SUBJECT: Original Appointment of Officers

References: See Enclosure 1

1. PURPOSE. In accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (a)), this instruction reissues DoD Instruction (DoDI) 1310.02 (Reference (b)) to establish policy, assign responsibilities, and provide procedures for the original appointment of individuals, enlisted members, and officers as Regular or Reserve commissioned or warrant officers in or to the grades O-6 and below, pursuant to sections 531, 571(b), 12203, 12211, 12212, and 12241(b) of Title 10, United States Code (U.S.C.) (Reference (c)).

2. APPLICABILITY. This instruction applies to:

   a. OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this instruction as the “DoD Components”).

   b. All original appointment actions involving individuals, enlisted members, or officers appointed on an active-duty list (ADL) or a Reserve active-status list (RASL) of the Military Services in or to the grades of O-6 and below, with the exception of Enclosure 3, which applies to all Regular or Reserve officer appointment actions in or to the grades of O-10 and below.

3. POLICY. It is DoD policy that:

   a. Generally, only those individuals, enlisted members, and officers who have clearly demonstrated the potential for full military careers will be appointed as military officers.

   b. Each Military Service will use an effective and impartial system to identify and select for appointment as military officers qualified persons who possess the skills necessary to meet the needs of the Military Service.
c. Individuals, enlisted members, and officers recommended for appointment will be mentally, physically, morally, and professionally qualified for appointment and meet age, citizenship, and other eligibility requirements.

d. All officers on the ADL will have a Regular appointment, and all officers on the RASL will have a Reserve appointment.

4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosures 3 through 5.

6. RELEASEABILITY. Cleared for public release. This instruction is available on the Internet from the DoD Issuances Website at http://www.dtic.mil/whs/directives.

7. EFFECTIVE DATE. This instruction is effective March 26, 2015.

Enclosures

1. References
2. Responsibilities
3. Appointment Authority
4. Original Appointments
5. Format and Procedures

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ENCLOSURE 1

REFERENCES

(b) DoD Instruction 1310.02, “Appointing Commissioned Officers,” May 8, 2007, as amended (hereby cancelled)
(c) Title 10, United States Code
(g) Executive Order 13358, “Assignment of Functions Relating to Certain Appointments, Promotions, and Commissions in the Armed Forces,” September 28, 2004
(h) Executive Order 13384, “Assignment of Functions Relating to Original Appointments as Commissioned Officers and Chief Warrant Officer Appointments in the Armed Forces,” July 25, 2005
(j) DoD Instruction 1310.01, “Rank and Seniority of Commissioned Officers,” August 23, 2013
(k) DoD Instruction 1312.03, “Service Credit for Commissioned Officers,” November 22, 2013
(m) Title 32, United States Code
(n) DoD Instruction 1320.04, “Military Officer Actions Requiring Presidential, Secretary of Defense, or Under Secretary of Defense for Personnel and Readiness Approval or Senate Confirmation,” January 3, 2014
(o) Section 1331 of Title 5, United States Code
(q) DoD Instruction 6130.03, “Medical Standards for Appointment, Enlistment, or Induction in the Military Services,” April 28, 2010, as amended
(r) DoD Instruction 1215.17, “Educational Requirements for Appointment to a Grade Above First Lieutenant or Lieutenant (Junior Grade) in a Reserve Component,” January 29, 2014
(s) DoD Instruction 1300.04, “Inter-Service Transfer of Commissioned Officers,” December 27, 2006,
(t) DoD Instruction 1205.05, “Transfer of Service Members Between Reserve and Regular Components of the Military Services,” March 30, 2012
ENCLOSURE 2

RESPONSIBILITIES

1. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)). The USD(P&R):
   a. Reviews all original appointments and coordinates on Service recommendations to be forwarded to the Secretary of Defense (SecDef) or Deputy Secretary of Defense (DepSecDef).
   b. Returns Service appointment recommendations for corrections or other changes.
   c. Monitors Military Service compliance with this instruction.

