will fare much better than when there is none.
- Group identification. This is a particularly important factor for the military. If group or unit integrity is preserved, the individuals in the unit will do much better. Also, those individuals with mild psychological disruptions will recover faster if they can remain with or close to their unit, thus retaining their personal relationship.

NUCLEAR RADIATION

Nuclear radiation is separated into initial and residual radiation. Initial radiation is emitted within the first minute after the detonation. Residual radiation occurs in the form of fallout or radioactive dirt and dust that falls back to the ground in a plume pattern. When CPT Anderson's operations NCO reported a reading of 15 cGys from his IM-93 dosimeter shortly after the detonation, it is highly possible that this was caused by initial radiation. However, CW2 Carlson's report of 150 cGy 30 minutes after the detonation included both the initial and residual effects. As shown in the figure on page 1-13, the battalion TOC is outside the plume of fallout, while CW2 Carlson and the attack helicopter company are within zone 1 of the fallout plume. Zone 1 has the probability of the highest residual radiation levels. It is essential that soldiers in this area take immediate actions to protect themselves because residual radiation causes damage to the body for an extended time. Chapter 3 discusses the best actions to take when in zone 1. Nuclear radiation consists of radioactive particles, too small to be seen by the naked eye. Radiation travels at the speed of light and interacts with the human body. It causes damage to tissues and cells.

Assessment of the Radiation Hazard

The figure below provides a guide for use by commanders as to the effects of nuclear radiation in terms of combat effectiveness. It is based on the reaction of groups to nuclear radiation and should normally apply to company-or platoon-sized units. It also outlines effects of tactical importance according to the fraction of a group affected at given range of dose.

Biological effects of nuclear radiation (STANAG 2083 Edition 5)

Estimated Dose Range (rad)	Initial Symptoms	Onset of Symptoms	Incapacitation	Hospitalization	Final Disposition
0-70	None to slight incidence of transient headache and nausea. Vomiting in up to 5% of exposed personnel in upper part of dose range.	Within 6 hours.	None.	None.	Duty.
70-150	Transient mild headache and nausea. Some vomiting in up to 50% of group.	Approx 3 to 6 hours after exposure.	None to slight decrease in ability to conduct normal duties in up to 25% of group. Up to 5% of group may become combat ineffective.	Eventual hospitalization (20 to 30 days in upper part of dose range) required for less than 5% in upper part of dose range.	Duty. No deaths.
150-450	Headaches, nausea, and fatigue. Slight incidence of diarrhea. More than 50% of group vomits.	Within 3 hours after exposure.	Can perform routine tasks; sustained combat task may be hampered. More than 5% of group expected to become combat ineffective, increasing with higher dose.	Hospitalization (30 to 90 days) indicated for those in the upper dose range following a latent period of 10 to 30 days.	Some deaths anticipated; probably less than 5% at lower part of dose range, increasing to 50% toward upper end. Return to duty questionable in upper dose range.

Biological effects of nuclear radiation (STANAG 2083 Edition 5)(continued)

Estimated Dose Range (rad)	Initial Symptoms	Onset of Symptoms	Incapacitation	Hospitalization	Final Disposition
450-800	Severe nausea and vomiting. Diarrhea. Fever early is upper part of dose range.	Within 1 hour after exposure.	Can perform simple tasks. Simple tasks. Significant reduction in combat effectiveness in upper part of dose range. Lasts more than 24 hours.	Hospitalization (90 to 120 days for those surviving) indicated for 100% of exposed personnel. Latent period 7 to 20 days.	Approx 50% deaths at lower part of dose range, increasing toward upper dose range. All deaths occuring within 45 days.
800-3,000	Severe and prolonged vomiting, diarrhea, and fever.	Approx 1/2 to 1 hour after exposure.	Significant reduction combat effectiveness. In the upper part of the dose range, some personnel will undergo a transient period of complete combat ineffectiveness followed by capability for some response until end of latent period.	Hospitalization indicated for 100% of exposed personnel; latent period of less than 1 day.	100% deaths occurring within 14 days.
3,000-8,000	Severe and prolonged vomiting, diarrhea, fever, and prostration. Convulsion may occur at higher doses.	Within 5 minutes after exposure.	Will become completely incapacitated within 5 minutes and will remain so for 30 to 45 minutes. Will then recover but will be functionally impaired until death.	Hospitalization indicated for 100% of exposed personnel. Latent period of 1 to 2 days.	100% deaths occurring within 5 days.
8,000-18,000	Severe and prolonged vomiting, diarrhea, fever, and prostration. Convulsions may occur at higher doses.	Within 5 minutes after exposure.	Will become completely and permanently incapacitated for performing physical tasks within 5 minutes.	Hospitalization indicated for 100% of exposed personnel. No latent period.	100% deaths occurring within 2 days.
Greater than 18,000	Convulsions and prostration within 15 hours.	Within 5 minutes after exposure.	Will become completely and permanently incapacitated for performing any tasks within 5 minutes.	Hospitalization indicated for 100% of exposed personnel. No latent period.	100% deaths occurring with 15 hours.

Radiation Exposure Status

The radiation exposure status (RES) is an estimate, indicated by a categorization symbol, which may be applied to a unit, subunit, or to an individual. It is based on total cumulative dose received from exposure to penetrating radiation. The RES provides a convenient method of enabling information regarding nuclear radiation doses to be exchanged. Since it is directly related to effects of tactical interest, it can be used for estimating the effectiveness of groups and can be employed when planning future exposure.

The scenario for the infantry battalion (page 1-12) lists the RES of each of the companies in the battalion. The commander must use the figures below to make decisions for future radiation exposure of each of his units. Listed are "degree-of-risk" criteria which should be used by unit commanders for assessing the risk of employing their units to additional radiation based on the mission and the tactical situation.

Commanders' guide on nuclear exposure status

Total Cumulative Dose (1) (2)	RES Category	Probable Initial Tactical Effects (after exposure)
0 (no exposure)	0	None
Greater than 0, but not greater than 70	1	None to slight decrease in combat effectiveness in up to 5 percent of group.
Greater than 70, but not greater than 150	2	Decrease in combat effectiveness in up to 25 percent of group; up to 5 percent of group expected to become combat ineffective.(3)
Greater than 150	3	Groups probably not able to perform complex tasks; sustained effort hampered; more than 5 percent of group expected to become combat ineffective, increasing with increasing doses.(3)

NOTES:
1. Injury or exposure to chemical agents may effect response to nuclear radiation.
2. The figures in the dose column may be subject to change in the light of future medical knowledge.
3. Combat ineffectiveness is taken to be the onset of serious nuclear radiation sickness.

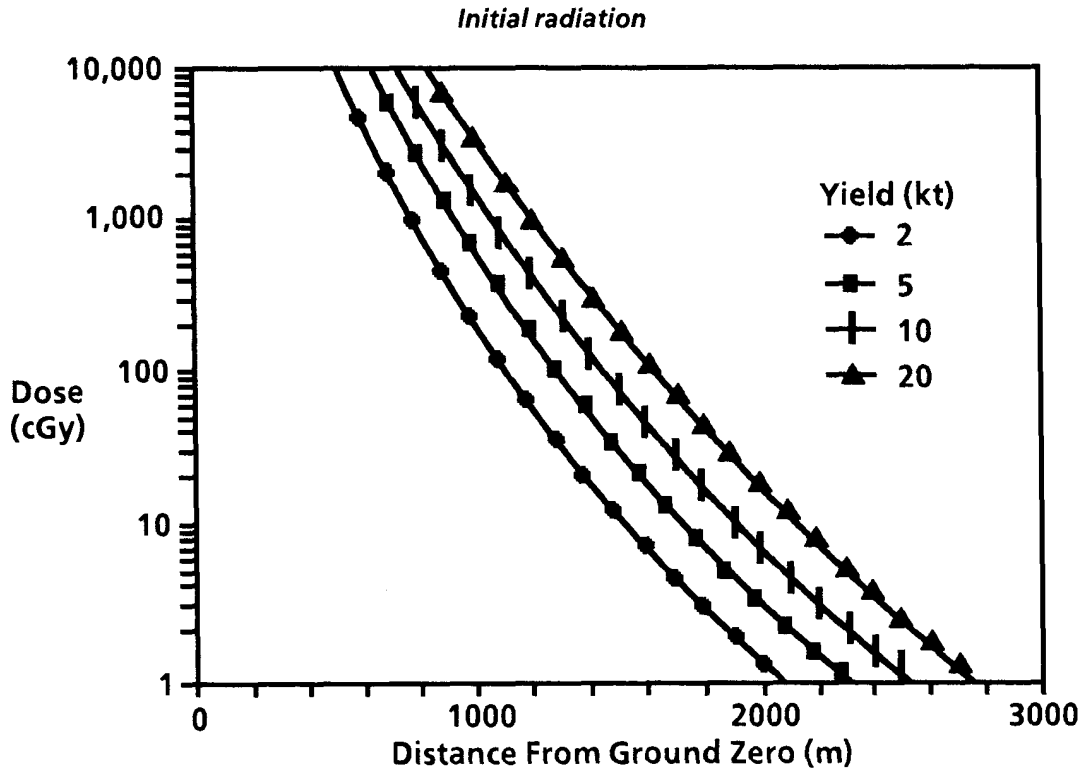
Nuclear radiation degree of risk exposure criteria

Total Cumulative Dose Before Exposure	RES Category(1)	Single Exposure Criteria(2)
No exposure	0	Negligible risk: Less than 50 cGy Moderate risk: Less than 70 cGy Emergency risk: Less than 150 cGy(2)
Greater than 0, but less than or equal to 70(3)	1	Negligible risk: That further dose which, when, Moderate risk: added to the unit's dose, will Emergency risk: not exceed the appropriate OEG risk criterion.
Greater than 70, but less or equal to 150(3)	2	Any further exposure is considered to exceed a moderate risk. Emergency risk: That dose which, when added to the unit's dose, will not exceed the OEG emergency risk criterion.
Greater than 150	3	All further exposure will exceed the emergency risk.

NOTES:
1. Risk levels are graduated within each status category to provide more stringent criteria as the total nuclear radation dose accumulated becomes more serious.
2. Risk levels, as defined in FM 101-31-1 (see STANAG 2111), are:

Risk Level	Percent Incidence of Combat Ineffectiveness	Performance Degrading But Not Casualty Producing Effects
Negligible	1	2.5
Moderate	2.5	5
Emergency	5	No limit

NOTES:
3. If a unit's dose within category R1 or R2 is unknown, the unit's dose is assumed to be the midpoint of that category.



The extent to which initial nuclear radiation extends outward from ground zero depends on its yield and whether there are structures or barriers that block its path. The figure above compares the distances with different types of effects. The extent to which residual radiation will cause its effect is based on yield and upper-level wind patterns. Simplified predictions, as shown in the figure on page 1-13, can be used to determine possible hazards. However, detailed predictions and calculations must be performed at brigade and division level to determine actual hazard locations.

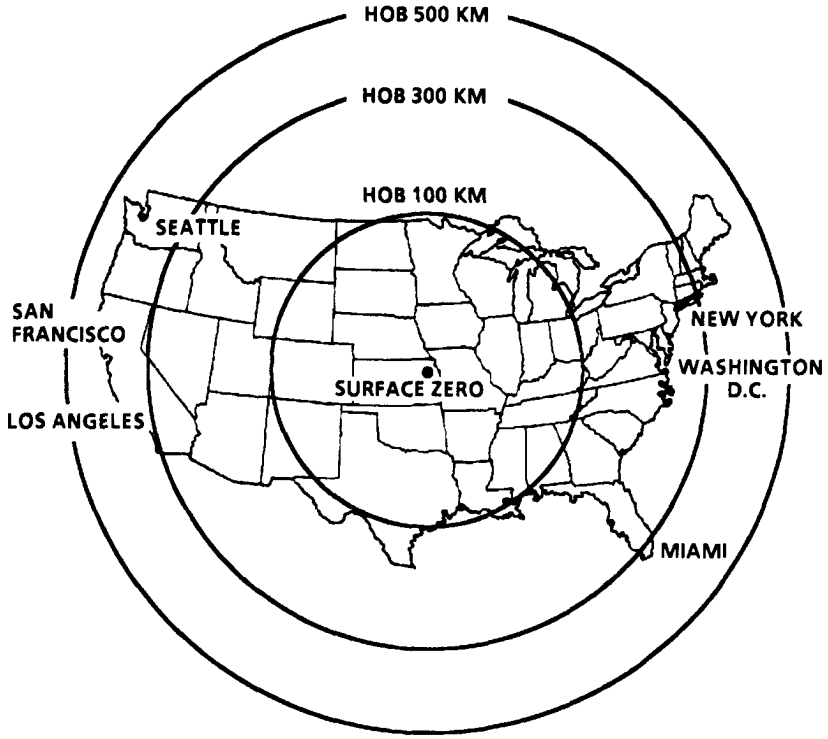
The Warsaw Pact armies have significant numbers of tactical nuclear weapons and assorted means to deliver them. Generally, we anticipate that low-yield weapons would be used against our forces near the forward line of own troops (FLOT) while larger yield weapons would be used against rear areas. Current information suggests that for every soldier receiving an acute incapacitating dose (greater than 3,000 cGy), another will receive a potentially lethal but not immediately incapacitating dose (from about 400 to 650 cGy). Two or more other soldiers would receive doses of radiation significant enough to cause them to be only marginally capable of performing their combat tasks. For yields of 5 to 10 kiloton (or less), initial nuclear radiation is the dominant casualty producer on the battlefield. Soldiers receiving an acute incapacitating dose (3,000 cGys) will become performance degraded almost immediately and combat ineffective within several hours. They will usually die within 5 to 6 days after exposure. Soldiers receiving less than a total of 150 cGy will remain combat effective. Between those two extremes, soldiers receiving doses greater than 150 cGy will become degraded; some will eventually die. A dose of 530 to 830 cGys is considered lethal but not immediately incapacitating. Personnel exposed to this amount of radiation will become performance degraded within 2 to 3 hours, depending on how physically demanding the tasks they must perform are. They will remain in this degraded state at least 2 days. However, at that point they will experience a recovery period and will be effective at performing nondemanding tasks for about 6 days. Then they will relapse into a degraded state of performance and remain so for about 4 weeks. At this time they will begin exhibiting radiation symptoms of sufficient severity to render them totally ineffective. Death may follow.

ELECTROMAGNETIC PULSE

One of the principal effects of nuclear weapons is their ability to produce adverse effects on electronic equipment. These effects are generally referred to as TREE (transient radiation effect on electronics) and EMP (electromagnetic pulse). Although these effects work in somewhat different ways, in both cases electronic equipment, such as field radios, generator controls, and aircraft and missile components, may become upset or inoperable. This will likely cause unit performance degradation as a result of equipment loss. Unique leadership challenges will require great flexibility on the part of soldiers and leaders as normal lines of communication are broken and new ones are established.

Electromagnetic pulse is an electromagnetic wave similar to radio waves which results from secondary reactions occurring when the nuclear gamma radiation is absorbed in the air or ground. It differs from the usual radio waves in two important ways. First, it creates much higher electric field strengths, Whereas a radio signal might produce a thousandth of a volt or less in a receiving antenna, an EMP might produce thousands of volts. Second, it is a single pulse of energy that disappears completely in a few seconds. In this sense, it is rather similar to the electrical signal from lightning, but the rise in voltage is typically a hundred times faster. Unlike lightning, EMP does not produce a flash in the sky nor a loud noise. Likewise, devices that protect equipment against lightning do not necessarily provide protection against EMP. EMP caused by tactical nuclear weapons will extend further than blast, thermal, or radiation. EMP which will have damaging effects on critical electronics equipment will range from 3,000 meters for the lower yield tactical nuclear weapons to about 12,000 meters for the higher yields.

High-altitude EMP coverage at various heights above the United States



Based on this information, the infantry battalion was totally encompassed by the effect of damaging EMP. Survivability of the electronics equipment in the battalion depends on how much of its equipment was designed with nuclear (HEMP) hardening, how well nuclear hardening was protected during maintenance, and how effective EMP mitigation techniques were implemented. The communications problems and equipment failure show that the battalion was not prepared. Proper EMP survivability and mitigation techniques are discussed in Chapter 3.

EMP also results from high altitude (above 31 kilometers or 19 miles) nuclear blast. Nuclear weapons detonated at these heights are strategic and cause more damage to electronics. They extend over a much greater area on the ground than low-altitude or ground-burst EMP.

Detonations that occur at these heights (especially greater than 100 kilometers) will not be seen, felt, or heard by soldiers on the ground. But, the EMP field could damage or destroy critical electronic components in communications systems and other materiel. The figure on page 2-8 shows the area covered from high-altitude nuclear detonation above the center of the United States. As shown, the entire continental United States is covered by the effects of EMP caused by a detonation at an altitude of 500 kilometers (inner ring). A detonation at 300 kilometers height of burst will cover over 80 percent of the continental United States. For a 100-kilometer height of burst, EMP's damaging effects extend out as far as 700 to 800 miles from the center of the burst.

There is no evidence that EMP is a physical threat to humans. However, electrical or electronic systems, particularly those connected to long wires, such as power lines or antennas, can undergo either of two kinds of damage. First, there can be actual physical damage to an electrical component, such as shorting of a capacitor or burnout of a transistor, which would require replacement or repair before the equipment can again be used. Second, at a lesser level, there can be a temporary operational upset, frequently requiring some effort to restore operation. For example, instabilities induced in power grids can cause the entire system to shut itself down, upsetting computers that must be started again. Base radio stations are vulnerable not only from the loss of commercial power but from direct damage to electronic components connected to the antenna. In general, portable radio transmitters and receivers with relatively short antennas are less susceptible to EMP. The vulnerability of the telephone system to EMP cannot be determined.

BLAST

A fraction of a second after a nuclear detonation, a high-pressure wave develops and moves outward from the fireball. This is the blast or shock wave and is the cause of most of the physical destruction accompanying a nuclear burst. The front of the blast wave travels rapidly away from the fireball, behaving like a moving wall of highly compressed air. This wave travels at approximately the speed of sound and consists of wind (dynamic overpressure) and crushing force (static overpressure).

Wind

The wind can range from a few miles per hour up to hundreds of miles per hour, depending on the yield of the weapon, height of burst, and distance from the point of detonation, The wind decreases with distance. For example, a 100-miles-per-hour wind will occur approximately 6 miles from a l-megaton detonation, 4 miles from a 300-kiloton detonation, or 1 mile from a 5-kiloton detonation. However, when a nuclear burst first detonates, the observer will not know the yield or ground zero. The winds have a positive and a negative phase. During the positive phase, the winds travel outward from the point of detonation. As the fireball rises, a slight vacuum is created that will cause the winds to reverse and blow back toward the detonation, The velocities of this reverse wind are mild compared to the positive phase. The reversal of the winds will keep debris in the air longer and possibly cause more damage. Because of the turmoil, ground troops may not even notice the negative phase. Aircrews may notice it more because wind reversal will create more air instability for them to overcome and will worsen any overcorrection effect.

The winds cause damage by drag forces. They overturn buildings, vehicles, or personnel; create

missiles from debris, rocks, sticks, or glass fragments; hurl standing personnel against structures; and blow down trees. For nuclear weapons, the time from the initial blinding flash of light until the blast wave reaches the area can be several seconds or longer. For large-yield weapons at great distances, the time can be longer than 30 seconds. This means there will be some time to react before the blast wave hits.

Both wind and drag forces significantly affect the aerodynamics of both fixed and rotary-wing aircraft. As was seen in the scenario, CW2 Carlson was extremely lucky to be able to control his helicopter under such harsh conditions. Nuclear blast winds have the same effects on aerodynamic surfaces and airframes as any other type of high wind. The nuclear weapons can produce enormous wind velocities, extreme turbulence, and wind shear. The length of time that the winds persist is longer than that produced by conventional munitions. Wind effects on rotary-wing aircraft may result in yaw, pitch, roll, and lift changes. They can also cause blade flapping and bending, mast bumping, loss of tail rotor effectiveness, flameout, and airframe crushing.

Crushing Force

Blast also results in a crushing force (static overpressure) which can be hundreds of times greater than the ambient air pressure. As with winds, the crushing force decreases with the distance from the point of detonation. Normal outside ambient air pressure at sea level is about 15 pounds per square inch. Static overpressure decreases with greater height and increases at deeper levels under water. At increasingly deeper levels of water, the human body can feel a constant force on all parts of the body. This is no different than the crushing force caused by a nuclear blast, except that with a nuclear detonation the increase of crushing force occurs immediately, causing the effects to be even more detrimental. The figure below summarizes both wind and crushing force effects for a 2-kiloton, 5-kiloton, 10-kiloton, and 20-kiloton nuclear detonation.

In the figure, the distances given for each yield represent the point outward from ground zero where the effect as shown will occur. Thus, in the first example a 2-kiloton burst will cause a 1 pound per square inch crushing force, with 45 MPH winds at a distance of 2,670 meters from ground zero. Arrival time for the peak crushing force and winds described is shown in the crushing force figure on page 2-11. In the scenario for the infantry battalion, Carter's foxhole is 750 meters from ground zero for the 2-kiloton burst. He had just over 2 seconds to protect himself from a 4 pounds per square inch overpressure and 70 MPH blast wave. If he were not inside his foxhole or protected by some other sturdy structure, he might have been seriously injured.

Blast effects

Yield/Dist (m)	Crushing Force PSI	Wind Velocity MPH	Effect
2 kt - 2,670 5 kt - 3,600 10 kt - 4,569 20 kt - 5,750	1	45	Glass windows shatter; light damage to parked helicopters; soldiers endangered by flying debris.
2 kt - 1,620 5 kt - 2,200 10 kt - 2,700 20 kt - 3,500	2	70	Moderate damage to wood-frame buildings; light damage to some tactical wheeled vehicles; moderate damage to parked helicopters.
2 kt - 1,000 5 kt - 1,350 10 kt - 1,700 20 kt - 2,150	4	120	Sever damage to wood-frame buildings and helicopters; winds high enough to kill soldiers.

Blast effects (continued)

Yield/Dist (m)	Crushing Force PSI	Wind Velocity MPH	Effect
2 kt - 880 5 kt - 1,200 10 kt - 1,500 20 kt - 1,900	5	150	Severe damage to tactical wheeled vehicles; moderate damage to tanks and tracked vehicles; possible lung damage and eardrum rupture; 165-lb men lifted off the ground and thrown in a rolling, tumbling motion; 90 percent of trees blown down.
2 kt - 610 5 kt - 825 10 kt - 1,050 20 kt - 1,300	9	250	Severe damage to concrete buildings and multistory masonry buildings; 165-lb men lifted off the ground; attains a speed of 20 ft/second for a distance of about 15 ft.

Peak crushing force

Distance From Ground Zero	2 kt	5 kt	10 kt	20 kt
	Time in Seconds			
500 m (1/3 mile)	2.0	1.0	.2	0.0
1,600 m (1 mile)	4.2	4.0	3.6	2.8
3,200 m (2 miles)	10	9	8.1	7.4

THERMAL

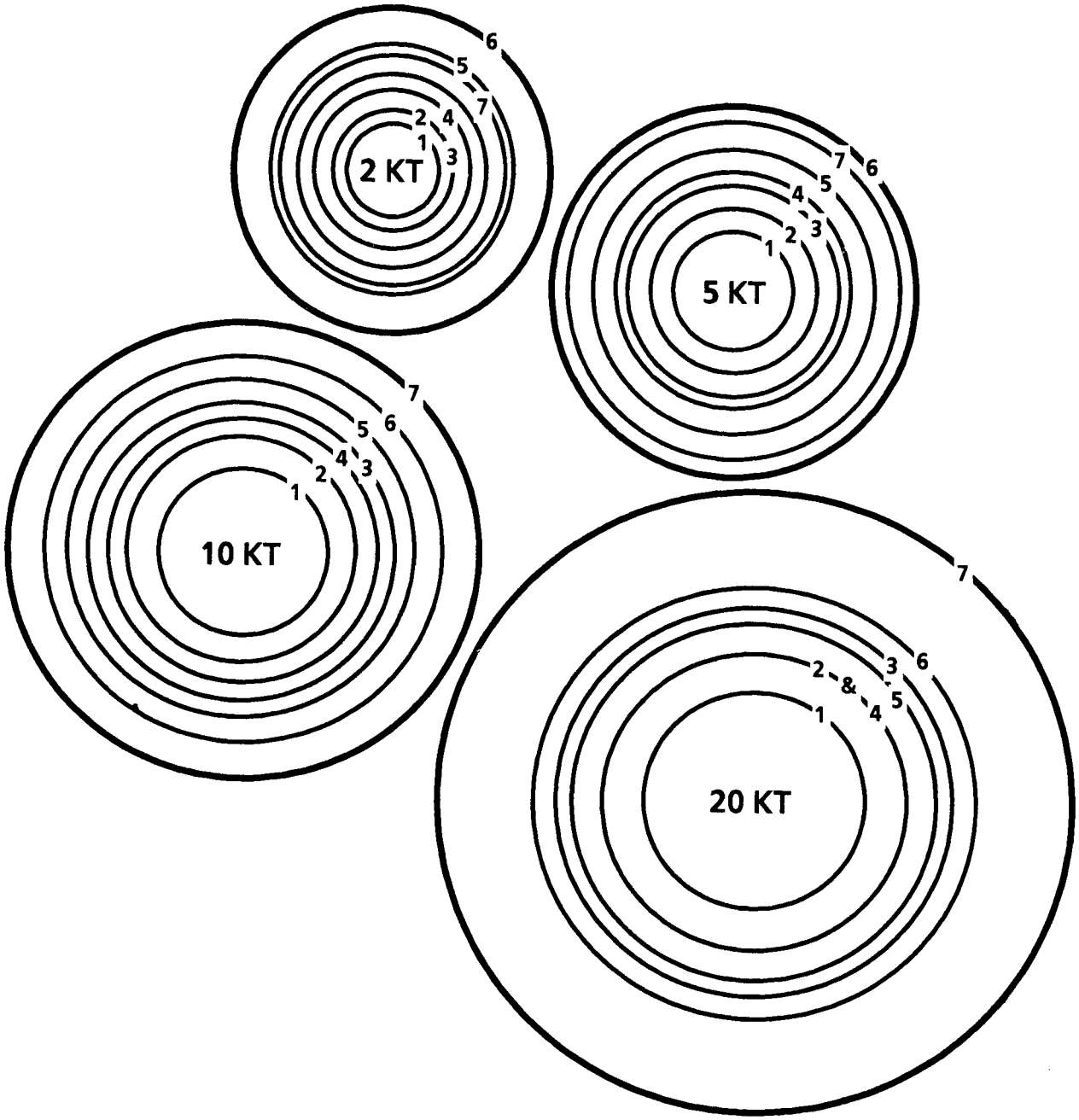
As was shown in the figure on energy on page 2-1, approximately 35 percent of the energy from a nuclear explosion is an intense burst of thermal radiation or heat. The effects are roughly the same as the effect of a 2-second flash from an enormous sunlamp. Since the thermal radiation travels at the speed of light, the flash of light and heat precedes the blast wave and occurs immediately, just as lightning is seen before thunder is heard. The visible light will cause "flashblindness" in soldiers who are looking in the direction of the explosion. Depending on the yield, flashblindness can occur even if not looking in the direction of the attack. In the scenario for the battalion TF, none of the observers received flashblindness; however, it is likely that in an actual situation numerous soldiers will be affected by the flash. Flashblindness increases significantly during nighttime burst.

The figure on page 2-13 compares safe separation distances to avoid flashblindness for both daytime and nighttime burst. As shown in the figure, the effects of flash extend further out than any other effect produced by a nuclear detonation. Flashblindness is normally only a temporary effect on soldiers, and full eyesight will return in a matter of minutes. However, under certain circumstances, serious eye damage leading to loss of sight can occur. This damage will vary with the height of burst, yield, location, and circumstances for each soldier at the time of the burst. Skin burns result from higher intensities of light and therefore take place closer to the point of explosion. The distance at which burns are dangerous depends heavily on weather conditions. Extensive moisture or a high concentration of particles in the air (smog) absorb thermal radiation. Thermal radiation behaves like sunlight, so objects create shadows behind which the thermal radiation is indirect (reflected) and less intense. Some conditions, such as ice on the ground or low white clouds over clean air, can increase the range of dangerous thermal radiation.

Thermal Effects

Nuclear Weapons Radii of Damages
Scale 1:50,000

1. Moderate damage, wheeled vehicles
2. 90% tree blow down - coniferous forest
3. 30% tree blow down - coniferous forest
4. 3000 cGy initial radiation - exposed personnel
5. 650 Gy initial radiation - exposed personnel
6. 150 cGy initial radiation - exposed personnel
7. Third-degree burns and fires



Safe separation distances from ground zero to avoid flashblindness

	Daytime (miles)	Nighttime (miles)
2 kt	1-2	50-60
5 kt	5	60-70
10 kt	8-9	80-85
20 kt	10-12	90-100

Thermal energy will also affect the battlefield by setting flammable items on fire. These items could include grass, trees, loose tinder, and possibly the paint and rubber tires on vehicles. In addition to flash burns to the skin, the thermal energy may be strong enough to ignite clothing, etcetera.

To make a comparable assessment of the different effects of a nuclear burst, the nuclear weapon radii of damages chart on page 2-12 can be used as a template on a 1:50,000 scale map. The 2-kiloton template can be used to compare damage radii to position of observers in the infantry battalion. Note that as the yield increases, thermal effects become the dominant effect which can cause injury to soldiers. For all yields shown, EMP would extend out the farthest.

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HANDOUTS FOR LESSON 1: W326 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1 to SH-1-2.
SH-2, FM 3-0 extracted pages 1-2, 1-14 thru1-18, 2-1 thru 2-5.	SH-2-1
SH-3, FM 34-1 extracted pages 1-1, 2-1 thru 2-22	SH-3-1
SH-4, FM 24-33 extracted pages 2-1 thru 2-8	SH-4-1

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STUDENT HANDOUT 1

Advance Sheet

Lesson Hours

This lesson consists of one and a half hours of small group instruction and a 30 minute practical exercise.

Overview

During this lesson you will learn about intelligence and electronic warfare operations. For some of you, this information will be new, for others it will be a review. We will introduce you to the U.S. Army's intelligence mission, the levels of intelligence, the intelligence disciplines and functions, the characteristics of intelligence, the components of electronic warfare, and the preventive electronic protection (EP) techniques you as a leader can take and teach your soldiers to keep the enemy from finding out information about friendly forces.

Learning Objective

Terminal Learning Objective (TLO).

Action:	Recognize the fundamentals of intelligence and electronic warfare (IEW) operations,
Conditions:	As a unit leader in a company or/battalion level unit and given FM 24-33, FM 3-0, and FM 34-1.
Standard:	described the fundamentals of intelligence and electronic warfare (IEW) to include the levels of intelligence (strategic, operational, and tactical); the intelligence disciplines and functions (human intelligence, imagery intelligence, measurement and signature intelligence, signals intelligence, counterintelligence, and technical intelligence); the characteristics of intelligence (timely, relevant, accurate, and predictive); the primary intelligence tasks; and the electronic warfare components (electronic attack, electronic warfare support, and electronic protection) IAW FM 34-1, Chapter 2.

ELO A Describe the U.S. Army's intelligence mission.

ELO B Describe the fundamentals of intelligence and electronic warfare (IEW) operations.

Assignment

The student assignments for this lesson are:

- Read Student Handouts 1 thru 4.
- Complete PE-1.

Additional Subject Area Resources	None.
Bring to Class	• All reference material received. • Pencil or pen and writing paper.

Student Handout 2

This Student Handout contains pages 1-2, 1-4, 1-15, 1-16, 1-17, 1-18, and 2-1 thru 2-5 extracted from FM 3-0.

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Chapter 1

The Army and the Role of Land Power

[Y]ou may fly over a land forever; you may bomb it, atomize it, pulverize it and wipe it clean of life—but if you desire to defend it, protect it, and keep it for civilization, you must do this on the ground, the way the Roman legions did, by putting your young men into the mud.

T. R. Fehrenbach
This Kind of War, 1963

1-1. Army forces are the decisive component of land warfare in joint and multinational operations. The Army organizes, trains, and equips its forces to fight and win the nation's wars and achieve directed national objectives. Fighting and winning the nation's wars is the foundation of Army service—the Army's nonnegotiable contract with the American people and its enduring obligation to the nation.

