

**BY ORDER OF THE  
SECRETARY OF THE AIR FORCE**

**AIR FORCE INSTRUCTION 36-2907**

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**Personnel**

**UNFAVORABLE INFORMATION FILE  
(UIF) PROGRAM**

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This instruction implements Air Force Policy Directive (AFPD) 36-29, *Military Standards*. This Air Force Instruction (AFI) establishes how to manage documents for the Unfavorable Information File (UIF) program. This publication applies to all Air Force Personnel including the Regular Air Force (RegAF), the Air Force Reserve (AFR) and the Air National Guard (ANG) on Title 10 status. ANG personnel on Title 32 status must utilize the following guidance unless otherwise directed by state law. In collaboration with the Chief of Air Force Reserve (AF/RE) and the Director of the Air National Guard (NGB/CF), the Deputy Chief of Staff, Manpower, Personnel and Services (AF/A1) develops personnel policy for the Unfavorable Information File Program. This Air Force Instruction (AFI) may be supplemented at any level; all MAJCOM level supplements must be approved by the Human Resources Management Strategic Board prior to certification and approval. Refer recommended changes and questions about this publication to the OPR using Air Force (AF) Form 847, *Recommendation for Change of Publication*; route AF Form 847's to the AFPC Publishing Office, 550 C Street West Suite 48, Randolph AFB Texas 78150-4750, or email [afpc.publications@us.af.mil](mailto:afpc.publications@us.af.mil). The authorities to waive wing/unit level requirements in this publication are identified with a Tier ("T-0, T-1, T-2, T-3") number following the compliance statement. See AFI 33-360, *Publications and Forms Management*, Table 1.1. for a description of authorities associated with tier numbers. Submit requests for waivers to the Publication OPR for non-tiered compliance items. Ensure all records created as a result of processes prescribed in this publication are maintained in accordance with (IAW) Air Force Manual (AFMAN) 33-363, *Management of Records*, and disposed of IAW the Air Force Records Information Management System Records Disposition Schedule.

This publication requires the collection and maintenance of information protected by the Privacy Act of 1974 authorized by System of Records Notice (SORN), F036 AF PC L, *Unfavorable Information Files (UIF)*. Vigilance must be taken to protect Personally Identifying Information (PII) when submitting or sending nominations, applications or other documents to Department of Defense agencies through government Internet, software applications, systems, e-mail, postal, faxing or scanning. Refer to the following policies for additional guidance: AFI 33-332, *The Air Force Privacy and Civil Liberties Program*, AFMAN 33-152, *User Responsibilities and Guidance for Information Systems*, AFI 33-119, *Web Management and Internet Use*.

**SUMMARY OF CHANGES**

This publication should be reviewed in its entirety as substantial changes have been made. This revision added clarification to responsibilities, controlling UIFs, initiating UIF actions, establishing an UIF whether paper or electronic, updating UIF documents, reviewing and documenting UIFs, deletes duplicate paragraphs, and changes office symbols and addresses. Guidance for AFR and ANG personnel has been incorporated in this revision. Tier waiver authorities as approved by the Inspector General Advisory Board have been included per AFI 33-360. Refer to AFI 33-360 for tier waiver authority definitions and procedures

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## Chapter 1

### OVERVIEW

**1.1. What is a UIF?** The UIF is an official record of unfavorable information about an individual. It documents administrative, judicial, or non-judicial censures concerning the member's performance, responsibility and behavior.

1.1.1. The UIF consists of mandatory documents, optional documents (at the commander's discretion), AF Form 1058, *Unfavorable Information File Actions* and AF Form 1137, *Unfavorable Information File Summary*.

1.1.2. The Force Support Squadron (FSS) superintendent/director will appoint an individual to act as the base UIF monitor. The base UIF monitor will complete Personnel Data System (PDS) updates as well as provide required PDS products.

### 1.2. Roles and Responsibilities

#### 1.2.1. Headquarters, Air Force Services Will.

1.2.1.1. Be the oversight for all policy changes for the UIF program and will collaborate with the ANG and AFR on all policy changes.

#### 1.2.2. The Air Force Personnel Center (AFPC) for RegAF and Air Reserve Personnel Center (ARPC) for ARC Will.

1.2.2.1. Data Management: Produce batch Promotion Eligibility Status (PES)/RE/ACC code updates against UIF/Control Roster (CR), Code 2 updates. Batch process automatically updates Grade Status Reason (3M), PES (G), effective date (if change in status), and expiration date (date CR expires).

1.2.2.2. Promotions, Reenlistments, and Assignment offices: monitor UIF/CR, Code 2 updates and correct in the Military Personnel Data System (MilPDS), as necessary.

#### 1.2.3. The Military Personnel Section (MPS) Will.

1.2.3.1. Update Article 15-related actions (i.e., PES, RE, ACC) and other quality force updates (i.e., referral Enlisted Performance Report (EPR)/Officer Performance Report (OPR)). **(T-1)**.

1.2.3.2. Review source documents prior to updating UIF and CR codes, maintain paper or electronic UIF case files and document entries. **(T-1)**.

1.2.3.3. Update UIF Codes 1, 2, and 3 in MilPDS; input of the correct code in MilPDS is critical to maintaining system integrity. **(T-1)**.

1.2.3.4. Receive Transaction Registrar notification and/or MAP6-ENHANCEMENTS-QUALITY-CHECK roster and update MilPDS when UIF status codes change. **(T-1)**.

1.2.3.5. Create and monitor internal suspense to update UIF/CR disposition/expiration dates. **(T-1)**.

1.2.3.6. Conduct semi-annual audit to purge expired Article 15 Action(s) (par. see 2.1.8.2 and par. 2.5.2) **(T-1)**.

1.2.3.7. Destroy files upon expiration. (T-3).

1.2.3.8. Monitor all transaction register remarks associated with adverse actions and take appropriate action i.e., request assignment/promotion/reenlistment cancellation. (T-1).

1.2.3.9. Utilize Self-Inspection Checklist ([Attachment 2](#)) to manage program. (T-1).

1.2.3.10. Request an appointment letter from UIF monitors within 30 days of appointment. (T-2).

1.2.3.11. For monitors of UIFs for AFR and ANG personnel, see **Table 2.1**. (T-2).

#### **1.2.4. HQ Individual Reserve Readiness & Integration Organization (RIO) (Individual Mobilization Augementee (IMA)'s and Participating IRR members Only) Will.**

1.2.4.1. Update PES/RE required codes in MilPDS based on UIF/CR, Code 2 updates. (T-1).

1.2.4.2. Promotions, Reenlistments and Assignments offices monitor UIF/CR, Code 2 updates and correct in MilPDS, as necessary. (T-1).

#### **1.2.5. The Unit Commander Will.**

1.2.5.1. Confer with base legal office or Staff Judge Advocate on appropriate actions. (T-2).

1.2.5.2. Complete AF Form 1058 and notify Airman of appropriate action. (T-2).

1.2.5.3. Review rebuttal response from the Airman and make final decision. (T-3).

1.2.5.4. Conduct annual review of UIF folders. (T-2).

#### **1.2.6. The UIF monitor (base and unit) Will.**

1.2.6.1. Audit existing UIFs at least twice a year by comparing the PDS to UIFs on file. (T-2).

1.2.6.2. Maintain the UIFs and validate corresponding PDS entries. (T-2).

1.2.6.3. Sign the audit list or self-inspection checklist ([Attachment 2](#)) and files it in the general correspondence file. (T-1).

1.2.6.4. Unit commanders or first sergeants review the FSS audit and commander's self-inspection checklist. (T-2).

1.2.6.5. For establishing UIFs:

1.2.6.5.1. Mark the UIF folder with the individual's name and FOR OFFICIAL USE ONLY. (T-1).

1.2.6.5.2. If the member is performing or selected for assignment to Personnel Reliability Program (PRP) duties or is a student attending a PRP-related course as defined by AFMAN 10-3902, *Nuclear Weapons Personnel Reliability Program*, mark the folder in the upper right hand corner reflecting the member's assignment to PRP. The PRP marking should be visible when the folder is closed and filed. (*Example*: a piece of colored tape placed on the edge of the file.). (T-1).

1.2.6.5.3. Prepare an AF Form 1137 for each UIF summarizing the incident, the disposition date, the commander's evaluation of the incident, and what administrative action was taken. Be specific. Have the first sergeant (if enlisted), and UIF monitor sign each entry on the AF Form 1137. **(T-2)**.

1.2.6.5.4. Remove the AF Form 1137 entry when a portion of the supporting documents are removed, as appropriate; the original AF Form 1137 remains in the UIF. **(T-3)**.