2. SECRETARIES OF THE MILITARY DEPARTMENTS. The Secretaries of the Military Departments:
   a. Follow the procedures in this instruction when submitting original appointment recommendations.
   b. Certify the commissioning source and completion, or anticipated completion, of all requirements necessary to tender the original appointment.
   c. Ensure proper legal review is conducted prior to submitting the original appointment package to the Correspondence and Analysis Branch (CAB), Correspondence Management Division, Executive Services Directorate, Washington Headquarters Services, Pentagon.
   d. Ensure that any personally identifiable information included in the submission of a recommendation for an original appointment is collected, maintained, used, and disseminated in accordance with DoDD 5400.11 (Reference (d)) and DoD 5400.11-R (Reference (e)).
ENCLOSURE 3

APPOINTMENT AUTHORITY

1. APPOINTMENT AUTHORITY. All appointments of military officers are made by the President, or the SecDef, in accordance with the following:

   a. **Presidential Appointments.** All Regular and Reserve appointments of individuals, enlisted members, and officers in or to the grades identified in paragraphs 1a(1) and 1a(2) of this enclosure are made by the President, by and with the advice and consent of the Senate, unless otherwise authorized in law.

      (1) Individuals, enlisted members, and officers being appointed in or to the grades of major and above in the Regular Army, Air Force, and Marine Corps or in or to the grades of lieutenant commander and above in the Regular Navy.

      (2) Individuals, enlisted members, and officers being appointed in or to the grades of colonel and above in the Reserve of the Army, Reserve of the Air Force, and Marine Corps Reserve or in or to the grades of captain and above in the Navy Reserve.

   b. **SecDef Appointments.** The SecDef will make all Regular and Reserve appointments of individuals, enlisted members, and officers in or to the grades identified in paragraphs 1b(1) and 1b(2) of this enclosure based on Presidential delegations in accordance with Executive Orders 12396, 13358, 13384, and 13598 (References (f), (g), (h), and (i)). This delegated authority of the SecDef may not be further delegated.

      (1) Individuals, enlisted members, and officers being appointed in or to the grades of warrant officer, W-1, through captain in the Regular Army, Air Force, and Marine Corps or in or to the grades of warrant officer, W-1, through lieutenant in the Regular Navy.

      (2) Individuals, enlisted members, and officers being appointed in or to the grades of warrant officer, W-1, through lieutenant colonel in the Reserve of the Army, Reserve of the Air Force, and Marine Corps Reserve or in or to the grades of warrant officer, W-1, through commander in the Navy Reserve.
1. OVERALL GUIDANCE

   a. In general, an original appointment applies to an individual entering a Military Service for the first time through any military accession program; a former officer returning to service; an enlisted member completing an officer program; an officer transferring between Military Services; an officer transferring between components within a Military Service; an individual, enlisted member, or officer appointed by warrant or commissioned as a warrant officer; or a warrant officer being appointed as a commissioned officer. In addition, there are other circumstances that require an original appointment, including:

      (1) An Army officer transferring from a basic branch to a special branch, from a special branch to a basic branch, or between special branches.

      (2) A Regular officer of the Navy, in a grade not above lieutenant commander, transferring from the line to a staff corps or from a staff corps to the line.

      (3) An enlisted member or warrant officer appointed as a limited duty officer in the Navy or the Marine Corps.

