



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
1000 NAVY PENTAGON
WASHINGTON DC 20350-1000

SECNAVINST 1420.2A
ASN (M&RA)
13 April 2012

SECNAV INSTRUCTION 1420.2A

From: Secretary of the Navy

Subj: FROCKING OF COMMISSIONED OFFICERS

Ref: (a) DoD Directive 1334.2 of 12 February 2002
(b) 10 U.S.C.
(c) United States Constitution, Article 2, Section II, Clauses 1 and 2
(d) ASD(FMP) memo, "General and Flag Officer Management Report," of 23 Apr 99 (NOTAL)
(e) SECNAVINST 1420.1B
(f) SECNAVINST 1412.8B
(g) MCO P1400.31C
(h) CJCSI 1331.01D
(i) PDUSD(P&R) memo, "General and Flag Officer Frocking," of 9 Feb 2005 (NOTAL)
(j) SECNAVINST 1412.9B

Encl: (1) Officer Frocking Criteria

1. Purpose. To establish Department of the Navy (DON) guidance and procedures on the rules governing the frocking of commissioned officers to ensure compliance with Federal law and Department of Defense (DoD) policy.

2. Cancellation. SECNAVINST 1420.2.

3. Scope and Applicability. This instruction applies to DON commissioned officers in pay grades O-2 through O-8 on the active duty list (ADL) and the reserve active status list (RASL), limited duty officers (LDO) and chief warrant officers (CWO).

4. Definitions

a. Active Duty List (ADL). The Secretary of the Navy (SECNAV) maintains the ADL. The ADL is a single list of all officers on active duty in the Navy and Marine Corps.

Unrestricted officers shall be carried on the ADL in order of seniority by rank and grade. Similarly, warrant officers (WOs) and CWOs under reference (b), section 574, are carried on their own ADL in order of seniority by grade and rank.

b. Reserve Active Status List (RASL). The RASL is a precedence list comprised of reserve officers, in an active status as defined by reference (b), section 14002, in the Selected Marine Corps Reserve, the Active Reserve, the Individual Ready Reserve, and the active status list of the Standby Reserve. Reserve WOs and CWOs, appointed under reference (b), section 12241, are carried on their own RASL in order of seniority by grade and rank. The RASL contains the names of all reserve officers who are in an active status other than those on the ADL.

c. Frocking. The administrative authority from the Secretary of Defense (SECDEF) (O-7 and above) or SECNAV (O-6 and below) granting officers selected for promotion and, if required, confirmed by the U.S. Senate but not yet promoted, the right to wear the insignia and uniform and assume the title of the next higher grade.

5. Policy

a. The Navy or Marine Corps may frock an officer to the next higher grade per references (a) through (h) and enclosure (1).

b. SECDEF will approve or delegate the approval for the frocking of general and flag officers per references (h) and (i).

c. No general or flag officer will be frocked prior to SECDEF approval. Congress must be notified of the intent to frock a general or flag officer a minimum of 30 days in advance of the officer wearing the insignia of the higher grade. This notification may not take place until after confirmation.

d. The following are the criteria and policy for frocking officers to grades CWO-3 through O-8:

(1) An officer will not be frocked unless the Senate has given its advice and consent for the appointment of that officer to the next higher grade; or, where Senate confirmation is not required, the officer has been selected for promotion to the next higher grade.

(2) All officers shall either be serving, or have permanent change of station (PCS) orders to serve in a higher grade position and already have detached from the previous position. Additionally, officers with PCS orders shall begin serving in the position of the higher grade within 60 days of the requested frocking date. If extended delays in reporting are expected during PCS, SECNAV, with SECDEF approval for general and flag officers, may frock officers in grades O-8 and below for no more than 120 days before they begin serving in the higher grade position. In this case, frocking may occur no earlier than the date that an officer detaches from the previous duty station.

(3) Frocking shall be contingent upon a determination that wearing the next higher grade is essential to an officer's maximum effectiveness in the assigned billet. Situations supporting this determination are listed in order of precedence in enclosure (1).

(4) Officers may not be rotated to qualifying billets within the same command for the purpose of gaining frocking eligibility.

(5) Limitations on the number of officers frocked to specified grades are as follows:

(a) The number of Navy and Marine Corps officers on the ADL authorized for frocking in the grades O-4 through O-7 may not exceed the limitations outlined in reference (b), sections 523 and 777.