1.2.6.5.5. Coordinate and distribute AF Form 1137 as appropriate. When distributing an Air Force Form 1137 for an IMA or Participating IRR member, forward one copy to the MAJCOM/ IMA Program Manager. For ANG members, distribution will be to the Military Personnel Management Office at the appropriate State HQ (see **Table 2.3**). **(T-2)**.

1.2.6.5.6. Except as indicated in **paragraph 2.12**, update the Military Personnel Data System (MilPDS) in accordance with **Table 2.2**, when a commander establishes a UIF or adds/removes documents from a member's UIF. **(T-1)**.

1.2.6.6. The base UIF monitor will conduct unit UIF training. **(T-2)**.

1.2.6.6.1. Annually.

1.2.6.6.2. Within 60 days of notification of appointment of a new unit UIF monitor.

1.2.6.6.3. Upon request from a unit commander or when it appears training is needed.

#### 1.2.7. **Airman Will.**

1.2.7.1. Have a right to consult with servicing Area Defense Counsel. **(T-3)**.

1.2.7.2. Submit rebuttal documents to commander within three duty days for RegAF, Active Guard Reserve (AGR), Active Guard (Stat Tour) and Title 32 AGR members and 45 days for Traditional AFR and ANG members, if desired. **(T-3)**.

## Chapter 2

### UNFAVORABLE INFORMATION FILE

#### 2.1. UIF authorities to establish, destroy or remove for officers.

2.1.1. Commanders at all levels for members assigned or attached to their units. Commanders must be on G-series orders and senior to the member.

2.1.2. The commander, vice commander, staff director and directors at Major Commands(MAJCOM) or designee, Field Operating Agencies (FOA), and Direct Reporting Units (DRU).

2.1.3. Chief of staff, deputy chiefs of staff, assistant chiefs of staff, other heads of staff agencies, and directors assigned to Headquarters, United States Air Force, Air Force Reserve and Air National Guard Directors.

2.1.4. Comparable officers within the Office of the Secretary of the Air Force, Office of the

2.1.5. The Senior Air Force officer assigned to a joint command.

2.1.6. The Readiness Management Group Program Manager for Civil Air Patrol Reserve Assistance Program and the Admissions Liaison Officer Program.

2.1.7. When a commander in a joint command, assigned to a different service, imposes non-judicial punishment on an Air Force member, the Air Force must decide whether to establish an UIF. (See AFI 51-202, *Non-judicial Punishment*).

2.1.7.1. If the senior Air Force officer or commander of the member's element is not available or is junior to the commander who imposed the punishment, the General Court-Martial Convening Authority (GCMCA) of the Air Force command decides whether to establish an UIF.

2.1.7.2. If the Air Force host command does not have a GCMCA who is senior to the commander who imposed punishment, a senior general court-martial authority of the Air Force decides.

2.1.8. Officer UIFs may be removed early if the following document(s) used to establish the UIF are removed:

2.1.8.1. Court-Martial Order. The removing authority is the wing commander (or equivalent) or convening authority, whichever is higher and the punishment must be completed prior to early removal.

2.1.8.2. Article 15. The removing authority is the wing commander (or equivalent) or imposing commander, whichever is higher, and the punishment must be completed prior to early removal.

2.1.8.3. Letter of Reprimand (LOR), Letter of Counseling (LOC), Letter of Admonition (LOA), or Control Roster placement. The removal authority is the wing commander (or equivalent) or their designee or issuing authority, whichever is higher.

## 2.2. UIF authorities to establish, destroy or remove for enlisted members.

2.2.1. Commanders on G-series orders at all levels for members assigned or attached to their units have authority to establish, remove, or destroy UIFs on enlisted members. *Exception:* Remove court-martial documents early only upon receipt of an AF Form 1058, or memorandum, signed by the wing commander (or equivalent) or the convening authority whichever is higher.

2.2.2. The commander, vice commander, staff director and directors at MAJCOM, FOA, DRU, and The Adjutant General (TAG) at the applicable State HQ for Title 32 members.

2.2.3. Chief of Staff, deputy chiefs of staff, assistant chiefs of staff, other heads of staff agencies, and directors assigned to Headquarters, US Air Force.

2.2.4. Comparable officers within the Office of the Secretary of the Air Force, Office of the Joint Chiefs of Staff, and Office of the Secretary of Defense.

2.2.5. The Senior Air Force officer assigned to a joint command.

2.2.6. The Readiness Management Group Program Manager for Civil Air Patrol Reserve Assistance Program and the Admissions Liaison Officer Program.

2.2.7. When a commander in a joint command, assigned to a different service, imposes non-judicial punishment on an Air Force member, the Air Force must decide whether to establish an UIF. (See AFI 51-202).

2.2.7.1. If the senior Air Force officer or commander of the member's element is not available or is junior to the commander who imposed the punishment, the GCMCA of the Air Force command decides whether to establish a UIF.

2.2.7.2. If the Air Force host command does not have a GCMCA who is senior to the commander who imposed punishment, a senior general court-martial authority of the Air Force decides.

## 2.3. Initiating UIF actions.

2.3.1. For officers, commanders on G-series orders refer optional documents (LOAs or LOCs) to the offending member along with an AF Form 1058 before establishing a UIF. Mandatory UIF documents (Article 15s, court-martial or civilian court convictions) are not referred via AF Form 1058. LORs are mandatory for file in an officer's UIF, and must be entered into the UIF via AF Form 1058, but the commander does not need to submit the AF Form 1058 to the officer. The officer is provided an opportunity to respond to the LOR when it is initially presented (see [paragraph 2.3.4](#))

2.3.2. For enlisted members, commanders on G-series orders refer optional documents LOAs, LOCs, or LORs to the offending member along with an AF Form 1058 before establishing an UIF. Do not use AF Form 1058 if you file an optional Article 15 in the UIF. *Note:* Mandatory UIF documents (Article 15s with punishment exceeding 1 month {31 days or more}, court-martial or civilian court convictions) are not referred via AF Form 1058.

2.3.3. For Non-extended active duty Airmen (non-EAD), Reservists and ANG Drill Status Guardsmen (DSG) members (enlisted and officer), commanders may refer documents they intend to file in the UIF to the member in person or by certified letter.



2.3.4. The RegAF and AFR individuals on Title 10 status (enlisted and officer) will be allocated 3 duty days (current date plus 3 duty days) to acknowledge the intended actions and provide pertinent information before the commander makes the final decision on placing optional documents in the UIF. For Non-EAD Reservists and ANG DSG members who depart the duty area prior to the 3 duty days allowed for acknowledging intended actions, the individual has 45 calendar days from the date of receipt of the certified letter to acknowledge the notification, intended actions, and provide pertinent information before the commander makes the final decision. In calculating the time to respond, the date of receipt is not counted, and if the individual mails their acknowledgment, the date of the postmark on the envelope will serve as the date of acknowledgment. The individual is presumed to be in receipt of official correspondence if it is delivered by certified mail to the individual's address or best available address.

2.3.4.1. File any statement or document provided by the individual in the UIF.

2.3.4.1.1. Article 15 supporting documentation such as evidence or other written materials, to include the member's response to the Article 15 action, considered as a basis for imposing punishment, vacating a suspended punishment, submitted by the offender in mitigation, extenuation, defense or an appeal is not part of the record. File these materials at the office of the servicing Staff Judge Advocate (SJA) of the commander who initiated the Article 15 as attachments to that office's copy of the action.

2.3.4.2. The commander advises the individual of their final decision. For non-EAD airmen this may be accomplished in person or by certified mail.

2.3.4.3. The commander forwards copies of adverse administrative actions, LORs, AF Form 1137s, and AF Form 1058:

2.3.4.3.1. For Regular Air Force (RegAF) duty general officers and general officer selects to the Air Force General Office Management at AF/DPG, 1040 Air Force Pentagon, Room 4D1066, Washington, DC 20330-1140 and for colonels and colonel selects to the Air Force Colonels Management at AF/DPO, 1040 Air Force Pentagon, Room 4D1065, Washington, DC 20330-1140.

2.3.4.3.2. For RegAF Chief Master Sergeants and Chief Master Sergeant selects to AF/DPE, 1040 Air Force Pentagon, Room 4D1063A, Washington, DC 20330-1140.

2.3.4.3.3. For AFR IMA colonels and colonel selects to AF/REG, 1150 Air Force Pentagon, Washington, DC 20330-1150.

2.3.4.3.4. For unit AFR colonels and colonel selects to AFRC/A1L, 155 Richard Ray Blvd, Robins AFB, GA 31098-1635.

2.3.4.3.5. For AFR AGR colonels and colonel selects to AFRC/A1A, 155 Richard Ray Blvd, Robins AFB, GA 31098-1635.

2.3.4.3.6. For AFR general officers and general officer selects to HQ USAF/REG, 1150 Air Force Pentagon, Washington, DC 20330-1150.

