



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
1000 NAVY PENTAGON
WASHINGTON, D.C. 20350-1000

SECNAVINST 1420.2B
ASN (M&RA)
30 Oct 18

SECNAV INSTRUCTION 1420.2B

Subj: FROCKING OF COMMISSIONED OFFICERS

Ref: (a) DoD Instruction 1334.02 of 7 December 2012
(b) 10 U.S.C. §131, §151, §523, §574, §777, §3014, §5014, §8014, §12241, §14002
(c) SECNAVINST 1412.9 (Series)
(d) SECNAVINST 1420.1 (Series)
(e) SECNAVINST 1412.8 (Series)
(f) MCO P1400.31C
(g) SECNAVINST 5200.35 (Series)

Encl: (1) Definitions
(2) Frocking Policy
(3) 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 1420.2A.

3. Applicability. This instruction applies to DON commissioned officers in paygrades O-2 through O-9 on the Active Duty List (ADL) or the Reserve Active-Status List (RASL), Limited Duty Officers (LDOs), and Chief Warrant Officers (CWOs).

4. Policy. The Navy or Marine Corps may frock an officer to the next higher grade per references (a) through (f) and enclosures (1) through (3).

5. Responsibilities

a. The Secretary of the Navy (SECNAV) will:

(1) Endorse or delegate authority to endorse General and Flag Officer frocking requests, and submit such requests to the

Secretary of Defense (SECDEF) or Under Secretary of Defense (Personnel and Readiness) (USD (P&R)) as appropriate; and

(2) Route General and Flag Officer frocking requests through the Chairman of the Joint Chiefs of Staff in cases of officers currently in, or projected to be assigned to, joint positions.

b. The Assistant Secretary of the Navy (Manpower and Reserve Affairs) (ASN (M&RA)) will review and endorse all General and Flag Officer frocking requests and forward them to SECNAV.

c. The Chief of Naval Personnel will:

(1) Monitor compliance with this instruction, ensure compliance with DoD policy and statute, and establish controls to ensure that the Navy does not exceed frocking limits;

(2) Administer the Navy's frocking program to include the periodic review and revision of paragraph 2e of enclosure (2) and enclosure (3) 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) and (b), and enclosure (3);

(a) Commander, Navy Personnel Command (COMNAVPERSCOM) (PERS-80) will deliver authority to frock ADL officers to grades O-6 and below via letter;

(b) COMNAVPERSCOM (PERS-92) will deliver authority to frock Full Time Support or Selected Reserve (SELRES) officers to grades O-6 and below via letter; and

(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).

d. Commandant of the Marine Corps (CMC), Senior Leadership Management Branch (MMSL), will submit all General Officer frocking requests via ASN (M&RA) for SECNAV endorsement.

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

(1) Monitor compliance with this instruction, ensure compliance with DoD policy and statute, and establish controls to ensure that the Marine Corps does not exceed frocking limits;

(2) Administer the Marine Corps' frocking program to include the periodic review and revision of paragraph 2e of enclosure (2) and enclosure (3) of this instruction;

(3) Process and track all officer frocking requests; and

(4) Approve or disapprove all requests to frock officers to field grades (O-4 through O-6) per references (a) and (b), and enclosure (3).

f. Marine Corps Commanding Generals will:

(1) Approve frocking of First Lieutenant to Captain 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 (c); and

(3) Submit Captain frocking notifications to Deputy Commandant, MMOA-3.

g. Commands will 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 Message that 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 (3) as applicable, and extenuating circumstances for a requested frocking date that falls outside the guidelines of paragraph 2a of enclosure (2); and

(8) Point of contact, telephone number, and email address.

h. COMNAVPERSCOM or Headquarters Marine Corps will take action on frocking requests once Senate confirmation occurs; or, where Senate confirmation is not required, once promotion selection occurs.

i. In accordance with reference (g), the establishment and use of internal controls and accounting procedures are mandated to ensure: effectiveness and efficiency of operations; reliability of financial reporting; and compliance with applicable laws and regulations. Additionally, as part of the annual Manager's Internal Control Program report, the Navy and Marine Corps will provide ASN (M&RA) with copies of the sections of their reports that are relevant to the frocking program. The reports will include summary descriptions of internal controls used, their sufficiency, and any identified weaknesses or deficiencies.

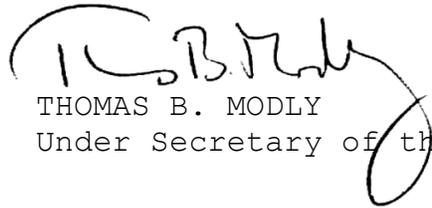
6. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules found on the Directives and Records Management Division (DRMD) portal page:

<https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Sitepages/Home.aspx>.

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b. For questions concerning the management of records related to this instruction of the records disposition schedules, please contact your local Records Manager or the DRMD program office.



THOMAS B. MODLY
Under Secretary of the Navy

Distribution:

Electronic only, via Department of the Navy Issuances website
<http://doni.documentservices.dla.mil/>.

DEFINITIONS

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

2. 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.