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The Role of the Army 1-2
Army Mission Essential Tasks 1-4
- Shape the Security Environment 1-4
- Respond Promptly to Crisis 1-5
- Mobilize the Army 1-5
- Conduct Forcible Entry Operations 1-6
- Dominate Land Operations 1-6
- Provide Support to Civil Authorities 1-7

The Operational Environment 1-8
- The Threat Dimension 1-8
- The Political Dimension 1-9
- The Unified Action Dimension 1-10
- The Land Combat Operations Dimension 1-11
- The Information Dimension 1-12
- The Technology Dimension 1-12

Doctrine and the Army 1-14
Full Spectrum Operations 1-14
Training for Full Spectrum Operations 1-17
Soldiers and Leadership 1-18

THE ROLE OF THE ARMY

1-2. Because Army forces fight and win the nation's wars, they also deter them. The object of deterrence is the will of state and nonstate political and military leaders. Deterrence establishes in the minds of potential adversaries that their actions will have unacceptable consequences. Today, potential adversaries rely on land-based military and paramilitary forces to retain power, coerce and control their populations, and extend influence beyond their borders. Army forces deter by threatening these means of power retention and population control with the ability to engage in decisive combat and seize and occupy adversary territory. Army forces also deter cross-border aggression through forward presence, forward deployment and prompt, flexible response. Army forces poised for action signal the unquestioned commitment of America to fight and win if deterrence fails.

US forces use similar technologies. Some adversaries may apply new technologies altogether.

1-43. Even with its advantages, the side with superior technology does not always win in land operations; rather, the side that applies combat power more skillfully usually prevails. The skill of soldiers coupled with the effectiveness of leaders decides the outcomes of engagements, battles, and campaigns. This fact does not lessen the positive effects of advanced technologies. It does, however, challenge soldiers and leaders to realize and use the potential of advanced technologies in the conduct of full spectrum operations.

DOCTRINE AND THE ARMY

1-44. Doctrine is the concise expression of how Army forces contribute to unified action in campaigns, major operations, battles, and engagements. While it complements joint doctrine, Army doctrine also describes the Army's approach and contributions to full spectrum operations on land. Army doctrine is authoritative but not prescriptive. Where conflicts between Army and joint doctrine arise, joint doctrine takes precedence.

An *operation* is (1) a military action or the carrying out of a strategic, tactical, service, training, or administrative military mission; (2) the process of carrying on combat, including movement, supply, attack, defense, and maneuvers needed to gain the objectives of any battle or campaign.

1-45. Doctrine touches all aspects of the Army. It facilitates communication among soldiers no matter where they serve, contributes to a shared professional culture, and serves as the basis for curricula in the Army Education System. Army doctrine provides a common language and a common understanding of how Army forces conduct operations. It is rooted in time-tested principles but is forward-looking and adaptable to changing technologies, threats, and missions. Army doctrine is detailed enough to guide operations, yet flexible enough to allow commanders to exercise initiative when dealing with specific tactical and operational situations. To be useful, doctrine must be well known and commonly understood.

1-46. As the Army's keystone operations manual, FM 3-0 provides the principles for conducting operations. It describes the Army's operational-level role of linking tactical operations to strategic aims and how Army forces conduct operations in unified action. FM 3-0 bridges Army and joint operations doctrine. It also links Army operations doctrine with Army tactical doctrine.

FULL SPECTRUM OPERATIONS

1-47. Army doctrine addresses the range of full spectrum operations across the spectrum of conflict (see Figure 1-1). Army commanders at all echelons may combine different types of operations simultaneously and sequentially to accomplish missions in war and MOOTW. For each mission, the JFC and Army component commander determine the emphasis Army forces place on each type of operation. Offensive and defensive operations normally dominate

military operations in war and some SSCs. Stability operations and support operations predominate in MOOTW that include certain SSCs and PME.

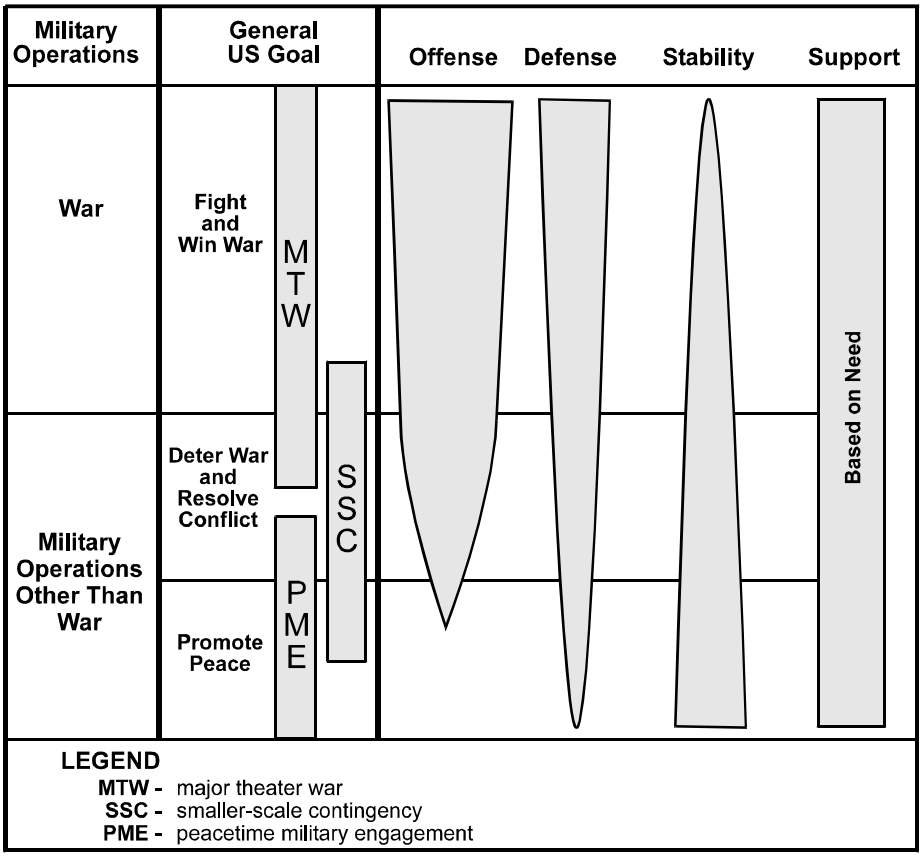

Figure 1-1. The Range of Army Operations

1-48. Full spectrum operations include offensive, defensive, stability, and support operations (see Figure 1-2, page 1-16). Missions in any environment require Army forces prepared to conduct any combination of these operations:

- ***Offensive operations*** **aim at destroying or defeating an enemy. Their purpose is to impose US will on the enemy and achieve decisive victory**.
- ***Defensive operations*** **defeat an enemy attack, buy time, economize forces, or develop conditions favorable for offensive operations. Defensive operations alone normally cannot achieve a decision. Their purpose is to create conditions for a counteroffensive that allows Army forces to regain the initiative**.
- ***Stability operations*** **promote and protect US national interests by influencing the threat, political, and information dimensions of the operational environment through a combination of peacetime developmental, cooperative activities and coercive actions in response to crisis**. Regional security is supported by a balanced approach that enhances regional stability and economic

prosperity simultaneously. Army force presence promotes a stable environment.

- ***Support operations*** **employ Army forces to assist civil authorities, foreign or domestic, as they prepare for or respond to crisis and relieve suffering**. Domestically, Army forces respond only when the NCA direct. Army forces operate under the lead federal agency and comply with provisions of US law, to include the Posse Comitatus and Stafford Acts.

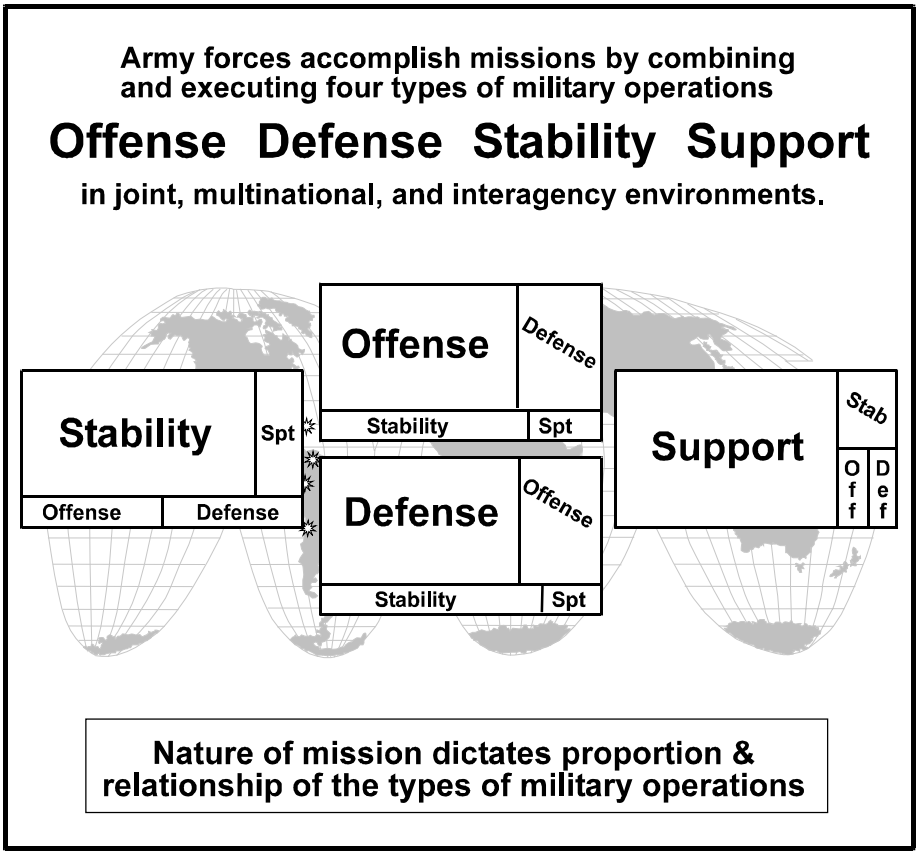

Figure 1-2. Full Spectrum Operations

1-49. When conducting full spectrum operations, commanders combine and sequence offensive, defensive, stability, and support operations to accomplish the mission. The JFC and the Army component commander for a particular mission determine the emphasis Army forces place on each type of operation. Throughout the campaign, offensive, defensive, stability, and support missions occur simultaneously. As missions change from promoting peace to deterring war and from resolving conflict to war itself, the combinations of and transitions between these operations require skillful assessment, planning, preparation, and execution. Operations designed to accomplish more than one strategic purpose may be executed simultaneously, sequentially, or both. For example, within a combatant commander's AOR, one force may be executing large-scale offensive operations while another is conducting stability

operations. Within the combat zone, Army forces may conduct stability operations and support operations as well as combat operations.

1-50. Commanders allocate different proportions of their force to each type of operation during different phases of a mission. Large units are likely to conduct simultaneous offensive, defensive, stability, and support operations. Units at progressively lower echelons receive missions that require fewer combinations. At lower echelons, units usually perform only one type of operation. For example, an Army corps acting as the joint force land component may allocate two divisions to attack (offense) while a third division secures a port and airfield complex (defense). The defending division may order one brigade to eliminate small pockets of resistance (offense) while two others prepare defenses in depth. Around the airfield and port, designated units distribute food and provide medical support to refugees (support). Still other corps units and ARSOF equip and train host nation forces (stability).

TRAINING FOR FULL SPECTRUM OPERATIONS

1-51. Every day, the Army trains soldiers and units while developing leaders. Effective training is the cornerstone of operational success. It is a full-time job for commanders in peacetime and continues when units deploy. Training to high standards is essential for a full spectrum force; Army forces must train to, and maintain, the highest readiness levels. Battle-focused training on combat tasks prepares soldiers, units, and leaders to deploy, fight, and win. More often than not, Army forces execute full spectrum operations as part of a joint force. Joint training is a critical part of mission planning and preparation for Army leaders and units. Upon alert, initial-entry Army forces deploy immediately, conduct operations, and—if necessary—complete any mission-specific training in country. Commanders of follow-on forces conduct pre- or postdeployment mission rehearsal exercises, abbreviated if necessary, based on available time and resources.

> *The whole of military activity must therefore relate directly or indirectly to the engagement. The end for which a soldier is recruited, clothed, armed, and trained, the whole object of his sleeping, eating, drinking, and marching is simply that he should fight at the right place and the right time.*
>
> Clausewitz

1-52. The METL development process describes the links between mission and training (see FM 7-0; FM 7-10). Commanders focus their METL, training time, and resources on combat tasks unless directed otherwise. Because Army forces face diverse threats and mission requirements, commanders may need to temporarily adjust their METL from battle focused tasks to focus on preparing for anticipated missions. Major Army command (MACOM), ASCC, continental US Army, and corps commanders determine the battle focus, resources, and METL that maintain the required readiness posture for anticipated operations in war or MOOTW. MACOM commanders decide for operational-level units, corps commanders for corps units. Commanders at lower levels conduct battle focused training unless otherwise directed.

SOLDIERS AND LEADERSHIP

1-53. Soldiers provide the capability for decisive victory. Success in battle depends on sound doctrine; competent leadership; effective weaponry, equipment, and organizations; and well-trained, motivated, quality soldiers and units. The most important of these factors is soldiers. Their character and competence, combined with the warrior ethos, comprise the foundation of a trained and ready Army. The combination of quality soldiers, competent leaders, and cohesive units creates a versatile, powerful force.

1-54. The Army needs competent and versatile soldiers able to accomplish missions in a challenging and ever changing global environment. They must be able to successfully accomplish tasks while operating alone or in small groups. Soldiers and leaders must exercise mature judgment and initiative under stressful circumstances and be capable of learning and adapting to meet the demands of full spectrum operations.

> *No man is a leader until his appointment is ratified in the minds and hearts of his men.*
>
> Anonymous
> *The Infantry Journal*, 1948

1-55. Soldiers must also be technically and tactically proficient. They must employ and maintain increasingly complex and sophisticated equipment. Current and future technology requires skilled soldiers who understand their systems. Regardless of the importance of equipment or the expansion of technological capabilities, soldiers are more important than machines. Soldiers, not equipment, accomplish missions and win wars. Leadership links soldiers' technical and tactical competence to operational success. Achieving combined arms effectiveness with complex systems demands adaptive and flexible soldiers.

1-56. The role of the leader and leadership is central to all Army operations (see FM 6-22). Leadership is influencing people—by providing purpose, direction, and motivation—while operating to accomplish the mission and improving the organization. Purpose gives soldiers a reason to do tasks. Direction communicates the way to accomplish the mission. Motivation gives soldiers the will to accomplish the mission. Leadership and the warrior ethos sustain soldiers during the brutal realities of combat and help them cope with the ambiguities of complex military operations.

1-57. Leaders create conditions for success. Organizing, equipping, training, and leading soldiers to accomplish operational missions are the goals of leaders. Will and determination mold soldiers into effective organizations. Full spectrum operations demand Army leaders who are masters of both the art and the science of military operations, and have the training and temperament to adapt to any situation. Success comes from imaginative, flexible, and daring soldiers and leaders.

Chapter 2

Unified Action

[S]eparate ground, sea and air warfare is gone forever. If ever again we should be involved in war, we will fight in all elements, with all services, as one single concentrated effort. Peacetime preparatory and organizational activity must conform to this fact.

President Dwight D. Eisenhower
Special Message to the Congress on Reorganization
of the Defense Establishment, 3 April 1958

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2-1. In full spectrum operations, Army forces operate as part of a joint force, often within a multinational and interagency environment. Unified action describes the wide scope of actions (including the synchronization of activities with governmental and nongovernmental agencies) taking place within unified commands, subordinate unified (sub-unified) commands, or joint task forces under the overall direction of the commanders of those commands. Public law charges combatant commanders with employing military forces through unified action. Under unified action, commanders integrate joint, single-service, special, and supporting operations with interagency, nongovernmental, and multinational—to include United Nations (UN)—operations (see JP 0-2).

2-2. Unified action links subordinates to the combatant commander under combatant command (command authority) (COCOM). Multinational, interagency, and nonmilitary forces work with the combatant commander through cooperation and coordination. Regardless of the task or the nature of the threat, combatant commanders employ air, land, sea, space, and special operations forces, and coordinate with multinational and interagency partners, to achieve strategic and operational objectives. They formulate theater strategies and campaigns, organize joint forces, designate operational areas, and provide strategic guidance and operational focus to subordinates. The aim is to achieve unity of effort among many diverse agencies in a complex environment. Subordinate joint force commanders (JFCs) synchronize joint operations in time and space, direct the action of foreign military forces

(multinational operations), and coordinate with governmental and nongovernmental organizations (interagency coordination) to achieve the same goal.

Unified Action in Haiti

In September 1994, the US Army's XVIII Airborne Corps participated in Operation Uphold Democracy, a UN-sanctioned operation to return Haiti's deposed president, Jean-Bertrand Aristide, to office. The National Security Council's Haiti Interagency Working Group planned the operation with the UN, Joint Chiefs of Staff, US Atlantic Command, and XVIII Airborne Corps. Together, the agencies and headquarters developed flexible force deployment options that reflected changing political conditions. Army forces with staff augmentation served as Joint Task Forces (JTFs) 180 and 190. On arrival, they stabilized the country until President Aristide's return. JTF 190 worked with the combatant commander, supporting governmental and nongovernmental agencies, joint and multinational forces, and nongovernmental organizations to secure the cities and countryside, disarm the Haitian military, replace the local police, and assist the Haitian people. Army forces then supported the UN by stabilizing the country until elections were held in March 1995.

THE LEVELS OF WAR

2-3. The levels of war are doctrinal perspectives that clarify the links between strategic objectives and tactical actions. Although there are no finite limits or boundaries between them, the three levels are strategic, operational and tactical. Understanding the interdependent relationship of all three helps commanders visualize a logical flow of operations, allocate resources, and assign tasks. Actions within the three levels are not associated with a particular command level, unit size, equipment type, or force or component type. Instead, actions are defined as strategic, operational, or tactical based on their effect or contribution to achieving strategic, operational, or tactical objectives (see Figure 2-1).

THE STRATEGIC LEVEL

2-4. The strategic level is that level at which a nation, often as one of a group of nations, determines national and multinational security objectives and guidance and develops and uses national resources to accomplish them. ***Strategy* is the art and science of developing and employing armed forces and other instruments of national power in a synchronized fashion to secure national or multinational objectives**. The National Command Authorities (NCA) translate policy into national strategic military objectives. These national strategic objectives facilitate theater strategic planning. Military strategy, derived from policy, is the basis for all operations (see JP 3-0).

THE OPERATIONAL LEVEL

2-5. The operational level of war is the level at which campaigns and major operations are conducted and sustained to accomplish strategic objectives

within theaters or areas of operations (AOs). It links the tactical employment of forces to strategic objectives. The focus at this level is on operational art—the use of military forces to achieve strategic goals through the design, organization, integration, and conduct of theater strategies, campaigns, major operations, and battles. A campaign is a related series of military operations aimed at accomplishing a strategic or operational objective within a given time and space. **A *major operation* is a series of tactical actions (battles, engagements, strikes) conducted by various combat forces of a single or several services, coordinated in time and place, to accomplish operational, and sometimes strategic objectives in an operational area**. These actions are conducted simultaneously or sequentially under a common plan and are controlled by a single commander. Operational art determines when, where, and for what purpose major forces are employed to influence the enemy disposition before combat. It governs the deployment of those forces, their commitment to or withdrawal from battle, and the

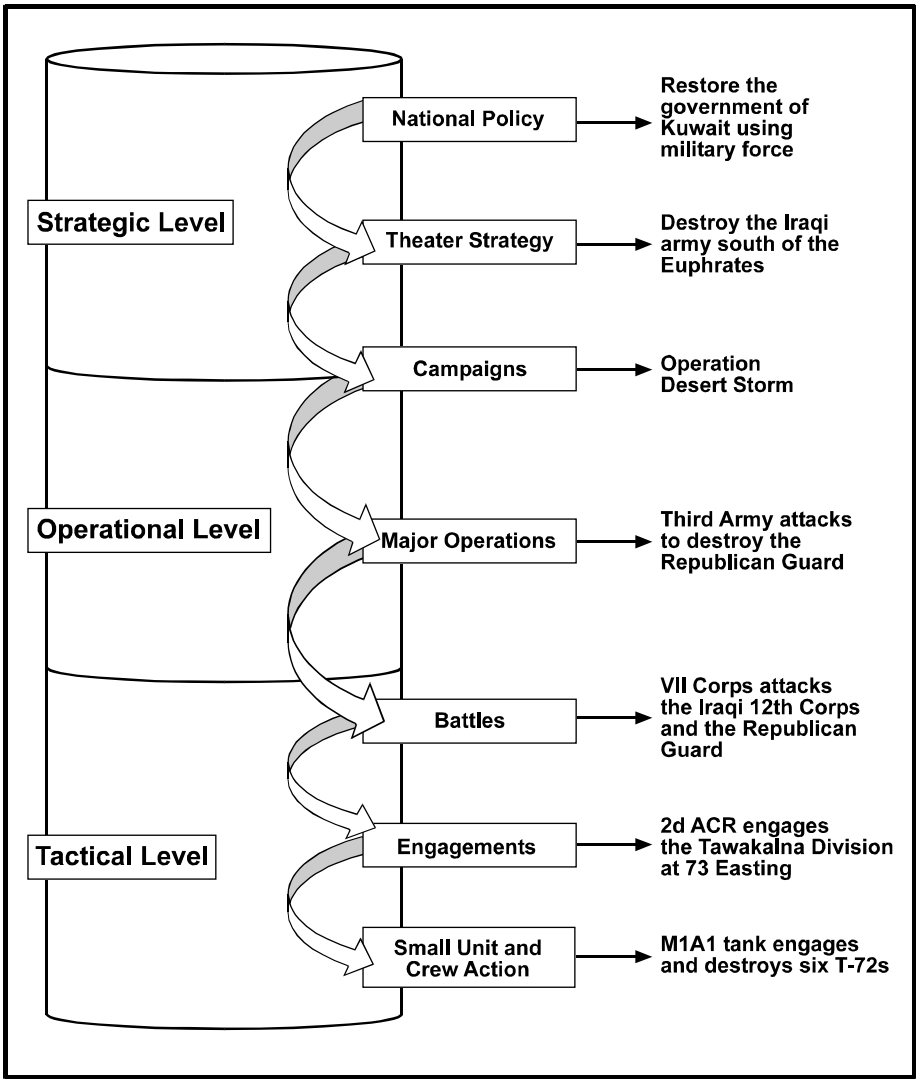

Figure 2-1. The Levels of War

arrangement of battles and major operations to achieve operational and strategic objectives. Figure 2-1 (page 2-3) illustrates the link between the levels of war and the plans and actions of military forces.

2-6. Operational art helps commanders use resources efficiently and effectively to achieve strategic objectives. It includes employing military forces and arranging their efforts in time, space, and purpose. Operational art helps commanders understand the conditions for victory before seeking battle. It provides a framework to assist commanders in ordering their thoughts when designing campaigns and major operations. Without operational art, war would be a set of disconnected engagements with relative attrition the only measure of success. Operational art requires commanders who can visualize, anticipate, create, and seize opportunities. It is practiced not only by JFCs, but also by their senior staff officers and subordinate commanders.

2-7. Operations usually imply broader dimensions of time and space than tactics; the strategic orientation at the operational level requires commanders to look beyond the immediate situation. While tactical commanders fight the current battle, operational commanders look deeper in time, space, and events. They seek to shape the possibilities of upcoming events in advance to create the most favorable conditions possible for subordinate commanders, whose tactical activities execute the campaign. Likewise, operational commanders anticipate the results of battles and engagements, and prepare to exploit them to obtain the greatest strategic advantage.

2-8. Operational commanders continually communicate with their strategic superiors to obtain direction and ensure common understanding of events. Mutual confidence and communications among commanders and staffs allow the flexibility to adapt to tactical circumstances as they develop. Tactical results influence the conduct of campaigns through a complex interaction of operational and tactical dynamics. Operational commanders create the conditions for the conduct of battles and engagements, while the results of battles and engagements shape the conduct of the campaign. In this regard, commanders exploit tactical victories to gain strategic advantage, or even to reverse the strategic effect of tactical losses.

2-9. Operational art is translated into operation plans through operational design. A well-designed plan and successfully executed operation shape the situation for tactical actions. Executed skillfully, a good plan increases the chances of tactical success. It does this by creating advantages for friendly forces and disadvantages for the enemy. A flexible plan gives tactical commanders freedom to seize opportunities or react effectively to unforeseen enemy actions and capabilities. Flexible execution maintains the operational initiative and maximizes tactical opportunities.

2-10. Without tactical success, a campaign cannot achieve its operational goals. An essential element of operational art, therefore, is the ability to recognize what is possible at the tactical level and design a plan that maximizes chances for the success in battles and engagements that ultimately produces the desired operational end state. Without a coherent operational design to link tactical successes, battles and engagements waste precious resources on fights that do not lead to operational goals. A thorough understanding of what is possible tactically, and the ability to create conditions that increase

the chances of tactical success, are important attributes of an operational commander. Tactical commanders must understand the operational context within which battles and engagements are fought as well. This understanding allows them to seize opportunities (both foreseen and unforeseen) that contribute to achieving operational goals or defeating enemy initiatives that threaten those goals. Operational commanders require experience at both the operational and tactical levels. From this experience, they gain the instincts and intuition, as well as the knowledge, that underlie an understanding of the interrelation of tactical and operational possibilities and needs.

2-11. Among many considerations, operational art requires commanders to answer the following questions:

- What military (or related political and social) conditions must be produced in the operational area to achieve the strategic goal (ends)?
- What sequence of actions is most likely to produce that condition (ways)?
- How should resources be applied to accomplish that sequence of actions (means)?
- What are the likely costs or risks in performing that sequence of actions (risk management)?

THE TACTICAL LEVEL

2-12. ***Tactics*** **is the employment of units in combat. It includes the ordered arrangement and maneuver of units in relation to each other, the terrain, and the enemy to translate potential combat power into victorious battles and engagements. A *battle* consists of a set of related engagements that last longer and involve larger forces than an engagement.** Battles can affect the course of a campaign or major operation. **An *engagement* is a small tactical conflict between opposing maneuver forces, usually conducted at brigade level and below**. Engagements are usually short—minutes, hours, or a day (see FM 3-90).

2-13. Tactics is also the realm of close combat, where friendly forces are in immediate contact and use direct and indirect fires to defeat or destroy enemy forces and to seize or retain ground. Exposure to close combat separates Army forces from most of their counterparts. Army forces fight until the purpose of the operation is accomplished. Because of this, they are organized to endure losses, provided with combat service support (CSS) to generate and sustain combat power, and trained to deal with uncertainty.

2-14. The operational-level headquarters sets the terms of battle and provides resources for tactical operations. Tactical success is measured by the contribution of an action to the achievement of operationally significant results. Battles and engagements that do not contribute to the campaign objectives, directly or indirectly, are avoided. Figure 2-1 (page 2-3) illustrates the linkages among the levels of war using military actions in the Gulf War of 1991. The strategic guidance issued by the president translated into orders and actions that led to the staff sergeant tank commander engaging Iraqi tanks in the middle of the night. The destruction of the Iraqi tanks in turn enabled the coalition to restore the Kuwaiti government.

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Student Handout 3

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CHAPTER 1

INTELLIGENCE AND ELECTRONIC WARFARE SUPPORT TO MILITARY OPERATIONS

The times we live in are times of profound change, dramatic and fundamental change - political, ideological, and technical. We must adapt to that change, and we must grow.

—GEN Gordan R. Sullivan, 23 May 1993

MISSION OF ARMY INTELLIGENCE

The mission of Army intelligence is to provide timely, relevant, accurate, and synchronized IEW support to tactical, operational, and strategic commanders across the range of military operations. In war, IEW operations support the winning of battles and campaigns. In OOTW, IEW operations support the promotion of peace, the resolution of conflict, and the deterrence of war. These operations reduce uncertainty and risk to US Forces and permit the effective application of force.

IEW IN THE FORCE PROJECTION ARMY

The post-Cold War Army is a force projection Army. Continental United States (CONUS)-based with a limited forward presence, the Army must be capable of rapidly deploying anywhere in the world, operating in a joint or combined environment, and defeating regional threats on the battlefield or conducting 00TW. IEW is fundamental to effective planning, security, and execution of force projection operations.

IEW operations have changed fundamentally from those of the Cold War model. The environment in which the Army now operates requires IEW support based on the mission rather than on a monolithic threat. During the Cold War era, intelligence developed into a threat-based system upon which the Army based its doctrine, training, and modernization. For over four decades, the “threat” was the Soviet Union. The Army developed organizations, systems, tactics, and procedures needed to conduct defensive operations against Soviet and Warsaw Pact forces attacking through central Europe. Our defense was built upon the movement of heavy corps from in-theater garrisons to general defense positions with follow-on forces arriving later from the CONUS, Movement and support of the corps would occur within a robust communication zone containing extensive communications and logistics infrastructures, From alert through the termination of hostilities, tactical IEW units were to be the principal sources of tactical intelligence flowing up to divisions, corps, and theater. Intelligence, in general, would flow from the ground up to higher echelons. And, because the US focused the national intelligence effort on our nation’s most likely threat, we

CHAPTER 2

FUNDAMENTALS OF IEW OPERATIONS

One of the surest ways *of forming good combinations in war should be to order movements only after obtaining perfect information of the enemy's proceedings. In fact, how can any man say what he should do himself, if he is ignorant of what his adversary is about?*

—Jomini, 1838

Throughout history, military leaders have recognized the importance of intelligence. IEW operations are the commander's keys to victory in war and success in OOTW. Commanders use IEW to focus the combat power at their disposal to win decisively. Commanders also use IEW to protect and conserve combat power and resources during operations.

The Intelligence BOS described in Chapter 1 is a powerful tool. However, the commander, G2 (S2), MI unit commanders, and other leaders must work hard to exploit the full capabilities of the Intelligence BOS. IEW operations describe the execution of tasks related to the functions of intelligence and EW. This chapter describes the fundamentals of IEW operations.

TOTAL FORCE EFFORT

IEW operations are a total force effort. IEW supports all soldiers from the commander to the individual soldier in combat, CS, and CSS units. All soldiers must appreciate the importance of intelligence and the role IEW plays in—

- Applying and sustaining combat power.
- Contributing to the effectiveness of combined arms operations.
- Understanding the battlefield framework.
- Facilitating quick and accurate decision making during combat operations.
- Seeing, targeting, and simultaneously attacking the enemy throughout the depth of the battlefield.
- Conserving fighting potential of the force.
- Supporting other combat functions (maneuver, fire support, air defense, mobility and survivability, logistics, and battle command).

MI soldiers and organizations specialize in conducting IEW operations in support of the mission and in concert with the commander's intent. While MI units provide dedicated IEW support, all units, by virtue of their mission and AOS, have implied information collecting and reporting tasks. The G2 (S2) must know the intelligence collection and production capabilities of all units in the combat force and at higher echelons to optimize the use of intelligence assets at their disposal.

LEVELS OF INTELLIGENCE

The levels of intelligence correspond to the established levels of war: **strategic, operational,** and **tactical.** Like the levels of war, the levels of intelligence serve as a framework in which commanders and MI personnel visualize the logical flow of operations, allocation of resources, and assignment of tasks. The levels of intelligence are not tied to specific echelons but rather to the intended outcome of the operations which they support. As illustrated in Figure 2-1, echelons and levels of intelligence vary, The relationship is based upon the political and military objectives of the operation and the commander's needs.