2.3.4.3.7. For ANG general officers and general officer selects to NGB/GOMO, 111 South George Mason Drive, Arlington, VA 22204-1373..

2.3.4.3.8. For ANG Statutory Tour members, send to NGB/HR, 3501 Fetchet Avenue, Joint Base Andrews, MD 20762.

2.3.4.3.9. For ANG members route to the applicable Commander Support Staff (CSS) or servicing FSS.

2.3.4.4. For officers in the grade of colonel and above (RegAF, AFR, and ANG): A commander's decision to place adverse information in an UIF or the Officer Selection Record (OSR) is unrelated to the Secretary of the Air Force's decision to place this information in the Senior Officer Unfavorable Information File (SOUIF). Therefore, commanders will forward copies of all adverse information to SAF/IG, 1140 Air Force Pentagon, Washington D.C. 20330, in accordance with (IAW) AFI 90-301, *Inspector General Complaints*. The SOUIF process is described in AFI 90-301 and AFI 36-2501, *Officer Promotions and Selective Continuation*.

2.3.4.5. For officers in the grade of Lieutenant Colonel and below: send a copy of the initial and updated AF Form 1137 to the officer's servicing and gaining MAJCOM. Consult with the serving SJA to determine if the information should be forwarded to SAF/IGQ IAW AFI 90-301.

2.3.4.6. For all IMAs and PIRR members send a copy of the initial and any updated AF Form 1058s to the MAJCOM/ IMA Program Manager and RIO/DP.

2.3.4.7. For AFRs in PAS S7XXXXXX (inactive AFR status) send a copy of the initial and any updated AF Form 1058s to ARPC/DPAMR.

#### **2.4. Establishing a UIF:**

2.4.1. The UIF monitor will receive documents from the unit commander, base SJA, social actions officer or substance abuse clinic. Some documents require mandatory establishment of an UIF while others are at the commander's discretion. Refer to [Table 2.2](#) to determine whether the documents listed below are mandatory or optional for file in the UIF. If not already established, create an UIF folder and AF Form 1137.

2.4.1.1. AF Form 1058.

2.4.1.2. AF Form 3070, *Record of Nonjudicial Punishment Proceedings*.

2.4.1.3. Court-martial order.

2.4.1.4. Serious or repeated occurrences of unlawful discrimination to include sexual harassment.

2.4.1.5. Record of a civilian conviction.

2.4.2. The commander ensures the UIF contains only substantiated unfavorable information about events that occurred. ARPC/Commander will be the establishing authority for Reservists in PAS S7XXXXXX (inactive Reserve status).

2.4.3. Commanders decide what to do with optional UIF documents. After initially deciding not to establish a UIF, commanders may elect to establish a UIF or include an earlier administrative action in a previously established UIF if the date of the action or document is within 6 months from the date of the action. This does not apply to individuals who have reenlisted since the date of the document.

2.4.4. See [Table 2.2](#) for a list of documents that the UIF monitor must file.

## 2.5. Removal of UIFs or their Documents.

2.5.1. Commanders maintain the UIF and all of its documents/contents until the final disposition date ([Table 2.2](#)) unless early removal of the document or UIF is clearly warranted. Commanders initiate removal action via AF Form 1058 or memorandum, and the individual should acknowledge the action. **(T-2)**.

2.5.2. UIF monitors:

2.5.2.1. Remove UIFs (enlisted or officer) when you receive a record of action from the SJA showing that punishment under Article 15 was set aside or that a civilian conviction was overturned. **(T-2)**.

2.5.2.2. Remove UIFs (enlisted or officer) when the commander, after consulting with the servicing SJA and reviewing the member's rebuttal, determines the member did not commit the offense listed in the LOR, LOA or LOC. **(T-2)**.

2.5.2.3. Remove UIFs (officer only) upon receipt of an AF Form 1058, or memorandum signed by the officer's wing commander (or equivalent), imposing or issuing authority, whichever is higher. Courts-martial and Article 15 documents may be removed early only once the punishment is completed (see [paragraph 2.5.5](#)). **(T-2)**.

2.5.2.4. Remove UIF court-martial documents (enlisted only) upon receipt of AF Form 1058, or memorandum signed by the wing commander (or equivalent) or the convening authority, whichever is higher. Courts-martial documents may be removed early only once the punishment is completed (see [paragraph 2.5.5](#)). **(T-2)**.

2.5.2.5. All other UIF entries may be removed early regardless of how long the UIF was on file in the system by the wing commander (or equivalent) or issuing authority, whichever is higher for officers and by the unit commander or higher for enlisted members (See [paragraph 2.5.5](#)).

2.5.2.6. The wing commander (or equivalent), imposing or issuing authority, whichever is higher, may direct removal of derogatory data from the OSR at any time; or the officer may appeal to have the derogatory data removed after one In the Promotion Zone or Above the Promotion Zone consideration. (See AFI 36-2608, *Military Personnel Records System*). Removing an officer's UIF early does not remove the derogatory data (if filed) from the OSR. **(T-3)**.

2.5.2.6.1. The MAJCOM/FOA Records Custodian removes the documents from the Officer Command Selection Record Group upon receipt of their copy of the approved early removal decision memorandum and destroys all related documents. **(T-2)**.

2.5.3. To remove the UIF or UIF documents prior to the final disposition date:

2.5.3.1. Destroy the UIF or UIF document and update the PDS (MilPDS access is required to remove an officer's UIF from PDS).

2.5.3.2. Sanitize the AF Form 1137 by erasing/whiting out comments about the removed document.

2.5.3.3. Coordinate the updated AF Form 1137 IAW [Table 2.3](#) when other documents remain in the UIF.

2.5.3.4. File AF Form 1058 in general correspondence file if no further documents exist in UIF.

2.5.3.5. For IMAs, forward copy of AF Form 1137 to the MAJCOM/IMA Program Manager.

2.5.4. Send a copy of the AF Form 1058 to:

2.5.4.1. For RegAF general officers and general officer selects to the Air Force General Office Management at AF/DPG and for colonels and colonel selects to the Air Force Colonels Management at AF/DPO.

2.5.4.2. For RegAF Chief Master Sergeants and Chief Master Sergeant selects to AF/DPE.

2.5.4.3. For AFR colonels and colonel selects to AF/REG.

2.5.4.4. For ANG unit member AGRs, the servicing FSS is the POC.

2.5.4.5. For AFR general officers and colonels assigned to general officer billets to AF/REG.

2.5.4.6. For all IMAs (officer and enlisted) forward one copy of the AF Form 1058 to the MAJCOM/ IMA Program Manager and RIO/DP.

2.5.4.7. For ANG general officers and general officer selects to NGB/GOMO.

2.5.4.8. For ANG Statutory Tour colonels, colonel selects and Chief Master Sergeants and Chief Master Sergeant selects to NGB/HR.

2.5.5. Commanders are prohibited from removing any documents or adjusting disposition dates for Article 15, or court-martial punishment, sentence, judgment, or action that is not complete. (For example: If an Article 15 punishment calls for 45 days extra duty the Article 15 cannot be removed from an individual's UIF until the 45 days extra duty is performed.)

2.5.6. For IMAs, provide a copy of an adjusted AF Form 1137 to the MAJCOM/ IMA Program Manager and RIO/DP.

2.5.7. For Reservists in PAS S7XXXXXX (inactive AFR status) send a copy of the AF Form 1058 and adjusted AF Form 1137 to ARPC/DPAMR.

2.5.8. For ANG Drill Status Guardsman (DSG) send a copy to the member's servicing FSS.

**2.6. Transferring and Disposing of UIFs.** The UIF monitor marks the front and back of the envelope containing UIF information FOR OFFICIAL USE ONLY when releasing UIF information through the mail. Do not use Standard Forms 65B or 65C, US Government Messenger Envelopes. **(T-1)**.

2.6.1. See [Table 2.3](#) for when and how to dispose of UIFs. Unexpired UIFs are transferred between the RegAF, ANG, and AFR components on all personnel (officer and enlisted) separating or transferring between the RegAF, AFR or ANG member. This includes the transfer of unexpired UIFs within the AFR components for officer and enlisted members.

2.6.2. For TDY en route PCS. The TDY commander sends a completed copy of AF Forms 1058 and 1137 and the individual's PCS special orders to the gaining MPS after each UIF entry. If the individual's eligibility or suitability for the pending assignment is in doubt, the gaining commander contacts the MPS for guidance. **(T-2)**. If the individual is TDY and will return to their permanent unit, the TDY commander sends the completed package to the individual's unit commander. **(T-2)**.