      (4) An officer whose transfer results in the loss of service credit or a change in grade.

   b. The office of primary responsibility for processing original appointment or nomination packages through the OSD is the Office of the Assistant Secretary of Defense for Readiness and Force Management, Military Personnel Policy, Officer and Enlisted Personnel Management (OEPM).

   c. Original appointments will be made in or to the grades of warrant officer, W-1, through colonel in the Army, Air Force, and Marine Corps and in or to the grades of warrant officer, W-1, through captain in the Navy, in accordance with the procedures established in Enclosure 3 of this instruction.

   d. Grade determinations for original appointments will be in accordance with DoDIs 1310.01, 1312.03, and 6000.13 (References (j), (k), and (l)).

   e. If a Secretary of a Military Department determines a board is necessary to select applicants for original appointment, the procedures generally should conform to those used by that Military Department concerned in selecting officers and warrant officers for promotion pursuant to chapter 36 and chapter 33A of Reference (c), respectively.

   f. Original appointments in the Reserve of the Army and Reserve of the Air Force for members of the Army National Guard and the Air National Guard are governed by sections
12211 and 12212 of Reference (c) and the federal recognition provisions of chapter 3 of Title 32, U.S.C. (Reference (m)).

g. Enclosure 3 of DoDI 1320.04 (Reference (n)) provides the overarching guidance for all appointment actions for grades W-1 through O-10, including original appointments.

2. TYPES OF ORIGINAL APPOINTMENTS

a. Regular Appointments. Except as otherwise provided in section 5 of this enclosure, to receive an original appointment as a Regular officer in a Military Service, an individual, enlisted member, or officer must be appointed in accordance with sections 531 or 571(b) of Reference (c) and take the oath of office prescribed by section 3331 of Title 5, U.S.C. (Reference (o)).

(1) The individual, enlisted member, or officer recommended for appointment as a Regular commissioned officer must meet the requirements, qualifications, and standards necessary for appointment as a Regular officer, in accordance with DoDI 1304.26 (Reference (p)) and DoDI 6130.03 (Reference (q)).

(2) Appointments in or to the grade of warrant officer, W-1, will be made by warrant, unless the Secretary of the Military Department concerned provides, by regulation, that appointments in or to the grade of warrant officer, W-1, be made by commission.

b. Reserve Appointments. To receive an original appointment as an officer in a Reserve Component, an individual, enlisted member, or officer must be appointed in accordance with section 12203 or 12241(b) of Reference (c) and take the oath of office prescribed by Reference (o). Officers transferred from the ADL to the RASL of the same Military Service are not required to take the oath of office.

(1) The individual, enlisted member, or officer recommended for appointment as a Reserve officer must meet the requirements, qualifications, and standards necessary for appointment as a Reserve officer, in accordance with References (p) and (q), and DoDI 1215.17 (Reference (r)).

(2) RASL officers performing operational support duty will not be placed on the ADL, regardless of the duration of the active duty, and will not be transitioned to Regular officer status while performing such duty.

(3) In accordance with section 12201 of Reference (c), a person who is otherwise qualified, but who has a physical defect that the Secretary of the Military Department concerned has determined will not interfere with the performance of the duties to which that person may be assigned, may be appointed as a Reserve officer.

(4) To become an officer of the Army National Guard of the United States or the Air National Guard of the United States, a person must first be appointed to, and be federally recognized in, the same grade in the Army National Guard or Air National Guard.
(5) In accordance with section 12204 of Reference (c), with the exception of the Adjutants General and the Assistant Adjutants General of each State, Puerto Rico, Guam, the U.S. Virgin Islands, and the District of Columbia, no person may be appointed as a Reserve officer above the grade of major or lieutenant commander unless:

(a) The individual was formerly a commissioned officer of a Military Service; or

(b) Such an appointment is recommended by a board of officers convened by the Secretary of the Military Department concerned.

3. PERSON TYPE AND “IN” OR “TO” THE GRADE

a. Person Type. An original appointment may be tendered to an individual, enlisted member, or officer.

b. “In” or “to” the Grade Combinations. Individuals, enlisted members, and officers are appointed either “in” or “to” the grade. See the table for an explanation of the acceptable combinations of appointing individuals, enlisted members, and officers in or to the grade.

<table>
<thead>
<tr>
<th></th>
<th>Individual</th>
<th>Enlisted Member</th>
<th>Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>In the Grade</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>To the Grade</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

(1) **Individual.** An individual is appointed “to the grade” because he or she is not currently serving as an officer.