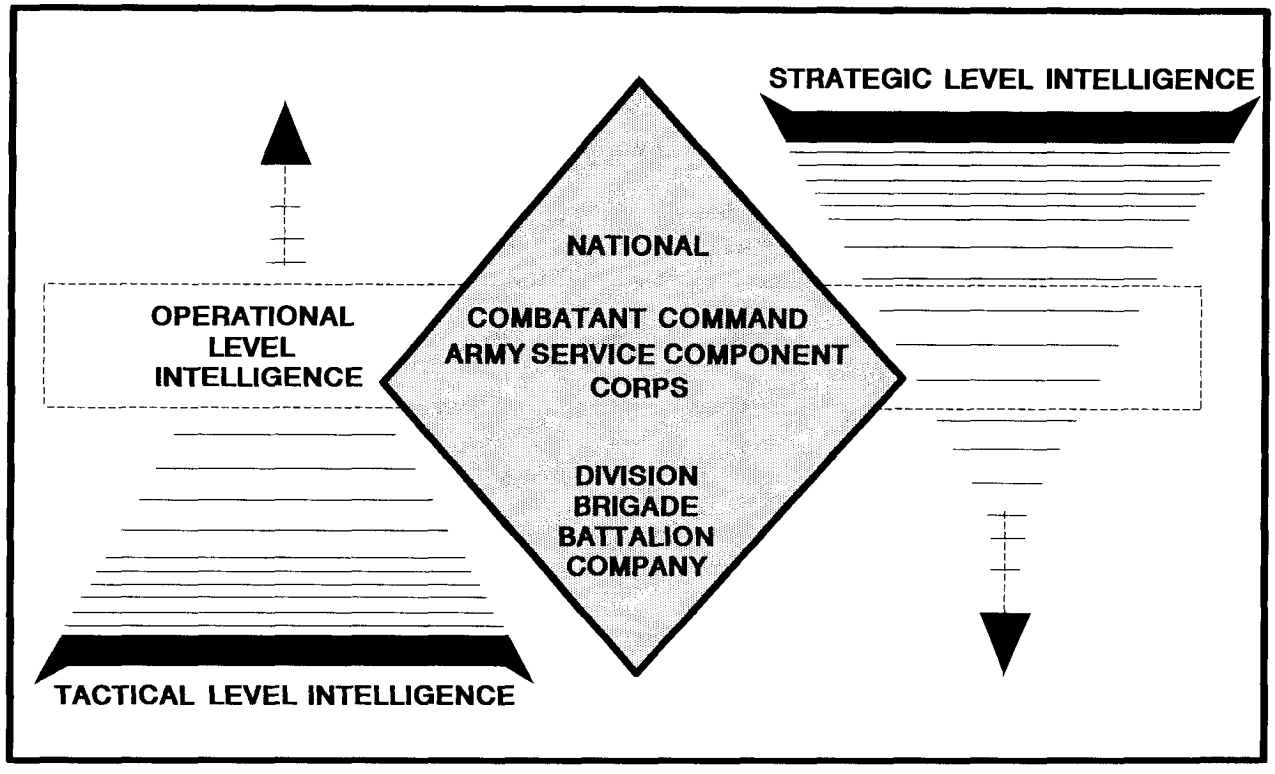

Figure 2-1. Levels of intelligence.

The commander on the ground, regardless of echelon, is provided a mixture of support from each level of intelligence. Strategic intelligence provides information on the host nation's political climate; operational intelligence identifies key objectives for the campaign; and tactical intelligence shows where the enemy can be decisively engaged. Advances in technology and the requirements of the modern battlefield also make the demarcation between strategic, operational, and tactical intelligence resources indistinguishable. Collection assets which normally support strategic intelligence can and often are tasked to support operational and tactical intelligence requirements. This blending of levels and resources is a characteristic of intelligence in the post-Cold War era, a characteristic which the Intelligence BOS exploits.

Strategic Intelligence

Strategic intelligence supports the formation of strategy, policy, and military plans and operations at the national and theater levels. Strategic intelligence

- Concentrates on the national political, economic, and military considerations of states or nations. It identifies the support for governments, the ability of states or nations to mobilize for war, the national political objectives, and the personalities of national leaders.

- Identifies a nation's ability to support US Forces and operations (for example, ports and the transportation infrastructure).

- Predicts other nations' responses to US theater operations.

Operational Intelligence:

Operational intelligence supports the planning and execution of campaigns and major operations, and reflects the nature of the theater of war itself. Intelligence at this level serves as a bridge between strategic and tactical

- Supports friendly campaigns and operations by predicting the enemy's campaign plans, identifying their military centers of gravity, lines of communication (LOC), decisive points, pivots of maneuver, and other components necessary for campaign design.

- Focuses primarily on the intelligence needs of commanders from theater through corps and task force.

Tactical Intelligence:

Tactical intelligence supports the execution of battles and engagements. It provides the tactical commander with the intelligence he needs to employ combat elements against enemy forces and achieve the objectives of the operational commander. Tactical intelligence is distinguished from other levels by its perishability and ability to immediately influence the outcome of the tactical commander's mission. Tactical intelligence normally supports operations by echelons corps and below (ECB) units.

INTELLIGENCE DISCIPLINES AND FUNCTIONS

To clearly describe MI, the various intelligence areas are divided into four intelligence disciplines: **HUMINT, IMINT, measurement and signature intelligence (MASINT),** and **SIGINT;** and two multidiscipline intelligence functions: **CI** and **technical intelligence (TECHINT).** These disciplines and functions are performed by personnel who specialize in one of the areas of intelligence operations. To be effective and minimize threat deception, every intelligence operation must attempt to use all disciplines. The disciplines themselves must complement and cue each other for maximum effectiveness. Rarely will separate disciplines produce a comprehensive picture of the threat. Instead, each discipline will produce bits and pieces of information which analysts will synthesize to approach a total picture.

Human Intelligence:

HUMINT is the oldest of the intelligence disciplines. HUMINT is particularly important in force protection during OOTW. Although HUMINT can be a sole collection discipline, it is normally employed to confirm, refute, or augment intelligence derived through other disciplines. HUMINT is less restricted by weather or the cooperation of the enemy than technical means and does not require fire, maneuver, or communications to collect. HUMINT is restricted by access to targets and timeliness and, by its nature, can be risky to the safety of the collectors. HUMINT collection is well suited to the initial detection of emerging threats if placement and access are established early. The success of HUMINT in areas not previously targeted will be marginal in the early phases of a conflict or OOTW operation. Its effectiveness improves as HUMINT refocuses its efforts on the AO.

Interrogation and document exploitation are examples of HUMINT operations. HUMINT collection may also be conducted by long-range surveillance units (LRSUS), scouts, and patrols. Examples of other sources of HUMINT are pilot debriefings, refugees, and defectors. Furthermore, special operations forces (SOF) operating in hostile, denied, or politically sensitive areas, provide a unique HUMINT source. For more information on HUMINT, refer to FM 34-5(S) and FM 34-52.

Imagery Intelligence:

IMINT is the product of imagery analysis. Imagery is derived from, but is not limited to, radar, infrared, optical, and electro-optical sensors. IMINT and imagery systems increase the commander's ability to quickly and clearly understand his battle space and AI. IMINT is an important source of intelligence for intelligence preparation of the battlefield (IPB), targeting, terrain and environmental analysis, and battle damage assessment (BDA). IMINT is often the primary source of intelligence for the physical damage assessment portion of BDA. IMINT is subject to some limitations. Because most imagery requires ground processing and analysis, IMINT may be unable to respond to time-sensitive requirements. Imagery collection ma~ also be hampered by adverse weather and the vulnerability of the platform. As with other intelligence sources, IMINT is subject to threat attempts at deception. IMINT is most effective when used to cue other collection systems or to verify information provided by other sources. Systems that provide IMINT include the U2R Advanced Synthetic Aperture Radar System (ASARS), Joint STARS, UAV, and TENCAP systems.

For more information on IMINT, refer to FM 34-25-1, FM 34-25-2; and TC 34-55.

Measurement and Signature Intelligence:

MASINT uses information gathered by technical instruments such as radars, lasers, passive electro-optical sensors, radiation detectors, seismic, and other sensors to measure objects or events to identify them by their signatures. MASINT is critical for updating data on smart munitions. As future adversaries develop new technologies to evade some of the SIGINT and IMINT collection systems, MASINT will be used as another means of sensing the enemy. MASINT exploits other information that is not gained through SIGINT, IMINT, or HUMINT. The Remotely Monitored Battlefield Sensor System (REMBASS) is an example of a MASINT collector. For more information on REMBASS, refer to FM 34-10-1.

Signals Intelligence:

SIGINT results from collecting, locating, processing, analyzing, and reporting intercepted communications and noncommunications (for example, radars) emitters. SIGINT provides the commander with valuable, often NRT intelligence and targeting information on enemy intentions, readiness status, and dispositions by intercepting and locating enemy command, maneuver, fire support, reconnaissance, air defense, and logistics emitters. SIGINT operations require efficient collection management and synchronization to effectively overcome and exploit enemy efforts to protect his critical communications and weapons systems through emissions control, communications operating procedures, encryption, and deception. SIGINT is subdivided into: communications intelligence (COMINT); electronic intelligence (ELINT); and Foreign instrumentation signals intelligence (FISINT).

Examples of SIGINTground-based intercept and direction finding (DF) systems are the AN/PRD-12, the AN/TRQ-32A(V)2 (TEAMMATE), and the AIWRQ-I 52 (TRACKWOLF) systems. The GUARDRAIL Common Sensor (GRCS) is an example of an airborne intercept and DF system for both communications and noncommunications emitters. The AN/FSQ-144V (TROJAN) is the Army's remote collection system supporting in-garrison collection by tactical MI units.

Counterintelligence:

The essence of the Army's CI mission is to support force protection. By its nature, CI is a multidiscipline (counter-HUMINT, counter-IMINT, and counter-SIGINT) function designed to defeat or degrade threat intelligence and targeting capabilities. MDCI is an integral and equal part of IEW. MDCI operations support force protection through support to operations security (OPSEC), deception, and rear area operations across the range of military operations.

Examples of MDCI support to OPSEC range from evaluating components of a unique signature for a particular unit's tactical command post (CP) to strategic level MDCI support to special access programs.

MDCI personnel advise deception planners on the vulnerabilities of threat foreign intelligence services (FISs) and associated battlefield collection systems to various friendly deception capabilities and techniques. This input is important because a deception plan cannot succeed if the enemy has no means to collect the details of the deception story. The MDCI estimate provides significant input to the deception estimate.

MDCI personnel support rear area operations through collection, analysis, and reporting of threats to the rear area. They work with military police, Civil Affairs (CA), and psychological operations (PSYOP) elements to provide intelligence support to rear area security. They assist combat, CS, and CSS staffs in developing the MDCI estimate of the rear area threat for integration into OPLANs and operation orders (OPORDs). Under the direction of the G2 (S2), MDCI personnel support the Rear Area Operations Center (RAOC) commander by assessing rear base vulnerabilities and recommending countermeasures. MDCI personnel also provide the RAOC commander with indications and warnings (I&W) on rear area threats and assist with the countermeasures to such threats. For more information on MDCI functions and activities, refer to FM 34-5(S) and FM 34-60.

Technical Intelligence:

TECHINT is a multidiscipline function which supports commanders by either identifying or countering an enemy's momentary technological advantage, or by maintaining a friendly technological advantage. TECHINT is obtained by collecting, analyzing, and processing information in foreign technological developments. It also results from studying the performance of foreign material and its operational capabilities. The two parts of TECHINT, battlefield TECHINT and scientific and technical intelligence (S&TI) support commanders at all levels.

- Battlefield TECHINT provides operational and tactical commanders with immediate and usable intelligence on the capabilities and limitations of captured threat equipment. Battlefield TECHINT also results in the identification and evacuation of critical items of threat materiel requiring detailed S&TI analysis.

- S&TI provides detailed analysis on the technical characteristics of foreign systems and materiel. This results in the development of battlefield countermeasures to threat systems. S&TI also provides information on foreign developments in applied research which support Army Force Modernization.

Battlefield TECHINT frequently starts with one conscientious soldier who finds something new on the battlefield and takes proper steps to report it. The information or item is exploited at succeeding higher levels until a countermeasure is produced to neutralize the technological advantage or exploit a vulnerability. While a single weapon or technology seldom means the difference between final victory or defeat, it can give one side a battlefield advantage.

There is a mutually dependent relationship that exists between the support the commander gets from the TECHINT system and the support the TECHINT system gets from the commander. Operational and tactical commanders provide the raw material analysts need to identify, capture, protect, and evacuate enemy equipment, documents, and other items. Commanders further ensure the success of the process by demanding TECHINT support for the tactical effort to defeat the enemy. The analysts then take the raw material and produce the countermeasures commanders need to overcome an enemy's technological advantage. For more information on TECHINT, refer to FM 34-54.

CHARACTERISTICS OF EFFECTIVE INTELLIGENCE

The effectiveness of intelligence is measured against the following standards:

Timely:

Intelligence must be provided early enough to support planning, influence decisions and execution of operations, and prevent surprise from enemy action. it must flow continuously to the commander before, during and after an operation. Regardless of distance and time, intelligence organizations, data bases, and products must be available to develop estimates, make decisions, and plan operations.

Relevant:

Intelligence must support the commander's concept of operation and the unit's mission. It must be tailored to the capabilities of the unit and intelligence priorities of the commander. Intelligence must be in usable format which meets the specific needs of the requestor and explains its own significance.

Accurate:

Intelligence must give the commander a balanced, complete, and objective picture of the enemy and the operational environment. It should support and satisfy the priorities of the commander. To the extent possible, intelligence should correctly identify threat intentions, capabilities, limitations, and dispositions. It should be derived from multiple sources and disciplines to minimize the possibility of deception or misinterpretation. Alternative or contradictory assessments should be presented, when necessary, to ensure balance and bias-free intelligence.

Predictive:

Intelligence should tell the commander what the enemy is doing, can do, and his most likely course of action (COA). It should anticipate the intelligence needs of the commander.

PRIMARY INTELLIGENCE TASKS

MI accomplishes its mission through six primary tasks which generate intelligence synchronized to support the commander's mission and intelligence requirements. The derived products assist the commander in focusing and

protecting his combat power. Figure 2-2 illustrates how the six intelligence tasks aid the commander in decision making. The six tasks can be thought of as the METL for intelligence. As such, these tasks serve as a framework for intelligence training. The six intelligence tasks—

- Provide I&W.

  Perform IPB.

- Perform situation development.
- Perform target developmehnt and support to targeting.
- Support force protection.
- Perform BDA.

INTELLIGENCE TASKS	COMMANDER's FOCUS	COMMANDER's DECISIONS
I&W	ORIENT ON CONTINGENCIES	Increase intelligence readiness? Implement OPLAN?
IPB	PLAN A MISSION	Which COA will I implement? Where is my main effort?
SITUATION DEVELOPMENT	EXECUTE AND MANAGE A PLAN	Are these enemy actions expected? Is a FRAGO required now?
TARGET DEVELOPMENT AND SUPPORT TO TARGETING	DESTROY/SUPPRESS/ NEUTRALIZE TARGETS	Does destruction of this target accomplish my objective? When do I execute this fire mission?
FORCE PROTECTION	SECURE THE FORCE	Is my intent obvious to the enemy? Will I launch a preemptive strike?
BDA	REALLOCATE INTELLIGENCE AND ATTACK ASSETS	Is my fire and maneuver effective? Do I refire the same targets?

Figure 2-2. The G2 (S2) tailors intelligence to the commander's needs.

Indications and Warnings:

The commander uses I&W for early warning to prevent surprise through anticipation and reduce the risk from enemy actions that are counter to planning assumptions. This enables him to quickly reorient the force to unexpected contingencies and shape the battlefield by manipulating enemy activities. I&W helps a commander decide whether to maintain or increase unit readiness levels if hostilities are likely. In force projection operations, I&W provides the commander time to plan and surge the intelligence effort for the impending operation. Detection of developments which initiate force

projection operations requires that intelligence readiness be developed and maintained through pre-crisis intelligence operations.

The commander and G2 (S2) integrate intelligence requirements to support I&W into the total unit collection plan. Collection plans and supporting SORs are developed during the decision making process. The G2 (S2) develops reporting procedures (for example, "FLASH" designation) in support of I&W requirements to ensure the commander can implement the appropriate OPLAN in a timely manner.

During war an OOTW, the G2 (S2) identifies those actions by threat and potential threat groups that would change the basic nature of the operations. Examples of such activities include--

- First use of weapons of mass destruction (nuclear, biological, and chemical [NBC] weapons).
- First violation of international treaties.
- Introduction of weapons to counter a specific friendly advantage or strength.
- Unexpected commitment of threat forces into the battle space.
- Unexpected changes in the threat's intent, will, or targets.
- Changes in the population's support to friendly operations.

In all cases, I&W alerts the unit commander to move the unit from its current mission to a contingency, branch, or sequel operation.

Intelligence Preparation of the Battlefield:

The commander uses IPB to understand the battlefield and the options it presents to friendly and threat forces. IPB is a systematic, continuous process of analyzing the threat and environment in a specific geographic area. The process consists of four steps: defining the battlefield environment; describing the battlefield effects; evaluating the threat; and determining threat COAs. By applying the IPB process, the commander gains the information necessary to selectively apply and maximize his combat power at critical points in time and space on the battlefield.

The commander focuses the G2 (S2) effort and the IPB process by clearly defining his PIR. The G2 (S2) then uses the IPB process to continually assess threats to, and opportunities for, the friendly force. This assessment helps the commander initiate OPLANs, branches, and sequels. The IPB process and access to the intelligence system also allows logistics planners to develop the logistics preparation of the theater plan and other support plans.

Using the IPB process, the G2 (S2) predicts threat COAs and identifies the events that will enable them to confirm or deny each threat COA. The commander and staff use the results to wargame threat COAs against friendly actions, evaluate future threat actions, and perform situation and target development. This generates refined intelligence requirements which the

G2 (S2) staff includes in the intelligence synchronization matrix as well as the decision support template (DST) produced by the G3 (S3). These products support the commander and staff in decision making by developing specific unit OPLANs or OPORDs. As shown in Figure 2-3, the G2 (S2) must have some basic IPB products ready before the staff begins each step of the staff planning process. For more information on IPB, refer to FM 34-130.

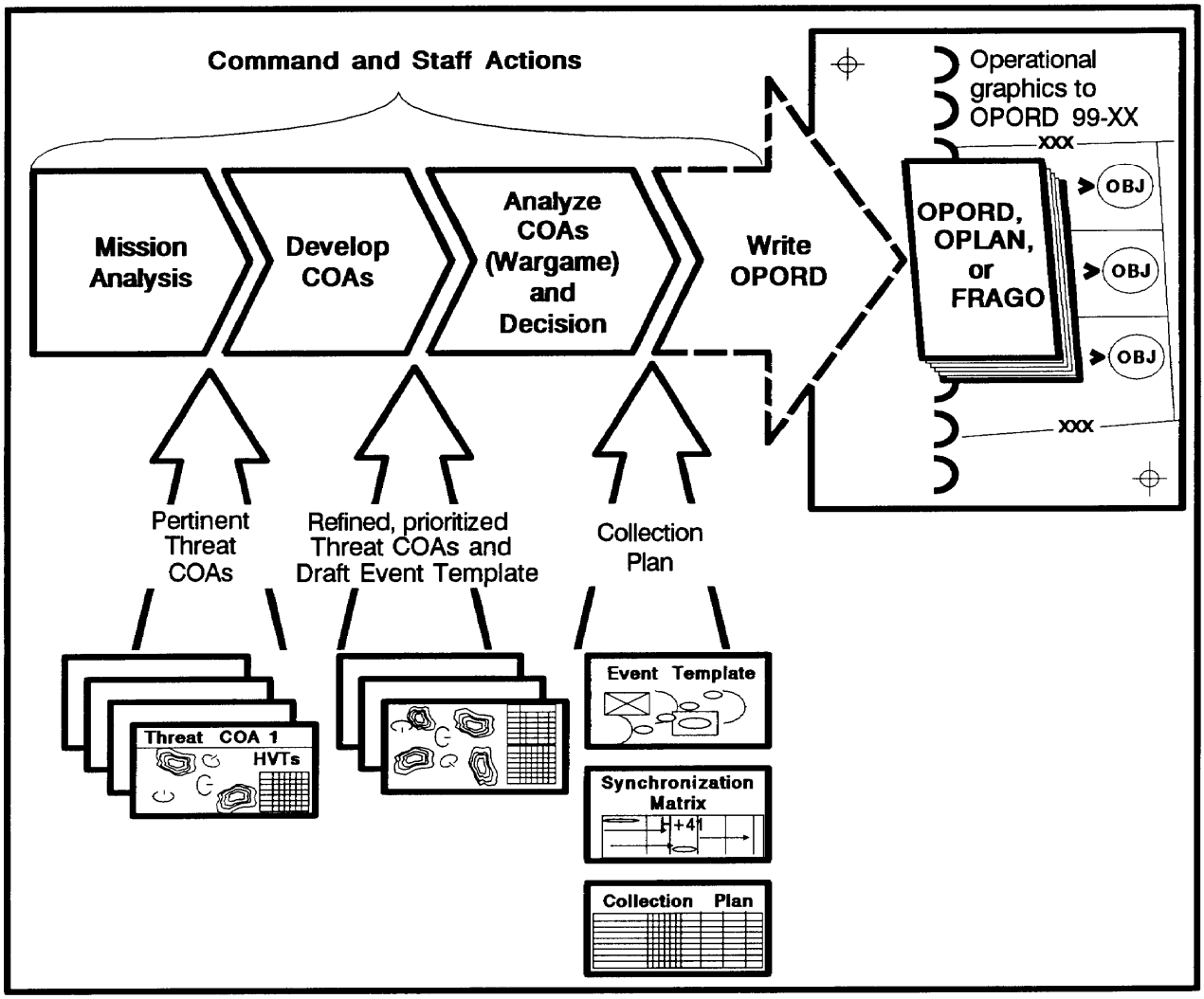

Figure 2-3. The G2 (S2) must support the decision making process with specific products.

Situation Development

The commander uses situation development to help understand the battlefield, thereby reducing risk and uncertainty while executing his plan. Situation development provides an estimate of the enemy's combat effectiveness. Based on the results of continuous IPB, it confirms or denies enemy COAs and explains what the enemy is doing in relation to the friendly Fforce commander's intent. Situation development helps the commander in his decisions to execute branches and sequels as the operation develops.

the information required, where to focus collection, the LTIOV, and where to report the information. The G2 (S2) must anticipate future COAs to allow time for Ml assets to be tasked and repositioned. The G2 (S2) monitors and, when required, redirects intelligence operations to deliver the intelligence required for each decision in a timely manner.

Situation development is especially demanding for Ml units. As an asset manager, the Ml commander must anticipate and wargame the collection positions for each of his IEW systems throughout the operation. Based upon the results of this wargaming, the Ml unit commander may prompt the supported unit's staff to reconsider select elements of its plan.

Target Development and Support to Targeting:

The commander uses intelligence in target development to effectively employ nonlethal electronic attack (EA) and lethal fires. Target development provides targets and targeting for attack by fire, maneuver, and electromagnetic means. Our ability to broadcast target information to multiple echelons in NRT makes the "detect" function of targeting almost instantaneous. This demands that the "decide" phase of targeting be accomplished in detail as an integral part of the commander's concept of operation.

intelligence support to target development provides targets and targeting to unit attack systems and collection assets for exploitation. The G2 (S2) uses the same techniques as described in the IPB and Situation Development sections above. Additionally, during wargaming, the G2 (S2) participates in the targeting process led by the fire support officer (FSO). During the "decide" function of the targeting process, the G2 (S2) will identify the high-value targets (HVTs) which are critical to the enemy commander's COA. Through wargaming, the targeting team or board reduces this set of targets to the high-payoff targets (HPTs). HPTs are HVTS which must be acquired, tracked, and successfully attacked in order for the commander's mission to succeed. The G2 (S2) advises the commander on the viability of collection against each HPT.

As required, the G2 (S2) establishes procedures for the direct "sensor to shooter" dissemination of targeting information from collection assets to the fire support element (FSE) and targeting cell. Direct dissemination enables the FSE and targeting cell to rapidly pass identified HPTs and other targets directly to the FSE of the supporting unit or, if authorized by the commander, to the firing unit. The G3 (S3) and FSO must identify the requirements for direct dissemination during the "decide" phase of the targeting process. The G2 (S2) and FSO must also establish controls in the "detect" phase to revalidate planned targets. The G2 (S2) must incorporate these requirements into the SOR and establish a system to track the status of each request. These procedures require considerable coordination between the commander, G3 (S3), G2 (S2), electronic warfare officer (EWO), FSO, field artillery intelligence officer, MI unit, and firing unit to be effectively executed. Additionally, targeting information relating to deep attack must be disseminated to elements such as the Deep Operations Coordination Cell (DOCC). The ACE is a crucial interface with the DOCC for intelligence support to the deep battle.

Commanders, G3s (S3s), G2s (S2s), and fire support personnel must realize that risks are inherent when acting upon NRT targeting information, particularly in an automated environment. Criteria should be established for using and confirming NRT targeting information to reduce the possibility of engaging the wrong enemy target or, worse, friendly forces. In addition, automation in the targeting process should not replace the human check and balance system needed to reduce the possibility of fratricide, For more information on the targeting process and intelligence, refer to FM 6-20-10.

Force Protection

The commander uses the Intelligence 80S to support force protection. Intelligence operations—MDCl operations in particular—identify, locate, and target an enemy's ability to target and affect friendly forces, facilities, and operations. Intelligence support to force protection must—

- Identify and counter enemy intelligence collection capabilities.
- Assess, through MDCI, friendly vulnerabilities and the threat's ability to exploit those vulnerabilities.
- Identify the enemy's perception of friendly centers of gravity and how he will attack or influence them.
- Identify potential countermeasures to deny the enemy access to friendly critical areas.
- Conduct threat and risk assessment.

With this intelligence, the commander decides which countermeasures must be used to shield his intentions, present false images to the enemy commander, and protect his force, Commanders and staffs use force protection intelligence to—

- •Enable the commander to plan for passive and active OPSEC, counterreconnaissance, deception, and other security measures.
- l Plan health service support, logistics operations, and troop safety measures.
- l Reduce the probability of fratricide by accurately locating enemy forces through timely IPB and situation development.
- l Contribute to threat avoidance once the risk is identified,

Force protection prompts the commander and staff to develop countermeasures against the threat's best opportunities. These are usually in the form of preventive measures (for example, levels of readiness) and reactionary measures (for example, quick reaction forces), The preventive measures do not require support by a new intelligence requirement, but the reactionary measures might, The G2 (S2) also establishes appropriate reporting procedures (for example, FLASH precedence reporting) for force

protection intelligence similar to those used for reporting I&W intelligence. Additionally, the G2 (S2) should periodically prompt a review of friendly vulnerabilities and the threat's ability for exploitation.

Users of force protection intelligence support vary widely across the battlefield. For example-

- Commanders and G3s (S3s) need to know the effectiveness of deception operations.
- G2 (S2) and G3 (S3) staffs use it to plan aggressive force protection measures such as deception and counterreconnaissance, intelligence, surveillance, and target acquisition (C-RISTA).
- OPSEC and deception managers need to know where enemy intelligence assets are focused.
- Leaders of all units need to know which OPSEC countermeasures are effective and necessary, and which measures can be eliminated.
- Headquarters commandants, Level II response forces, and rear area commanders need to know the likelihood of Levels I and II threats to the rear area so they will know which security measures are necessary and which are unnecessary. For more information on threat levels, refer to FM 34-52.
- CA and PSYOP personnel use force protection intelligence to ensure that their activities support deception and Cl operations.

Battle Damage Assessment

Intelligence supports the assess phase of the targeting process through the BDA process. The commander uses BDA to determine if his operational and targeting actions have met his conditions for initiating subsequent COAs or beginning the next phase of an operation. If the desired operational conditions have not been met, BDA gives the commander the information necessary to decide *if, when* and *how* the targets should be reengaged. It also estimates the enemy's remaining military capabilities and potential at different points throughout the mission or operation.

BDA is the timely and accurate estimate of damage resulting from the application of military force, either lethal or nonlethal, against an objective or target. BDA includes physical and functional damage assessments as well as target system assessment. The most accurate BDA is derived from multiple sources and the results of all-source analysis. Although producing BDA is primarily an intelligence responsibility, it requires extensive coordination with operational elements to be effective. It also requires that common procedures and methodology be established which synchronize and integrate Army BDA with those at joint and national levels.

The commander, supported by the G2 (S2), must decide what critical areas require BDA to determine if the targeting effect for operational success has been achieved. These areas form the commander's BDA-related PIR and must be prioritized against his other PIR developed during the targeting process. The G2 (S2) integrates the commander's BDA-related PIR

In situation development, the G2 (S2) and collection manager use the DST, collection plan, intelligence synchronization matrix, and SOR. The G2 (S2) uses these tools to state types of information needed, the degree of specificity, and the latest time information is of value (LTIOV). These products synchronize intelligence requirements to the decisions that the commander and staff expect to make during the upcoming operation. See Figure 2-4.

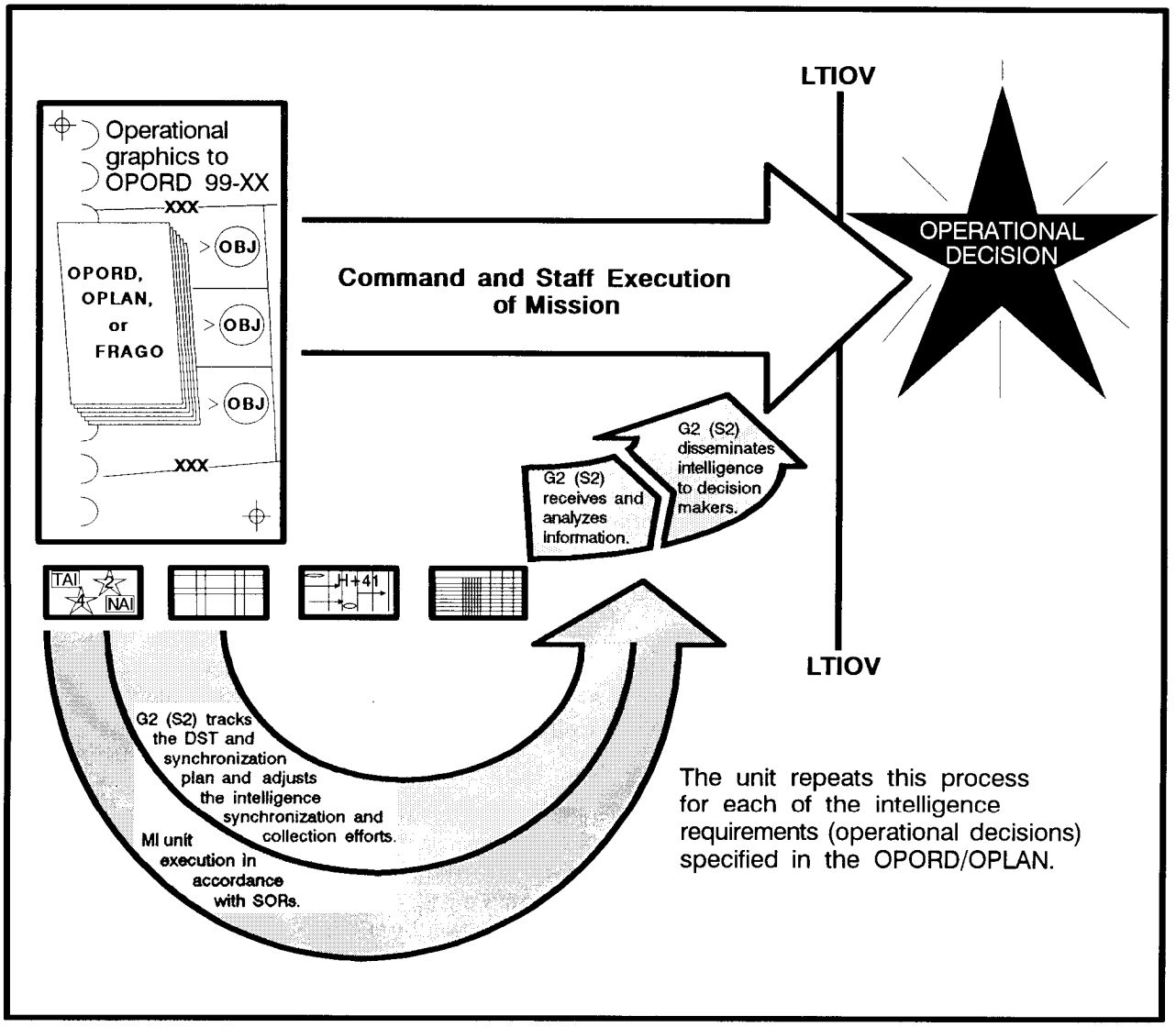

Figure 2-4. The G2 (S2) must synchronize intelligence requirements.