2.6.3. If the individual is absent without leave (AWOL) or in deserter status before or on the UIF expiration date, the unit commander notifies the UIF monitor in writing of the individual's status. The notification letter serves as a source document for the PDS update. The UIF monitor retains the UIF and updates the UIF disposition date to "8 Aug 3888" (indefinite). Do not annotate the AF Form 1137 (see **Table 2.3**). **(T-1)**. If the individual returns from AWOL or deserter status, the unit commander advises the UIF monitor to destroy the UIF or establishes a new UIF disposition date. This date is no more than 3 months from the date the commander signs the UIF notice advising the UIF monitor of the member's change in status. If a document is added to the UIF before the end of the 3 months, the UIF disposition date is extended. If a document is not added, the UIF is destroyed at the end of the 3 months (see **Table 2.3**). **(T-1)**.

2.6.4. The UIF monitor maintains the UIF for members in dropped-from-rolls status. When the UIF expires, the monitor annotates the AF Form 1137 to show the date the member entered dropped-from-rolls status, has it signed by the commander, and forwards it to the MPS, Personnel Employment Element. If returned to duty at a later date the unit commander advises the UIF monitor to destroy the UIF or establishes a new UIF disposition date. This date is no more than 3 months from the date the commander signs the UIF notice advising the UIF monitor of the member's change in status. If a document is added to the UIF before the end of the 3 months, the UIF disposition date is extended. If a document is not added, the UIF is destroyed at the end of the 3 months (see **Table 2.3**). **(T-1)**.

## **2.7. Updating UIF Documents (see Adverse Actions PDS Guide).**

2.7.1. The UIF Monitor. Once documents are received from the commander or appropriate staff agencies, the UIF monitor updates UIF actions in PDS in a timely manner.

2.7.2. The Military Personnel Section:

2.7.2.1. Forwards executed grade reductions (demotion order or AF Form 3070) to the Customer Support Element.

2.7.2.2. Monitors UIF actions for possible adjustment to an enlisted member's promotion and reenlistment eligibility.

2.7.2.3. Monitors UIF actions for officers who are eligible or selected for promotion.

2.7.2.4. Ensures the decision letter to file or not to file the Article 15 in the Noncommissioned Officer Selection Record or OSR is properly made (see AFI 36-2608). Not applicable to ANG.

2.7.2.5. Projects and suspenses commander-directed OPR or EPR resulting from control roster action.

2.7.2.6. Ensures PDS database integrity.

2.7.3. The Customer Support Element or Commander's Support Staff (CSS) (for ANG) files a copy of all executed grade reductions (demotion order) received from the Career Development Element as the source document of the new grade and date of rank.

2.7.3.1. Updates and maintains assignment availability codes.

2.7.3.2. Ensure members remain qualified to possess the current Air Force Specialty Code (AFSC).

2.7.3.3. Ensures members pending or with approved formal training, retraining, or reclassification, remain qualified.

2.7.3.4. When the commander initiates or updates a UIF on an IMA or Participating IRR member, the UIF monitor will forward on copy of all of the information to the MAJCOM/ IMA Program Manager.

## 2.8. Accessing UIFs:

2.8.1. The UIF monitor ensures the only personnel with access to UIFs are:

2.8.1.1. The member who has the UIF.

2.8.1.2. Individuals listed in **paragraphs 2.1 and 2.2** reviewing UIFs on personnel assigned or attached to their command.

2.8.1.3. First Sergeants reviewing UIFs on enlisted members assigned or attached to their units.

2.8.1.4. OPR and EPR rating officials, when preparing to write or endorse an OPR, EPR, Promotion Recommendation Form (PRF) or recommending an enlisted member for reenlistment.

2.8.1.5. The senior Air Force officer or commander of an Air Force element in a joint command reviewing UIFs on individuals in the element.

2.8.1.6. The Air Force element section commander in a joint command reviewing UIFs on enlisted personnel. The section commander must have written approval from the senior Air Force officer or commander of the element to review UIFs on the element's officers.

2.8.1.7. MPS personnel, inspector general, inspection team members, judge advocates, paralegals, Office of Special Investigations personnel, security forces, other investigators, military equal opportunity personnel, and substance abuse counselors authorized by the commander of the member with the UIF, reviewing UIFs in the course of their official Air Force duties.

2.8.1.8. Program managers for AFR IMAs, the IMA Program Manager or Base Individual Mobilization Augmentee Administration. For ANG Statutory Tour: NGB/HR and the appropriate servicing FSS for ANG Field members.

2.8.2. **(REGAF only)** AF/DPG will resolve questions regarding access to UIFs on general officers and general officer selects.

2.8.3. NGB/GOMO will resolve questions regarding access to UIFs on ANG general officers and general officer selects.

2.8.4. AF/REG will resolve questions regarding access to UIFs on AFR general officers, colonels in general officer billets and colonels.

## 2.9. Reviewing and Inspecting UIFs:

2.9.1. Unit commanders, senior Air Force officers or commanders of an Air Force element in a joint command:

2.9.1.1. As a minimum, review all unit UIFs within 90 days of their permanent assumption or appointment to command. Unit commanders and SJA must review UIFs annually. UIF monitors provide the commander and SJA an automated listing of all UIFs. The commanders will compare the listing to the actual documents in the UIF folder to ensure database integrity. Document the review via a memorandum signed by the unit commander and SJA. Geographically Separated Unit (GSU) commanders use a computer listing of UIFs to acknowledge existence of UIFs. After the review is complete, the GSU commander signs the list and files it in the general correspondence file. **(T-3)**.

2.9.1.2. Review UIFs when individuals are considered for:

2.9.1.2.1. Promotion. **(T-3)**.

2.9.1.2.2. Selective continuation. **(T-3)**.

2.9.1.2.3. RegAF. **(T-3)**.

2.9.1.2.4. A specified period of time contract. **(T-3)**.

2.9.1.2.5. Reenlistment or selective reenlistment consideration. **(T-3)**.

2.9.1.2.6. Permanent Change of Station (PCS) or Permanent Change of Assignment (PCA). **(T-3)**.

2.9.1.2.7. PRP duties. **(T-1)**.

2.9.1.2.8. Voluntary or mandatory reclassification or retraining. **(T-3)**.

2.9.1.2.9. Evaluations (review prior to completion of performance reports). **Note:** When an officer is convicted by a court-martial, comments are mandatory on the next OPR (the OPR must be referred) and the next PRF for below and in-the-promotion-zone consideration. Comments on OPRs and EPRs relating to Article 15 punishment and control roster actions are strongly recommended for officers and senior NCOs, and must be considered in all cases in accordance with AFI 36-2406, *Officer and Enlisted Evaluation Systems*, for additional guidance. **(T-3)**.

2.9.1.2.10. AFR or ANG: Applications for in-residence developmental education or short courses. All AFR assignment applications. **(T-3)**.

2.9.1.2.11. AFR or ANG: A statutory tour or AGR assignment or when a reservist/guardsman is considered for an active duty tour over 30 days. **(T-3)**.

2.9.1.2.12. Appointment or enlistment in the Air Force, whether on active duty or in the AFR or ANG. **(T-3)**.

2.9.1.2.13. For ANG members in Title 32 status assignments, individuals remain eligible for PCS while on the control roster. The losing commander advises the MPS

Relocation Section (for unit program) or the gaining unit by indicating on the AF Form 1288, *Application for Ready Reserve Assignment*, that the member is on the control roster and annotating the UIF disposition date in the remarks section. After reviewing the AF Form 1288, the gaining commander will decide if the assignment is appropriate and will approve or disapprove the assignment. (T-3).

**2.10. Commander's Enlisted Management Roster (CEMR) and Commander's Officer Management Roster (COMR).** The CEMR and the COMR are monthly listings of personnel assigned within the unit possessing a quality indicator (UIF, control roster, Article 15, etc.). The CEMR also lists personnel possessing EPR ratings which might indicate close observation of their performance is appropriate. No certification or suspense of either roster is required. They are simply management tools designed to give commanders an "at a glance" look at personnel in their organization with quality indicators. All entries should be reviewed by the commander and FSS staff to ensure appropriate action was taken. This includes determining the appropriateness of an upcoming promotion, qualification for PRP duties, assignment, reenlistment, etc., some of which are identified under the "projected for" area. The rosters are retrieved from the unit and provided to the commander for review. (T-1).

**2.11. Making Recommendations to the Commander.** The SJA or MPS Chief may recommend action to the commander. Use the AF Form 1058 or memorandum and file it in the individual's UIF along with the commander's reply. AF Form 1137 is not required to be annotated.

**2.12. UIFs on General Officers and General Officer Selects.** AF/DPG, NGB/GOMO and AF/REG function as the sole UIF monitor and repository and maintain the original UIF for the commander. Copies of general officer and general officer select UIFs will not be maintained at or by any organization other than AF/DPG or AF/REG for AFR and ANG members (see [paragraph 2.1.4.3](#) or [2.5.4](#) for mailing addresses). UIF information will not be updated in PDS for general officer or general officer selects.