(a) A civilian with no prior military experience will be referred to as an individual.

(b) A former Service member returning to service who is not a currently serving as an officer or an enlisted member will be referred to as an individual.

(c) Any cadet, midshipman, or officer candidate graduating from a Service Academy, the Reserve Officers’ Training Corps, Officer Candidate School, Officer Training School, Officer Development School, or other officer program will be referred to as an individual, except when the cadet, midshipman, or officer candidate is an enlisted member.

(2) **Enlisted Member.** An enlisted member is appointed “to the grade” because he or she is not currently serving as an officer. Any enlisted cadet or officer candidate graduating from the Reserve Officers’ Training Corps, Officer Candidate School, Officer Training School, Officer
Development School, Warrant Officer Candidate School, or any other commissioning program will be referred to as an enlisted member if he or she currently holds an enlisted grade.

(3) Officer. An officer may be appointed “in the grade” or “to the grade.”

(a) An officer is appointed “in the grade” if he or she is currently serving in the grade to which he or she is appointed (e.g., an officer transitioning to another Service component in his or her current grade).

(b) An officer is appointed “to the grade” if he or she is not currently serving in the grade to which he or she is being appointed (e.g., an officer currently in the grade of O-1 graduating from a medical accession program and receiving an original appointment as a medical officer to the grade of O-3).

(c) A commissioned officer being appointed as a warrant officer or a warrant officer being appointed as a commissioned officer is appointed “to the grade.”

(d) An officer of the Army National Guard or Air National Guard is appointed “to the grade.”

4. SPECIAL CATEGORIES. All individuals, enlisted members, and officers recommended for original appointments who are in one of these special categories should meet the requirements, qualifications, and standards for that specific special category, in addition to those detailed in References (p) and (q):

a. Inter-Service Transfers. An officer transferring between two Military Services or a commissioned officer transferring from the National Oceanic and Atmospheric Administration, the Commissioned Corps of the Public Health Service, or the United States Coast Guard to one of the Military Services will be processed as an original appointment in accordance with sections 531 or 12203 and 716 of Reference (c) and DoDIs 1300.04 or 1205.05 (References (s) and (t)), with grade and date of rank determined in accordance with Reference (j) and DoDD 6000.12E (Reference (u)), as appropriate.

b. Special Branches (Army Only). The appointment of individuals, enlisted members, and officers to a special branch in the Army will be made in accordance with sections 531 and 3064 of Reference (c). The special branches include each corps of the Army Medical Department (Dental Corps, Nurse Corps, Medical Corps, Medical Service Corps, Medical Specialist Corps, and Veterinary Corps), the Judge Advocate General’s Corps, the Chaplains, and other branches as established by the Secretary of the Army in accordance with section 3064 of Reference (c).

c. Transfers between Line and Staff Corps (Navy Only). The appointment of an officer from a staff corps to the line of the Navy or from the line of the Navy to a staff corps will be made in accordance with sections 531 and 5582 of Reference (c).

d. Limited Duty Commissioned Officers (Navy and Marine Corps Only).
(1) The temporary appointment of an enlisted member or warrant officer as a Regular
limited duty commissioned officer in the Navy or the Marine Corps will be made in accordance
with sections 531 and 5596 of Reference (c).