As the battle, operation, or campaign progresses, the G2 (S2) uses the intelligence synchronization matrix and DST to anticipate which decisions the commander and staff will soon make. The G2 (S2) and collection manager implement the intelligence synchronization and collection plan by issuing SORs to intelligence BOS units, including non-Ml units. SORs explicitly state

into the intelligence collection plan and synchronizes their collection with the target engagement windows. Since allocating collection resources for acquiring and tracking damage could divert IEW assets from other missions, BDA-related PIR should only address the commander's most critical requirements. The G2 (S2) ensures intelligence collected on BDA-related PIR is integrated into the targeting process, specifically the G3 (S3) combat assessment.

BDA is a complex and dynamic process which seldom falls out of routine intelligence collection. Commanders and staffs must conduct front-end analysis and establish criteria to identify the precise operational and targeting effect required to support specific decisions. Success in the BDA process and the combat assessment function of the targeting process are achieved when the commander has the information necessary to quickly decide-

- When to proceed with his original concept of operations and schedule of fires.
- When to restrike a target to ensure the desired effect is accomplished.
- When to execute a branch to the operation because the desired effect cannot be achieved with constrained resources.

THE INTELLIGENCE CYCLE

Intelligence operations follow a five-step process known as the intelligence cycle. The intelligence cycle is focused on the commander's mission and concept of operation. The overarching principle of the cycle is intelligence synchronization. Each step within the cycle must be synchronized with the commander's decision making and operational requirements to successfully influence the outcome of the operation. See Figure 2-5.

Plan and Direct:

IPB is the primary intelligence task which helps the G2 (S2) focus and direct this step and the remaining steps of the intelligence cycle. Planning and directing involves task organizing Ml assets; identifying personnel, logistics, and communications requirements; identifying, prioritizing, and validating intelligence requirements; developing a collection plan and synchronization matrix; issuing SORs for collection and production; and monitoring the availability of collection information.

Collect:

Collecting is acquiring information and providing this information to the processing and production elements. It includes the maneuver and positioning of intelligence assets to locations favorable to satisfying collection objectives.

Process:

Processing is the conversion of collected information into a suitable form that can be readily used to produce intelligence. Processing includes data form conversion, photographic development, and transcription and translation of

foreign language material. As with collection management, processing must be prioritized and synchronized with the commander's PIR. Effective processing management ensures that critical information is extracted and processed ahead of information of lesser immediate value.

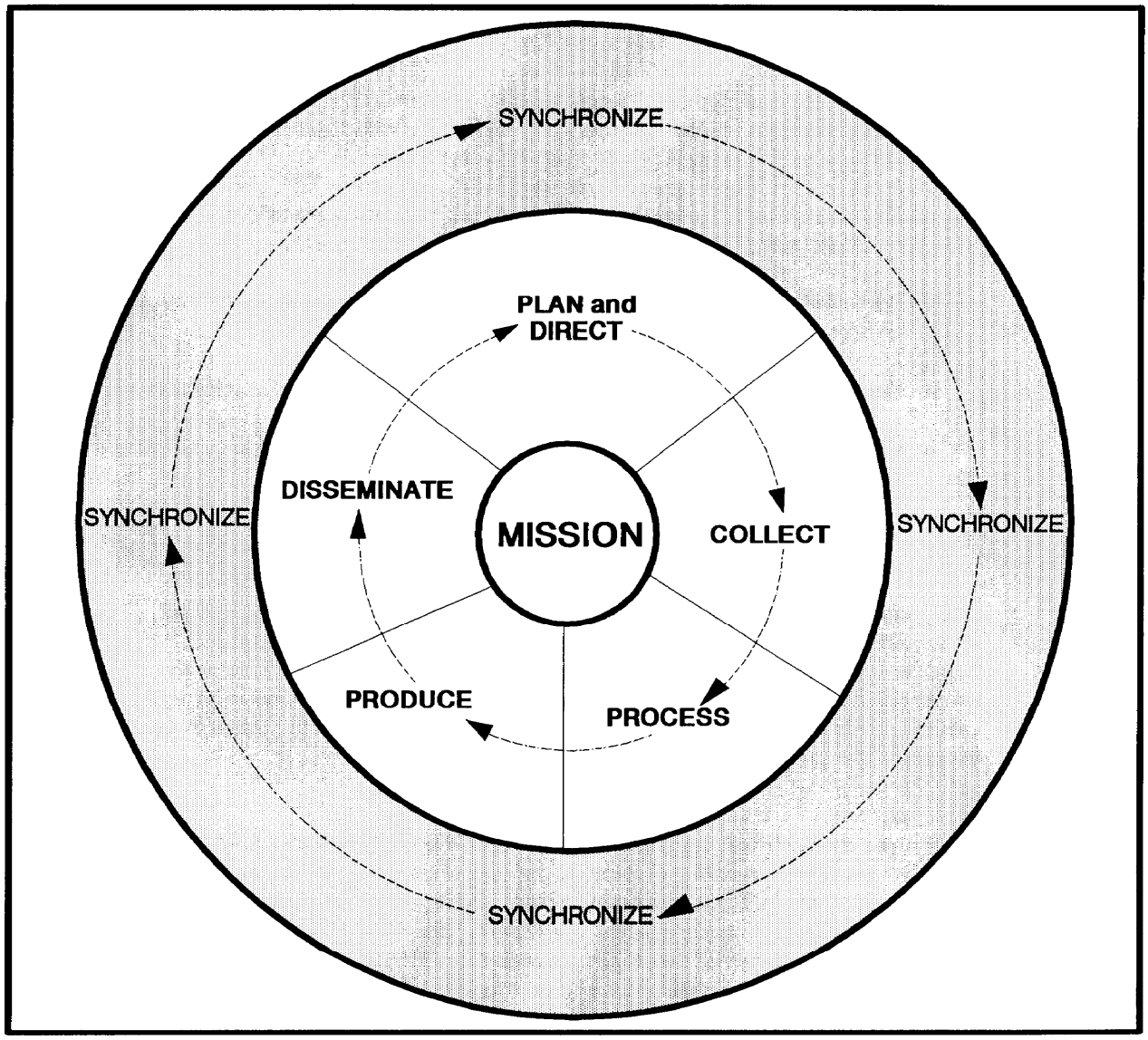

Figure 2-5. The intelligence cycle.

Produce

Producing involves the integration, evaluation, analysis, and synthesis of information from single or multiple sources into intelligence. At the tactical level, time constraints and demands of the battle tend to make the processing and producing steps indistinguishable.

Disseminate:

Disseminating intelligence is the timely conveyance of intelligence to users in a usable form. The diversity of forms and means requires interoperability among command, control, communications, and intelligence (C^3I) systems.

The intelligence cycle is a continuous process in which steps are executed concurrently, though not always sequentially. For example, while new information is being collected to satisfy one set of requirements, the G2 (S2) plans and redirects efforts to meet new demands while intelligence produced from previously collected information is disseminated. One or several iterations of the intelligence cycle may be conducted depending on the time constraints of the mission.

COMMANDER'S INTELLIGENCE REQUIREMENTS

The commander directs the intelligence effort by selecting and prioritizing intelligence requirements. They support the commander in conducting and planning operations. The information the commander needs to visualize the outcome of current operations is called the commander's critical information requirements (CCIRs). CCIRs include information on both friendly and threat forces. The threat information portion of the CCIR are the commander's PIR. In designating PIR, the commander establishes—

- **What** he wants (intelligence required).
- **Why** he wants it (dependent decision).
- **When** he wants it (LTIOV).
- **How** he wants it (format, method of delivery).

The commander uses the decision making process to define PIR, select friendly COAs, and refine intelligence requirements. The decision making process includes mission analysis; developing COAs; analyzing and comparing COAs; decision making; and execution. The staff assists the commander in developing intelligence requirements and will generate additional ones in support of the concept of operation and targeting as needed. Each requirement supports a decision expected to occur during the execution of the selected COA. The commander and staff establish these requirements to fill the gaps and voids in the unit's common understanding of the battlefield as shown in Figure 2-6.

For more information on PIR development, refer to FM 34-2, Appendix B, and FM 34-8, Appendix A.

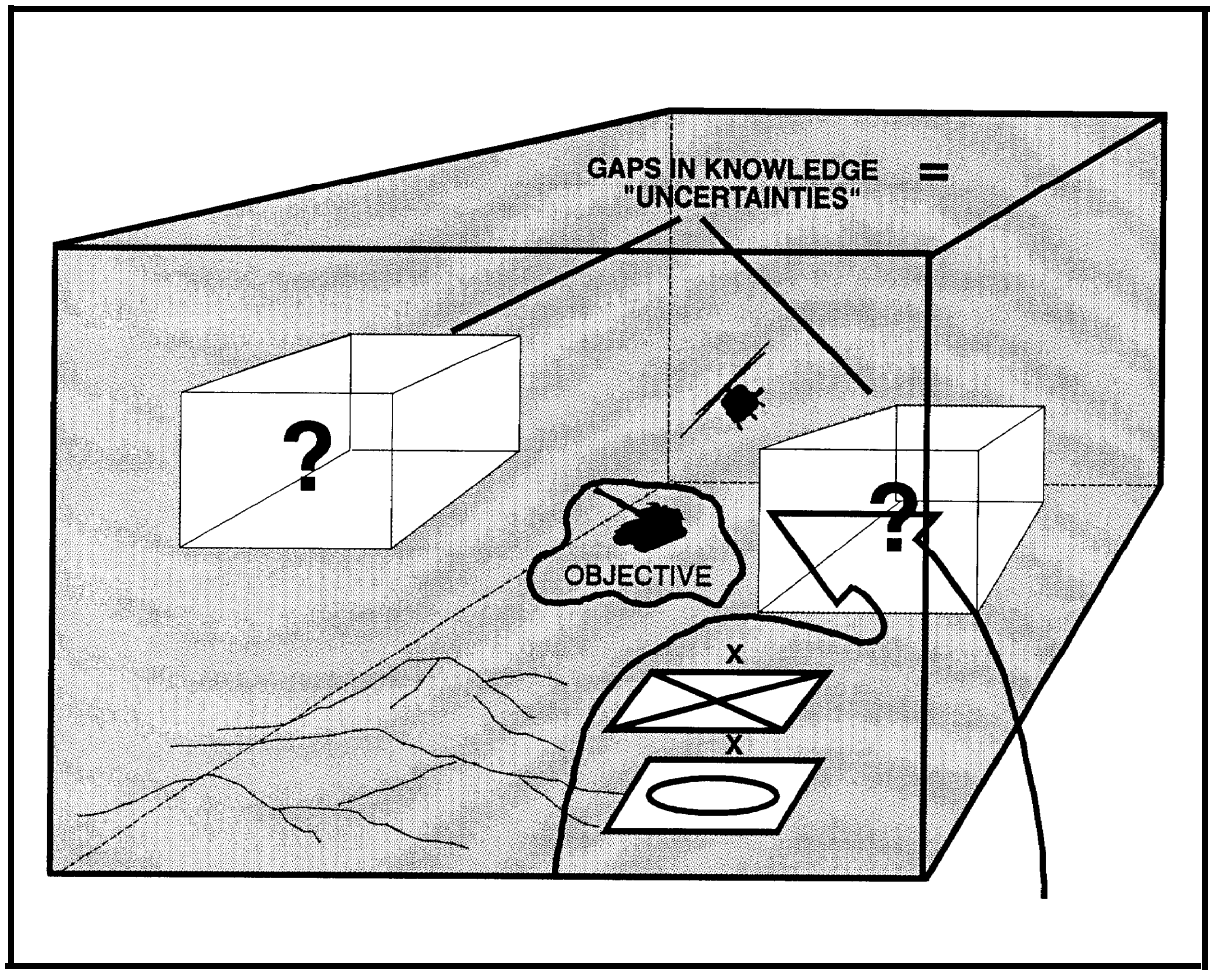

Figure 2-6. The common understanding of the battlefiled

Mission Analysis:

The commander uses IPB products to assess the facts about the battle space and to understand how friendly and threat forces will interact on the battlefield. Mission analysis, supported by IPB, identifies gaps in the command's knowledge of threat forces, the operational environment, and its effects on potential COAs. During mission analysis, the commander identifies his CCIR which provide the G2 (S2) with initial PIR.

Develop Courses of Action:

The commander and staff develop friendly COAs based on facts and assumptions identified during mission analysis. The G2 (S2) ensures that realistic expectations of the intelligence BOS are considered when developing friendly COAs and that most likely enemy COAs are accurately presented.

Analyze and Compare Courses of Action:

Using wargaming, the commander and staff "fight" the set of threat COAs against each potential friendly COA. This enables them to assess when and

where they might require intelligence about the threat or events at key areas. These key areas become named areas of interest (NAIs). When, as a result of wargaming, the commander determines he must make a decision based on activity at an NAI, that NAI becomes a decision point (DP) or creates a DP related to that NAI. The information needed by the commander to make that decision becomes an intelligence requirement.

Among the tools the staff uses to record the results of wargaming are the DST and BOS synchronization plan. The DST normally depicts DP and time phase lines (TPLs) associated with an event or decision as well as the commander's options. The synchronization plan supports the DST. It depicts NAIs and DPs, the LTIOV, the commander's options for each BOS, and TPLs associated with a DP and the commander's options.

The G2 (S2) incorporates NAIs, decision points, and HPTs identified during the wargame into a prioritized list of intelligence requirements. He develops and evaluates collection strategies for each intelligence requirement and ensures that intelligence collection is capable of supporting the friendly COA.

Decision Making:

The commander, with staff recommendations, decides upon a COA and issues implementing orders. He approves the intelligence requirements associated with that COA and designates the most important as PIR.

The commander prioritizes the complete set of intelligence requirements which includes his—

- Own command.
- Subordinate commands and adjacent units in the form of specific requests for intelligence.
- Higher command in the form of specific requests for intelligence.

PIR are the key intelligence requirements, listed in priority order, which the unit must answer or satisfy to achieve mission success. PIR support the planned operation and associated branches and sequels. The commander's PIRs drive the intelligence cycle.

Execution:

The G2 (S2) synchronizes the intelligence operation with the combat operation to ensure the Intelligence BOS provides the required intelligence when needed. He identifies the indicators and specific information requirements (SIR) necessary to satisfy each PIR. The G2 (S2) will allocate most of his efforts to those requirements designated as PIR, and develops a collection plan and synchronization matrix. This collection plan includes direction to organic assets and coordination with higher echelons for collection requirements beyond the organic capabilities of the unit.

The collection management and synchronization process orchestrates, prioritizes, and focuses the Intelligence BOS. The plan includes the

collection, processing, and dissemination required to support each intelligence requirement, The intelligence synchronization matrix ensures intelligence collection, analysis, and dissemination are in concert with the commander's operation. Synchronization ensures the commander receives the intelligence he needs, in the form in which he can use it, and in time to influence his decision making.

As the commander executes his selected COA, the G2 (S2) and collection manager monitor the execution of the collection plan. They use the intelligence synchronization matrix to ensure-

- Collection assets are focused on the proper PIR at each stage of the operation.
- Intelligence, required to support the commander's decisions, is delivered on time.

As information arrives, the G2 (S2) uses various techniques to keep track of the degree to which PIR are satisfied, understanding that 100 percent satisfaction rarely occurs, Using the intelligence cycle, the commander and G2 (S2) continually prioritize the set of requirements and reassess the designation of PIR as the operation progresses.

For more information on the decision making process, collection management, and intelligence synchronization, refer to FM 34-2 and FM 101-5.

ELECTRONIC WARFARE

When developing the concept of operations, tactical commanders should consider E W assets the same as *they do* artillery assets.

—FM 100-5, 14 June 1993

EW is an essential component of command and control warfare (C^2W). As part of C^2W, EW is used in conjunction with MDCI to protect friendly command and control (C^2) while attacking the enemy's C^2 structure. Effective use of EW as a decisive element of combat power requires coordination and integration of EW operations with the commander's scheme of maneuver and fire support plan. The integrated use of EW throughout the battlefield supports the synergy needed to locate, identify, damage, and destroy enemy forces and their C^2 structure.

ELECTRONIC WARFARE COMPONENTS

EW is an overarching term that includes three major components: electronic attack (EA), electronic warfare support (ES), and electronic protection (EP). The overlapping ovals in Figure 2-7 illustrate that some EW actions are both offensive and protective and may use ES in their execution, Other EW

functions, such as the use of wartime reserve modes (WARM), can fall under either EA or EP. The actions listed under each of the major components are illustrative, not all-inclusive.

Electronic Attack

EA uses lethal (directed energy) and nonlethal (jamming) electromagnetic energy to disrupt, damage, destroy, and kill enemy forces. Ml units use nonlethal EA to jam enemy C^2 and targeting systems. It can also support psychological and deception operations. Jamming degrades or denies the enemy effective use of his C^2 and targeting systems. Electronic deception causes an enemy to misinterpret what is received by his electronic systems. For more information on Electronic Attack, refer to FMs 24-33, 34-40(S), and 34-40-7.

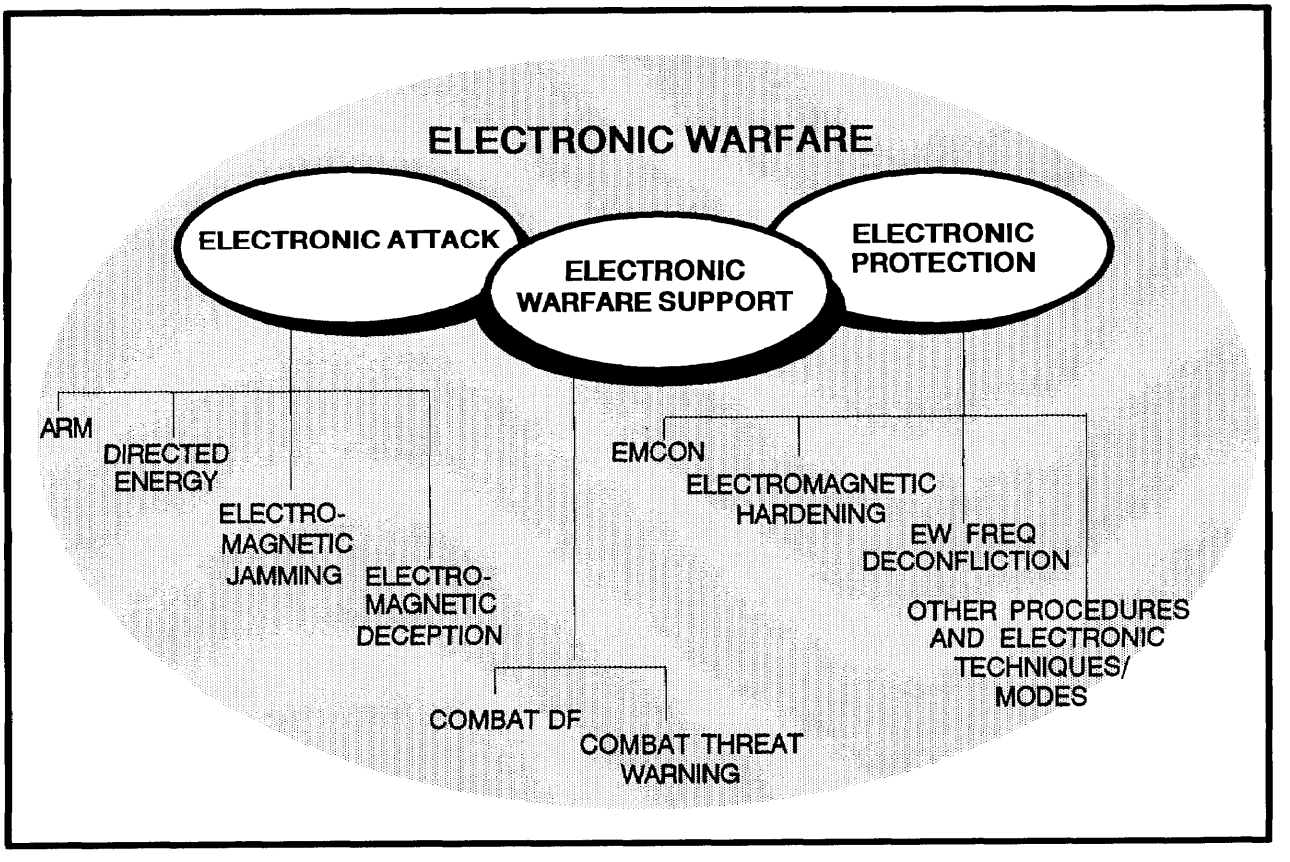

Figure 2-7. The scope of electronic warfare.

Electronic Warfare Support

ES gathers information by intercepting, locating, and exploiting enemy communications (radios) and noncommunications emitters (radars). ES gives the commander timely information upon which he can base his immediate decisions. Intelligence obtained through ES supports all-source analysis, EA, and EP. As one source of combat information, ES focuses on the commander's immediate needs for identifying the enemy's intent and obtaining targeting information.

Electronic Protection:

EP protects personnel, facilities, or equipment from the effects of friendly or enemy EW which degrades or destroys friendly communications and noncommunications capabilities. Good electromagnetic emanations practices are the key to a successful defense against the enemy's attempt to destroy or disrupt our communications and noncommunications systems. Proper management of electromagnetic emanations makes the use of our communications equipment appear to be without pattern; as a result, it is difficult for the enemy to target and is consistent with good EP practices. For more information on Electronic Protection, refer to FM 24-33 and FM 34-40(S).

Army EW operations are developed and integrated as part of the commander's overall concept of operations. The execution of EW operations occurs across all BOSS and units. EW often provides commanders with substantial capabilities to electronically influence and control the battlefield.

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Student Handout 4

This Student Handout contains pages 2-1 thru 2-8 from FM 24-33.

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Chapter 2
Preventive Electronic Counter-Countermeasures Techniques

2-1. Introduction

a. We must use preventive ECCM techniques to safeguard our communications from enemy disruption and destruction. ECCM techniques include all measures taken to avoid enemy detection and to deny enemy intelligence analysts useful information. There are two categories of preventive ECCM techniques:

- ECCM designed circuits (equipment features).
- Radio system installation and operating procedures.

Radio operators have little control over the effectiveness of ECCM designed circuits; therefore, the primary focus of this manual is radio system installation and operating procedures.

b. Reducing the vulnerability of our communications to enemy efforts to disrupt or destroy them is largely a matter of avoiding detection by the enemy. If the enemy cannot detect our communications, he will have difficulty disrupting or destroying them. Effective jamming depends on knowing the frequencies and approximate locations of units to be jammed. We must do all we can to prevent disclosing this information. Using the techniques in this chapter will help accomplish this. Table 2-1 lists preventive ECCM techniques.

2-2. Minimal Transmissions

a. The most effective preventive ECCM technique is to minimize radio transmissions and transmission times. Even though normal day-to-day operations require radio communications, these communications should be kept to the minimum needed to accomplish the mission. Using the following preventive ECCM techniques will minimize transmissions and transmission times.

(1) Ensure all transmissions are necessary. Analysis of US tactical communications indicates that most communications used in training exercises are explanatory and not directive. Radio communications must never be used as a substitute for complete planning. Tactical radio communications should be used to convey orders and critical information rapidly. Execution of the battle must be inherent in training, planning, ingenuity, teamwork, and established and practiced SOPs. The high volume of radio communications that usually precedes a tactical operation makes the friendly force vulnerable to enemy interception, direction finding, jamming, and deception.

> NOTE: Even when communications are secure, the volume of radio transmissions can betray an operation and the enemy can still disrupt or destroy our ability to communicate.

Table 2-1. List of preventive ECCM techniques.

I. Minimize Transmissions.
- Ensure all transmissions are necessary.
- Preplan messages before transmitting them.
- Transmit quickly and precisely.
- Use equipment capable of data burst transmission.
- Use an alternate means of communications when possible.

II. Protect transmissions from enemy interception.
- Use low power.
- Select the proper antenna.
  - Use the antenna with the shortest feasible range.
  - Use directional antennas.
- Select a site that masks transmitted signals from enemy interception.
- Use mobile antennas.
- Use decoy antennas.
- Use steerable null antenna processors.

III. Practice proper radiotelephone operators procedures.
- Reduce operator distinguishing characteristics.
- Operate on a random schedule.
- Authenticate when using nonsecure communications means.
- Encrypt all EEFI category data.
- Use COMSEC equipment when available.
- Use PROWORDs.

(2) Preplan messages before transmitting them. The radio operator should know what he is going to say before beginning a transmission. When the situation and time permit, the message should be written out before beginning the transmission. This will minimize the number of pauses in the transmission and decrease transmission time. It will also help ensure the conciseness of the message. The Joint Interoperability of Tactical Command and Control Systems (JINTACCS) voice templates are some of the best tools a RATELO can use to minimize transmission time.

(3) Transmit quickly and precisely. When a transmission is necessary, the radio operator should--

- Speak in a clear, well-modulated voice.
- Use proper radiotelephone procedures.

This is especially critical when the quality of communications is poor. This minimizes the chances that a radio transmission will have to be repeated. Unnecessary repetition increases transmission time and the enemy's opportunity to intercept our transmissions and thus gain valuable information.

(4) Use equipment capable of data burst transmission. This is one of the most significant advantages of tactical satellite communications systems. When messages are encoded on a digital entry device for transmission over satellite systems, the transmission time is greatly reduced.

(5) Use an alternate means of communications when possible. Alternate means of communications, such as cable, wire, or organic soldiers performing as messengers, can be used to convey necessary directives and information. Radio is a convenient means of communications; however, convenience does not justify making a radio transmission. Other means of communications must be used when practical.

b. We must not operate our radios unnecessarily. Minimizing transmissions will safeguard our radios for critical transmissions. The enemy cannot effectively disrupt or destroy our communications without first gathering information from our radio transmissions. This does not advocate total, continuing radio silence; it advocates minimum transmissions and transmission times. We must never forget that operating our radios unnecessarily increases the enemy's opportunities to gather information.

2-3. Transmission Protection

All radio communications systems consist of antennas, receivers, and transmitters. A transmitted signal can be received by any radio station with which it is compatible. However, the receiving and transmitting radio stations must be set to the same frequency, and the receiving antenna must receive a strong enough signal to activate the receiver. If these criteria are met, any

receiver--friendly or enemy--can intercept a transmitted signal. Therefore, protecting our transmissions must be our goal. We can reduce the possibility of our transmissions being intercepted by properly selecting and properly installing our radio systems. This applies to secure and nonsecure communications. Practicing the following preventive ECCM techniques will reduce the strength of the signals being transmitted toward the enemy.

a. Use low power. Power controls and antennas are closely related. The strength of the signal transmitted by an antenna depends on the strength of the signal delivered to it by the transmitter. The stronger the signal, the farther it travels. A radio communications system must be planned and installed to allow those stations that have a need to communicate with each other to do so. In carefully planned and installed communications systems, we can usually operate on low power. Using low power decreases the range and makes it more difficult for the enemy to detect and intercept our transmissions. It also reserves our high power for burning through enemy jamming.

b. Select the proper antenna. The range of a transmission depends on having a usable frequency and on two equipment-related factors:

- The power output of the transmitter.
- The antenna selected for use with a given radio.

The characteristics and orientation of an antenna affect the strength of the signal transmitted in all directions. An antenna should be selected and installed to ensure that a radio station can communicate with those radio stations with which it needs to communicate. It should also be selected to minimize the strength of the signal transmitted in the direction of the enemy. This can be accomplished by observing the following rules in the selection and the installation of our antennas.

(1) Select the antenna with the shortest feasible range capability. Almost every US Army radio will operate with two or more different kinds of antennas. For example, either the short whip, the long whip, or the OE-254 antenna may be used with the Radio Set AN/PRC-77. The short whip antenna has the shortest range. The OE-254 has the longest range. The antenna used with a given radio should be the one with the shortest range that still permits good communications with all radio stations with which that radio station must communicate. This decreases the chances of enemy interception and reserves longer range antennas for use in overcoming enemy jamming.

(2) Use directional antennas. The three types of antennas are--

- Omnidirectional.
- Bidirectional.
- Unidirectional.

Omnidirectional antennas transmit radio waves in all directions; however, they are more vulnerable to enemy information gathering, jamming, and deception than bidirectional and unidirectional antennas. Bidirectional antennas transmit radio waves in two directions. This enables us to communicate with two or more radio stations in opposite directions. They are good for lateral communications along the FLOT and should, when possible, be positioned so that transmission paths are parallel with enemy lines. Positioning the antenna in this way reduces the possibility of the enemy intercepting our communications. The unidirectional antenna can transmit and receive best in only one direction. When it is positioned properly, this antenna is the least vulnerable to enemy information gathering, jamming, and deception. FM 24-18 explains installation of directional antennas. Tactical satellite communications terminals should be installed to allow the terminal to communicate through the satellite with other terminals in its net.

c. Select a site that masks transmitted signals from enemy interception.

(1) When possible, the antenna should be positioned so that a terrain feature or man-made obstacle is between the antenna and the enemy. The antenna should be positioned as low as possible on the side of terrain features or man-made obstacles away from the enemy. This decreases the range of the transmitted signal and scatters the signal in the direction of the enemy. It makes our transmissions less vulnerable to enemy direction finding and detection. Also, by masking our transmissions from enemy interception, we safeguard our antennas against enemy information gathering, jamming, and deception efforts.

(2) An antenna can be properly positioned even when a station must communicate with a friendly station located between it and the enemy. Using terrain features or man-made obstacles to mask transmissions only reduces the range of the transmitted signal in the direction of the enemy; it does not stop it. The optimum siting for an antenna must be determined on a case-by-case basis.

d. Use mobile antennas. Frequent relocations of our antennas make accurate enemy direction finding more difficult and effective enemy jamming less likely. Antennas in the vehicular or man-pack configurations can be quickly and easily displaced. Even the ground plane antenna can be made mobile by mounting it on a vehicle and securing it by guy wires. This provides a mobile antenna that can be relocated rapidly. If this cannot be done, ensure the antenna is remoted from the communications equipment.

e. Use decoy antennas. When practical, additional antennas can be used as decoys and set up in credible antenna locations. Enemy intelligence analysts place special emphasis on photographs or reconnaissance reports of visible antenna arrays. Decoy antennas may cause the enemy to expend his limited resources against an unworthy target, thus allowing us to maintain worthy communications.

Use steerable null antenna processors. The Steerable Null Antenna Processor (SNAP-1) Group OL-257()/VRC is designed for use with the AN/VRC-12 family of radios and in the nonhopping mode of the Single-Channel Ground and Airborne Radio System (SINCGARS). It provides ECCM protection for the single-channel combat net radios in the VHF range (30-88 MHz). It will operate efficiently when the operator has no prior knowledge of the direction of either the unwanted or desired signal. It has a bypass or override feature that can be used in a jam-free environment or when equipment fails. The SNAP-1 will process the desired signal to its attached receiver even if the sending transmitter is not equipped with the SNAP-1. The SNAP-1 will be doctrinally employed on essential command and control and fire support single-channel radio nets from platoon to division level in forward areas. FM 24-18 contains a more detailed explanation of steerable null antenna processors.

2-4. Radiotelephone Operator Procedures

The RATELO is the key to the success of preventive ECCM techniques. The RATELO ensures that radio transmissions are minimized and protected, thereby preventing the enemy from intercepting and disrupting or destroying our communications. Besides practicing the preventive ECCM techniques, the RATELO must practice procedures that minimize the usable information transmitted. This prevents the enemy from disrupting or destroying our communications based on information detected in the pattern or content of our transmissions. This is accomplished by using the following RATELO procedures:

a. Reduce operator distinguishing characteristics. Many of our RATELOs can be readily identified by certain voice characteristics or overused phrases. The enemy can use these distinguishing characteristics to identify a unit even though frequencies and call signs are changed periodically. Strictly adhering to the proper use of procedure words (PROWORDs) as outlined in FM 24-18 helps us to keep operator distinguishing characteristics to a minimum. However, this is not enough. Accents and overused phrases must also be kept to a minimum. The enemy must not be able to associate a particular RATELO with a particular unit.

b. Operate on a random schedule. As stated before, the enemy can gather information based on the pattern as well as the content of our radio communications. Therefore, we must not develop patterns through hourly radio checks, daily reports at specific times, or any other periodic transmission. Periodic reports should be made by alternate means of communications. We must take all reasonable measures to deny information to enemy intelligence analysts. Operating on a random schedule is one example.

c. Authenticate.

(1) Proper use of authentication prevents the enemy from deceptively entering our nets. It is a procedure that must be used in radio systems that do not use speech secure devices. The enemy has skilled experts whose sole mission is to enter our nets by imitating friendly radio stations. This threat to our radio communications can be minimized by the proper use of authentication.

Procedures for authentication are found in the supplemental instructions to the SOI. Authentication is required in the following situations:

(a) You suspect the enemy is on your net.