**Table 2.1. UIF Monitor for Air Force Reserve and Air National Guard.**

<b>R</b>	<b>A</b>	<b>B</b>
<b>U</b>		
<b>L</b>	<b>Reservist or Guardsman assigned to:</b>	<b>UIF Monitor will be</b>
<b>E</b>		
<b>1</b>	PAS S7XXXXXX	HQ ARPC/DPAMR
<b>2</b>	IMA, Selective Service, RRPS, and PIRR	RIO/DP
<b>3</b>	NARS-ND/NC	HQ ARPC/DPAMR
<b>4</b>	Central Managers (HC/JA/SG)	Unit of Attachment
<b>5</b>	AGR	Unit of Assignment
<b>6</b>	AFR and ANG Unit	Unit of Assignment
<b>7</b>	MAJCOMS	Unit of Assignment
<b>8</b>	AF Elements	Unit of Assignment
<b>9</b>	Health Professionals Scholarship Program and Chaplain Candidates	HQ ARPC/DPAMR
<b>10</b>	ANG Statutory Tour Program	NGB/HR
<b>11</b>	ANG General Officers	NGB/GOMO

**Table 2.2. UIF Establishment and PDS Update Procedures (Officer and Enlisted).**

<b>Rule</b>	<b>Document</b>	<b>Update Code</b>	<b>Disposition Date</b>	<b>Mandatory Filing?</b>	<b>Received Documents From:</b>
<b>Rule 1 Establishment</b>	A record of suspended punishment under Article 15, or unsuspended Article 15 punishment which is longer than 1 month (31 days or more) (see note 1)	3	The date punishment or suspension is due to be completed (interim)	Yes	SJA
<b>Rule 1 Completion</b>	Upon completion of punishment or suspension or vacated judgment (expiration of code 3)	1	2 years from the date the commander signs item 4 of AF 3070 (final)	Yes	SJA
<b>Rule 2 Establishment</b>	A record of conviction adjudged by court martial or any amended records	3	The date the punishment is due to be completed (Enlisted not to exceed 2 years and Officers not to exceed 4 years from date sentence was adjudged (interim)	Yes	SJA
<b>Rule 2 Completion</b>	Upon completion of punishment (expiration of code 3)	1	Enlisted: 2 years from date the sentence was adjudged. Officer: 4 years from the date the commander signs the item 4 of AF3070 (Final) or PCS, transfer to another component, or separation plus 1 year whichever is later (final) (see note 3)	Yes	SJA
<b>Rule 3</b>	A record of conviction by a civilian court (foreign or domestic) or an action tantamount to a finding of guilty for an offense that carries a possible sentence of confinement for more than 1 year, or death (see note 2)	1	2 years from the date the sentence was final	Yes	SJA
<b>Rule 4</b>	A control roster action	2	6 months minus one day from the	Yes	The Commander

<b>Establishment</b>			date the commander signs section V of AF 1058 (interim) (see note 4)		
<b>Rule 4 Completion</b>	Upon completion of control roster action (expiration of code 2)	1	1 year from the date the commander signs section V of AF 1058 (final)	Yes	The Commander
<b>Rule 5</b>	LOR	1	Enlisted: is 1 year from the date the commander signs section V of AF 1058 (final) (see note 6). Officer: is 2 years from the date the commander signs section V of AF 1058 (final) (see note 6)	Yes	The Commander
<b>Rule 6</b>	Anything the commanders refers for filing such as LOCs, LOAs, confirmed evidence of unlawful discrimination or sexual harassment or civilian convictions for an offense that carries a possible sentence of confinement for 1 year or less	1	See note 6.	Yes	The Commander

**Notes:**

1. Also applies to Article 15 punishment imposed on an Air Force member of a joint command by a commander of a different service when processed in accordance with AFI 51-202. Includes any suspended punishment longer than a month (31 days or more). Less than a month equals 30 days or less. AFRC, ARPC or TAG may establish longer observation periods, not to exceed 12 months for AFR or ANG personnel, if deemed appropriate.
2. The servicing SJA specifies in writing whether the action is mandatory or optional for file in the UIF. The determination accompanies the record of court action (conviction or judgment) or is written and signed on the record itself. If mandatory for file, the SJA sends the record and determination directly to the UIF monitor with a copy to the member's commander for action.
3. PCS plus 1 year is determined by adding 1 year to the individual's Date Arrive Station. If individual's UIF is due to expire prior to the individual departing PCS, extend the UIF (do not let it expire) for 1 year from Report Not Later Than Date (RNLTD). The gaining UIF monitor makes appropriate PDS adjustments when the individual's record is gained to file. For Reservist, extend the UIF (do not let it expire) for 1 year from the effective date change strength accountability, the

date the Reservist changes assignment. For RegAF officers that will separate or transfer to the AFRC, do not let the UIF expire. Extend the disposition date to reflect 2 yrs or separation or transfer date plus one year, whichever is later.

4. AFRC, ARPC or TAG may establish longer observation periods, not to exceed 12 months for AFR or ANG personnel, if deemed appropriate.
5. If the Article 15 punishment is a Letter of Reprimand only, then the update of UIF code 1 with a 2 year disposition date is appropriate.
6. If there is more than 14 days between the date the commander signed the AF Form 1058 and the date of the LOR, annotate the discrepancy in a Memorandum for Record (MFR) and use the date of the LOR/LOA/LOC when determining the disposition date. File the MFR in the UIF with the AF Form 1058.

**Table 2.3. Annotating and Disposing of UIF Summary (AF Form 1137).**

<b>Rule</b>	<b>If UIF Monitor receives</b>	<b>Then the monitor</b>	<b>And</b>	<b>And</b>
<b>Rule 1</b>	Documents for file in the UIF according to <b>Table 2.2.</b> or <b>paragraph 2.4.</b>	Prepares or updates the UIF summary to record and summarize the incident files the document in the UIF, updates PDS	Gives copy of AF Form 1137 to member's unit commander. When necessary, coordinate with PRP monitor and send a copy of initial and updated AF Form 1137 to officers' servicing/gaining A1 (For unit Reservist to HQ AFRC and for individual Reservist to the MAJCOM Program Manager). For ANG send to the members servicing CSS or FSS	Sends an additional copy of AF Form 1137 to the appropriate office (see <b>paragraph 2.5.</b> ) for medical, dental, chaplain, legal officers in the rank of colonel and colonel select (for AFR and ANG officers in the rank of colonel and colonel select, see <b>paragraph 2.1.4.3.</b> ). Send an additional copy to the appropriate state office (State HQ/Military Personnel Management Office)
<b>Rule 2</b>	An approved or pending involuntary separation action, including an approved period of probation and rehabilitation under AFI 36-3208. For AFR and ANG personnel reference AFI 36-3209, <i>Separation Procedures for ANG and AFR Members</i>	Annotates the original AF Form 1137 Involuntary Discharge initiated under AFI 36-3206 or AFI 36-3208 on (date). Probation and rehabilitation granted under AFI 36-3208. For AFR and ANG personnel: probation of member with lengthy service granted under AFI 36-3209 (see note 1)	Gives copy of AF Form 1137 to member's unit commander. When necessary, coordinate with PRP monitor and send a copy of initial and updated AF Form 1137 to officers' servicing/gaining A1 (For unit Reservist to HQ AFRC and for individual Reservist to the MAJCOM Program Manager). For ANG send to the members servicing CSS or FSS	Sends an additional copy of AF Form 1137 to the appropriate office (see <b>paragraph 2.5.</b> ) for medical, dental, chaplain, legal officers in the rank of colonel and colonel select (for AFR and ANG officers in the rank of colonel and colonel select, see <b>paragraph 2.1.4.3.</b> ). Send an additional copy to the appropriate state office (State HQ/Military Personnel Management Office)