(b) The Principal Deputy Under Secretary of Defense (Personnel and Readiness) (PDUSD(P&R)) allocates the frocking authorization to the grades of O-7 and O-8 to SECNAV per references (h) and (i).

(c) When reference (b) does not provide specific limitations, SECNAV shall determine frocking limits following the standards in references (a) through (c).

(6) Those officers authorized to be frocked must be currently serving in or ordered to a PCS billet that meets at least one of the criteria listed in enclosure (1). When changing billets, the officers should have already detached from the previous billet.

(7) Requests for exceptions to billets listed in enclosure (1) may only be approved by SECNAV. Requests for exceptions to any other frocking policy may only be approved by SECDEF via SECNAV.

6. Not Eligible for Frocking. The following officers will not be frocked:

a. Officers eligible to be frocked who elect not to be frocked, or decline promotion.

b. Enlisted personnel selected for officer appointment.

c. Officers not confirmed by the Senate, where Senate confirmation is required by statute.

d. Officers who do not meet Navy or Marine Corps weight or body fat standards.

e. Officers being considered for removal from a promotion list or who are being considered for promotion delay under references (e) through (g).

7. Entitlements and Guidelines for Frocked Officers. The following apply to frocked officers with respect to wearing the uniform and assuming the title of the next higher grade:

a. A frocked officer has not been promoted, and therefore does not accrue any additional monetary entitlements, gain seniority, accumulate time in the higher grade, or assume the legal authority of the higher grade.

b. Time in grade for the officer is calculated from the promotion date, not the frocking date.

c. A frocked officer is entitled to military identification cards and all privileges for the higher grade except entitlements restricted by law.

d. Officers will purchase uniforms at their own expense.

8. Actions

a. SECNAV shall:

(1) Endorse or delegate authority to endorse flag level frocking requests submitted to PDUSD(P&R), ensuring compliance with statute and DoD policies.

(2) Route flag level frocking requests through Chairman, Joint Chiefs of Staff (CJCS) in cases of frocking officers currently in or projected to be assigned to joint positions.

(3) Establish controls to ensure that DON does not exceed frocking limits.

(4) Ensure reports are submitted to the Office of the Secretary of Defense (OSD) for the Navy and Marine Corps, as requested.

b. The Assistant Secretary of the Navy (Manpower and Reserve Affairs) (ASN (M&RA)) shall review, endorse and forward all flag officer frocking requests to SECNAV.

c. Chief of Naval Personnel shall:

(1) Monitor compliance with this instruction.

(2) Administer the Navy's frocking program to include the periodic review and revision of paragraph 5d(6) and enclosure (1) of this instruction.

(3) Approve or disapprove, or delegate the authority to approve or disapprove, all naval officer requests for frocking to grades O-6 and below, including CWO to LDO, per references (a) through (c) and enclosure (1).

(a) Commander, Navy Personnel Command (COMNAVPERSCOM) Career Progression Department, Officer Programs Branch (PERS-831) will deliver authority to frock ADL officers to grades O-6 and below via letter.

(b) COMNAVPERSCOM Reserve Personnel Management Department, Affiliation and Redesignation Division (PERS-92) will deliver authority to frock full-time support (FTS) or Selected Reserve (SELRES) officers to grades O-6 and below via letter.

(4) Submit all flag officer frocking requests via ASN (M&RA) to SECNAV for endorsement. Flag officer frocking is coordinated directly through Chief of Naval Operations, Navy Flag Officer Management and Distribution (N00F).

(5) Submit frocking reports to OSD as requested. COMNAVPERSCOM (PERS-831) will prepare the O-6 and below frocking report and forward directly to PDUSD(P&R).

d. Commandant of the Marine Corps (CMC), Senior Leader Management Branch (MMSL), shall submit all general officer frocking requests to PDUSD(P&R) via SECNAV Special Assistant for Legal and Legislative Matters and CJCS, if applicable.

e. The Deputy Commandant, Manpower and Reserve Affairs, (MMOA-3) and CMC (MMSL) shall:

(1) Monitor compliance with this instruction.

(2) Administer the Marine Corps' frocking program to include the periodic review and revision of paragraph 5d(7) and enclosure (1) of this instruction.

(3) Process and track all officer frocking requests.

(4) Approve or disapprove all requests to frock officers to field grades (O-4 through O-6) per references (b) and (h) and enclosure (1).

(5) Submit frocking reports to OSD as requested. The Personnel Management Division will prepare the O-6 and below frocking report and forward directly to PDUSD(P&R).

f. Marine Corps commanding generals shall:

(1) Approve frocking of first lieutenants to captain per reference (g) and consistent with limits established by SECNAV.