(b) You are challenged by someone to authenticate. (Do not break radio listening silence to do this.)

(c) You transmit directions or orders that affect the tactical situation, such as change locations, shift fire, or change frequencies.

(d) You talk about enemy contact, give an early warning report, or issue a follow-up report. (This rule applies even if you used a brevity list or operations code.)

(e) You tell a station to go to radio or listening silence or ask it to break that silence. (Use transmission authentication for this.)

(f) You transmit to a station that is under radio listening silence. (Use transmission authentication for this.)

(g) You cancel a message by radio or visual means, and the other station cannot recognize you.

(h) You resume transmitting after a long period of time, or it is the first transmission.

(i) You are authorized to transmit a classified message in the clear. (Use transmission authentication for this.)

(j) You are forced, because of no response by a called station, to send a message in the blind. (Use transmission authentication for this.)

(2) All instances in which the enemy attempts to deceptively enter our nets to insert false information must be reported. The procedures for reporting these incidents are in Chapter 4. The procedures are also in the supplemental instructions to the SOI.

d. Encrypt all essential elements of friendly information. EEFI are those items of information which we must not allow the enemy to obtain. A broad, general list of these items of information is contained in the supplemental instructions to the SOI. These items of EEFI are applicable to most Army units engaged in training exercises or tactical operations. The list is to support the Army self-monitoring program and is not all inclusive. Individual units should develop a more specific EEFI list to be included in unit operation orders, operation plans, and field SOPs. These items of information must be encrypted manually or electronically before transmission. Electronic encryption is accomplished by using COMSEC devices such as the KY-57/58, KG-84, or KG-93/94. Manual encryption is accomplished by using

approved operations codes. Manual and electronic encryption need not be used together. Either method used alone will protect EEFI from enemy exploitation.

2-5. Equipment and Communications Enhancements

In addition to the equipment enhancements and proper RATELO procedures, other techniques can be used to reduce the vulnerability of friendly communications to hostile exploitations. Some of these ECCM procedures are the introduction of frequency hopping modules in radios, null steering and adaptive antennas, spread spectrum waveforms, automatic adjustable power output, and fiber optics technology.

a. Frequency hopping is particularly useful in lessening the effects of enemy communications jamming and in denying the enemy friendly position location data. This is done by changing the instantaneous frequency of a narrowband transmission in a psuedo-random manner. The new family of SINCGARS will employ frequency hopping.

b. Null steering and adaptive antenna techniques are designed to achieve more survivable communications systems. Null steering masks the radiation pattern to nullify the effects of jamming and provides an improved signal-to-jamming ratio. These techniques are typically coupled with spread spectrum waveforms combining frequency hopping with psuedo-noise coding.

c. Spread spectrum techniques are intended to suppress interference by other users (hostile or friendly), to provide multiple access (user sharing), and to eliminate multipath interference (self-jamming caused by a delayed signal). The transmitted intelligence is deliberately spread across a very wide frequency band in the operating spectrum so that it becomes hard to detect from normal noise levels. The Enhanced Position Location Reporting System (EPLRS) and the Joint Tactical Information Distribution System (JTIDS) use this technique.

d. Adjustable power automatically limits the radiated power to a level sufficient for effective communications, thereby reducing the electronic signature of the subscriber. The radios currently planned for use in the Mobile Subscriber Equipment (MSE), such as the radio access units (RAUs) and the mobile subscriber radiotelephone terminals (MSRTs), use this feature.

e. Frequency hopping multiplexer (FHMUX) and high-power broadband vehicular whip antennas (HPBVWA) are currently being developed. The FHMUX is an antenna multiplexer used with SINCGARS in both stationary and mobile operations. This multiplexer will allow up to five SINCGARS to transmit and receive through one VHF-FM broadband antenna (OE-254 or HPBVWA) while operating in frequency hopping mode, nonhopping mode, or a combination of both. It will also be capable of operating with the current VRC-12 family of radios. Visual and electronic profiles of command posts will be reduced by using one antenna instead of up to five. Also, emplacement and displacement times will be greatly reduced.

HANDOUTS FOR LESSON 1: W332 version 1

This Appendix Contains

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet.	SH-1-1
SH-2, Extract from FM 3-20.98, App D, Section V	SH-2-1

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Student Handout 1

Advance Sheet

Lesson Hours This lesson consists of 1 hour and 50 minutes of small group instruction and a 10 min Practical Exercise.

Overview This lesson covers information on establishing a checkpoint.

Learning Objective Terminal Learning Objective (TLO):

Action:	Establish a checkpoint.
Condition:	As a small unit leader in a company or battalion level unit, in a classroom environment, given FM 3-20.98.
Standard:	Established a checkpoint by-- • Identifying the role of the reconnaissance platoon in stability and support operations. • Establishing a deliberate and a hasty checkpoint. • Preparing for contingencies at checkpoints. IAW FM 3-20.98, Appendix D, Section V.

ELO A Identify the role of the reconnaissance platoon in stability and support operations.
ELO B Establish a deliberate and a hasty checkpoint.
ELO C Prepare for contingencies at checkpoints.

Assignment The assignments for this lesson are:

- Read SH-2, Extract from FM 3-20.98, Section V, Appendix D.
- Complete Practical Exercise-1.

Additional Subject Area Resources None

Bring to class You must bring the following items to class:

- All reference material received for this class.
- Writing material.

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Student Handout 2

Extracted material from FM 3-20.98

This student handout contains 19 pages of extracted material from FM 3-20.98, Appendix D, Section V, pp D-22 thru D-40.

Disclaimer: The training developer downloaded the extracted material from the General Dennis J. Reimer Training and Doctrine Digital Library Home Page. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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Appendix D

Stability Operations and Support Operations

Each type of reconnaissance platoon, especially the recce platoon, has unique capabilities that make it an important asset to Army units executing missions as part of stability operations and support operations. The platoon may be called upon to perform a variety of missions in a wide range of political, military, and geographical environments and in both combat and noncombat situations (see Table D-1). These operations will almost always be decentralized and can require the platoon leader to make immediate decisions that may have strategic or operational consequences. The distinction between these roles and situations will not always be clear, presenting unique challenges for the platoon, its leaders, and its soldiers.

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SECTION I – INTRODUCTION

NOTE: US Army policy normally does not allow a unit to modify its warfighting METL unless and until the unit is selected for stability operations and support operations. Only then should a unit train for specific mission-related tasks. Chief among these are operations with very restrictive ROE/ROI and orientation on the area, its culture, and the nature of the conflict.

D-1. Stability operations apply military power to influence the political environment, to facilitate diplomacy, or to interrupt or prevent specific illegal activities. These operations cover a broad spectrum. At one

end are development and assistance activities aimed at enhancing a government's willingness and ability to care for its people. At the other are coercive military actions; these involve the application of limited, carefully prescribed force, or the threat of force, to achieve specific objectives.

D-2. US military forces conduct support operations to assist designated groups by providing essential supplies and services in the face of adverse conditions, usually those created by man-made or natural disasters. Mission success in support operations, which are normally characterized by the lack of an active opponent, is measured in terms of the ability to relieve suffering and to help civil authorities respond to crises. Primary goals of these operations are to meet the immediate needs of the supported groups and to transfer responsibility quickly and efficiently to appropriate civilian authorities.

D-3. The general considerations discussion of this appendix focuses on several important aspects of stability operations and support operations. Later segments examine stability operations and support operations, respectively, in greater detail, followed by discussions of tasks specific to the reconnaissance platoon and of the role of light/heavy operations in stability and support environments. Refer to Chapter 6 of this manual for a discussion of urban operations, which provide the operational framework for many types of stability operations and support operations.

SECTION II – GENERAL CONSIDERATIONS

D-4. Stability operations and support operations entail the adaptation of capabilities developed for warfighting to the political and military environments of peace and conflict. The warfighting doctrine described in this manual is used, with suitable modification, to accommodate such situations.

THE RANGE OF MILITARY OPERATIONS

D-5. Stability operations and support operations that take place in the peacetime and conflict environments may entail the full range of military operations (refer to Table D-1). These operations may also require working closely with other state and/or federal agencies, civilian agencies, and host-nation governments if the operation is outside the United States.

PEACETIME

D-6. In peacetime, a variety of measures are employed to achieve national objectives; these include political, economic, and informational measures, as well as military actions short of combat operations or active support of warring parties. Within this environment, US forces may conduct training exercises to demonstrate national resolve; conduct peacekeeping operations; participate in nation-building activities; conduct disaster relief and humanitarian assistance; provide security assistance to friends and allies; or execute shows of force. Confrontations

and tensions may escalate during peacetime to reach a point of transition into a state of conflict.

Table D-1. The Range of Military Operations

STATES OF THE OPERATIONAL ENVIRONMENT	GOALS	MILITARY OPERATIONS	MISSIONS	RECENT OPERATIONS
WAR	Fight and win	WAR	• Large-scale combat operations • Attack • Defend	DESERT STORM
CONFLICT	Deter war and resolve conflict	STABILITY AND SUPPORT	• Strikes and raids • Peacekeeping or peace enforcement • Support to insurgency • Antiterrorism • NEOs	RESTORE HOPE
PEACETIME	Promote peace	STABILITY AND SUPPORT	• Counterdrug operations • Disaster relief • Civil support • Peace-building • Nation-building assistance	HURRICANE ANDREW RELIEF

CONFLICT

D-7. Conflict can encompass numerous types of situations, including the following:

- Clashes or crises over boundary disputes and land and water territorial claims.
- Situations in which opposing political factions engage in military actions to gain control of political leadership within a nation.
- Armed clashes between nations or between organized parties within a nation to achieve limited political or military objectives.

D-8. While regular military forces are sometimes involved, the use of irregular forces frequently predominates in conflict actions. Conflict is often protracted, confined to a restricted geographic area, and limited in weaponry and level of violence. In this state, military response to a threat is exercised indirectly, usually in support of other elements of national power. Limited objectives, however, may be achieved by the short, focused, and direct application of military force. Conflict approaches the threshold of a state of war as the number of nations and/or troops, the frequency of battles, and the level of violence increase over an extended time.

IMPACT ON THE RECONNAISSANCE PLATOON

D-9. Stability operations and support operations involving the reconnaissance platoon will occur most often in the state of peacetime. The platoon can assist in a variety of activities during these operations, such as populace and movement control (checkpoints and roadblocks), the handling of EPWs or refugees, or EPW exchanges. Refer to the discussion later in this appendix for specific examples of stability and support situations in which the platoon may participate.

NOTE: Military operations involving reconnaissance platoons occur most often in the state of conflict. These may include standard security and reconnaissance missions in support of offensive and defensive operations. Refer to the appropriate portions of this manual for information on these operations.

ACTIVITIES IN STABILITY OPERATIONS AND SUPPORT OPERATIONS

D-10. As outlined in FM 100-5, the Army's missions in stability operations and support operations are categorized into several types of activities. Examples of these missions are listed in Figure D-1; for additional details, refer to the discussions of stability operations and support operations later in this appendix.

D-11. Although the activities of stability operations and support operations have distinct characteristics, they often overlap in execution. For example, forces involved in a peacekeeping operation must protect themselves and the local populace against terrorism; conversely, a terrorist incident may result in the execution of a specific operation to combat terrorism.

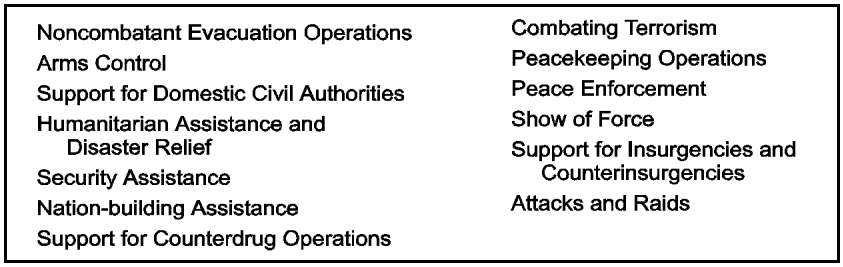

Figure D-1. Military Activities in Stability Operations and Support Operations

PLANNING AND OPERATIONAL CONSIDERATIONS

D-12. Although stability operations and support operations can take place in any part of the world, they are most likely to occur in third world countries, where social, political, economic, and psychological factors contribute to political instability. Each country or region is unique, with its own history, culture, goals, and problems. US forces deployed to these areas can be subject to rapid and dramatic changes in situations and missions. The reconnaissance platoon leader must understand this environment; he must plan for rapid changes in the situation or mission and constantly be prepared to adapt to them. In addition, the platoon must be prepared to operate in any type of terrain and climate.

D-13. The following paragraphs examine several important considerations that will influence planning and preparation for stability operations and support operations. For a detailed discussion of these subjects, refer to FM 3-07.3 (FM 100-23).

ENVIRONMENT

NOTE: The term "environment" in the following discussion is not equivalent to the states of the operational environment (peace, conflict, war) examined earlier in this appendix. As an operational consideration, the environment refers to the cultural, political, and military context in which stability operations and support operations take place, as well as to terrain and weather in the area of operations.

D-14. Stability operations and support operations can take place in any part of the world. To deal effectively with the diverse situations they may face, US forces must undergo orientation training on the complex conditions and factors at work in a specific region. Each soldier must understand the political and economic situation, as well as the cultures, climates, and terrain of the region. He should understand the military situation, especially the doctrine, tactics, and equipment that are employed by belligerent, guerrilla, and terrorist forces. Orientation training should also clarify the following environmental factors as well as the planning and operational considerations covered in the remainder of this discussion.

Tempo

D-15. Although extreme tension may underlie stability operations and support operations, the tempo of these operations is generally slow. Nonetheless, the speed of military action can vary widely, from fast, violent tactical movement by a reaction force for the purpose of relieving encircled friendly forces to the deliberate occupation of stationary defensive positions to provide overwatch at traffic control points.

D-16. Throughout stability operations and support operations, the threat can be expected to execute both overt and covert operations to test friendly reaction times and security procedures. Units that are predictable or that lack sound OPSEC leave themselves susceptible to attack. For the reconnaissance platoon, the key to a secure environment is not only to maintain the highest possible level of OPSEC, but also to vary the techniques by which security procedures are executed.

Role of US Forces

D-17. All soldiers should be aware of the role US forces will play in the overall mission. This is especially vital when Americans are part of a combined force that requires constant interaction and coordination with the soldiers of foreign nations. In all cases, the commander's intent and his projected end state should be simplified and presented in a way that gives soldiers the guidance they need to accomplish the mission.

Peacekeeping versus Peace Enforcement

D-18. Training for stability operations and support operations should also focus on the distinction between peacekeeping and peace enforcement. Peacekeeping is a highly visible activity; force protection is

often more difficult. Peace enforcement operations are more likely to involve the use of force, cover and concealment, and the tactical considerations of OPSEC. Leaders at every level must understand the role of U.S. forces based on the commander's intent. **If this role is not clear, they must seek clarification.**

INTELLIGENCE

D-19. Intelligence is crucial during the execution of stability operations and support operations. The threats faced by military forces in these operations are more ambiguous than those in other situations because combatants, guerrillas, and terrorists can easily blend with the civilian population. Before forces are committed, intelligence must be collected, processed, and focused to support all planning, training, and operational requirements. (**NOTE:** For additional information, refer to FM 3-07 [FM 100-20].)

DECENTRALIZED OPERATIONS

D-20. Although stability operations and support operations are normally centrally planned, execution often takes the form of small-scale, decentralized actions conducted over extended distances. Responsibility for making decisions on the ground will fall to junior leaders. Effective command guidance and a thorough understanding of the applicable ROE (refer to the following discussion) are critical at each operational level.

RULES OF ENGAGEMENT

D-21. ROE are politically imposed restrictions on military operations. The ROE are directed by higher military authorities based on the political and tactical situations and the level of threat. For example, these restrictions may require that the forces involved limit their use of firepower to a certain geographical area or that they limit the duration of their operations. Refer to Figure D-2 for an example of ROE for one possible situation.

D-22. ROE must be considered during the planning and execution of all operations. **The unit's TTP will require adjustment based on each particular situation's ROE.** Understanding, adjusting for, and properly executing ROE are especially important to success in stability operations and support operations. The restrictions change whenever the political and military situations change; this means ROE must be explained to friendly soldiers continuously.

All threat military personnel and vehicles transporting threat personnel or their equipment may be engaged subject to the following restrictions:

A. When possible, the threat will be warned first and asked to surrender.

B. Armed force is the last resort.

C. Armed civilians will be engaged only in self-defense.

D. Civilian aircraft will not be engaged, except in self-defense, without approval from division level.

E. All civilians should be treated with respect and dignity. Civilians and their property should not be harmed unless necessary to save US lives. If possible, civilians should be evacuated before any US attack. Privately owned property may be used only if publicly owned property is unavailable or its use is inappropriate.

F. If civilians are in the area, artillery, mortars, AC-130s, attack helicopters, and tube-launched or rocket-launched weapons should not be used against known or suspected targets without the permission of a ground maneuver commander (LTC or higher)

G. If civilians are in the area, all air attacks must be controlled by FAC or FO, and close air support, white phosphorus weapons, and incendiary weapons are prohibited without approval from division.

H. If civilians are in the area, shoot only at known threat locations.

I. Public works such as power stations, Water treatment plants, dams, and other public utilities may not be engaged without approval from division level.

J. Hospitals, churches, shrines, schools, museums, and other historical or cultural sites will be engaged only in self-defense against fire from these locations.

K. All indirect fire and air attacks must be observed.

L. Pilots must be briefed for each mission as to the location of civilians and friendly forces.

M. Booby traps are not authorized. Authority to emplace mines is reserved for the division commander. Riot control agents can be used only with approval from division level.

N. Prisoners should be treated humanely, with respect and dignity.

O. Annex R to the OPLAN provides more detail. In the event this card conflicts with the OPLAN, the OPLAN should be followed.

DISTRIBUTION: ONE FOR EACH SOLDIER DEPLOYED (ALL RANKS)

Figure D-2. Example Rules of Engagement

D-23. ROE provide the authority for the soldier's right to self-defense. **Each soldier must understand the ROE and be prepared to execute them properly in every possible confrontation.** In addition, ROE violations can have operational, strategic, and political consequences that may affect national security; the threat can be expected to exploit such violations.

RULES OF INTERACTION AND GRADUATED RESPONSE

D-24. ROI and graduated response embody the human dimension of stability operations and support operations; they lay the foundation for successful relationships with the myriad of factions and individuals that play critical roles in these operations. ROI encompass an array of interpersonal communication skills, such as persuasion and negotiation. Graduated response deals with the process of applying greater levels of force to a situation in response to the changes in that situation; refer to Figure D-3 for an example of a graduated response card.

Graduated Response Card

Situation: Your unit is conducting an operation (i.e.. secure a weapons storage facility). Signs have been posted that no crowds are allowed near the facility. After a period of time, a crowd of civilians begins to gather. You are given the order to disperse the crowd as quickly and safely as possible. Use the following steps, listed in ascending order of intensity, either independently or in combination to disperse the crowd:

1. Employ **linguists** assigned to your unit to inform the crowd that it must disperse.
2. Employ **airborne speaker teams** to transmit instructions to the crowd to disperse.
3. Employ **bullhorns** to relay instructions to the crowd to disperse.
4. Use **loud noise speaker teams** to assist in dispersing the crowd.
5. **Honk the horns** of unit vehicles to disperse the crowd.
6. Emplace **concertina wire** to keep the crowd from gaining access to the area.
7. **Start the unit vehicles** to show the crowd that you will move on them if necessary.
8. Employ **mechanized vehicles (RVs)** as a show of force to the crowd.
9. Take **pictures or videotape** of instigators in the crowd.
10. Employ **military working dogs** to disperse the crowd.
11. Fix **bayonets**.
12. Conduct procedures as prescribed in **civil disturbance drills**.
13. Use **pepper spray** to disperse the crowd.
14. Show the crowd that you have **CS gas canisters**.
15. Employ **CS gas** to disperse the crowd.
16. Employ **helicopter blade wash** to disperse the crowd.
17. **Fire rounds** into the air.
18. Employ the use of **deadly force**.

Figure D-3. Example Graduated Response Card

D-25. These are tools the individual soldier will need to deal with the nontraditional threats that are prevalent in stability operations and support operations, including political friction, unfamiliar cultures, and conflicting ideologies. In turn, ROI and graduated response enhance the soldier's survivability in such situations. They are based on the applicable ROE for a particular operation; they must be tailored to the specific regions, cultures, and/or populations affected by the operation. Like ROE, ROI and graduated response can be effective only if they are thoroughly rehearsed and understood by every soldier in the unit.

FORCE PROTECTION

D-26. Because of the influence of local politics and news media in stability operations and support operations, precautions and operations

required to minimize casualties and collateral damage become particularly important operational considerations during these operations. At the same time, however, force protection must be a constant priority. Reconnaissance forces are commonly employed in a force protection role.

D-27. In attempting to limit the level and scope of violence used in stability operations and support operations, leaders must avoid making tactically unsound decisions or exposing the force to unnecessary risks. On the contrary, an overpowering use of force, correctly employed and surgically applied, can reduce subsequent violence or prevent a response from the opposing force. This must be covered in the ROE and the OPORD from higher headquarters.

D-28. OPSEC, tempered by restrictions in the ROE and ROI, is an important tool for the platoon leader in accomplishing his force protection goals. Security procedures should encompass the full range of antiterrorist activities for every soldier and leader. Examples include proper RTP; strict noise, light, and litter discipline; proper wear of the uniform; display of the proper demeanor for the situation; as well as effective use of cover and concealment, obstacles, OPs and early warning devices, the protection afforded by armor vehicles, and safe locations for eating and resting.

D-29. A final consideration in force protection is hygiene. Many stability operations and support operations take place in underdeveloped nations; proper field sanitation and personal hygiene are mandatory if soldiers are to stay healthy.

TASK ORGANIZATION

D-30. Because of the unique requirements of stability operations and support operations, the reconnaissance platoon may be task organized to operate with a variety of units. Examples may include an armor or mechanized company team or a light infantry company or battalion.

CSS CONSIDERATIONS

D-31. The operational environment the reconnaissance platoon faces during stability operations and support operations may be very austere, creating special CSS considerations. These factors include, but are not limited to, the following:

- Reliance on local procurement of certain items.
- Shortages of critical items, including repair parts, Class IV supply materials, and lubricants.
- Special Class V supply requirements, such as pepper spray.
- Reliance on bottled water.

MEDIA CONSIDERATIONS

D-32. The presence of the media is a reality that confronts every soldier involved in stability operations and support operations. All leaders and soldiers are subject to instantaneous worldwide scrutiny as a result of the growth of news coverage via international television and radio broadcasts and the Internet. They must realize that operations that run counter to

official US policy may damage the nation's interests and international standing.

D-33. Reconnaissance platoon soldiers must learn how to deal effectively with broadcast and print reporters and photographers. Training should cover any information restrictions imposed on the media. Soldiers must also gain an understanding of which subjects they are authorized to discuss and which ones they must refer to higher authorities, such as their chain of command or the public affairs office (PAO). PAOs usually issue daily guidance dealing with these subjects.

OPERATIONS WITH OUTSIDE AGENCIES

D-34. US Army units may conduct certain stability operations and support operations in coordination with a variety of outside organizations. These include other US armed services or government agencies as well as international organizations, including private volunteer organizations (PVO), such as Doctors Without Borders; NGOs, such as the Red Cross; and UN military forces or agencies.

SOLDIERS' RESPONSIBILITIES

D-35. US soldiers may have extensive contact with host-nation civilians during stability operations and support operations. As a result, their personal conduct has a significant impact on the opinions, and thus the support, of the local population. As noted, soldiers must understand that misconduct by US forces (even those deployed for only a short time) can damage rapport that took years to develop. US soldiers must treat local civilians and military personnel as personal and professional equals, affording them the appropriate customs and courtesies.

D-36. Every soldier must be updated continuously on changes to operational considerations (such as environment, ROE/ROI, media, and force protection). Such changes can have immediate impact on his freedom to react to a given situation. Keeping the soldier informed of changes enhances his situational awareness and his ability to adapt to changing conditions. Leaders must disseminate this information quickly and accurately.

D-37. Every individual is an intelligence-collecting instrument. The collection of information is a continuous process, and all information must be reported. Intelligence is provided by many sources, including friendly forces, threat elements, and the local populace. From the friendly standpoint, each soldier must be familiar with the local PIR and other applicable intelligence requirements. At the same time, threat soldiers will be continuously seeking intelligence on US actions, often blending easily into the civilian population. US soldiers must be aware of this and use OPSEC procedures at all times.

D-38. To emphasize soldier responsibilities, leaders conduct PCCs and PCIs that focus on each soldier's knowledge of the environment and application of the ROE. These checks and inspections should also identify possible OPSEC violations and deficiencies that could place the soldier and his equipment at risk. Leaders should stress that terrorists and thieves may attempt to infiltrate positions or mount vehicles either to steal equipment and supplies or to cause harm to US forces or facilities.

D-39. To enhance civilian cooperation and support, the reconnaissance platoon leader is responsible for obtaining a key word and phrase card from the S2 to assist in translation of key English phrases into the language of the host nation. These phrases should apply specifically to the area of operations.

SECTION III – STABILITY OPERATIONS

D-40. The overall purpose of stability operations is to promote and sustain regional and global stability. At the same time, stability operations are conducted outside the United States and US territories to promote and protect US national interests by influencing political, civil, and military environments and by disrupting specific illegal activities. These goals are accomplished by supporting diplomatic initiatives, by improving military-to-military relations, and by deterring or resolving conflict.

D-41. Stability operations encompass a range of actions that shape the strategic environment and respond to developing crises. The military activities that support stability operations are diverse, continuous, and often long-term in nature.

D-42. This section provides an introductory discussion of the activities associated with stability operations; for detailed information, see FM 3-0 (FM 100-5) and FM 3-21.98 (FM 7-98).

CHARACTERISTICS OF STABILITY OPERATIONS

D-43. Stability operations are normally executed in the context of the geographic combatant commander's theater strategy. Commanders employ military forces to complement and reinforce other elements of national power as part of their theater engagement plan (TEP).

OPERATIONAL GOALS

D-44. Stability operations may include both developmental and coercive actions. Developmental actions enhance a host-nation government's willingness and ability to care for its people. Coercive actions apply carefully prescribed limited force or threat of force to change the environment of the area of operations. Military forces conduct stability operations to accomplish one or more of the following activities:

- Protect national interests (as defined by the National Command Authority).
- Promote peace and/or deter aggression.
- Satisfy treaty obligations or enforce agreements and policies.
- Reassure allies, friendly governments, and agencies.
- Encourage a weak or faltering government.
- Maintain or restore order.
- Protect life and property.
- Demonstrate resolve.

- Prevent, deter, or respond to terrorism.
- Reduce the threat of conventional arms and WMD to regional security.
- Eliminate or contain subversion, lawlessness, and insurgency.

OPERATIONAL CATEGORIES

Peacetime Military Engagement

D-45. Peacetime military engagement (PME) activities are stability operations designed to have a positive impact on the regional security environment and preclude conflict. The objectives of peacetime military engagements are to open communication, increase interoperability, increase regional military professionalism, educate a host-nation's forces on the role of the military in a democracy, and increase regional stability. Examples of PME activities include multinational training exercises, individual training and observers, medical and engineer projects and exercises, and staff information exchanges.

Rapid Response and Preclusion

D-46. Rapidly responding in the early stages of an imminent or on-going crisis is a critical component of stability operations. For example, rapidly responding to an SSC can defuse a crisis situation and restore regional stability. The deployed force must be capable of conducting decisive offensive and defensive operations to achieve successful preclusion.

Presence and Deterrence

D-47. Presence promotes a secure environment in which diplomatic and economic programs designed to eliminate root causes of instability may flourish. It can take the form of forward basing, forward deploying, or pre-positioning assets in an area of operations.

D-48. Deterrence for both smaller regional conflicts and MTWs is the sustainable presence of strong, capable ground forces. If deterrence fails, or if required, military forces, including the reconnaissance platoon, must be ready to transition to decisive combat operations. Effective deterrent forces should ideally be capable of conducting decisive operations immediately.

THE ARMY'S ROLE IN STABILITY OPERATIONS

D-49. Army forces are particularly well suited for stability operations because they are trained, equipped, and organized to control land, populations, and situations for extended periods of time. The depth and breadth of Army force capabilities provide the commander with vital options in meeting theater operational requirements. This routinely includes conducting peace operations, military-to-military contacts, humanitarian demining operations, and multinational training exercises or exchanges.

D-50. Stability operations are inherently complex and place greater demands at the small-unit level. Junior leaders are required to develop engagement skills while maintaining warfighting skills. Capable, trained, disciplined, high-quality leaders, soldiers, and teams are especially critical to success. Soldiers and units at every level must be

flexible and adaptive. Stability operations often require the mental and physical agility to shift from noncombat to combat operations and back again.

D-51. Stability operations conducted by Army forces complement and are complemented by offensive, defensive, and support operations. The ability of Army forces to stabilize a crisis is directly related to their ability to attack and defend. Offensive and defensive operations may be necessary to defeat adversaries intent on preventing the success of a stability operation. Shows of force often precede offensive and defensive operations in attempts to deter aggression and provide opportunities for diplomatic and economic solutions. During support operations in unstable areas, stability operations can be conducted to help restore law and order.

D-52. Army forces may conduct stability operations before hostilities, in crisis situations, during hostilities, and after hostilities. Before hostilities begin, stability operations focus on deterring or preempting conflict. In a crisis situation, they may resolve a potential conflict or prevent escalation. During hostilities, stability operations can help keep armed conflict from spreading and assist and encourage committed partners. Following hostilities, they can provide a secure environment that allows civil authorities to regain control.

TYPES OF STABILITY OPERATIONS

PEACE OPERATIONS

D-53. Peace operations encompass three general areas: diplomatic activities (peacemaking and peace-building), traditional peacekeeping, and threatened or actual forceful military actions (peace enforcement). The reconnaissance platoon may participate in peacekeeping or peace enforcement operations.

Peacekeeping Operations

D-54. A peacekeeping force facilitates truce negotiations and political settlement of disputes. In doing so, it must assure each side in the dispute that other parties are not taking advantage of settlement terms to their own benefit. Peacekeeping differs from internal security in that the force does not act in support of a government. Rather, the peacekeeping force must remain entirely neutral; if it loses a reputation for impartiality, its usefulness within the peacekeeping mission is destroyed.

Peace Enforcement

D-55. Several unique characteristics distinguish peace enforcement activities from wartime operations and from other stability operations. The purpose of peace enforcement is to maintain or restore peace under conditions broadly defined at the international level. It may entail combat, armed intervention, or physical threat of armed intervention. Under provisions of an international agreement, the squadron/battalion and its subordinate elements, including the reconnaissance platoon, may be called upon to use coercive military power to compel compliance with international sanctions or resolutions.

OPERATIONS IN SUPPORT OF DIPLOMATIC EFFORTS

D-56. Forces may conduct operations in support of diplomatic efforts to establish peace and order before, during, and after a conflict. These operations include preventive diplomacy, peacemaking, and peace building. Military support of diplomatic activities improves the chances for success by lending credibility to diplomatic actions and demonstrating resolve to achieve viable political settlements.

Preventive Diplomacy

D-57. Preventive diplomacy is diplomatic action taken in advance of a predictable crisis to prevent or limit violence. Army forces are not normally directly involved in preventive diplomacy but may support a state department effort by providing transportation and communications assets. In some cases, military forces may conduct a preventive deployment or show of force as part of the overall effort to deter conflict.

Peacemaking

D-58. Peacemaking is the process of diplomacy, mediation, negotiation, or other forms of peaceful settlement that arranges an end to a dispute and resolves the issue that led to the conflict. It includes military actions that support the diplomatic process. Army forces participate in these operations primarily by performing military-to-military contacts, exercises, peacetime deployments, and security assistance.

Peace Building

D-59. Peace building consists of post-conflict actions, predominantly diplomatic and economic in nature, that strengthen and rebuild governmental infrastructure and institutions to avoid a relapse into conflict. Military actions that support peace building are designed to identify, restore, and support structures that strengthen and solidify peace. Typical peace building activities include restoring civil authority, rebuilding physical infrastructure, providing structures and training for schools and hospitals, and helping reestablish commerce.

