



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

SECNAVINST 1421.3M  
ASN (M&RA)  
17 Dec 2019

SECNAV INSTRUCTION 1421.3M

From: Secretary of the Navy

Subj: TEMPORARY SPOT PROMOTION OF OFFICERS

Ref: (a) 10 U.S.C. §605  
(b) SECNAVINST 5200.35G  
(c) SECNAV M-5214.1  
(d) SECNAVINST 1420.3  
(e) SECNAVINST 1412.8C

Encl: (1) Temporary Spot Promotion of Officers Process

1. Purpose. To establish policy and procedures for the temporary (spot) promotion of certain Navy Lieutenants Junior Grade (LTJG), Lieutenants (LT), Lieutenant Commanders (LCDR), and Commanders (CDR) regularly assigned to the operating forces and other activities specifically designated by the Secretary of the Navy (SECNAV), who are serving in or may be ordered to billets designated to be held by an officer of the next higher grade, per reference (a). This instruction is a complete revision and should be read in its entirety.

2. Cancellation. SECNAVINST 1421.3L.

3. Background. Reference (a) authorizes the spot promotion of certain LTJGs, LTs, LCDRs, and CDRs to the grade of LT, LCDR, CDR, or Captain (CAPT) under regulations prescribed by SECNAV when those officers have skills in which the Navy is critically short and are serving in positions (billets) designated to be held by officers of the next higher grade and requiring the skills possessed by such officers.

4. Applicability. This instruction applies to Line Officers (Unrestricted and Restricted), including Limited Duty Officers, of the Regular Navy and of the Reserves if designated as Full-Time Support (FTS). Spot promotions made under the SECNAV Instruction 1421.3L will remain effective until terminated as provided in this instruction.

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## 5. Policy

a. SECNAV has determined a critical shortage exists for personnel possessing certain skills at the paygrades delineated below.

(1) LT: Not currently used.

(2) LCDR: Engineering or special warfare.

(3) CDR: Operational command executive leadership.

(4) CAPT: Post-command operational executive leadership.

b. This shortage necessitates the spot promotion of selected officers of the line who possess such skills and who serve in such positions. Officers will be appointed only after Senate confirmation of the recommendations of a spot promotion selection board convened by SECNAV.

## 6. Responsibilities

a. The Assistant Secretary of the Navy (Manpower and Reserve Affairs) (ASN (M&RA)) is responsible for the management oversight of the Department of the Navy Commissioned Officer Promotion Program and performs additional functions related to commissioned officer promotion actions pursuant to express delegation by SECNAV.

b. Deputy Chief of Naval Operations (Manpower, Personnel, Training and Education) (DCNO (N1)) is responsible for implementing the Temporary Spot Promotion Program pursuant to this instruction. DCNO (N1) shall make timely submission of selection board precepts to SECNAV and may recommend, with supporting justification, changes to the list of critical skills and qualifying billets as necessary to meet the requirements of paragraph 5.

## 7. 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

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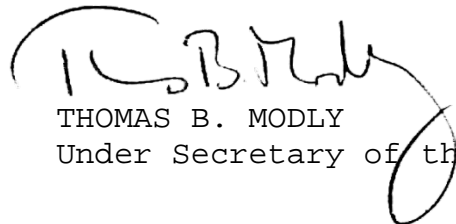
found on the Directives and Records Management Division (DRMD) portal page:

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

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

8. Internal Controls. In accordance with reference (b), 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 Controls Program report, the Navy will provide ASN (M&RA) with copies of the sections of their reports that are relevant to the temporary spot promotion of officers. The reports will include summary descriptions of internal controls used, their sufficiency, and any identified weaknesses or deficiencies.

9. Information Management Control. The reporting requirements contained in paragraph 8, enclosure (1), paragraphs 4(b) and 4(c) are exempt from information management control, per reference (c), Part IV, paragraph 7k.



THOMAS B. MODLY  
Under Secretary of the Navy

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**TEMPORARY SPOT PROMOTION OF OFFICERS PROCESS**

1. Eligibility

a. Designators and Skills

(1) Active Component officers in the unrestricted or restricted line, possessing the skills required for assignment to billets as designated at the spot promotion board link, <https://www.mnp.navy.mil/group/career-planning>, are eligible.

(2) FTS officers qualified for assignment to billets as designated at the spot promotion board link are eligible.

b. Service in Grade. By the date of the selection board, eligible officers must have served two years in grade, computed from their dates of rank.

c. Qualifying Billets. To be considered for spot promotion, eligible officers must be serving in, ordered to, or approved for one of the billets specifically listed at the spot promotion board link. Updates and waiver requests to the billet list shall be approved by ASN (M&RA) following submission via DCNO (N1) and are required prior to board action.

d. Minimum Period in Qualifying Billets. An eligible officer should have at least one year remaining to serve in a qualifying billet following the date of the Commanding Officer's (CO) recommendation for spot promotion or expected reporting date to the qualifying billet, whichever is later. Officers whose Projected Rotation Date (PRD) precludes eligibility for spot promotion may request PRD adjustment to meet the one year requirement. Requests for PRD adjustment, with appropriate endorsements by the CO, shall be forwarded to Navy Personnel Command (NAVPERSCOM), Career Management Department (PERS-4) for consideration.