(2) Approve frocking of CWOs selected for appointment to the grade of captain from the LDO program per reference (j).

(3) Submit captain frocking notification to MMOA-3.

g. Commands shall submit frocking requests with the following information (requests from individual officers will not be accepted):

(1) Full name and designator of officer to be frocked.

(2) Grade to which frocking is desired.

(3) Date-time group of all Navy messages which announced the officer's selection for promotion.

(4) Command name, unit identification code and mailing address.

(5) Billet for the higher grade which the officer occupies, or to which the officer is ordered which may qualify for frocking. Include the title and billet identification code.

(6) Requested frocking date.


(7) Brief justification paragraph describing how billet fits the frocking eligibility criteria listed in enclosure (1) and extenuating circumstances for a requested frocking date that falls outside the guidelines of paragraphs 5d(2) above.

(8) Point of contact, telephone number and e-mail address.

h. COMNAVPERSCOM or Headquarters, U.S. Marine Corps, will take action on frocking requests once Senate confirmation is received.

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9. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1 of January 2012.



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(Manpower and Reserve Affairs)

Distribution:

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<http://doni.daps.dla.mil/>

OFFICER FROCKING CRITERIA

1. Refer to table below for frocking criteria and priority per paragraph 5d(6) and 5d(7) of this instruction.

1.	Billets with the title of Defense Attaché, Marine Attaché, or Naval Attaché
2.	Billets attached to the immediate staffs of the Offices of the President and Vice President of the United States
3.	Billets attached to the immediate staffs of the Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense as defined in reference (b), sections 131(b)(1), (2) and (4)
4.	Billets attached to the immediate staffs of the Joint Chiefs of Staff as defined by reference (b), section 151(a)(1-6)
5.	Joint Duty Assignment List billets
6.	Billets with the title of commanding officer (CO), commander, or chief (chief applies only to flag positions)
7.	Billets with the title of executive officer (XO) when selection for command is a prerequisite for assignment (commands where the XO "fleets up" to CO)
8.	Select service headquarters billets including, but not limited to, billets attached to immediate staffs of the service secretaries, service under secretaries and assistant service secretaries as defined in reference (b), sections 3014b(1) and (2), sections 5014b(1) and (2), and sections 8014b(1) and (2).
9.	Executive assistants, military advisors, chiefs of staff, and comparable billets that report directly to admirals, generals, vice admirals, lieutenant generals and Senior Executive Service equivalents.
10.	Billets with the title of officer in charge
11.	Other billets with the title of XO
12.	Formal service school billets where the higher grade is a prerequisite for admission
13.	Acquisition Corps major program manager billets acquisition I

2. Once the prerequisites are met per paragraph 5, requests for frocking may be sent in writing, as outlined in paragraph 8f, as follows:

Navy		
	ACTIVE DUTY LIST OFFICERS	FTS AND SELRES OFFICERS
MAIL	Commander, Navy Personnel Command (PERS-831) Career Progression Department, Officer Programs Branch 5720 Integrity Drive Millington, TN 38055-8000	Commander, Navy Personnel Command (PERS-92) Reserve Officer Community Manager 5720 Integrity Drive Millington, TN 38055-9000
MSG	COMNAVPERSCOM (PERS-831)	COMNAVPERSCOM (PERS-92)
FAX	Commander, Navy Personnel Command (PERS-831) Career Progression Department, Officer Programs Branch COMM: (901) 874-2675/DSN 882	Commander, Navy Personnel Command (PERS-92) Reserve Officer Community Manager COMM: (901) 874-2910/DSN 882

Marine Corps		
	ACTIVE DUTY OFFICERS	AR AND SMCR OFFICERS
MAIL	Headquarters, U.S. Marine Corps Manpower & Reserve Affairs (MMA-3) 3280 Russell Road Quantico, VA 22134-5103	Headquarters, U.S. Marine Corps M&RA 3280 Russell Road Quantico, VA 22134
MSG	CMC WASHINGTON DC MRA MM MMA3 (UC)	CMC WASHINGTON DC MRA RA RAP (UC)
FAX	Headquarters, U.S. Marine Corps M&RA, Attn: MMA-3 COMM: (703) 784-9284/5/DSN 278	Headquarters, U.S. Marine Corps M&RA, Attn: Reserve Affairs Plans COMM: (703) 784-9809/DSN 278