FOREIGN INTERNAL DEFENSE

D-60. Foreign internal defense is participation by civilian and military agencies of a government in any action programs taken by another government to free and protect its society from subversion, lawlessness, and insurgency. The main objective is to promote stability by helping a host nation establish and maintain institutions and facilities responsive to its people's needs.

D-61. Army forces in foreign internal defense normally advise and assist host-nation forces conducting operations to increase their capabilities. When conducting foreign internal defense, all Army forces provide indirect or direct support (not involving combat operations) or conduct combat operations to support a host nation's efforts.

SECURITY ASSISTANCE

D-62. Security assistance refers to a group of programs by which the United States provides defense articles, military training, and other defense-related services to foreign nations by grant, loan, credit, or cash sales. The primary object is to further national policies and objectives. Army forces support security assistance efforts through military training

teams (MTT), maintenance support personnel and training, and related activities.

HUMANITARIAN AND CIVIC ACTION

D-63. Humanitarian and civic action programs consist of assistance provided in conjunction with military operations and exercises. They are planned activities. Humanitarian and civic actions are limited to the following categories:

- Medical, dental, and veterinary care provided in rural areas of a country.
- Construction of rudimentary surface transportation systems.
- Well drilling and construction of basic sanitation facilities.
- Rudimentary construction and repair of public facilities.

SUPPORT TO INSURGENCIES

D-64. This type of support includes assistance provided by US forces to help a friendly nation or group that is attempting to combat insurgent elements or to stage an insurgency itself. This type of stability action is normally conducted by SOF.

COMBATING TERRORISM

D-65. In all types of stability operations, antiterrorism and counterterrorism activities are a continuous requirement in protecting installations, units, and individuals from the threat of terrorism. Antiterrorism focuses on defensive measures. Counterterrorism encompasses a full range of offensive measures to prevent, deter, and respond to terrorism. Refer to JCS Publication 3-07.2 for more information on these activities.

SUPPORT TO COUNTERDRUG OPERATIONS

D-66. U.S. military forces may be tasked for a variety of counterdrug activities, which are always conducted in conjunction with another government agency. These activities include destroying illicit drugs and disrupting or interdicting drug manufacturing, cultivation, processing, and smuggling operations. Counterdrug support may take the form of advisory personnel, mobile training teams, offshore training activities, and assistance in logistics, communications, and intelligence.

NONCOMBATANT EVACUATION OPERATIONS

D-67. NEOs are primarily conducted to evacuate US citizens whose lives are in danger, although they may also include natives of the host nation and third-country aliens friendly to the United States. NEOs involve swift insertion and temporary occupation of an objective, followed by a planned withdrawal. Leaders use only the amount of force required for self-defense and protection of evacuees.

ARMS CONTROL

D-68. The reconnaissance platoon may work with another nation's military to conduct arms control or nation assistance activities. These are usually entail short-term, high-impact operations.

SHOW OF FORCE

D-69. Forces deployed abroad lend credibility to a nation's promises and commitments. In support of this principle, show-of-force operations are meant to reassure a friendly nation or ally through a display of credible military force directed at potential adversaries. These operations may also be conducted to influence foreign governments or political-military organizations to respect U.S. interests.

CONSIDERATIONS FOR STABILITY OPERATIONS

D-70. The process used in planning, preparing, executing, and assessing stability operations is fundamentally identical to that for offensive, defensive, and support operations. Army forces, however, can use the following considerations to help develop tailored concepts and schemes for stability operations.

LEVERAGE INTERAGENCY, JOINT, AND MULTINATIONAL COOPERATION

D-71. Unity of effort is fundamental to success in stability operations. Achieving unity of effort requires constant coordination with all involved agencies. Commanders must adapt to situations where there may not be a clear delineation of authority and responsibility. This is especially important in stability operations since the military is often the supporting rather than the supported agency.

ENHANCE THE CAPABILITIES AND LEGITIMACY OF THE HOST NATION

D-72. Army forces must demonstrate the proper respect for the host nation's government, police, and military forces. The host nation's military and police forces must be integrated as much as possible with all aspects of planning, preparing, executing, and assessing every operation.

D-73. When host-nation capabilities are inadequate for the task, Army forces focus on enhancing those capabilities through training, advice, and assistance. Commanders make maximum use of host-nation forces and personnel as lead for all possible activities. These include offensive and defensive operations, protection of the civilian populace, security of critical facilities and installations, intelligence and counterintelligence tasks, new construction and reconstruction, psychological operations, police duties, and civil affairs.

UNDERSTAND THE POTENTIAL FOR UNINTENDED CONSEQUENCES OF INDIVIDUAL AND SMALL-UNIT ACTIONS

D-74. Individual and small-unit actions can have consequences disproportionate to the level of command or amount of force involved. In some cases, tactical operations and individual actions can have strategic impact. Recognizing and avoiding these potential problems requires trained, disciplines, and knowledgeable leaders and soldiers at every level. Every soldier must be aware of the operational and strategic context of the mission. Additionally, each soldier must understand the potential military, political, and legal consequences of the actions they take or fail to take. Dissemination of this information throughout the force minimizes any possible confusion regarding desired objectives.

DISPLAY THE CAPABILITY TO USE FORCE WITHOUT THREATENING

D-75. Army forces conducting stability operations must be capable of limited combat operations for self-defense. The intent is to demonstrate

strength and resolve without provoking an unintended response. To be effective, shows of force in stability operations cannot be perceived as attempts to goad or bully an opponent into an attack.

D-76. Units can display preparedness by routinely conducting demanding combat training in the area of operations. Training should include challenging soldiers to react to situations involving weapons use, levels of force, and rules of engagement.

ACT DECISIVELY TO PREVENT ESCALATION

D-77. Army forces must always be prepared to act with speed and determination when carrying out assigned tasks. Opponents of stability may perceive hesitation to act decisively as weakness. Units and individuals must pursue military objectives energetically and apply military power forcefully. By doing so, Army forces assure friend and foe alike that they not only can protect themselves and the people and facilities under their charge but also achieve stability objectives.

APPLY SELECTIVE AND DISCRIMINATIVE FORCE

D-78. Commanders must make sure their units apply force consistent with and adequate to the assigned objectives. In addition, they must employ combat power selectively in accordance with assigned missions and prescribed legal and policy limitations. They use the ROE to guide the tactical application of combat power. The commander on the ground is best qualified to estimate the correct degree of force that must be used, consistent with the ROE.

SECTION IV – SUPPORT OPERATIONS

D-79. Domestic support operations are always conducted in support of local, state, and federal civil authorities. Overseas support operations are almost always conducted in support of and in concert with other agencies; these may be American or international organizations of either governmental or private affiliation.

D-80. Support operations may be independent actions. Conversely, they may complement offensive or defensive operations or stability operations. FM 3-0 (FM 100-5) provides a detailed examination of support operations.

CHARACTERISTICS OF SUPPORT OPERATIONS

D-81. Support operations involve Army forces providing essential supplies, capabilities, and services to help civil authorities deal with situations beyond their control. Army forces may provide relief or assistance directly. Army force activities in support operations, however, most often involve setting the conditions that facilitate civil authorities or nongovernment organizations in providing required direct support to the affected population.

THE ARMY'S ROLE IN SUPPORT OPERATIONS

D-82. The Army is not specifically organized, trained, or equipped for support operations. Instead, Army elements and forces, tailored for warfighting, are rapidly adapted to dominate a crisis or disaster situation. In support operations, Army forces apply decisive military capabilities to set the conditions for the supported civil authorities to achieve success. In most situations, Army forces involved in the support operations covered in the following discussion will execute combinations of multiple overlapping activities.

CATEGORIES OF SUPPORT OPERATIONS

DOMESTIC SUPPORT OPERATIONS

D-83. Domestic support operations (DSO) are those activities and measures taken by the US Department of Defense (DoD) to foster mutual assistance and support between DoD and any civil government agency. The objective is to ensure planning or preparedness for, or the application of resources for response to, the consequences of civil emergencies or attacks, including national security emergencies or major disasters.

D-84. Domestic support operations focus on the condition of all types of natural and man-made properties, with the goal of helping to protect and/or restore these properties as requested. Typically, these operations are conducted in response to such events as forest and grassland fires, hazardous material releases, floods, and earthquakes.

FOREIGN HUMANITARIAN ASSISTANCE

D-85. Foreign humanitarian assistance (FHA) operations are people-oriented operations, focusing on the well-being of supported populations; they provide critical supplies to designated groups at the request of local, state, federal, or international agencies.

D-86. FHA is conducted to relieve or reduce the results of natural or man-made disaster or other endemic conditions such as human pain, disease, hunger, or privation that might present a serious threat to life or loss of property. FHA is limited in scope and duration and focuses exclusively on prompt aid to resolve an immediate crisis.

TYPES OF SUPPORT OPERATIONS

D-87. Support operations generally fall into the eight categories covered in this discussion. Of these, only relief operations apply to both DSO and FHA equally. Support operations may be independent actions, or they may complement offensive, defensive, and stability operations.

RELIEF OPERATIONS

Types of Relief Operations

D-88. The actions Army forces execute during relief operations can be characterized as either humanitarian relief, which focuses on the well being of supported populations, or disaster relief, which focuses on recovery of critical infrastructure after a natural or man-made disaster. Most relief operations combine both types of actions. Considerations include the following:

- Humanitarian relief focuses on life-saving measures to alleviate the immediate needs of a population in crisis. It often includes the provision of medical support, food, water,

medicines, clothing, blankets, shelter, and heating/cooking fuel. In some cases, it involves transportation support to move affected people from a disaster area.

- Disaster relief encompasses those actions taken to restore or recreate the minimum infrastructure to allow effective humanitarian relief to be accomplished and set the conditions for longer-term recovery. This includes establishing and maintaining the minimum safe working conditions, minus security measures necessary to protect relief workers and the affected population from additional harm. Disaster relief may involve repairing or demolishing damaged structures, restoring or building bridges, roads and airfields, and removing debris from critical routes and relief sites.

Phases of Relief Operations

D-89. Although each operation is unique, support operations are generally conducted in three broad phases:

- Response.
- Recovery.
- Restoration.

D-90. Army elements can expect to be most heavily committed during the response phase. They will be progressively less involved during the recovery phase, with only very limited activity, if any, during restoration.

D-91. **Response Phase.** In the response phase, commanders focus on life-sustaining functions that are required by those in the disaster area. The following functions dominate these response operations:

- Search and rescue.
- Emergency flood control.
- Hazard identification.
- Food distribution.
- Water production, purification, and distribution.
- Temporary shelter construction and administration.
- Transportation support.
- Fire fighting.
- Medical support.
- Power generation.
- Communications support.

D-92. **Recovery Phase.** This phase begins the process of returning the community infrastructure and related services to a status that meets the population's immediate needs. Typical recovery operations include these:

- Continuation of response operations as needed.
- Damage assessment.
- Power distribution.

- Water and sanitation services.
- Debris removal.

D-93. **Restoration Phase.** Restoration is a long-term process to return the community to normal predisaster status. Restoration activities do not generally involve large numbers of military forces. When they are involved, Army elements generally work with affected communities in the transfer of responsibility to other agencies as military support forces redeploy.

SUPPORT TO CONSEQUENCE MANAGEMENT

D-94. Consequence management entails those services and activities essential to mitigating damage, loss, hardship, or suffering resulting from disasters or catastrophes, either man-made or natural. It is primarily a state and local responsibility. Military forces may be employed in support of the lead agency after an event to save lives, to prevent human suffering, and to mitigate property loss.

SUPPORT TO INCIDENTS INVOLVING WEAPONS OF MASS DESTRUCTION

D-95. Military operations that assist civil authorities in protecting US territory, population, and infrastructure against hostile attacks involving WMD are similar to other consequence management situations. In addition, they include operations that are designed to deter and mitigate the effects of such an attack both inside and outside the United States.

DOMESTIC PREPAREDNESS

D-96. Domestic preparedness includes training, exercises, expert assistance, and response.

SUPPORT TO CRISES MANAGEMENT

D-97. Crisis management includes measures to resolve a hostile situation and to investigate a criminal case for prosecution under federal laws. Army forces provide military capabilities that support the achievement of defusing or resolving a crisis situation.

PROTECTION OF CRITICAL ASSETS

D-98. The purpose of these support operations is to identify critical assets and to assure their integrity, availability, survivability, and capability to support vital DoD missions across the full spectrum of military operations.

SUPPORT TO CIVIL LAW ENFORCEMENT

D-99. Support to domestic civil law enforcement generally involves activities related to counterterrorism, counterdrug, or civil disturbance operations. Army support may involve providing resources, training, or direct support.

Support to Counterterrorism

D-100. Military units in support of the lead agency may operate to eliminate identified threats. Assistance may be provided in the areas of transportation, equipment, training, and personnel. When terrorists pose an imminent threat to US territory, its people, and critical assets, the US military may be used to support operations to counter these threats, using ground, air, space, special operations, or maritime forces.

Support to Counterdrug Operations

D-101. Army support to domestic counterdrug operations is very limited and will usually be in a support role only.

Civil Disturbance Operations

D-102. The Army assists civil authorities in restoring law and order when local and state law enforcement agencies are unable to quell civil disturbances. Federal military forces assist in restoring law and order when the magnitude of a disturbance exceeds the capabilities of local and state law enforcement agencies, including the National Guard. The Army is usually tasked to apply the minimum force necessary to restore order to the point where civilian authorities no longer require military assistance.

COMMUNITY ASSISTANCE

D-103. Community assistance is a broad range of activities in which Army personnel and organizations provide support and maintain a strong connection between the military and civilian communities.

CONSIDERATIONS FOR SUPPORT OPERATIONS

D-104. The process of planning and executing support operations is fundamentally similar to that involved in planning, preparing, executing, and assessing offensive, defensive, and stability operations. While each support operation is unique, however, the following broad considerations can help forces develop mission-specific concepts and schemes for executing support operations.

PROVIDE ESSENTIAL SUPPORT TO THE LARGEST NUMBER OF PEOPLE

D-105. Commanders will be required to allocate finite resources to achieve the greatest good. To do this, they must have an accurate assessment of what needs to be done to effectively employ military power. They must determine how and where to apply limited assets to benefit the most people in the most efficient way.

COORDINATE ACTIONS WITH OTHER AGENCIES

D-106. DSOs are typically joint and interagency, while FHA operations are usually multinational as well. Achieving unity of effort and efficient use of resources requires constant coordination.

HAND OVER THE MISSION TO CIVILIAN AGENCIES AS SOON AS FEASIBLE

D-107. Army support operations are almost always designed to assist government and nongovernment agencies in accomplishing their missions. The following considerations determine handover feasibility:

- Condition of supported population and governments.
- Competing mission requirements.
- Domestic and international political environments.
- Specified and implied commitment levels in terms of time, resources, and forces.
- Maturity of the support effort.

ESTABLISH MEASURES OF EFFECTIVENESS

D-108. A critical aspect of mission handover is to have objective standards for measuring progress.

SECTION V – ROLE OF THE RECONNAISSANCE PLATOON IN STABILITY OPERATIONS AND SUPPORT OPERATIONS

D-109. Because military operations involving the reconnaissance platoon occur most often in the state of conflict, the platoon is most likely to operate in support of peacekeeping and peace enforcement. In addition to executing standard platoon missions, reconnaissance platoons must be prepared to execute missions or tasks unique to stability operations and support operations. (**NOTE:** Many of the tasks required during stability operations and support operations will be performed in an urban environment. Refer to Chapter 7 of this manual for information on urban operations.)

PLATOON EMPLOYMENT CONSIDERATIONS

D-110. As noted, the reconnaissance platoon has unique capabilities that make it an important asset to US and combined forces executing missions in stability operations and support operations. Whether it is operating organic to the troop/company or squadron/battalion or task organized to another light or heavy force, the platoon may be called upon to support a wide range of operations in various political and geographical environments.

USING THE PLATOON'S CAPABILITIES

D-111. Because of the resources necessary to deploy, operate, and sustain forces in stability and support environments, the reconnaissance platoon is used to execute activities that take maximum advantage of its inherent capabilities of stealth, reconnaissance, surveillance, and HUMINT collection (if this asset is organic or attached). On the other hand, the factors of METT-TC and the operational considerations prevalent in stability operations and support operations may modify the conditions for successful mission accomplishment. This means the platoon occasionally may be assigned operations that are normally handled by specially trained and equipped elements. For example, the platoon could be tasked for crowd and riot control if a shortage of military police exists.

TRAINING FOR STABILITY OPERATIONS AND SUPPORT OPERATIONS

D-112. Disciplined, well-trained, combat-ready leaders and soldiers can adapt to the specialized demands of stability operations and support operations. To achieve this degree of readiness, however, the platoon must be thoroughly trained before deployment on such factors as the operational environment, the ROE and ROI, force protection, and individual soldier responsibilities. Refer to the discussion of these operational considerations earlier in this appendix. The training must be updated continuously after deployment.

LEADER REQUIREMENTS

D-113. Flexibility and situational awareness are paramount requirements, especially for the reconnaissance platoon leader. The platoon's role and/or objectives in stability operations and support operations will not always be clear. The platoon leader will sometimes be called upon to make on-the-spot decisions that could have an immediate, dramatic effect on the strategic or operational situation. In this uniquely tense setting, leaders who disregard the will of belligerent parties and the lethality of these groups' weapons compromise the success of their mission and risk the lives of their soldiers.

SPECIFIC PLATOON TASKS

D-114. As part of a force involved in stability operations and support operations, the reconnaissance platoon can expect to perform these tasks:

- Security operations, including the following:
  - Convoy security (refer to Chapter 4 of this manual).
  - Checkpoints.
  - Roadblocks.
  - Searches of personnel and vehicles.
  - Cordon and search operations.
- Reconnaissance operations, including the following:
  - Route reconnaissance (refer to Chapter 3 of this manual).
  - Building searches (refer to Chapter 7 of this manual, covering urban operations).

D-115. Roadblocks, checkpoints, and searches are used to control the movement of vehicles, personnel, or material along a specific route. Roadblocks and checkpoints help to prevent trafficking in contraband and stop the movement of known or suspected belligerents. They are used to control access into restricted or contested areas by individuals or elements that could cause hostilities between warring parties. They also assist friendly forces in detecting and evaluating the behavior patterns of the local populace, a critical part of the intelligence process.

D-116. Roadblocks and checkpoints are either deliberate or hasty and can be established on a permanent, temporary, or surprise basis. Individual roadblocks and checkpoints can be established and manned by reconnaissance platoons, sections, or squads, depending on the operational environment and the amount of traffic expected to move through the checkpoint.

ROADBLOCKS

D-117. A roadblock is used to stop the movement of vehicles along a route or to close access to certain areas or roads. Roadblocks can be established separate from checkpoints or used to channel traffic into a checkpoint. These factors apply in positioning a roadblock:

- It must be covered by observation and direct fire.
- It must be positioned so that it cannot be bypassed.
- If required, positioning must channel traffic into a checkpoint.

D-118. A roadblock is considered an obstacle and is set up or constructed like an obstacle. Figures D-4 and D-5 illustrate types of organization that can be used in establishing a roadblock. Armored vehicles make excellent roadblocks, but local dismounted security must be established to protect vehicles from dismounted attack. Concertina wire should be used to prevent vehicles from running through the roadblock (see Figure D-6).

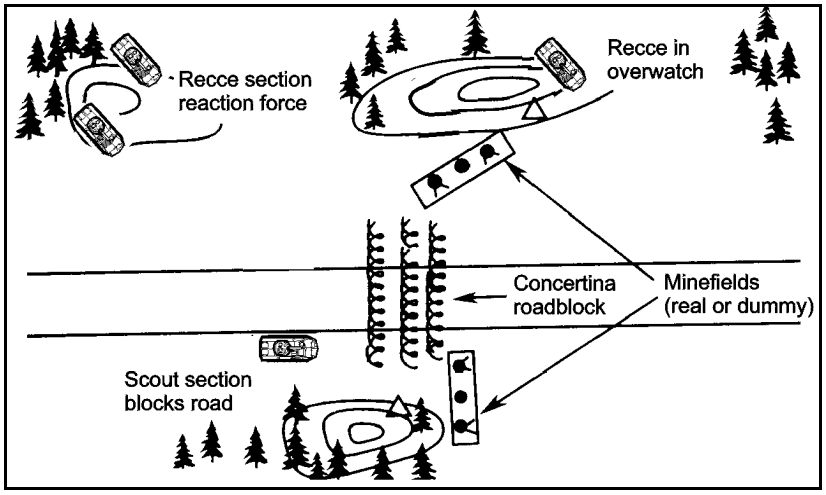

Figure D-4. Recce Platoon Roadblock

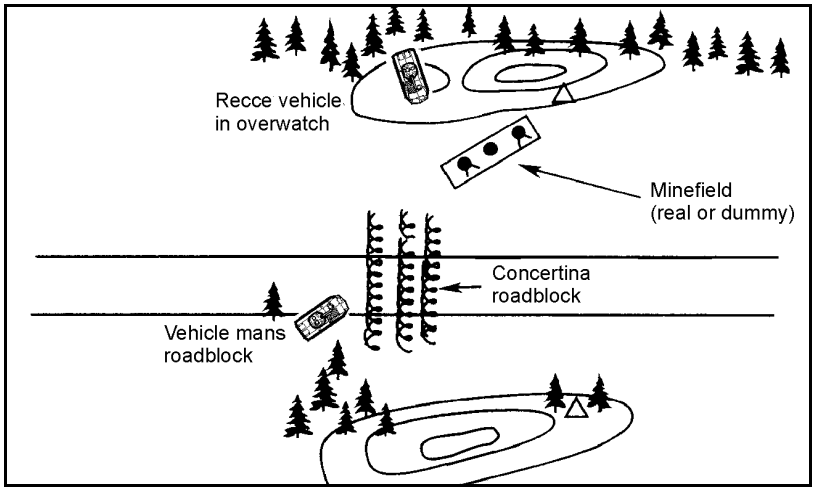

Figure D-5. Two-Vehicle Recce Section Roadblock

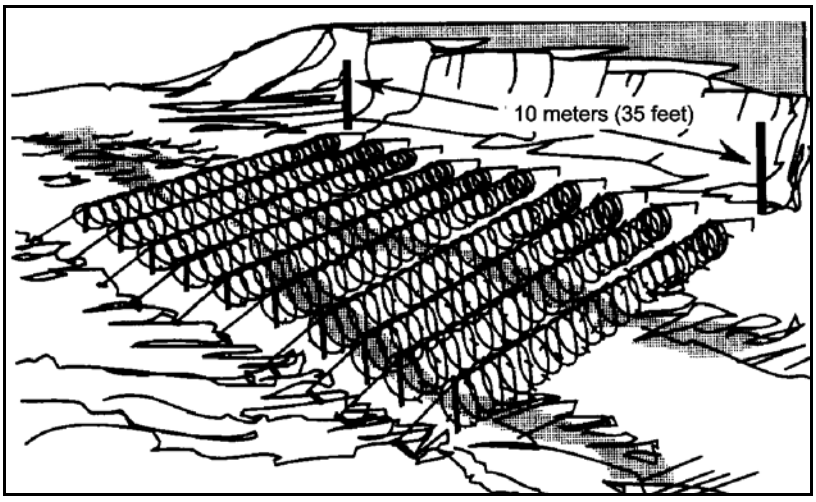

Figure D-6. Concertina Wire Roadblock

CHECKPOINTS

D-119. Checkpoints are manned locations used to accomplish the following:

- Control movement along specific routes.
- Maintain continuous monitoring of road movement.
- Apprehend suspects.
- Prevent smuggling of controlled items.
- Prevent infiltration of unauthorized civilians or military forces into or through a controlled area.
- Check vehicles and personnel for weapons, ammunition, and explosives.
- Ensure proper use of routes by civilian and military traffic.

DELIBERATE CHECKPOINTS

D-120. The deliberate checkpoint is a relatively fixed position established in a town or in open country, often on a main road (see Figure D-7). Deliberate checkpoints are classified to handle either heavy traffic or light traffic, based on the amount of traffic expected to pass through them. Reconnaissance sections and squads can operate only light traffic checkpoints (see Figure D-8). The reconnaissance platoon can operate both heavy and light traffic checkpoints; Figure D-9 shows a platoon-operated heavy traffic checkpoint.

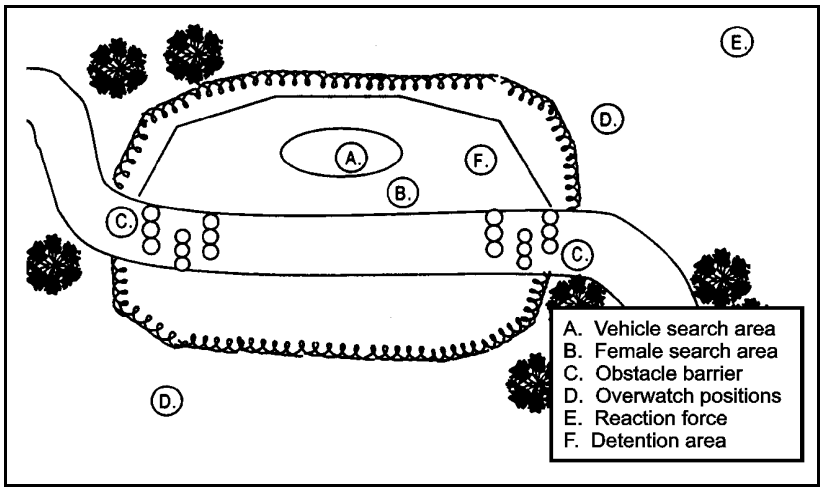

Figure D-7. Deliberate Checkpoint Organization

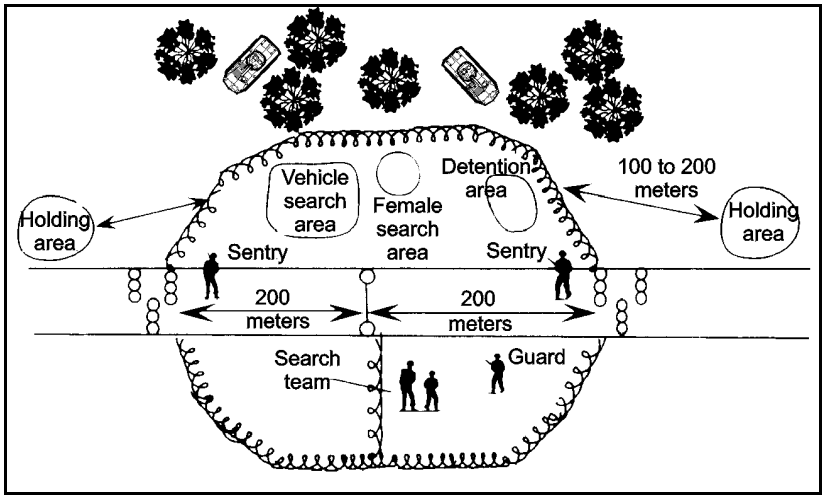

Figure D-8. Reconnaissance Section Manning a Light Traffic Checkpoint

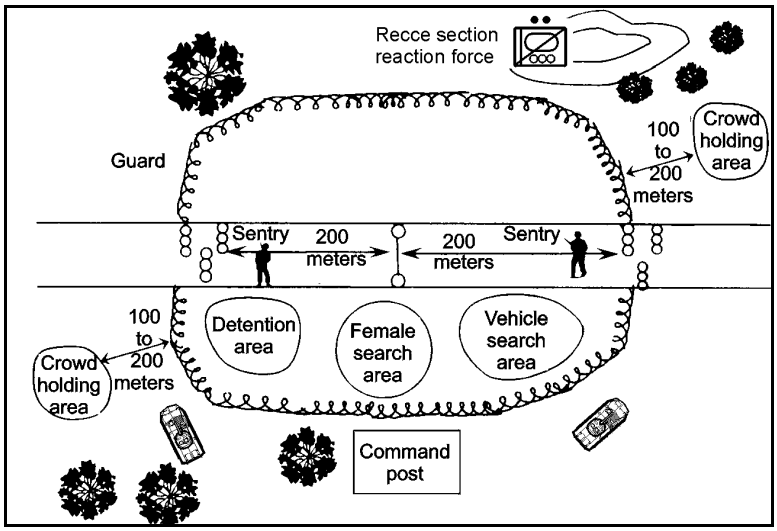

Figure D-9. Recce Platoon Manning a Heavy Traffic Checkpoint

Establishing a Deliberate Checkpoint

D-121. The physical layout and level of preparation of the checkpoint depend on the amount of traffic expected to pass through it and the duration of its operation. Regardless of the type, all checkpoints have common characteristics and organization. A checkpoint consists of the following parts:

- Obstacles (barriers).
- Search areas.
- Security overwatch and fighting positions.
- Holding area.

D-122. **Obstacles.** A checkpoint is established by placing two parallel obstacles (each with a gap) across the road. These obstacles should be large enough and deep enough to prevent vehicles from running over or through them. The gap must be negotiable by slow-moving vehicles only. The distance between obstacles depends on the amount of traffic that is held in the search area. A barrier pole is placed midway between obstacles to control movement from the search area to the exit obstacle.

D-123. **Search Areas.** The amount of traffic held in the search areas is determined by the type of search (see Figures D-7 through D-9 earlier in this discussion for illustrations of the various checkpoint search areas). Separate search areas for the following should be set up as needed:

- Vehicles.
- Females.
- Other individuals. These include suspects and other persons detained for further interrogation.

D-124. **Fighting Positions.** Fighting positions for vehicles, automatic weapons, and individuals must be emplaced to overwatch, protect, and secure the checkpoint.

D-125. **Holding Area.** A holding area is established several hundred meters forward of the checkpoint to control the flow of traffic so that the checkpoint is not overwhelmed.

Task Organization

D-126. Personnel manning the checkpoint are organized into the following teams or elements to accomplish specific tasks:

- Headquarters element.
- Security force.
- Search teams.
- Sentry teams.

D-127. **Headquarters Element.** The headquarters element consists of the reconnaissance platoon leader, PSG, or section leader; an RTO; and medical personnel.

D-128. **Security Force.** The security force consists of a security element and a checkpoint reaction force.

D-129. The checkpoint security element mans overwatch positions and/or perimeter security positions. Security element personnel maintain overwatch of activities in the search area and provide security for personnel operating the checkpoint. Overwatch positions also provide security for sentry teams and the holding area.

D-130. The checkpoint reaction force is a concealed element whose purpose is to prevent traffic from avoiding or bypassing the checkpoint. This force can be part of the perimeter security and can react to surprise attacks against the checkpoint or to other emergency situations. It can be located at a position away from the checkpoint, but it must be able to quickly move to the checkpoint to provide necessary support. The reaction force should be no smaller than a reconnaissance section.

D-131. **Search Teams.** The search team, comprising two to three soldiers, searches vehicles and personnel. The team is organized into a guard security element and a search element. The guard element provides security during the searches; at least one member of the guard element guards or observes the individuals or vehicles being searched at all times while the searcher conducts the search.

D-132. **Sentry Teams.** Sentry teams secure the entrance and exit of the checkpoint and the holding area. They control the flow of traffic through the checkpoint, including movement from the entrance into the search area and from the search area to the exit point.

D-133. **Other Personnel.** Whenever possible, the following should be on hand to assist reconnaissance platoon personnel with checkpoint activities:

- A civil affairs officer, a liaison officer, or a member of the civilian police or other local authority.
- An interpreter.
- A trained female searcher.

HASTY CHECKPOINTS

D-134. Hasty checkpoints are set up to achieve surprise. They are established in locations where they cannot be observed by approaching traffic until it is too late to withdraw and escape without being observed. Possible locations for hasty checkpoints include the following:

- Tunnels and large culverts.
- Bridges.
- Defiles.
- Positions beyond sharp curves.
- Highway intersections.
- Key terrain on highways.
- Reverse slopes of hills.
- Other locations that limit detection from long distances.

D-135. The hasty checkpoint has the same basic layout as a deliberate checkpoint; however, because hasty checkpoints are temporary and mobile, the platoon or section establishing the checkpoint must carry the materials necessary to construct it.

D-136. The reconnaissance platoon or section uses its vehicles, reinforced with concertina wire, as the obstacle. The vehicles are positioned to partially block the road or route (see Figure D-10). The search area is the space between the vehicles. Sentries are positioned at each end of the checkpoint and are covered by mounted or dismounted automatic weapon positions. A reaction force is designated and concealed nearby.