3. Frocking. The administrative authority from 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.

FROCKING POLICY

1. No General or Flag Officer can be frocked until all of the following occur: the Senate confirms the appointment of the officer to the higher grade; SECDEF or USD (P&R) approves the frocking of the officer to the higher grade; and SECDEF or USD (P&R) notifies Congress of the intent to authorize the officer to wear the insignia of the higher grade. The notification to Congress may not take place until after Senate confirmation, and a minimum of 30 days must pass after the notification before the officer begins to wear the insignia of the higher grade.

2. The following are the criteria and policy for frocking officers to grades CWO3 through O-10:

a. An officer must be serving in a higher-grade position, or have Permanent Change of Station (PCS) orders to serve in a higher-grade position, and have detached from the previous position.

(1) An officer with PCS orders must begin serving in the position of the higher grade within 60 days of the requested frocking date. If an extended delay in reporting is expected during PCS, the Navy or Marine Corps (with SECDEF or SECDEF delegate approval if required) may frock an officer to grade O-8 or below for no more than 120 days before the officer begins 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.

(2) For SELRES officers, the billet an officer is "serving in" (for the purposes of these criteria) means the officer's reserve billet, as documented by Inactive Duty Training orders. Temporary duty orders (for example, mobilization, Active Duty for Special Work, Active Duty for Training, or Annual Training or other temporary duty orders) do not affect a member's eligibility.

b. Frocking is only permitted when it is essential to an officer's effectiveness in the assigned billet. Criteria for billets supporting this determination are listed in enclosure (3). Appropriate positions for frocking of officers to grades O-7 through O-10 are:

(1) Assignments to duties in the international environment;

(2) Assignment to joint duties;

(3) Assignment to command; or

(4) Other unusual circumstances, as SECNAV determines.

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

d. Limitations on the number of officers frocked to specified grades are as follows:

(1) The number of Navy and Marine Corps officers on the ADL authorized for frocking to grades O-4 through O-10 may not exceed the limitations outlined in reference (b), sections 523 and 777.

(2) Frocking allocations to grades O-7 through O-10 to the Navy and Marine Corps are as set forth in reference (a).

(3) When references (a) or (b) do not provide specific limitations, SECNAV determines frocking limits following the standards set forth in those references.

e. To be frocked, a Navy or Marine Corps officer must be currently serving in, or ordered to, a PCS billet that meets at least one of the criteria listed in enclosure (3). When changing billets, an officer should have already detached from the previous billet.

f. Requests for exceptions to any frocking policy set forth in this instruction must be submitted via SECNAV and must be approved by SECDEF, except that exceptions to only the billet criteria listed in enclosure (3) may be approved by SECNAV.

3. 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 (d) through (f); and
- f. Officers in the Dental Corps or Medical Corps, or who are Permanent Military Professors.

4. 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; and
- d. Officers will purchase uniforms at their own expense.

OFFICER FROCKING CRITERIA

1. Refer to the list below for frocking criteria per enclosure (2) of this instruction.

a. Billets with the title of Defense Attaché, Marine Attaché, or Naval Attaché;

b. Billets attached to the immediate staffs of the Offices of the President and Vice President of the United States;

c. 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);

d. Billets attached to the immediate staffs of the Joint Chiefs of Staff per reference (b), section 151(a)(1-6);

e. Joint Duty Assignment List billets;

f. Billets with the title of Commanding Officer (CO), Commander, or Chief (Chief applies only to General or Flag positions);

g. Billets with the title of Deputy Commander when selection for major command is a prerequisite for assignment (major commands where the Deputy "fleets up" to Commander);

h. Billets with the title of Executive Officer (XO) or Deputy when selection for command is a prerequisite for assignment (commands where the XO/Deputy Commander/Deputy Commodore "fleets up" to CO/Commander/Commodore);

i. 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);

j. 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;

- k. Billets with the title of officer in charge;
- l. Other billets with the title of XO/Deputy Commander;
- m. Formal service school billets where the higher grade is a prerequisite for admission; and
- n. Acquisition Corps major program manager billets acquisition.

2. Once the prerequisites are met per enclosure (2), requests for frocking may be sent in writing, as outlined in paragraph 5.g. of this instruction, as follows:

NAVY		
	ADL OFFICERS	FTS AND SELRES OFFICERS
MAIL	Commander, Navy Personnel Command (PERS-806) Career Progression Department, Officer Accessions & Promotions 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
MESSAGE	COMNAVPERSCOM (PERS-806)	COMNAVPERSCOM (PERS-92)
FAX	Commander, Navy Personnel Command (PERS-806) Career Progression Department, Officer Accessions & Promotions Branch COMM: (901) 874-2675/DSN 882	Commander, Navy Personnel Command (PERS-92) Reserve Officer Community Manager COMM: (901) 874-2910/DSN 882
EMAIL		Requests should be submitted via email to pers-92@navy.mil.

MARINE CORPS		
	ACTIVE DUTY OFFICERS	ACTIVE RESERVE AND SELECTED MARINE CORPS RESERVE 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
MESSAGE	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: RAP COMM: (703) 784-9809/DSN 278