(2) The permanent appointment of an enlisted member or warrant officer as a Regular
limited duty commissioned officer in the Navy or the Marine Corps will be made in accordance
with sections 531 and 5589 of Reference (c).

e. Temporary Appointments. Temporary appointments will be made in accordance with the
applicable section or sections of References (c) or (m).

f. Temporary Disability Retired List. Officers who have been determined to meet physical
standards and consent to return to the ADL will be reappointed in the grade held or next higher
grade, when appropriate, in accordance with sections 531 and 1211 of Reference (c).
ENCLOSURE 5

FORMAT AND PROCEDURES

1. OVERALL GUIDANCE. The Secretary of the Military Department’s submission of a recommendation for an original appointment on the ADL or the RASL must include:

a. Forwarding Memorandum. When submitting an original appointment package, the Secretaries of the Military Departments will provide CAB with two copies (the original for OEPM and a copy for CAB) of a signed and dated memorandum recommending the individual, enlisted member, or officer for appointment according to the procedures specified in Enclosure 6 of Reference (n). The Military Department will upload the memorandum as an Adobe Portable Document Format into the Decision Support System (DSS). The memorandum will:

   (1) Be addressed to the DepSecDef for appointment packages going to the White House.

   (2) Be addressed to the SecDef for appointment packages with a SecDef appointment scroll.

   (3) Specify the:

      (a) Number of individuals, enlisted members, and officers submitted.

      (b) Name of the individual, enlisted member, or officer (in upper and lower case) when one individual, enlisted member, or officer is recommended; or the name of the first individual, enlisted member, or officer when more than one individual, enlisted member, or officer is recommended.

      (c) Current status of the individual, enlisted member, or officer, including whether the individual, enlisted member, or officer is being appointed in or to the grade.

      (d) Grade in or to which the individual, enlisted member, or officer is receiving an original appointment.

      (e) Reason for the original appointment or the commissioning or appointment program.

      (f) Projected date of appointment.

   (4) Include a statement that the individual, enlisted member, or officer will be certified as qualified for the appointment prior to the appointment being tendered.

   (5) If applicable, include comments concerning adverse or reportable information in accordance with the procedures detailed in Enclosure 6 of Reference (n).
(6) If applicable, contain any other important information about the original appointment including, but not limited to:

(a) Explanation that a scroll will be used in place of a scroll previously signed.

(b) Explanation of why an officer is being appointed to a grade lower than the grade in which the officer is currently serving.

(c) Justification for double scrolling.

(d) Information that could help OEPM better process a scroll.

b. Scroll. Scroll formats are located at http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx, or can be downloaded from the DSS.

(1) Presidential Scrolls. The Military Department will submit the original scroll for CAB and two copies of the scroll (one for CAB and one for OEPM), in accordance with Enclosure 9 of Reference (n). The Military Department also will upload a Microsoft Word document of the scroll into DSS.

(2) SecDef Scrolls. The Military Department will submit the original scroll for OEPM and one copy of the scroll for CAB, in accordance with Enclosure 9 of Reference (n) and upload a Microsoft Word document of the scroll into DSS.

c. Senate Text File. The Military Department will provide a Senate text file for scrolls that have three or more individuals, enlisted members, or officers, and upload the electronic file into the DSS, in accordance with Enclosure 10 of Reference (n). Text file formats are located at http://prhome.defense.gov/RFM/MPP/OEPM/functions.aspx, or can be downloaded from DSS.

2. CHANGES TO A SCROLL. The Military Department will immediately inform OEPM of any required changes to a scroll that has been submitted.

a. Presidential Scrolls

(1) If after an original appointment scroll reaches the Senate, but before confirmation, a Military Department determines that it is appropriate to delay the confirmation of an officer based on potential adverse information, reportable information, or for other reasons, the Military Department will immediately notify OEPM. The Military Department will follow the procedures outlined in paragraph 2b(1) of Enclosure 6 of Reference (n).

(2) If after an original appointment scroll reaches the White House, but before it has reached the Senate, a Military Department determines that it is appropriate to delay the confirmation of an officer based on potential adverse information, reportable information, or for other reasons, the Military Department will immediately notify OEPM. The Military
Department will follow the procedures outlined in paragraph 2b(2) of Enclosure 6 of Reference (n).

b. SecDef Scrolls

(1) If a Military Department decides to delay the processing of an original appointment of an officer whose package is processing within OSD based on potential adverse information, reportable information, or for other reasons, the Military Department will immediately notify OEPM. The Military Department will follow the procedures outlined in paragraph 2b(3) of Enclosure 6 of Reference (n).