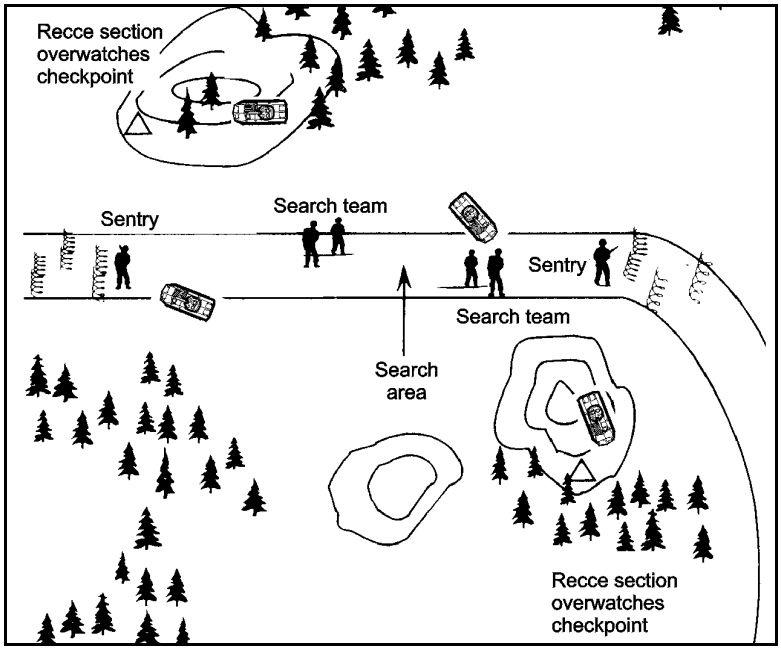

Figure D-10. Recce Platoon Manning a Hasty Checkpoint

SPECIAL EQUIPMENT AND PERSONNEL REQUIREMENTS

Signs

D-137. Portable signs in the local language and in English are required. Signs should denote the speed limit of approach, as well as the vehicle search area, male and female search areas, and dismount point.

Communications

D-138. Communications must be established between the checkpoint or roadblock and higher headquarters. FM radios and wire are used within the checkpoint and between the checkpoint and overwatch positions, reaction forces, the checkpoint CP, and sentry posts. Checkpoint personnel also plan for additional means of communications, such as pyrotechnics, flags, hand-and-arm signals, or code words.

Lighting and Night Observation Devices

D-139. Adequate lighting for the obstacle, search area, and perimeter area is necessary during night operations. Reaction forces and overwatch elements use NODs to observe outside the perimeter; however, these elements must consider how white light will affect operation of the devices.

Barriers

D-140. Obstacles should be positioned across the road and around the search area. These can include barrels filled with concrete or sand, barrier poles, clearly marked barbed wire, buses parked sideways in the road, felled trees, abandoned or disabled vehicles, or other readily available items strong enough and big enough to prevent motorists from driving through or around them. Hasty minefields, both dummy and actual, can be used to reinforce an obstacle.

Weapons

D-141. Soldiers must have adequate firepower to withstand an attack or to stop a vehicle that is attempting to flee or crash through the checkpoint. Crew-served weapons must be loaded and manned at all times.

Linguists

D-142. Soldiers familiar with the local language are valuable in all roadblock or checkpoint operations. If they are not available, soldiers must be familiar with basic phrases necessary for the operation. They should have a printed reference such as a key word and phrase card; this should be obtained from the civil affairs section, translation detachment, local authorities, or liaison officers as soon as the mission is received.

Other Equipment

D-143. Other specialized equipment may be required to support the checkpoint. Figure D-11 provides a list of equipment that may be helpful.

OTHER PLANNING CONSIDERATIONS

D-144. The reconnaissance platoon leader must take the following requirements into account when planning the checkpoint mission:

- Obtain indirect fire support on key terrain near the checkpoint.
- Ensure that checkpoints are designed so that the minimum number of soldiers are exposed at any given time.

- Position automatic weapons to provide protection when soldiers are exposed.
- Ensure that reinforcement and counterattack plans are developed and rehearsed.
- Ensure that ROE/ROI are clear and understood by all soldiers manning the checkpoint.
- Plan for 24-hour operation of the checkpoint.
- Obtain logistical support.
- Coordinate for medical assistance and MEDEVAC and CASEVAC assets.

GENERAL	ROADBLOCKS/ CHECKPOINTS	SEARCHES
Pyrotechnic pistols Riot guns Tear gas launchers Hand-held flashlights Antiriot helmets Shields, 3-ft 6-in Shields, 6-ft Police batons Handcuffs Body armor Marshaling wands Telescopes and tripods Binoculars Infrared devices Loudspeakers Fire extinguisher Cameras with flash attachments and tripods Telescopic sights Photographic filter Instant cameras Whistles Hand-held radios (for use in urban areas	Portable lamp/lights Marker lights Traffic cones Traffic signs Visor sleeves Tire puncture chains Directional arrows Lightweight barriers Mirrors	Ladders Flashlights Picks/shovels Wrecking bars Hand tools, fluorescent (hammers, pliers, screwdrivers) Rope Magnets Telescopic mirror Axe Mine markers Helmets White tape Mine detectors Eye shields Measuring tape Metal-cutting tools Chisels Knives Saws Mine probes Safety harness

Figure D-11. Equipment List for Roadblocks and Checkpoints

PREPARING FOR CONTINGENCIES AT CHECKPOINTS

D-145. The reconnaissance platoon leader must develop tactics and procedures to respond to various situations that can develop at a checkpoint. For example, a high volume of pedestrian and vehicle traffic can be expected to pass through a checkpoint; this congestion can be compounded by undisciplined driving habits of the local population and by the shortage of soldiers able to speak the local language. Belligerents can use the resulting confusion to smuggle weapons and explosives through the checkpoints. In addition, checkpoints face the constant threat of violence.

D-146. Leaders must plan for these contingencies when preparing personnel to man checkpoints. The ROE/ROI must be clear and flexible enough to accommodate rapid changes in any situation that may develop.

Figure D-12 lists some examples of situations encountered at checkpoints, along with possible responses.

SITUATION	POSSIBLE RESPONSES
• Diversions covering the efforts to sneak or rush through the checkpoint, such as: - Sniper attack. - Ambulance arriving at checkpoint, with sirens blaring. - Staged fights or riots near the checkpoints.	• Close the checkpoint; rapidly emplace barricades to stop and contain both vehicular and pedestrian traffic in and around the checkpoint. • Use reaction force to handle situations outside checkpoint so that checkpoint personnel do not have to leave it. • Remain calm; report to higher headquarters.
• Sniper fire.	• Take cover. • Employ smoke. • Protect wounded. • Identify location of sniper. • Report. • Respond in accordance with ROE.
• Thrown projectiles.	• Maintain standoff. • Protect self and others. • Do not throw objects back. • Report. • Respond with force in accordance with ROE.
• Imminent harm.	• Protect self and others. • Use force in accordance with ROE. • Report.
• Civilian casualty.	• Provide first aid. • Report; request MEDEVAC.
• Drive-by shooting.	• Take cover. • Report. • Respond with force in accordance with ROE.

Figure D-12. Responses to Situations at a Checkpoint

SEARCHES OF PERSONNEL AND VEHICLES

D-147. Searches of people, material, and vehicles are commonly used at roadblocks and checkpoints to control unauthorized movement of individuals and prohibited items (contraband).

PLANNING GUIDELINES FOR SEARCH OPERATIONS

D-148. Planning for a search operation should cover these points:

- Search authority.
- Conduct of the search.
- Search rates.
- Use of force.
- Courtesy.

Search Authority

D-149. Checkpoint personnel perform searches to apprehend suspects or confiscate contraband only in areas within their military jurisdiction (or where otherwise lawful). Proper use of search procedures gains the respect and support of the local population, enhances credibility, and demonstrates impartiality. Conversely, misuse of search authority can undermine the credibility of forces conducting operations in the area; it

can also affect future operations. Checkpoint personnel must ensure that search procedures are conducted in accordance with established guidelines and the applicable ROE/ROI.

Conduct of the Search

D-150. All checkpoint personnel must thoroughly understand the instructions issued for the conduct of searches. Instructions may cover, but are not limited to, the following points:

- Personnel, vehicles, and/or items allowed to pass through the checkpoint.
- Personnel and/or vehicles not allowed to pass through the checkpoint.
- Procedures for detaining vehicles or personnel.
- Items to be confiscated.
- Procedures for handling confiscated items.

Search Rates

D-151. Search operations are conducted slowly enough to allow for a thorough search but rapidly enough to prevent the threat from reacting to the threat of the search.

Use of Force

D-152. In accordance with established ROE, minimum essential force is used to eliminate any active resistance encountered during the search.

Courtesy

D-153. Search personnel should remain polite and considerate at all times. Refer to Figure D-13 for a list of guidelines for personal conduct during search operations.

DO take these actions during a search operation:	DO NOT take these actions during a search operation:
• Maintain professional, courteous demeanor when approaching the vehicle and talking to the driver. • Speak only to the driver; let him speak to the passengers. • Ask the driver politely to do what you want him to do. • Speak naturally and no louder than needed. • When searching an individual, be courteous. Use scanners whenever possible. • Whatever happens at the checkpoint, stay calm and make a special effort to be polite, regardless of your feelings. • Always maintain a high standard of dress and military bearing. If you look smart and professional, people are more likely to accept your authority and be willing to cooperate. • Contact your checkpoint commander whenever necessary. • Maintain situational awareness at all times. • Maintain strict security at all times.	• Show disrespect or give any hint of dislike. • Speak to women regardless of their age. • Put your head or arm in through the side window or open the door without permission. • Shout or show impatience. • Frisk women or tell them to put their hands up. • Point your weapon directly at people unless essential for security reasons. • Become involved in a heated argument. • Use force unless force is used against you. Use the minimum force necessary. • Become careless or sloppy in appearance. • Establish a routine pattern of operations. This will allow the enemy to take advantage of the checkpoint operations.

Figure D-13. "Dos" and "Don'ts" of Search Operations

SEARCH PROCEDURES

Search of Individuals

D-154. To avoid making a threat of a person passing through a checkpoint, searchers must be polite, considerate, patient, and tactful. Since the very presence of checkpoints can cause uneasiness or fear, it is during the initial handling of a person about to be searched that the greatest caution is required. At least one member of the search team must provide security at all times while others conduct the search. The following methods can be used to search an individual:

- Frisk search.
- Wall search.
- Strip search.
- Female search.

D-155. **Frisk Search.** This is a quick search of an individual for weapons, evidence, or contraband. It should be conducted in the presence of an assistant (guard) and a witness, when available. In conducting the frisk search, the searcher positions himself to prevent possible endangerment (see Figure D-14). The searcher's guard takes a position from which he can cover the individual with his weapon. The searcher must avoid moving between the guard and the individual being searched. The searched individual is required to raise his arms above his head. The searcher slides his hands over the individual's entire body, crushing the clothing to locate concealed objects. If the individual being searched is

carrying a bag or wearing a coat or hat, these are also searched, with special attention given to the linings.

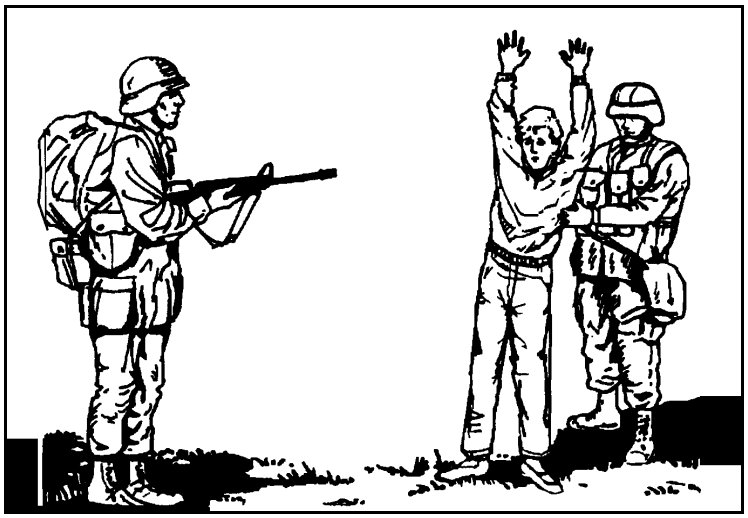

Figure D-14. Frisk Search

D-156. **Wall Search.** The wall search affords the searcher some safety by placing the individual being searched in a strained, awkward position (see Figure D-15). This search method is useful when two searchers must search several individuals. The individuals to be searched can be positioned against any upright surface, such as a wall, vehicle, tree, or telephone pole. The following discussion covers factors that must be considered during the wall search.

D-157. **Position of individual being searched.** The individual must face the wall (or other object) and lean against it, supporting himself with his hands over his head, placed far apart with fingers spread. His feet are placed well apart as far from the wall as possible; they are turned outward so they are parallel to the wall. The individual must keep his head down as illustrated in Figure D-15.

D-158. **Position of the searcher's guard.** The searcher's guard stands to the rear of the individual being searched on the opposite side from the searcher (see Figure D-15). The guard uses his weapon to cover the individual being searched. When the searcher moves from his original position to the opposite side of the individual being searched, the guard also changes position. The searcher walks around the guard to avoid coming between the guard's weapon and the individual being searched.

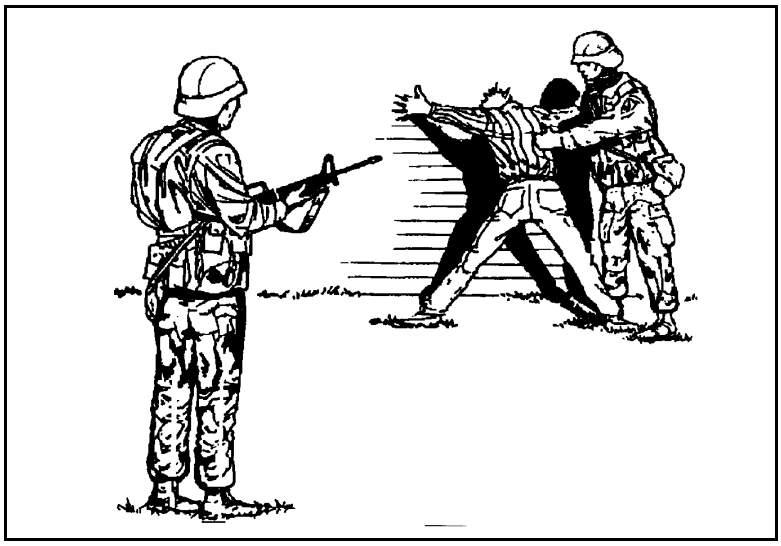

Figure D-15. Wall Search

D-159. **Position of the searcher.** The searcher approaches the individual being searched from the right side. The searcher must secure his weapon so that the individual being searched cannot grab it.

D-160. When searching from the right side, the searcher places his right foot in front of the individual's right foot, making and maintaining ankle-to-ankle contact. If the individual offers resistance, this position allows the searcher to push the individual's right foot back and out from under him, causing him to fall to the ground. When searching from the left side, the searcher places his left foot in front of the individual's left foot and makes and maintains ankle-to-ankle contact. Figure D-16 illustrates the ankle-to-ankle position.

Figure D-16. Ankle-to-Ankle Position for a Wall Search

D-161. **Wall search procedures.** In taking his initial position, the searcher must remain alert to prevent the individual being searched from

making a sudden move to disarm or injure him. The searcher first searches the individual's headgear. Then he checks, in sequence, the individual's hands and arms, the right side of his body, and his right leg. The searcher repeats the procedure on the left side of the individual. He crushes the person's clothing between his fingers rather than merely patting the surface of the clothing. The searcher pays close attention to the armpits, back, waist, legs, groin area, and tops of boots or shoes. Any item that is not considered a weapon or evidence is replaced in the individual's pocket. If the individual resists, attempts to escape, or must be thrown down before the search is completed, the search is restarted from the beginning.

D-162. **Search of multiple individuals.** When two or more individuals are to be searched, they must all assume a position against the same wall or object but far enough apart that they cannot reach each other. The guard takes a position a few paces to the rear of the line with his weapon ready. The search starts with the person on the right end of the line. Upon completing the search of the first individual, the searcher moves that individual to the left end of the line; the individual assumes the proper position against the wall. The searcher resumes with the individual now on the right end of the line. The searcher must be careful to approach and search the remaining individuals without coming between them and the guard (as illustrated in Figure D-17).

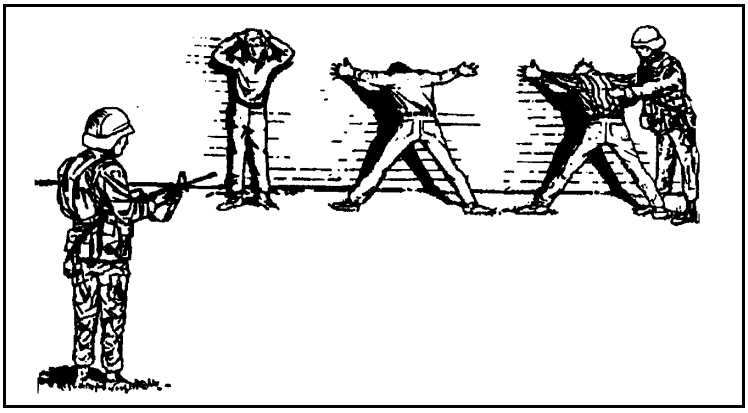

Figure D-17. Wall Search of Multiple Subjects

D-163. **Strip Search.** This extreme search is used only when the individual is suspected of carrying documents or other contraband on his person. The search is conducted in an enclosed area such as a room or tent. Several search techniques are available. One method is to use two unarmed searchers while an armed guard provides security. The individual's clothing is removed and searched carefully. A search is then made of all possible concealment areas, including the mouth, nose, ears, hair, armpits, and groin area. A medic is a good choice to conduct this search. Care must be taken not to subject the individual to unnecessary embarrassment. Searchers must ensure that the person's privacy and dignity are maintained as much as possible.

D-164. **Search of Females.** Women should be used to search other females whenever possible. If female searchers are not available, consider

using doctors, medics, or designated males from the local population. If male soldiers must search females, all possible measures must be taken to prevent any action that could be interpreted as sexual molestation or assault.

Search of Vehicles

D-165. Vehicles searches may require special equipment such as metal detection devices and mirrors. Because a thorough vehicle search is a time-consuming process, a separate search area should be established to prevent unnecessary delays. Table D-2 shows an example of a search rate planning guide.

Table D-2. Example Rate Planning Guide for Vehicle Searches

SEARCH PATTERN	RATE (veh/hr/lane)	TIME (per vehicle)
None	600-800	-
Vehicle Decal ID Check	400-600	10 sec
Driver ID Check	200-400	20 sec
Visual Observation of Passengers and Cargo Area	150-300	25 sec
Basic Physical and VIsual Search of Passengers and Cargo Area	50-150	1.2 min
Comprehensive Vehicle Search	12-24	5 min

D-166. Searchers instruct all occupants to get out and stand clear of the vehicle. The driver should be made to watch the search of the vehicle. A guard watches the passengers and provides additional security at all times. If sufficient searchers are available, the passengers should be searched at the same time. Figure D-18 lists some examples of vehicle search procedures.

SITUATION	RESPONSE
Weapons or explosives may be hidden in vehicle fuel tanks or inside components of vehicles.	Look for newly replaced vehicle components, scratches on vehicle components, new nuts and bolts, or other signs of recent work.
Weapons, explosives, and combatants may be sealed in hearses and ambulances with bodies or wounded civilians.	Treat these vehicles with respect, but search them and their contents thoroughly, including caskets. Do not disturb bodies. Have medics verify wounds.
Females may be used to smuggle weapons and explosives.	Male soldiers should not touch females; use female searchers or metal or mine detectors whenever possible. Use medical personnel if no female searchers are available.

Figure D-18. Example Vehicle Search Procedures

CORDON AND SEARCH OPERATIONS

D-167. When intelligence identifies and locates members of an insurgent infrastructure, cordon and search operations are mounted to neutralize them. This discussion covers procedures for the reconnaissance platoon in support of the company/troop or battalion/squadron conducting these operations. (**NOTE:** The discussion and accompanying illustrations cover the role of a recce platoon in the cordon and search.)

TASK ORGANIZATION

D-168. Task organization for cordon and search operations includes a security force (cordon force), a search force, and a reserve force. The reconnaissance platoon will normally operate as part of the security force or the reserve force; if required, however, it can operate either by itself as the search force or as part of a larger search force.

CONDUCT OF THE OPERATION

D-169. Search zones are designated; a search party is assigned to each zone. Each search party has its own search force, security force, and reserve force.

Procedures

D-170. An effective cordon is critical to the success of the search effort. Cordons isolate the search area, prevent the escape of individuals, and protect the forces conducting the operation. Deployment to the search area is rapid and is synchronized so it does not provide early warning to the local population; the security force surrounds the area while the search force moves in (see Figure D-19).

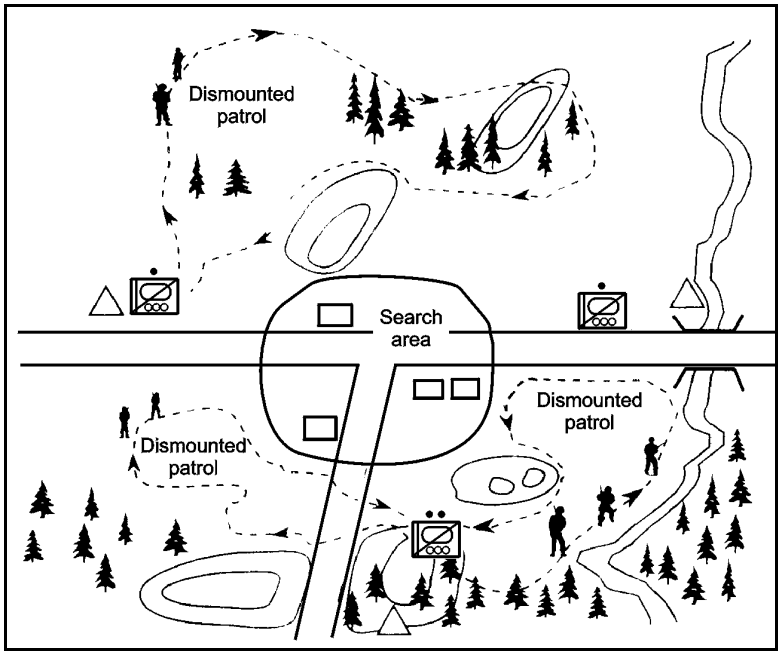

Figure D-19. Recce Platoon Establishes 360-Degree Security

D-171. Checkpoints and roadblocks are established along roads entering and exiting the area (as shown in Figure D-20). OPs are established, and security patrols are executed in the surrounding area. Members of the security force orient mainly on people or vehicles attempting to escape or evade the search in the populated area; however, the security force can also cut off elements or individuals trying to reinforce threat forces in the search area.

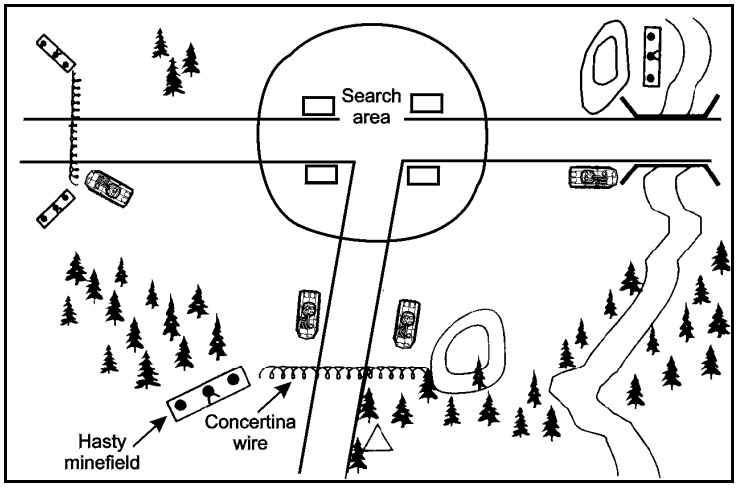

Figure D-20. Recce Sections Establish Hasty Roadblocks

Reserve Force

D-172. A mobile reserve force is located near the search zone. Its specific mission is to reinforce OPs, patrols, or the search force and to assist the other elements as required by the mission. Figure D-21 shows the recce platoon operating as the reserve.

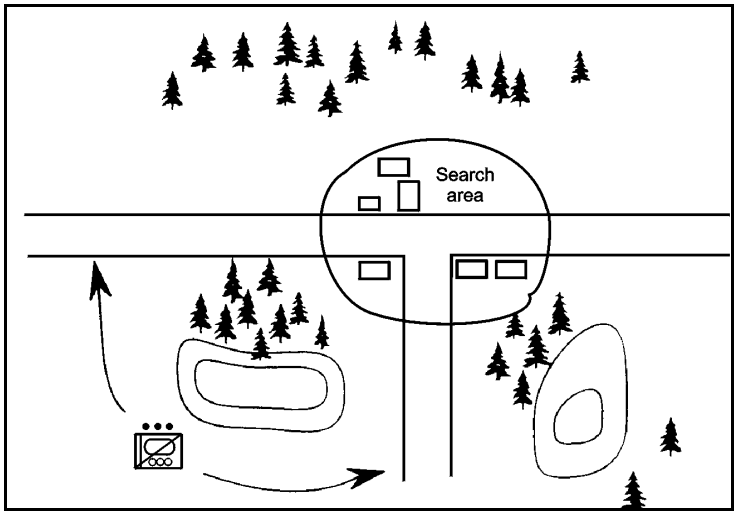

Figure D-21. Recce Platoon Operates as the Reserve Force

SECTION VI – LIGHT/MEDIUM OPERATIONS IN STABILITY AND SUPPORT ENVIRONMENTS

D-173. During stability operations and support operations, situations may arise requiring medium and light forces to operate together. The use of a mixed force capitalizes on the strengths of both forces while offsetting their respective weaknesses. Light/medium operations take advantage of the light unit's ability to operate in restricted terrain (such as urban areas, forests, and mountains), while increasing the light unit's survivability. Conversely, the medium unit's mobility, protection, and firepower complement the light infantry unit's capabilities.

D-174. The reconnaissance platoon may operate with light infantry forces in various task organizations. Examples of these organizations include the following:

- The squadron/battalion or troop is attached or OPCON to a light infantry brigade.
- A light infantry company is attached to the squadron/battalion.
- The reconnaissance platoon is attached to a light infantry brigade as part of a company team.

D-175. Regardless of the task organization, the key challenge in light/medium operations is to understand the capabilities and limitations of light and medium forces, to develop plans that take full advantage of their capabilities, and to correctly employ the two types of forces for maximum effectiveness. The goal of this section is to assist the reconnaissance platoon leader in understanding the platoon's role in the light/medium force and in planning and executing the platoon's missions during these operations. (**NOTE:** FM 3-21.10 [FM 7-10] provides detailed information on light infantry organizations.)

ROLE OF THE RECONNAISSANCE PLATOON

D-176. The reconnaissance platoon normally does not conduct close support of infantry operations. In stability operations and support operations, however, the platoon can use its unique capabilities to conduct combat operations in support of or in conjunction with light infantry.

D-177. Along with conventional reconnaissance and security missions, the platoon can support infantry in urban operations and in cordon and search operations. A CFV reconnaissance platoon can also provide limited protection against threat armored forces.

THE THREAT

D-178. Light infantry fights a variety of threat forces. These may range from crudely equipped insurgents to technologically advanced conventional forces. Potential threat targets include the following:

- Nonarmored targets, including the following:
  - Bunkers.
  - Automatic weapon positions.

  - Buildings and walls.
  - Roadblocks and obstacles.
- CPs.
- Logistical positions.
- Light-skinned vehicles.
- Armored vehicles.

CAPABILITIES AND LIMITATIONS OF THE RECONNAISSANCE PLATOON

CAPABILITIES

D-179. Reconnaissance platoon capabilities in support of light/medium operations include the following:

- Ability to suppress or destroy threat positions with direct fires.
- Ability to breach walls and reduce some obstacles with direct fire.
- Enhanced communications assets.
- Thermal sights and NODs.
- Capability for rapid movement and limited penetrations.
- Use of vehicles to provide protection against small arms and fragments.

LIMITATIONS

D-180. The reconnaissance platoon's limitations in light/medium operations include these:

- Restricted mobility and fields of fire in close or urban terrain.
- Vulnerability to antiarmor weapons in built-up areas.
- The consumption of large quantities of Classes III, V, and IX, in some situations requiring daily resupply.
- Need for augmentation of transportation assets to support CSS requirements.
- Inability to move over heavily wooded terrain traversable by light infantry.
- Inability of bridges and roads to support certain types of reconnaissance vehicles.

LIGHT/MEDIUM URBAN OPERATIONS

D-181. Urban battlefields are complex and three-dimensional; they are characterized by the close, restricted terrain typical of built-up areas, resulting in severely limited fields of fire and maneuver space. Mounted avenues of approach, restricted mostly to streets and alleys, are narrow, canalized, and easily obstructed. On the other hand, cover and concealment are plentiful for dismounted forces. Dismounted avenues of approach are literally everywhere: underground, through buildings, along edges of streets, over rooftops.

D-182. While urban operations are predominantly an infantry fight, the reconnaissance platoon can support light infantry units by providing security, protection, mobility, and firepower. The platoon can perform the following tasks to increase the combat power of the light infantry force:

- Isolate objectives with direct fire to prevent threat withdrawal, reinforcement, or counterattack.
- Suppress or destroy threat positions.
- Breach walls and blocked doorways.
- Reduce some barricades and obstacles with direct fires.
- Reduce threat strongpoints.
- Establish roadblocks.
- Protect against threat light armored attacks or counterattacks.
- Suppress sniper fires.
- Use vehicles to provide protection from small arms and fragmentation rounds.
- Overwatch likely armor avenues of approach.

NOTE: Chapter 7 of this manual provides a detailed discussion of the reconnaissance platoon's role in urban operations.

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PRACTICAL EXERCISE SHEET PE-1

Title

ESTABLISHMENT OF A CHECKPOINT

Lesson Number / Title

W332 version 1 / ESTABLISHMENT OF A CHECKPOINT

Introduction

None

Motivator

This practical exercise will reveal how well you understand the establishment of a checkpoint. Your understanding of today's doctrine will greatly enhance your ability to assist in the planning and execution of establishing a checkpoint.

Terminal Learning Objective

NOTE: The instructor should inform the students of the following Terminal Learning Objective covered by this practical exercise.

At the completion of this lesson, you [the student] will:

Action:	Establishing a checkpoint.
Conditions:	As a small unit leader in a company or battalion level unit, in a classroom environment, given FM 3-20.98.
Standards:	Established a checkpoint by-- • Identifying the role of the reconnaissance platoon in stability operations and support operations. • Establishing a deliberate checkpoint and a hasty checkpoint. • Preparing for contingencies at checkpoints. IAW FM 3-20.98, Appendix D, Section V.

Safety Requirements

None

Risk Assessment

Low

Environmental Considerations

None

Evaluation

This is not a graded PE. There will be a group discussion of the solutions to clarify any questions.

Instructional Lead-In

None

Resource Requirements

Instructor Materials:
- SPE-1

Student Materials:
- Pen or pencils and writing paper.
- Reading material listed on the Advance Sheet.
- PE-1

Special Instructions

None

W332 Establishment of a Checkpoint

Practical Exercise -1, W332, Establishment of a checkpoint

1. List four uses of manned checkpoints.

   _____

   _____

   _____

   _____

2. Reconnaissance sections and squads can operate heavy and light traffic checkpoints.

   a. True.
   b. False.

3. What are the four parts of a checkpoint?

   _____

   _____

   _____

   _____

4. When establishing checkpoints, you must establish separate search areas for which of the following?

   a. Females.
   b. Heavy Traffic.
   c. Search teams.
   d. Weapons.