<b>Rule 3</b>	A notice to send a copy of an AF Form 1137 for pending PCS reassignment (see notes 2,3, and 11)	Mails two copies of the notice and AF Form 1137 to the gaining unit,	The gaining FSS sends a copy of the notice and AF Form 1137 to the gaining commander. The remaining copies are retained in the FSS pending receipt of the UIF	The gaining commander reviews the AF Form 1137 and files
<b>Rule 4</b>	A notice to send a copy of an AF Form 1137 for member being reassigned PCA (see notes 4 and 11)	Sends notice with a copy of the members AF Form 1137 to the gaining commander		The gaining commander reviews the AF Form 1137 and files it at the unit
<b>Rule 5</b>	A notice to send an UIF when PDS confirms PCS departure (see notes 5,6, and 7)	Sends notice with the UIF to the gaining unit/FSS(for individual Reservist send to unit of assignment)	The gaining unit /FSS, reviews the UIF for accuracy, verifies PDS, and makes required corrections, files the UIF	Contacts the losing unit/FSS when documentation is not complete
<b>Rule 6</b>	A transaction register notice that a member's UIF has expired	Verifies the accuracy of the disposition date, makes required changes	Determines there is no information that extends the UIF disposition date	Destroys the UIF
<b>Rule 7</b>	A transaction register notice that a member's UIF has expired	Verifies the accuracy of the disposition date, makes required changes	Discovers new information that extends the UIF disposition date	Retains the UIF for 10 duty days pending receipt of the new information, or adds the new information and updates UIF data
<b>Rule 8</b>	A notice when a member enters dropped from rolls status (see note 8)	Gives UIF to Force Management personnel	Force Management personnel places the documents in Automated Records Management System (ARMS) and forwards to AFPC	AFPC destroys UIF if duty status changing to deceased
<b>Rule 9</b>	A notice that a member in dropped-from-the-rolls status has been returned to duty (see note 8)	Contacts FSS/Force Management and requests UIF	FSS/Force Management coordinates the return of the UIF	AFPC/returns UIF
<b>Rule 10</b>	A UIF or UIF document on a person not serviced now or in the foreseeable future by the FSS (see note 9)	Verifies the member's status (TDY, TDY en route PCS, pending assignment canceled or changed, or the documents misrouted)	Returns the documents to the appropriate FSS or the member's last unit of assignment for processing	

<b>Rule 11</b>	A notice that a member is within 120 days of RNLTD (see note 11)	Verifies receipt of the AF Form 1137	Requests that the losing unit or MPS, forward copies of AF Form 1137 according to rule 3, if they do not arrive as expected	
<b>Rule 12</b>	A notice that a member is in confinement as a result of court-martial punishment (see note 10)		CSS or servicing FSS retains UIF with the following exceptions: For IMA, RRPS, Selective Service forward UIF to RIO; for S7/S8 assigned personnel forward to ARPC/DPAMR 18420 E Silver Creek Ave, Bldg 390 MS 68, Buckley AFB, CO 80011	
<b>Rule 13</b>	A notice that a member is in appellate leave status	Scans UIF with FPRG awaiting appellate decision	FSS/Force Management retains UIF in ARMS	On receipt of decision by appellate authority, disposes of UIF accordingly.
<b>Rule 14</b>	A notice that a member is in AWOL or deserter status and UIF is due to expire	Verifies that the member is in AWOL or deserter status and that the UIF expiration date is accurate	When appropriate, updates UIF expiration date to 8s and files notice in UIF (see <b>paragraph 2.6.3.</b> )	Retains UIF awaiting further information.
<b>Rule 15</b>	A notice that an officer is being separated and transferred to the ARPC	Forwards the UIF to the appropriate records custodian of new assignment (reference <b>Table 2.1.</b> )		
<b>Rule 16</b>	A notice that a member is released from an AFR or ANG unit and transferred to ARPC nonparticipating status (officer or enlisted)	Forward the UIF to ARPC/DPAMR, 18420 E. Silver Creek Ave, Bldg 390 MS 68, Buckley AFB, CO 90011		
<b>Rule 17</b>	A notice that a regular officer is discharged (not for cause) and records are being sent to ARPC	Forwards the UIF to HQ ARPC/DPAMR, 18420 E. Silver Creek Ave, Bldg 390 MS 68, Buckley AFB, CO 90011		
<b>Rule 18</b>	A notice that an	Destroys the UIF		

	AFR or ANG officer is discharged (without immediate reentry or continuation on active duty) or dies			
<b>Rule 19</b>	A notice that an enlisted member is separated or dies	Destroys the UIF		
<b>Rule 20</b>	A notice that a member is reassigned to the retired AFR	Destroys the UIF		
<b>Rule 21</b>	A notice that a member (officer or enlisted) is discharged for cause)	Destroys the UIF		
<b>Rule 22</b>	A notice that a member is being transferred from non-participating (S7XXXXXX) status to participating assignment	Forwards UIF to the gaining USAFR assignment		
<b>Rule 23</b>	A notice that an AFR or ANG member (officer or enlisted) is being reassigned within the USAFR or ANG	Forwards the UIF to the gaining-AFRC or ANG assignment		
<b>Rule 24</b>	A notice that an officer of the USAFR is being transferred to active duty	Forwards the UIF to the gaining active duty unit		

**Notes:**

1. This is an AF Form 1137 annotation only. You do not have to maintain documentation in the UIF.
2. The PDS generates a transmittal notice for the AF Form 1137 before the RNLTD, when a member's end assignment changes, and on short-notice assignments if the member is within 120 days of RNLTD. When a member's end assignment changes or is canceled, the PDS generates a Transaction Register (TR) remark, and the gaining unit destroys the advance copies of the AF Form 1137.
3. Keep a copy of the advance transmittal notice in the UIF folder until mailed. Destroy it afterwards.
4. If the member is projected for a PRP position, coordinate UIFs on gains with the unit PRP



monitor.

5. File retained transmittal notices in the general correspondence file.
6. Before sending the UIF electronically (encrypted), ensure its contents are complete and accurately recorded. Sign and date the AF Form 1137 (reviewer's remarks, signature, date), certifying that you have reviewed it. Do not send electronically until you receive PDS confirmation.
7. The PDS produces a notice once it confirms a member's reassignment. Remove the pencil entries on the AF Form 1137 before scanning and sending the UIF to the new unit.
8. When a member enters or returns from dropped-from-the-rolls status, code or decode the UIF disposition.
9. To determine the member's status, consult the worldwide personnel listing, MPS in-processing clerk, Personnel Employment, or the losing Adverse Actions office.
10. Upon receipt, before giving an UIF to the FSS, RIO or ARPC/DPAMR, the UIF monitor:
  - 10.1. Signs and dates the AF Form 1137 (reviewer's remarks, signature, date), certifying he or she reviewed it.
  - 10.2. For a member reassigned as a prisoner (confinement) with or without discharge because of a court-martial conviction, records the court-martial conviction on AF Form 1137 and includes it in the UIF before forwarding the UIF to the Personnel Employment Element.
  - 10.3. Delays forwarding and takes timely follow-up action pending receipt of the court-martial conviction and then gives Personnel Employment the UIF for placement in the Field Personnel Record Group (FPRG).
11. Does not apply to the Air Force Reserve.

## Chapter 3

### CONTROL ROSTER

**3.1. Who Uses the Control Roster.** The control roster is a rehabilitative tool for commanders to use. Commanders use the control roster to establish a 6-month observation period (AFRC, ARPC, RIO, or the TAG may establish longer observation periods, not to exceed 12 months, for AFR and ANG personnel, if deemed appropriate) for individuals whose duty performance is substandard or who fail to meet or maintain Air Force standards of conduct, bearing, and integrity, on or off duty.

**3.2. When to use a Control Roster.** A brief incident of substandard performance or an isolated breach of standards, not likely to be repeated, should not usually result in an individual's placement on the control roster. Consideration should be given to prior incidents, acts, failures, counseling and rehabilitative efforts. Commanders inform members on the control roster their performance and behavior must improve or they will face more severe administrative action or punishment.

3.2.1. Commanders may direct an OPR or EPR before entering or removing an individual from the control roster, or both.

**3.2.1.1. The commander should periodically counsel personnel on the control roster about their improvement or failure to improve.**

3.2.2. When placing an officer on the control roster who is eligible or selected for promotion, or a selective continuation appointment, a commander must decide if the officer is mentally, physically, morally, or professionally qualified. If not, initiate action to find the officer not qualified, delay the projected promotion, or remove the officer from the list (see AFI 36-2501, AFI 36-2610, *Appointing Regular Air Force Officers and Obtaining Conditional Reserve Status*, or AFI 36-2504, *Officer Promotion, Continuation and Selective Early Removal in the Reserve of the Air Force*).

3.2.3. The commander cannot place an individual on the control roster as a substitute for more appropriate administrative, judicial, or nonjudicial action. Being put on the control roster does not shield an individual from other appropriate actions.

3.2.4. An individual's name cannot remain on the control roster for more than 6 consecutive months. AFRC, ARPC, RIO or TAG may establish longer observation periods, if deemed appropriate, for AFR and ANG personnel, not to exceed 12 months. If a member is not rehabilitated in that time, the commander initiates more severe action:

3.2.4.1. The control roster is cleared at 2400 on the last day of the observation period or on the date a member separates (enlisted only), retires, or dies. For example, if placed on the roster 1 January, the action expires at 2400 on 30 June. If affected on 1 September, it expires at 2400 on the last day of February (28th or 29th)

3.2.4.2. Commanders may put an individual back on the control roster only if a new incident or failure occurs.

3.2.5. PCS or PCA reassignment procedures for personnel on the control roster are:

3.2.5.1. If the member is put on the control roster, and will leave an overseas area before the end of the observation period, and is otherwise eligible, the commander may extend the member's Date Eligible to Return from Overseas (DEROS) a maximum of 120 days (long tour area only). A commander who decides to involuntarily extend the DEROS advises the Relocation and Employment Elements as soon as possible.

