MEMORANDUM

From: Commanding Officer, NROTC Unit, Cornell University
To: Midshipman Battalion, NROTC Unit, Cornell University
Via: Battalion Commander, NROTC Unit, Cornell University

Encl: (1) Limitations for Corrective Action
(2) Written Counseling Form

Subj: NROTCU CORNELL UNIVERSITY DISCIPLINARY POLICY

1. Purpose. The Navy and Marine Corps core values of honor, courage, and commitment are integral to each unit’s success. The disciplinary policy establishes standards and serves as an instrument for midshipmen by defining acceptable performance and behavior. Additionally, this policy sets the acceptable corrective actions for not meeting those standards. Effective and unbiased enforcement of this policy will ensure midshipmen are upheld to our core values and develop the professional responsibilities and courtesies that mark a Navy and Marine Corps officer. This policy is a supplement to, but not a substitute for, positive leadership at all levels of the chain of command.

2. Counseling Policy. A policy of handling situations at the lowest level is the primary focus when determining appropriate counseling sessions. The chain of command will be notified of any formal oral and/or written counseling given to a midshipman. The Battalion Executive Officer will keep a record of all formal counseling sessions conducted throughout the semester and maintained for one year. Should it be found necessary for a member of the Battalion to be counseled, the following guidelines shall be followed:

   a. Informal counseling will be offered by the appropriate member of the chain of command on a continuous and consistent basis as needed. Squad Leaders and mentors will be especially cognizant of any ongoing issues of those under their responsibility. Informal counseling requires no further notification up the chain of command. This is intended for small discrepancies or inconsistencies that can be fixed immediately.
b. Formal counseling will be conducted in any case outlined under the "Offenses" section in paragraph 4.

3. Counseling Procedure. The counselor shall explain to the individual being counseled the nature of the offense and provide an explanation for the offense. Both parties should clearly understand the reasons for counseling and solutions/steps to correct the issue resulting in improved future conduct. Recommended corrective action will be at the discretion of the appropriate counselor in accordance with the "Guidelines/Recommendations" section in paragraph 5. The Battalion Executive Officer shall be informed of and receive a copy of the approved written counseling for his/her records. All written counseling chits that include corrective action will be routed through the BNCO and approved by the active duty staff. No corrective action will be conducted until the active duty advisor has approved.

   a. Chain of Command and Procedure. First offenses may result in a verbal counseling from the individual's designated superior as shown in the chart below. Subsequent offense will progress through the chain of command.

   ![Chain of Command Chart]

   (1) First Offense. The individual's Squad Leader, at his/her discretion, may handle the first offense through a
verbal warning. Squad Leaders are both mentors and disciplinarians for their squad, shaping the midshipmen under their command to perform at the highest level of professionalism.

(2) Second Offense. The Squad Leader will issue a written counseling for second offenses.

(3) Third Offense. The Company Commander will issue a written counseling for the third offense. The Squad Leader will be present during the counseling.

(4) Fourth Offense. The offending individual will be subject to a Midshipman Staff Mast.

(5) Fifth and Subsequent Offense. Incidents will be forwarded to the active duty staff for action.

b. Additional procedures.

(1) Billeted Members. Billeted Battalion members are leaders and should hold themselves to a higher standard of conduct by setting the example for their juniors. Offenses at any level outside of Midshipmen in Ranks, will be handled in the same fashion as outlined above but starting at their immediate superior in command.

(2) Company Commanders and Battalion Executive Officer. Battalion Company Commanders and Executive Officer are not subject to Battalion Staff Mast, they will go directly to Battalion CO Mast.

4. Offenses. The following includes, but is not limited to, offenses that warrant written counseling:

a. Unauthorized absences from evolutions including, but not limited to: meetings with active duty staff, mandatory physical training evolutions, labs, Naval Science (NAVS) classes, drill team practices, color guard practices, voluntary events for which the midshipman committed him/herself or for any other ROTC obligated event during and outside normal working hours.

b. Tardiness or being late anytime past the set muster time to evolutions including, but not limited to: meetings with active duty staff, mandatory physical training evolutions, labs, NAVS classes, drill team practices, color guard practices, voluntary events for which the midshipman committed him/herself
or for any other ROTC obligated event during and outside normal working hours.

c. Failing a personnel inspection.

d. Uniform appearance, grooming standards, or civilian attire policy violations. All midshipmen shall be shaven at all times to include when they are topside and in the unit spaces regardless of whether school is in session or not. Midshipmen are held to the highest standard at all times.

e. Disrespectful or insubordinate behavior. Disrespectful or insubordinate behavior includes, but is not limited to: blatantly disregarding the orders of those above you, talking in an unprofessional manner (cursing, using derogatory language, etc.) at Battalion events, and physically intimidating another midshipman.

(1) Due to the severity of this offense, disrespect offenses will be forwarded to active duty staff after the first offense.

f. Missing deadlines including, but not limited to: weekly reports, Naval Science assignments, deadlines set by squad leaders, muster reports, information gathering polls, etc.

g. Violation of terms or instructions given in previous counseling sessions.