5. What is the task organization of a checkpoint?

   _____

   _____

   _____

   _____

6. What other personnel should be on hand to assist the reconnaissance platoon with checkpoint activities?

_____

_____

7. What is the purpose of a hasty checkpoint?

_____

_____

8. What are some possible locations for a hasty checkpoint?

_____

_____

_____

_____

_____

9. What are some of the special equipment and personnel requirements for establishing a hasty checkpoint?

_____

_____

_____

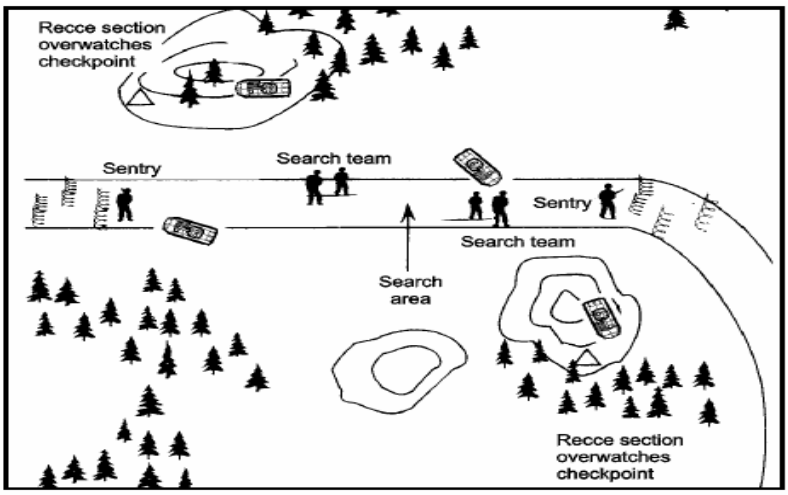
_____

_____

_____

10. The figure below shows a reconnaissance platoon manning which of the following?

    a. Deliberate checkpoint.
    b. Hasty checkpoint.



HANDOUTS FOR LESSON 1: W333 version 1

This appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Advance Sheet	SH-1-1 to SH-1-2.
SH-2, TC 9-21-01 (093-89D-01)	SH-2-1

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Student Handout 1

This student handout contains advance sheet

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STUDENT HANDOUT 1

Advance Sheet

Lesson Hours This lesson consists of one hour of small group instruction.

Overview During this lesson we will discuss reacting to possible improvised explosive devices (IED's), their possible locations, looking for visual indicators, reactions to IED's, how to avoid IED's and reporting IED's using the correct format.

Learning Objective Terminal Learning Objective (TLO).

Action:	React to a possible improvised explosive device (IED).
Conditions:	As a squad leader/staff NCO in a company or battalion level unit and given TC 9-21-01 (093-89D-01 and Lesson Learned from IRAQ FREEDOM (OIF).
Standard:	Reacted to a possible improvised explosive device (IED) IAW TC 9-21-01 (093-89D-01).

LS/A 1 Possible Improvised Explosive Device (IED); visual indicators, location, hazard mitigation practices and reaction.

LS/A 2 Report a possible improvised explosive device (IED).

Assignment The student assignments for this lesson are:

- Read student handouts

Additional Subject Area Resources None.

Bring to Class

- All reference material received.
- Pencil or pen and writing paper.

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Student Handout 2

This Student Handout Contains

This student handout contains TC 9-21-01 (093-89D-01), consisting of 40 pages.

Disclaimer: The training developer downloaded this extract from http://155.217.58.58/atdls.htm. The text may contain passive voice, misspellings, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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TC 9-21-01(093-89D-01)

SOLDIERS

Improvised Explosive Device (IED) Awareness Guide

IRAQ
&
AFGHANISTAN
Theaters of Operation

Chief of Ordnance
US Army Ordnance Corps

EOD Training Department
Redstone Arsenal, AL

February 2004

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Training Circular
No. TC 9-21-01(093-89D-01)

US Army Ordnance Corps
Aberdeen Proving Ground, MD
09 February 2004

SOLDIERS

Improvised Explosive Device (IED) Awareness Guide

IRAQ
&
AFGHANISTAN
Theaters of Operation

Contents

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Chapter 1	**Background**	**1-1 thru 1-6**
Chapter 2	**IRAQ Theater of Operation (IEDs)**	**2-1 thru 2-13**
Chapter 3	**AFGHANISTAN Theater of Operation (IEDs)**	**3-1 thru 3-7**
Appendix A	**React to a Possible Improvised Explosive Device** Common Task 093-401-5050	**A-1 thru A-6**
	Glossary	**Glossary-1**

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WARNING

This Soldiers reference guide provides general Improvised Explosive Device (IED) awareness, possible characteristics and safety information. It will:

Provide a visual depiction of some Improvised Explosive Devices (IED) encountered in support of the Iraq (OIF) and Afghanistan (OEF) theaters.

Provide Soldiers with the basic know how in relation to: "Reacting to a Possible Improvised Explosive Device (IED).

This reference guide does *NOT* supercede any Standing Operating Procedures (SOPs), Orders, or Military Directives.

Preface

The purpose of this guide is to give Commanders, Leaders and Soldiers a training tool representing some of the Improvised Explosive Devices (IED) used in both the Iraq and Afghanistan theaters of operation.

The intent of this guide is to support readiness, unit training, operational planning, and awareness as well as provide information in relation to Reacting to a Possible Improvised Explosive Device (IED) common task 093-401-5050. Both training and awareness are a proven and effective force protection tool as well as a combat multiplier.

This guide is not all inclusive and should not be used as a sole source of information. Commanders and leaders must remain abreast of current intelligence, tactics, techniques and procedures (TTPs) and local command standing operating procedures (SOPs) available in particular areas of operation in relation to the Improvised Explosive Device threat.

This guide does not cover IED firing / fuzing systems (internal design) or Explosive Ordnance Disposal (EOD) tactics, techniques and procedures.

This guide is derived from multiple unclassified source documentation and materials.

The proponent of this Soldiers reference guide is: The Chief of Ordnance, US Army Ordnance Corps, Aberdeen Proving Ground, MD. The custodian of information is the US Army Ordnance Munitions and Electronics Maintenance School (OMEMS), 59TH Ordnance Brigade, Explosive Ordnance Disposal Training Department (EODTD). Submit recommendations for changes, updates, deletions, and / or additions to this publication on DA Form 2028 to:

Commander
OMEMS
ATTN: ATSK-TE (Training Division)
Redstone Arsenal, AL 35897-6790

Unless otherwise stated, masculine nouns and pronouns do not refer exclusively to men.

Chapter 1

Background

Improvised Explosive Devices (IEDs) may be constructed out of any available material and contain various fillers to include; explosive, chemical, biological, or hazardous materials. Improvised Explosive Devices may range in size from a cigarette pack or carton to a large vehicle.

The only limitations an enemy bomber faces are: availability of resources, personal ingenuity, and the degree or extent of "know how" required to facilitate construction and in some cases application of an Improvised Explosive Device.

Improvised Explosive Devices are non-standard, and usually fabricated from common materials. The mass quantities of cached, captured enemy ammunition (CEA) and stockpiled munitions within the Iraq and Afghanistan theaters of operation provide the explosive materials to "would be" enemy bombers.

General mitigation measures in relation to the IED threat:

1. Trust your instincts. If something does not seem right it probably isn't. Be aware of your surroundings (situational awareness).

2. Watch the locals in your area of operation; Are the familiar locals in the area? Are people moving away from you or your element acting or appearing nervous? Most bombers don't blow up their own neighborhoods.

3. Be aware of news crews in the area for no apparent reason. Most bombers like their work filmed, but do not like pictures of themselves.

4. Before each and every convoy or patrol, brief your personnel on the latest IED threat intelligence. ***Brief your personnel each and every time.***

a. Ascertain what types of items are currently in use?
b. Known techniques, patterns and likely locations of emplacement?
c. Where in the area have items previously been placed?
d. Intelligence on your current route of march (primary and alternates)?

5. Rehearse actions (battle drill) for reacting to a possible Improvised Explosive Device.

6. ***Wear personal protective equipment (vests, helmets and eye protection). They save lives!***

7. Maintain speed and movement whenever possible.

8. Maintain dispersion while conducting either mounted or dismounted operations.

9. Be cautious of choke points, vehicle breakdowns, bridges, one way roads, traffic jams, sharp turns etc…

10. If something stops movement, either mounted or dismounted, survey your immediate area for possible Improvised Explosive Devices.

Reaction upon encountering an item that is deemed a possible Improvised Explosive Device:

Note: This reference guide does *NOT* supercede any Standing Operating Procedures (SOPs), Orders, or Military Directives.

1. STOP all movement toward the "Possible Improvised Explosive Device (IED)" and immediately evaluate your surrounding area for possible secondary Improvised Explosive Devices.

a. Do not approach the "Possible Improvised Explosive Device"

b. Do not attempt to move the "Possible Improvised Explosive Device"

c. If possible, avoid using any communication / electronic equipment within the previously established and *SECURE* exclusion area.

2. Establish security:

a. Establish an area around the "Possible Improvised Explosive Device". Adjust the exclusion area based on METT-TC, local command policy / guidance, tactics, techniques and procedures and standing operating procedures (SOPs).

b. Search initial secure area for possible secondary explosive device(s) / hazards, while maintaining security.

c. Identify potential enemy force observation/vantage points.

d. Seek all available manmade or natural frontal and overhead cover.

e. Avoid establishing a “reaction” pattern.

f. Forward information to Higher HQ using standard 9-line UXO Report.

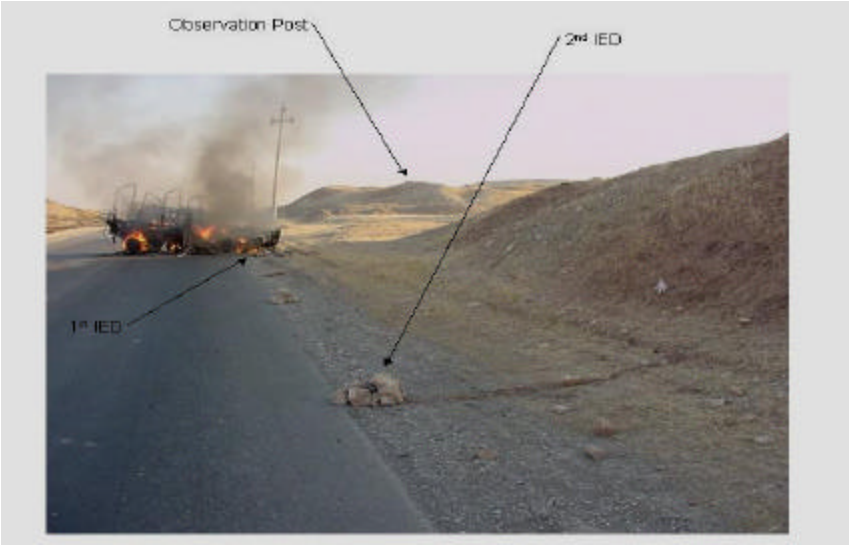
g. Continue mission IAW Higher HQ guidance

WARNING:

Recognition features for IEDs are ever changing based on the enemy's capabilities and available resources.

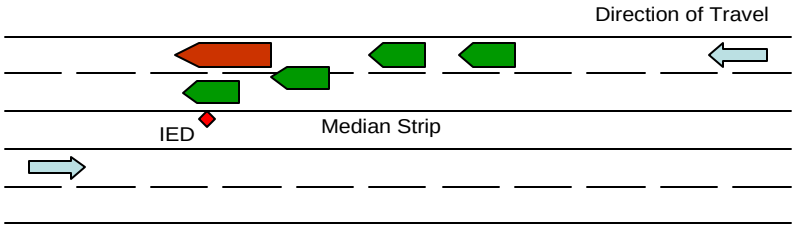
THESE PHOTOS ARE MEANT ONLY TO SERVE AS A GUIDE!

The following photos and diagrams depict possible techniques and methods of employment for Improvised Explosive Devices.

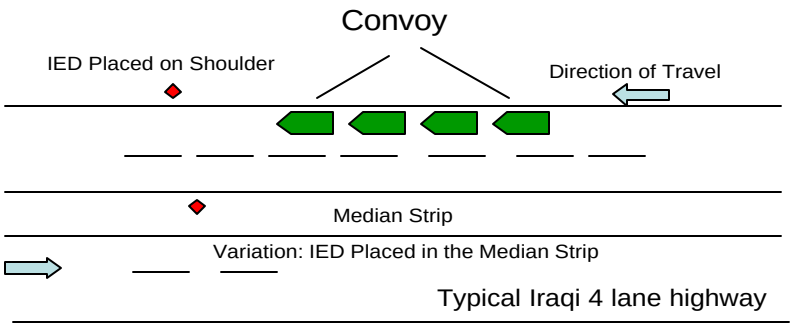


The "Broken Down Vehicle" IED Attack

"Broken Down / Disabled" vehicle channels / forces convoy toward IED

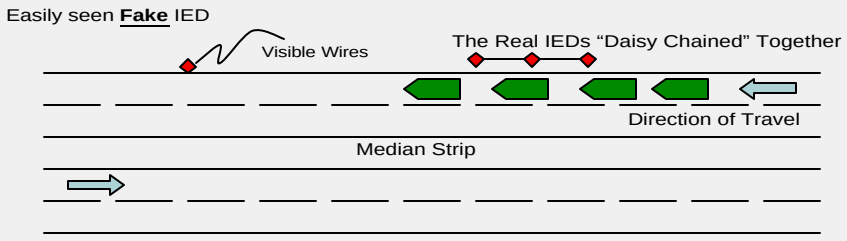


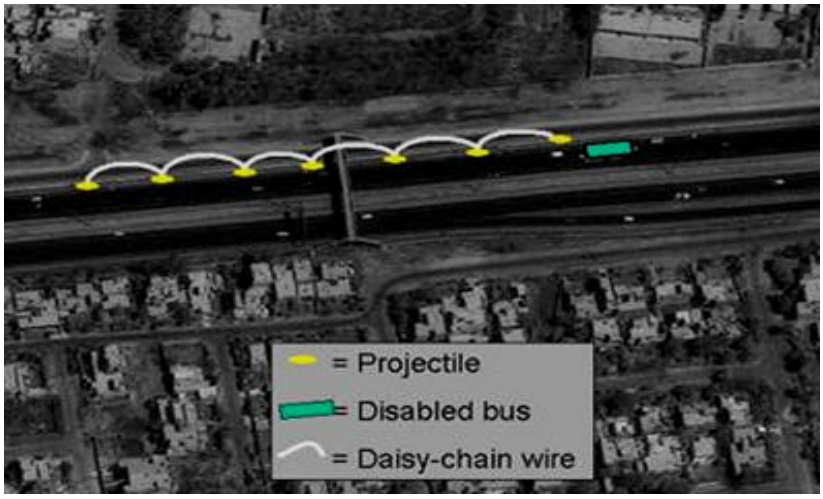
The Basic "No Frills" IED Attack



The "Fiendishly Clever" IED Attack

Lead vehicle sees fake IED and stops. The convoy stops behind it. Real IEDs are on the flanks of the stopped convoy and command detonated





Chapter 2
IRAQ Theater of Operation

The following photos were taken from multiple unclassified source documentation and materials from the Iraq theater of operation.

130 mm Projectile concealed in burlap style sack (sand bag)

130 mm Projectile concealed in a plastic bag

Grenade found behind poster of Saddam Hussein

Modified aluminum can made into a hand grenade with hand grenade fuze

Projectile with electric blasting cap in the fuze well

Projectile embedded in plaster of paris (POP) housing to simulate concrete covered with grass

Projectile embedded in plaster of paris (POP) housing to simulate concrete

105 mm Projectile concealed by rocks on the road side

Improvised directional explosive device in clear plastic trash bag

Improvised directional explosive device

Improvised directional (shape charge) explosive device

Projectiles inside of a roadside culvert pipe

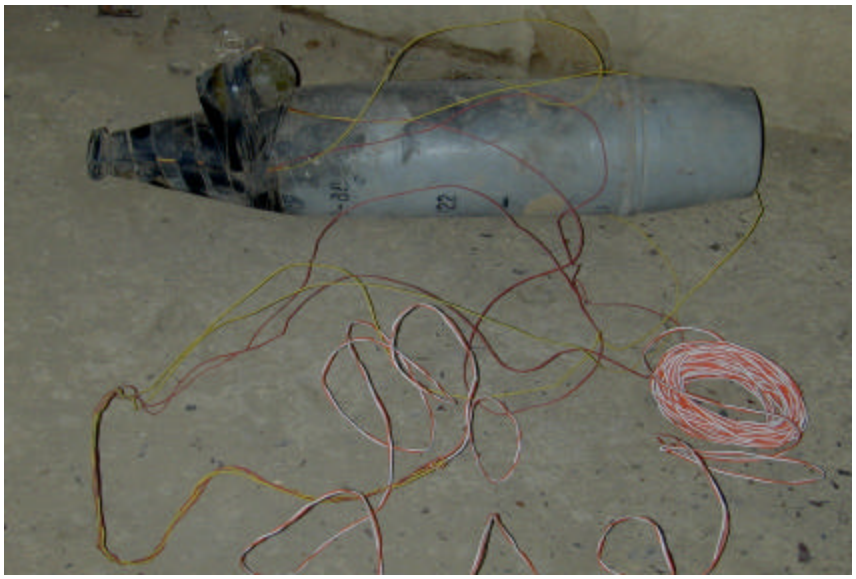
Modified Mortar with tripwire attached to grenade fuze

Modified Mortar with tripwire attached to grenade fuze

Former Soviet Union 122mm Projectiles

Top view of former Soviet Union 122mm Projectiles modified to accept a blasting cap in the cast high explosive (HE)

Plastic shipping caps for former Soviet Union 122mm Projectiles modified to accept a blasting cap



Former Soviet Union 122mm Projectile with modified plastic shipping plug and hand grenade, both items modified to accept electric blasting caps.

Former Soviet Union 122mm projectile with plastic explosive in the fuze well modified to accept electric blasting cap.

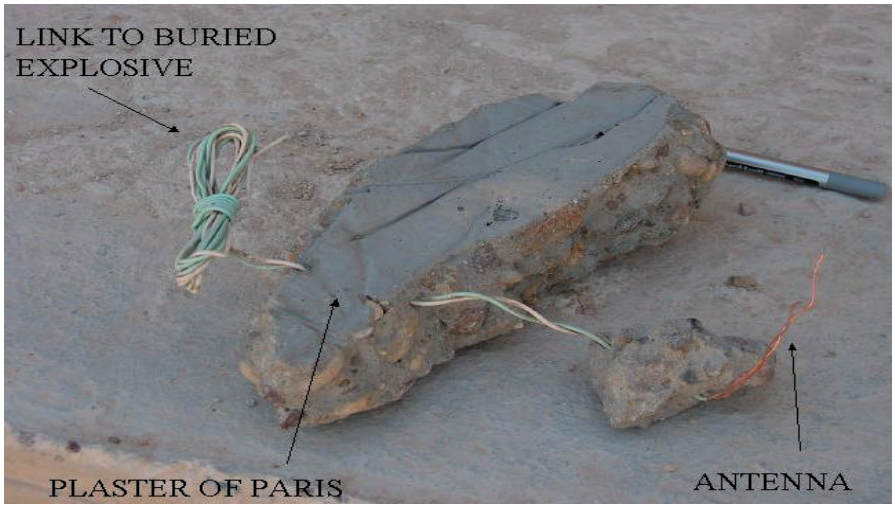
Former Soviet Union 130mm projectile with plastic explosive in the fuze well modified to accept electric blasting cap, concealed in plastic bag.

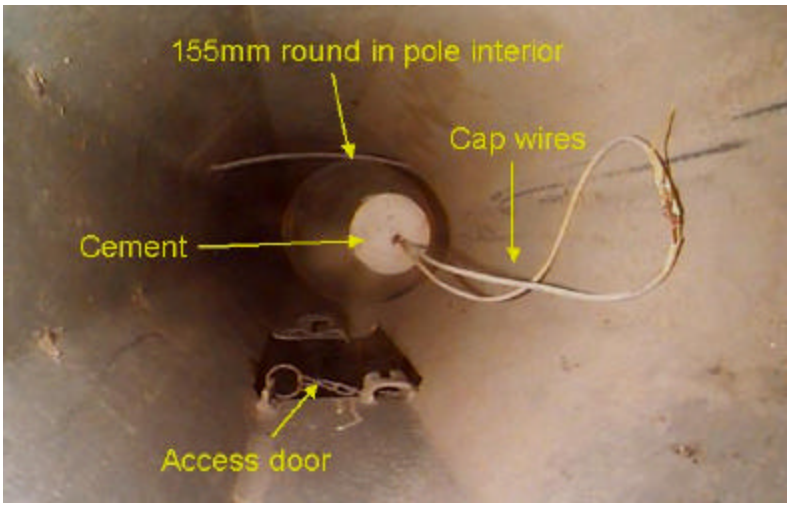
Cigarette carton filled with plastic explosives

Steel container with “home made” explosives

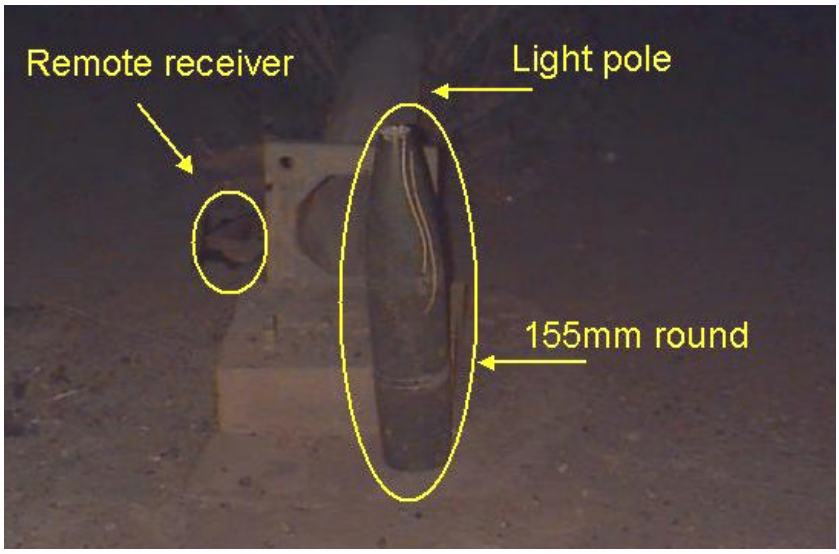
Steel container with “home made” explosives

Modified Pepsi cola aluminum can with pyrotechnic fuse





155mm Projectile inside of downed street light pole along road side



155mm Projectile outside of downed street light pole along road side

Chapter 3
AFGHANISTAN Theater of Operation

The following photos were taken from multiple unclassified source documentation and materials from the Afghanistan theater of operation.

TC-6 anti-tank (AT) Landmine attached to former Soviet Union FAB-250 high explosive (HE) bomb

Propane tanks used as main charges for Improvised Explosive Devices (IEDs)

Modified TC-6 Anti - Tank (AT) Landmine

Improvised Explosive Device buried in soft pack roadway

Motorcycle with two Anti-Tank (AT) Landmines concealed under the seat

Vehicle bomb strewn with approximately 300 lbs of explosive

Paint cans and similar items are filled with explosive and used as Improvised Explosive Devices (IEDs)

107mm rockets modified to fire on friendly forces

Improvised Explosive Device plastic boxes with detonating cord and stereo speaker magnets, to affix on metal target.

Former Soviet Union 60mm Mortar with hand grenade fuze

Hand grenade wedged between a rock and a TC-6 anti-tank (AT) landmine

Propane tank with detonating cord attached to two
TC-6 anti-tank (AT) landmines

APPENDIX A

React to a "Possible Improvised Explosive Device (IED)" 093-401-5050

Warning:

All soldiers must receive a theater specific IED threat brief to successfully accomplish this task.

Specific identification features for IEDs are ever changing based on the enemy's capabilities and available resources.

Task: React to a Possible Improvised Explosive Device (IED)

Condition: During military operations you encounter a "Possible Improvised Explosive Device (IED)".

Standard: Properly establish initial exclusion area, security, and report "Possible Improvised Explosive Device (IED)" to Higher HQ with 100% accuracy.

Danger:

Do not attempt to move the "Possible Improvised Explosive Device (IED)"

Danger:

Do not approach the "Possible Improvised Explosive Device (IED)"

Danger:

If possible, avoid using any communication/electronic equipment within established exclusion area

Appendix A React to a Possible Improvised Explosive Device (IED)….A-1
Common Task 093-401-5050

Warning:

Any of the above "Dangers" may cause a "Possible Improvised Explosive Device (IED)" to explode

Performance Steps

1. Establish minimum initial exclusion area of 300 meters around "Possible Improvised Explosive Device (IED)".

Warning:

Adjust exclusion areas based on METT-TC (See Figure 1 & 2 as a Basic Guide)

2. Establish security:

a. Search secure area for possible secondary explosive device(s)/hazards, while maintaining security.

b. Identify potential enemy force observation/vantage points.

c. Seek all available manmade or natural frontal and overhead cover.

d. Avoid establishing a "reaction" pattern.

3. Forward information to Higher HQ using standard 9-line UXO Report (See Figure 1-6).

4. Continue mission IAW Higher HQ guidance.

Evaluation Preparation: Grade the soldiers as a "go" or "no-go" in each area. Explain the incorrect action for any "no-go".

Performance Measures (Go – No Go)

1. Upon encountering a "Possible Improvised Explosive Device (IED)":

Appendix A React to a Possible Improvised Explosive Device (IED)….A-2
Common Task 093-401-5050

a. Ensured all movement towards “Possible Improvised Explosive Device (IED)” stopped.

b. Established initial minimum 300 meter exclusion area.

c. Established security.

2. Submitted standard 9-line UXO Report to Higher HQ.

3. Did not move “Possible Improvised Explosive Device (IED)”.

4. Did not approach “Possible Improvised Explosive Device (IED)”.

5. Did not use any communication or electronic devices within initial exclusion area.

6. Continued mission IAW Higher HQ guidance.

Evaluation Guidance: Tell the soldier that; “Possible Improvised Explosive Device (IED)” are in use in the AOR. Place the Soldier in a scenario that will require them to encounter a “Possible Improvised Explosive Device (IED)”.

Appendix A React to a Possible Improvised Explosive Device (IED)….A-3
Common Task 093-401-5050

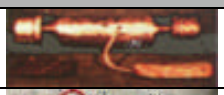
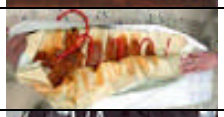
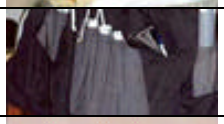
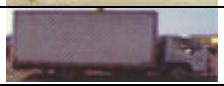
	Threat Description		Explosives Mass (TNT equivalent)	Building Evacuation Distance	Outdoor Evacuation Distance
High Explosives (TNT Equivalent)		Pipe Bomb	5 lbs 2.3 kg	70 ft 21 m	850 ft 259 m
		Suicide Belt	10 lbs 4.5 kg	90 ft 27 m	1,080 ft 330 m
		Suicide Vest	20 lbs 9 kg	110 ft 34 m	1,360 ft 415 m
		Briefcase/Suitcase Bomb	50 lbs 23 kg	150 ft 46 m	1,850 ft 564 m
		Compact Sedan	500 lbs 227 kg	320 ft 98 m	1,500 ft 457 m
		Sedan	1,000 lbs 454 kg	400 ft 122 m	1,750 ft 534 m
		Passenger/Cargo Van	4,000 lbs 1,814 kg	640 ft 195 m	2,750 ft 838 m
		Small Moving Van/ Delivery Truck	10,000 lbs 4,536 kg	860 ft 263 m	3,750 ft 1,143 m
		Moving Van/Water Truck	30,000 lbs 13,608 kg	1,240 ft 375 m	6,500 ft 1,982 m
		Semi trailer	60,000 lbs 27,216 kg	1,570 ft 475 m	7,000 ft 2,134 m

Figure 1

Appendix A React to a Possible Improvised Explosive Device (IED)….A-4
Common Task 093-401-5050

	Threat Description		LPG Mass/Volume	Fireball Diameter	Safe Distance
Liquefied Petroleum Gas (LPG - Butane or Propane)		Small LPG Tank	20 lbs/5 gal 9 kg/19 lb	40 ft 12 m	160 ft 48 m
		Large LPG Tank	100 lbs/25 gal 45 kg/95 lb	69 ft 21 m	276 ft 84 m
		Commercial/Residential LPG Tank	2,000 lbs/500 gal 907 kg/1,893 lb	184 ft 56 m	736 ft 224 m
		Small LPG Truck	8,000 lbs/2,000 gal 3,630 kg/7,570 lb	292 ft 89 m	1,168 ft 356 m
		Semi tanker LPG	40,000 lbs/10,000 gal 18,144 kg/37,850 lb	499 ft 152 m	1,996 ft 608 m

Figure 2

Standard 9-line UXO Report

Line 1: Date time group discovered: (Command policy will dictate *Local* or *Zulu* time).

Line 2: Reporting Activity (UIC / Unit designation). Location (8-digit grid): *(include: landmarks, reference points, or street addresses).*

Line 3: Contact Method: Radio Freq / Call Sign or Telephone Number. (If using phone number, provide name).

Line 4: Type of Munition: (Dropped, Projected, Placed, or Thrown).

Line 5: NBC Contamination: Yes or No, known or suspected NBC Contamination. If yes, report type of agent if known / identified.

Line 6: Resources Threatened: (What resource is threatened - is it a critical asset?).

Line 7: Impact on Mission: (How the UXO is affecting the mission).

Line 8: Protective Measures Taken: (Unit emplaced protective measures).

Line 9: Recommended Priority: (Immediate, Indirect, Minor, or No Threat).

Appendix A React to a Possible Improvised Explosive Device (IED)….A-5
Common Task 093-401-5050

Sample Report:

Line 1: *121300LMAR98*

Line 2: *1-75th Infantry Bn, C-Co, EP2134567891, 150 meters South of the grid referenced road junction.*

Line 3: 49.7000, Tripwire 60 or 1-800-435-6789, SFC Snuffy

Line 4: Placed, Possible Improvised Explosive Device (IED)

Line 5: None

Line 6: MSR Speedway

Line 7: Unit cannot conduct re-supply operations, MSR is in passable

Line 8: Constructed sandbag barricade and evacuated non-essential personnel 300 meters. Mission essential personnel are in protective gear, all are utilizing frontal and overhead cover

Line 9: Immediate

Minimum Required Reporting Information: At a minimum the report must contain:

Proper format is not as important as getting the information to the higher HQ.

(a) *"Who"* discovered the item (Point of Contact)

(b) *"What"* item is (type / Sub-group)

(c) *"Where"* the UXO is (Location / 8-digit Grid)

(d) *"When"* the item was discovered

(e) Recommended priority (Immediate, Indirect, Minor, or No Threat)

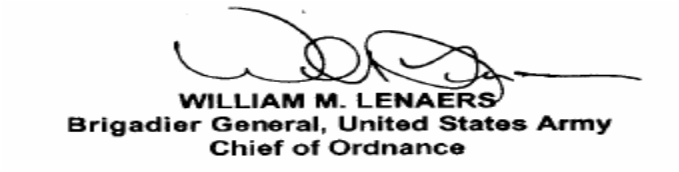
Appendix A React to a Possible Improvised Explosive Device (IED)….A-6
Common Task 093-401-5050

Glossary

AT	**anti-tank**
CEA	**captured enemy ammunition**
EOD	**explosive ordnance disposal**
HE	**high explosive**
HQ	**head quarters**
IAW	**in accordance with**
IED	**improvised explosive device**
LBS	**pounds**
METT-TC	**mission, enemy, terrain and weather, troops and support available, and civil considerations.**
MM	**millimeters**
OEF	**Operation Enduring Freedom**
OIF	**Operation Iraqi Freedom**
POP	**Plaster of Paris**
SOP	**Standing Operating Procedures**
TO	**Theater of Operation**
TTP	**Tactics Techniques and Procedures**
UXO	**Unexploded Ordnance**

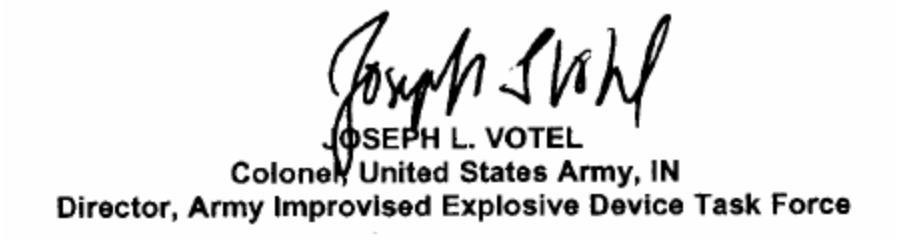
TC 9-21-01 (093-89D-01)
09 February 2004

By Order of the Chief of Ordnance, US Army Ordnance Corp:



WILLIAM M. LENAERS
Brigadier General, United States Army
Chief of Ordnance

Official:



JOSEPH L. VOTEL
Colonel, United States Army, IN
Director, Army Improvised Explosive Device Task Force

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