3.2.5.2. If the PCS reassignment is mandatory (does not include PCS without PCA for separation processing), the losing base UIF monitor removes the UIF code 2. The monitor then notes on the individual's AF Form 1137 that "control roster action expired due to mandatory PCS" before transferring the UIF to the gaining unit. Control roster action expires on the date the member departs. *Note:* This does not apply to unit moves when the member retains the same leadership.

3.2.5.3. If the PCS reassignment is not mandatory, the person remains eligible for PCS if the observation period expires before the (RNLTD) for the assignment. The commander advises the Relocation Element of the person's control roster status; the Relocation Element notifies the Air Force Personnel Center (AFPC). AFPC determines the individual's assignment eligibility (see AFI 36-2110, *Assignments*).

3.2.5.4. For AFR assignments, individuals remain eligible for PCS while on the control roster. The losing commander or IMA Program Manager advises the MPS Relocation Section (for unit program) or the gaining IMA Program Manager (for the IMA program) by indicating on the AF Form 1288, *Application for Ready Reserve Assignment*, that the member is on the control roster and annotating the UIF disposition date in the remarks section. After reviewing the AF Form 1288, the gaining commander or IMA Program Manager will decide if the assignment is appropriate and will approve or disapprove the assignment.

3.2.5.4.1. Delay PCA when an individual is on the control roster. If the PCA is essential to the mission and the losing and gaining commanders concur, the person may be reassigned, but remains on the control roster.

3.2.5.5. For ANG Statutory Tour Assignments, individuals will not normally be eligible for PCS/PCA while on the control roster. Any requests for PCS/PCA movement while members are on a control roster should be forwarded to NGB/HR for staffing to the appropriate approval authority.

3.2.5.6. For ANG members in Title 32 member assignments, individuals remain eligible for PCS while on the control roster. The losing commander advises the MPS Relocation Section (for unit program) or the gaining unit by indicating on the AF Form 1288, *Application for Ready Reserve Assignment*, that the member is on the control roster and annotating the UIF disposition date in the remarks section. After reviewing the AF Form 1288, the gaining commander will decide if the assignment is appropriate and will approve or disapprove the assignment. **(T-3)**.

3.2.6. For RegAF, AFR and ANG, the commander cancels all formal training for members during the period they are on the control roster. **(T-1)**.

3.2.7. The commander must not put individuals on the control roster who are on TDY, TDY en route, or in PCS status:

3.2.7.1. An individual's time on the control roster does not stop and start for periods of TDY, ordinary leave, or change in immediate supervisor. For example, if an individual on the control roster requests 2 weeks leave, the control roster time does not stop for the 2 weeks the individual is on leave and then start again. The 6 months is continuous regardless of the individual's leave or TDY status.

**3.3. Who Can Add or Remove Individuals to or from the Control Roster.** The following individuals have authority to add or remove any assigned or attached enlisted member to or from the control roster. The following individuals also have the authority to add any assigned or attached officers to the control roster. Remove control roster action on officers upon receipt of an AF Form 1058, or memorandum signed by the officer's wing commander (or equivalent), or issuing authority, whichever is higher. This early removal option applies regardless of how long the action was on file/in system.

3.3.1. Commanders on G-series orders at all levels for members assigned or attached to their units. Commanders must be senior to the member.

3.3.2. The commander, vice commander, staff director and directors at MAJCOM, FOA, and DRU.

3.3.3. Chief of staff, deputy chiefs of staff, assistant chiefs of staff, other heads of staff agencies, and directors assigned to Headquarters, US Air Force.

3.3.4. Comparable officers within the Office of the Secretary of the Air Force, Office of the Joint Chiefs of Staff, and Office of the Secretary of Defense.

3.3.5. The Senior Air Force officer assigned to a joint command.

3.3.6. The Readiness Management Group Program Manager for Civil Air Patrol Reserve Assistance Program and the Admissions Liaison Officer Program.

**3.4. Initiating and Maintaining the Control Roster.** The UIF monitor retrieves and maintains the control roster for the commander:

3.4.1. Commanders use AF Form 1058 to initiate control roster action. Individuals must acknowledge the action and have 3 duty days to submit a statement on their behalf before the AF Form 1058 is finalized. The commander advises the individual of their final decision. Placement on the control roster is a mandatory UIF entry. **(T-2)**.

3.4.1.1. Should be updated to reflect: For Non-EAD Reservists and ANG DSG members who depart the duty area prior to the 3 duty days allowed for acknowledging intended actions, the individual has 45 calendar days from the date of receipt of the certified letter to acknowledge the notification, intended actions, and provide pertinent information before the commander makes the final decision. In calculating the time to respond, the date of receipt is not counted, and if the individual mails their acknowledgment, the date of the postmark on the envelope will serve as the date of acknowledgment. The individual is presumed to be in receipt of official correspondence if it is hand delivered or delivered by certified mail to the individual's address or best available address.

3.4.1.2. A control roster will not be created or maintained on members assigned to the non-participating AFR status (PAS S7XXXXXX).

## Chapter 4

### ADMINISTRATIVE COUNSELINGS, ADMONITIONS, AND REPRIMANDS

**4.1. Who Can Use Counseling, Admonitions, and Reprimands.** Commanders, supervisors, and other persons in authority can issue administrative counseling, admonitions, and reprimands. These actions are intended to improve, correct, and instruct subordinates who depart from standards of performance, conduct, bearing, and integrity, on or off duty, and whose actions degrade the individual and unit's mission. This includes issuing administrative counseling, admonitions, and reprimands to reservists who commit an offense while in civilian status.

4.1.1. Raters must consider making comments on performance reports when the ratee receives any of these adverse actions

4.1.2. Written administrative counseling, admonitions, and reprimands are subject to the rules of access, protection, and disclosure outlined in The Privacy Act of 1974, System of Records, AFPC L. The same rules apply to copies kept by supervisors and commanders and those filed in an individual's UIF or the unit's Personnel Information File (PIF).

4.1.3. **Standard of Proof.** While no specific standard of proof applies to administrative action proceedings, commanders should utilize the "preponderance of the evidence" standard when evaluating the evidence and every element of the offenses committed. A preponderance of the evidence means simply the greater weight of credible evidence. Whether such proof is available should be considered before initiating the administrative action. If such proof is lacking, administrative action is susceptible to being found to be legally unsupported and, as a result, could be set aside. There is no requirement to prove any allegation beyond a reasonable doubt.

**4.2. Records of Individual Counseling (RIC) and LOCs.** Counseling helps people use good judgment, assume responsibility, and face and solve problems. Counselors assist subordinates in developing skills, attitudes, and behaviors that are consistent with maintaining the Air Force's readiness.

4.2.1. First line supervisors, first sergeants, and commanders routinely counsel individuals either verbally or in writing, giving advice and reassuring subordinates about specific situations.

4.2.2. AF Form 174, *Record of Individual Counseling*, records the counseling session. It provides a record of positive or negative counseling and is useful when completing performance evaluations. Documenting counseling sessions on bond paper or letterhead constitutes a LOC.

4.2.3. Front line supervisors and first sergeants may recommend the commander file negative or unfavorable RICs, or LOCs in the UIF. For officer personnel, if the LOC is not filed in the UIF, it must be filed in the individual's PIF.

**4.3. LOAs.** An admonishment is more severe than a LOC/RIC. Use it to document an infraction serious enough to warrant the LOA. Do not use it when a reprimand is more appropriate. For officer personnel, if the LOA is not filed in the UIF, it must be filed in the individual's PIF.

**4.4. LORs.** A reprimand is more severe than a counseling or admonition and indicates a stronger degree of official censure. Commanders may elect to file a LOR in an UIF for enlisted personnel. LORs are mandatory for file in the UIF for officer personnel.

4.4.1. For officer personnel only: If a person other than the unit commander issues a LOR, send it to the unit commander for acknowledgment and endorsement via AF Form 1058 and establish/file in an UIF. Include the member's written acknowledgment and any documents submitted by the member.

4.4.2. The AF Form 1058 does not need to be referred to the officer since the rebuttal opportunity is offered at the time the LOR is administered (see [paragraph 4.5.1](#)). The AF Form 1058 is used only to obtain the commander's acknowledgment of the action (for LORs administered by personnel other than the commander) and to refer the LOR for file in the UIF.