(2) If the SecDef has signed a scroll that the Military Department concerned determines was incorrect, the Military Department concerned will immediately notify OEPM. The Military Department concerned will submit a new appointment package with language in the memorandum requesting that the new scroll replace the incorrect scroll.

3. SIGNED SCROLLS. Pending return of the original signed scroll, the Military Departments may use the e-mail notification forwarded by OEPM as the authority to process and tender appointments.
GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADL</td>
<td>active-duty list</td>
</tr>
<tr>
<td>CAB</td>
<td>Correspondence and Analysis Branch</td>
</tr>
<tr>
<td>DepSecDef</td>
<td>Deputy Secretary of Defense</td>
</tr>
<tr>
<td>DoDD</td>
<td>DoD Directive</td>
</tr>
<tr>
<td>DoDI</td>
<td>DoD Instruction</td>
</tr>
<tr>
<td>DSS</td>
<td>Decision Support System</td>
</tr>
<tr>
<td>OEPM</td>
<td>Officer and Enlisted Personnel Management</td>
</tr>
<tr>
<td>RASL</td>
<td>Reserve active-status list</td>
</tr>
<tr>
<td>SecDef</td>
<td>Secretary of Defense</td>
</tr>
<tr>
<td>USD(P&amp;R)</td>
<td>Under Secretary of Defense for Personnel and Readiness</td>
</tr>
</tbody>
</table>

PART II. DEFINITIONS

These terms and their definitions are for the purposes of this instruction.

active-duty list. A single list maintained by each DoD Military Service that contains the names of all officers of that Military Service, other than officers described in section 641 of Reference (c), who are serving on active duty.

basic branch. For the Army, any branch that falls within the Army Competitive Category and is not designated or established as a special branch.

competitive category. A separate promotion category established by the Secretary of a Military Department, pursuant to sections 621, 574(b), and 14005 of Reference (c), for specific groups of officers whose specialized education, training, or experience, and often relatively narrow career field utilization, make separate career management desirable.

DoD Military Service. Refers to the Army, the Navy, the Air Force, or the Marine Corps.
double scrolling. Concurrently submitting a Regular appointment and a Reserve appointment for the same individual, enlisted member, or officer.

enlisted member. A member of a Military Service serving in an enlisted grade of E-1 through E-9.

individual. Applies to someone who is not currently serving as an enlisted member or officer in the uniformed services.

officer. An officer, W-1 through O-10, in any of the Military Services in the DoD who holds a grade as an officer by warrant or commission, and who is appointed as a Regular or Reserve officer.

original appointment or nomination package. The documents the Military Service delivers to CAB in accordance with the procedures described in Enclosure 5 of this instruction.

Regular appointment. An appointment with a Regular commission on the active-duty list.

Reserve active-status list. Officers who are in an active status in a Reserve Component of a Military Service and are not on an active-duty list.

Reserve appointment. An appointment with a Reserve commission on the Reserve active-status list.

scroll. A document used by the White House and the DoD Components that lists the names of individuals, enlisted members, and officers for appointment or nomination.

Senate text file. Electronic files of executive nominations (containing three or more names) in American Standard Code for Information Interchange (.txt) format.

Service Academy. Refers to the United States Military Academy, United States Naval Academy, United States Air Force Academy, United States Coast Guard Academy, or the United States Merchant Marine Academy.

Service member. An enlisted member, warrant officer, or commissioned officer of a Military Service.

tender. To formally offer the appointment to the individual, enlisted member, or officer in or to the grade indicated on the scroll.

uniformed services. The Army, the Navy, the Air Force, the Marine Corps, the Coast Guard, and the Commissioned Corps of the Public Health Service and the National Oceanic and Atmospheric Administration.