5. Guidelines/Recommendations for Corrective Action.
Corrective actions are intended to correct and eliminate an identified problem. Corrective action starts at the level of a written counseling. The mentality of "the punishment must fit the crime" and "remaining unbiased" shall be embraced when recommending corrective action(s). Enclosure (1) outlines potential corrective action recommendations. Corrective action shall not be implemented until the written counseling form has been routed up and approved by the active duty staff advisor. When a written counseling is being reviewed up the chain of command, special attention should be given to the corrective action to ensure it is an acceptable means of correcting the noted deficiency and providing an opportunity for personal growth and betterment. All personnel in the routing chain of command are highly encouraged to write comments to reinforce their recommendation.
6. Definitions.

   a. Battalion CO Mast. Battalion CO Mast will be conducted with the Battalion CO, the offending midshipman, and with at least one active duty staff member present. The Battalion CO may issue up to two forms of corrective action. The same type of corrective action cannot be compounded; the corrective actions must be separate types (i.e. meet additionally two days a week for two weeks and write a 300 word essay). Additionally, the Battalion CO can recommend an active duty performance review board. The active duty staff must be notified about the Battalion CO Mast at least three days prior to the commencement of the mast.

   b. Battalion Staff Mast. Will be composed of three voting members, the Battalion Executive Officer, and at least one active duty staff member. One of the voting members must be the Battalion CO and the other two members must be on Battalion staff but not in the midshipman’s direct chain of command. Up to three forms of corrective action can be issued at this level. The same type of corrective action cannot be compounded; the corrective actions must be separate types. Additionally, the board can recommend an active duty performance review board. The active duty staff must be notified about the Battalion Staff Mast at least three days prior to commencement of the mast.

   c. 300 Word Essay. The offending individual will hand-write an essay composed of 300 words minimum (words with three letters or less do not count). The topic will be based upon the type of offense.

   d. Written Counseling. By their nature, counseling’s can be used for documenting either good or bad incidents. Both the individuals receiving or conducting a written counseling shall take these matters seriously. The individual being counseled shall be provided the opportunity to make comments regarding the incident for which they are being counseled; these comments must remain professional and pertain to the incident for which they are being counseled. Once routed up the chain of command, the individual conducting the counseling will make three copies of the written counseling form: one for the active duty staff to be kept in the Student Folder, one for the Battalion Executive Officer, and one for the individual being counseled.

   Enclosure (2) is an example of the written counseling form; it can also be accessed electronically on Blackboard under the Drill Lab course documents.
e. Appeals Process. The Battalion Executive Officer will compile a weekly list of all offenses. A midshipman wishing to appeal an offense shall speak to the Battalion Executive Officer within 24 hours of the offense with a detailed request attached in proper memo format. The Battalion CO and Battalion Executive Officer will make a final judgment of any contested offenses.

f. Clean Slate. Offenses establish a pattern of bad behavior and can assist in determining the appropriate level of corrective action. As such, written counseling’s shall be maintained for two semesters (current and follow-on). For instance, an offense for not shaving in the fall semester will be taken into account when determining the appropriate level corrective action if the student commits another offense during the spring semester.

7. Disciplinary action is meant to improve professionalism and foster personal responsibility and integrity of the midshipmen of the Cornell University NROTC Battalion. Counseling, both verbal and written, is intended to eliminate deficiencies before they become a major problem. Corrective actions are intended to correct and eliminate an identified problem. As future Navy and Marine Corps officers, this policy is for the professional development and good order and discipline of all midshipmen, upholding them to the highest standards consistent with the Navy and Marine Corps core values.

E. W. DIEHL
CAPT USN
## Limitations for Corrective Action

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<th>Meet __ minutes prior to all NROTC events for ___ weeks.</th>
<th>Meet additionally ___ times for ___ weeks.</th>
<th>Meet at Armory at 0700 for inspection ___ times for ___ weeks.</th>
<th>300 Word Essay</th>
<th>Revoke MWR Privileges</th>
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* MIDN XO can only issue one form of corrective action.
** BN CO Mast can only result in a combination of up to two forms of corrective action proportional to the offense.
*** BN Staff Mast can only result in a combination of up to three forms of corrective action proportional to the offense.
Agenda / Subject Discussed: SNM (said named midshipman/ Marine) is being counseled for his sub-standard performance in the following areas:

1. Failure to uphold the facial hair grooming standards as set forth within NAVPERS 1566.51.

2. Failure to lead by example, especially for an individual appointed as Squad Leader.

This is to serve as a notice that your lack of adherence to the grooming standards is unacceptable. As a Squad Leader, you should lead by example and inspire subordinates to the highest standards possible; this cannot be accomplished if you do not uphold the standards yourself.

Recommendations for Corrective Active and/or Comments:

1. Due to your military appearance unbecoming of a midshipman and future naval officer, you are receiving a written counseling.

2. To ensure SNM remains within grooming standards, he must report to his squad leader every workday for two weeks at 0700 to be inspected for grooming standard deficiencies, starting the day after the counseling has been routed up the chain of command and approved.

MIDN/Marine Comments:

Individual Counseled: MIDN 2/C Belt A. Buckle
Print Name

Signature

Individual Performing Counseling: MIDN 2/C Isaiah A. Leiva
Print Name

Signature

Enclosure (2)
MIDN Squad Leader: MIDN 2/C Isaiah A. Leiva
Print Name

Signature

Company Commander: MIDN 1/C Isaiah A. Leiva
Print Name

Signature

MIDN XO: MIDN 1/C Isaiah A. Leiva
Print Name

Signature

MIDN CO: MIDN 1/C Isaiah A. Leiva
Print Name

Signature

Active Duty: VADM James B. Stockdale
Print Name

Signature

Enclosure (2)