**4.5. Administering RICs, LOCs, LOAs, or LORs.**

4.5.1. Administer a counseling, admonition, or reprimand, verbally or in writing. If written, the letter states:

4.5.1.1. What the member did or failed to do, citing specific incidents and their dates.

4.5.1.2. What improvement is expected.

4.5.1.3. That further deviation may result in more severe action.

4.5.1.4. That the individual will be allocated 3 duty days to submit rebuttal documents for consideration by the initiator. For Non-EAD Reservists or ANG members: the individual has 45 calendar days from the date of receipt of the certified letter, to acknowledge the notification, intended actions, and provide pertinent information before the commander makes the final decision. In calculating the time to respond, the date of receipt is not counted, and if the individual mails their acknowledgment, the date of the postmark on the envelope will serve as the date of acknowledgment. An individual is presumed to be in receipt of official correspondence if it is delivered in person or by certified mail to the individual's address or best available address.

4.5.1.5. That all supporting documents received from the individual will become part of the record.

4.5.1.6. The person who initiates the LOC, LOA, or LOR has 3 duty days to advise the individual of their final decision regarding any comments submitted by the individual. For Non-EAD Reservists and ANG members: the initiator has 45 calendar days from the date of personal delivery or date of receipt of the certified letter to reply to the member.

4.5.2. The person who initiates a RIC/LOC, LOA, or LOR may send it to the member's commander or superiors for information, action, or for their approval for file in the UIF or PIF. Include the member's written acknowledgment and any documents submitted by the member. For officers, LORs must be filed in the UIF, and any LOAs or LOCs not filed in the UIF, must be filed in the officer's PIF.

4.5.3. The person who initiates a LOA or LOR for a general officer or general officer select will forward the original document and attachments to AF/DPG,AF/REG or NGB/GOMO for distribution to the commander. Mailing addresses are listed in **paragraph 2.1.4.3**

DANIEL R. SITTERLY, SES,  
Principal Deputy Assistant Secretary  
(Manpower and Reserve Affairs)

**Attachment 1****GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

AFPD 36-29, *Military Standards*, 29 October 2009

AFI 33-129, *Web Management and Internet Use*, 3 February 2005

AFI 33-332, *The Air Force Privacy and Civil Liberties Program*, 16 May 2011

AFI 36-2110, *Assignments*, 22 September 2009

AFI 36-2406, *Officer and Enlisted Evaluation Systems*, 2 January 2013

AFI 36-2504, *Officer Promotion, Continuation and Selective Early Removal in the Reserve of the Air Force*, 9 January 2003

AFI 36-2608, *Military Personnel Records System*, 30 August 2006

AFI 36-2610, *Appointing Regular Air Force Officers and Obtaining Conditional Reserve Status*, 30 April 2003

AFI 36-3206, *Administrative Discharge Procedures for Commissioned Officers*, 9 June 2004

AFI 36-3208, *Administrative Separation of Airmen*, 9 July 2004

AFI 36-2501, *Officer Promotion and Selective Continuation*, 16 June 2004

AFI 51-202, *Nonjudicial Punishment*, 7 November 2003

AFI 90-301, *Inspector General Complaints Resolution*, 23 August 2011

AFMAN 33-152, *User Responsibilities and Guidance for Information Systems*, 1 June 2012

AFMAN 33-363, *Management of Records*, 1 March 2008

DoDR5210.42\_AFMAN10-3902, *Nuclear Weapons Personnel Reliability Program (PRP)*, 13 November 2006

***Prescribed Forms***

AF Form 174, *Record of Individual Counseling*

AF Form 1058, *Unfavorable Information File Actions*

AF Form 1137, *Unfavorable Information File Summary*

***Adopted Forms***

AF Form 847, *Recommendation for Change of Publication*

AF Form 3070, *Record of Nonjudicial Punishment Proceedings*

AF Form 1288, *Application for Ready Reserve Assignment*

AF Form 3212, *Record of Supplementary Action under Article 15, UCMJ*

***Abbreviations and Acronyms***

AF—Air Force



**AFISR**—Air Force Intelligence Surveillance and Reconnaissance Agency

**AFMAN**—Air Force Manual

**AFPC**—Air Force Personnel Center

**AFPD**—Air Force Policy Directive

**AFRC**—Air Force Reserve Command

**AFSC**—Air Force Specialty Code

**AGR**—Active Guard Reserve

**ANG**—Air National Guard

**ARMS**—Automated Record Management System

**ARPC**—Air Reserve Personnel Center

**TAG**—The Adjutant General

**AWOL**—Absent Without Leave

**CEMR**—Commander's Enlisted Management Roster

**COMR**—Commander's Officer Management Roster

**CR**—Control Roster

**CRS**—Conditional Reserve Status

**DEROS**—Date Eligible to Return from Overseas

**DRU**—Direct Reporting Unit

**DSG**—Drill Status Guardsman

**EPR**—Enlisted Performance Report

**FPRG**—Field Personnel Record Group

**FOA**—Field Operating Agency

**GCMCA**—General Court Martial Convening Authority

**GSU**—Geographically Separated Unit

**IMA**—Individual Mobilization Augmentee

**LOA**—Letter of Admonishment

**LOC**—Letter of Counseling

**LOR**—Letter of Reprimand

**MAJCOM**—Major Command

**MilPDS**—Military Personnel Data System

**MPS**—Military Personnel Section

**NON**—EAD—Non-extended active duty

**OPR**—Office of Primary Responsibility  
**OPR**—Officer Performance Report  
**OSR**—Officer Selection Record  
**PCA**—Permanent Change of Assignment  
**PCS**—Permanent Change of Station  
**PDS**—Personnel Data System  
**PES**—Promotion Eligibility Status  
**PIF**—Personnel Information File  
**PRP**—Personnel Reliability Program  
**PRF**—Performance Recommendation Form  
**RegAF**—Regular Air Force  
**RIC**—Record of Individual Counseling  
**RIO**—HQ Individual Reserve Readiness & Integration Organization  
**RNLTD**—Report No Later Than Date  
**SJA**—Staff Judge Advocate  
**SOUIF**—Senior Official Unfavorable Information File  
**TAG**—The Adjutant General  
**TDY**—Temporary Duty  
**UIF**—Unfavorable Information File  
**USAFR**—United States Air Force Reserve

**Attachment 2****SELF-INSPECTION CHECKLIST****A2.1. Self-Inspection Checklist:**

- A2.1.1. The proper authority is administering the UIF action.
- A2.1.2. All mandatory documents are filed in the UIF.
- A2.1.3. The commander refers optional UIF documents to the member before putting them in the UIF.
- A2.1.4. The commander allows the member 3 duty days to acknowledge the intended UIF action before the commander completes the action. For Non-EAD Reservists and ANG members: the individual has 45 calendar days from the date of receipt of the certified letter.
- A2.1.5. The commander advises the member about the decision regarding the UIF.
- A2.1.6. The commander considers filing earlier administrative actions in an UIF.
- A2.1.7. The unit receives a copy of AF Form 1137 from the UIF monitor when an UIF is established or changed. The commander reviews UIFs before a PCS or PCA.
- A2.1.8. The commander and SJA review UIFs on an annual basis.
- A2.1.9. The commander or commander's representative replies to UIF recommendations made by the FSS or SJA.
- A2.1.10. The commander discusses early removal of an UIF document with the SJA and FSS superintendent/director.
- A2.1.11. The commander uses AF Form 1058 to remove documents from the UIF, citing the specific document
- A2.1.12. The UIF monitor marks the front and back of envelopes containing UIF information FOR OFFICIAL USE ONLY.
- A2.1.13. The commander decides what happens to the UIF once the member returns from AWOL, deserter, or non-participant status.
- A2.1.14. The commander considers a control roster observation period for members who demonstrate substandard duty performance or fail to maintain Air Force standards.
- A2.1.15. The commander periodically counsels personnel on the control roster about their improvement.
- A2.1.16. The commander considers directing an OPR or EPR before entering or removing a member from the control roster. The commander is aware that once the control roster expires the individual will not be placed back on the control roster unless a separate incident occurs.
- A2.1.17. The commander considers the member's service and overseas retainability before putting the member on the control roster.
- A2.1.18. The commander removes the member from formal training during the control roster observation period.
- A2.1.19. The proper authority places the member on the control roster using AF Form 1058.

A2.1.20. The letter of reprimand or admonition is prepared correctly.

A2.1.21. The member replied to a letter of reprimand or admonition within 3 duty days. For Non-EAD Reservists and ANG members: the individual has 45 calendar days from the date of receipt of the certified letter.

A2.1.22. Documentation of adverse administrative actions officers receive while TDY or deployed is forwarded to the unit commander for file in the UIF, PIF, and OSR as applicable.