(1) This requirement is waived for officers whose names are already on promotion lists as a result of normal selection board actions.

(2) An FTS officer whose scheduled Release from Active Duty (RAD) date precludes eligibility for spot promotion may request an extension on active duty to meet the one year

requirement. The requested extension must be at least six months in duration.

e. Failure of Selection. Officers who have a Failure of Selection (FOS) on their most recent statutory promotion selection board are not eligible to be spot promoted. Officers already in a spot promote status at the time of their FOS will be allowed to remain in their billets and retain spot promote status until they transfer from the billets, at which time they will revert to their previous grades.

f. Recommendation. Otherwise eligible officers must be recommended for spot promotion by their CO, per paragraph 2 of this enclosure, except as provided in subparagraph 2c.

2. Command Recommendation. COs will submit to NAVPERSCOM (PERS-4) the names of those eligible officers who, in their opinion, should be nominated for spot promotions.

a. The recommendation must include comments on the officer's performance potential in the qualifying billet and potential to successfully perform duties required in the spot promoted grade.

b. If the officer desires an adjusted PRD or extended RAD date to establish eligibility for consideration for spot promotion, then the recommendation must comment on that request. Such requests for an officer not yet serving in a qualifying billet shall be submitted via the prospective reporting senior.

c. Officers under orders to qualifying billets whose names appear on a promotion list, but who have not yet been promoted, may be recommended by DCNO (N1) to NAVPERSCOM (PERS-4) for certification that the necessary requirements in paragraph 1 of this enclosure are met.

3. Spot Promotion Eligibility. Spot Promotion Selection Board action shall be based on NAVPERSCOM (PERS-4) records and recommendations of nominating COs as applicable. The nomination process shall certify for each officer nominated that:

a. A bona fide requirement for temporary promotion exists within the command, e.g., an officer of the required grade with

appropriate qualifications is not available for the qualifying billet.

b. The planned duration of the officer's assignment in the qualifying billet will not be less than the minimum period prescribed in paragraph 1d of this enclosure, unless a PRD adjustment is granted under that paragraph.

c. The billet is a Secretarial-designated billet listed at the spot promotion board link.

d. The officer is eligible for temporary promotion by virtue of present grade and time of service in present grade as prescribed in paragraph 1b of this enclosure.

e. The officer has been recommended by his or her CO as prescribed in paragraph 2 of this enclosure.

#### 4. Spot Promotion Selection Board

a. SECNAV will normally convene a selection board quarterly for O-4 and semi-annually for O-5 and O-6, executed by NAVPERSCOM Career Progression Department (PERS-8), to consider those officers presented for consideration by the nomination process. NAVPERSCOM (PERS-8) shall submit a proposed precept in accordance with the precept processing deadlines in reference (d), enclosure (10).

b. Upon completion of its deliberations, the selection board shall forward its report to SECNAV for approval via DCNO (N1), the Judge Advocate General of the Navy for legal review, and ASN (M&RA). Following approval, SECNAV will forward the list of names to the Secretary of Defense with the recommendation that the President forward the nominations to the Senate for confirmation.

c. In conjunction with the report of the last board of each fiscal year, DCNO (N1) shall provide, via ASN (M&RA), SECNAV with summary data comparing the end strengths to the authorizations of LTs, LCDRs, CDRs, and CAPTs with the skills required for the billets designated at the spot promotion board link. The report will include recommendations based on that data, for any changes to applicability or skills designated in

paragraphs 4 and 5 of the basic instruction, or to the billets listed at the spot promotion board link.

5. Spot Appointment. Officers approved for appointments in temporary grades may be promoted on the date they report to qualifying billets or the date of Senate confirmation of the appointments, whichever is later. Spot appointments will terminate as provided in paragraph 6 of this enclosure.

a. Retroactive appointments and back pay are not authorized.

b. Officers selected for spot promotion are not eligible for frocking.

c. If the member has not reported to the specific qualifying billet, but has been Senate confirmed, then NAVPERSCOM (PERS-4) may assign the member to another qualifying billet without secondary board action. A new CO nomination letter shall be obtained with the member's current CO endorsing the member for the new qualifying billet. This new nomination letter shall be sent to NAVPERSCOM (PERS-4) and NAVPERSCOM (PERS-8) for verification.

6. Termination of Appointments

a. Temporary appointments shall terminate upon:

(1) An officer's promotion to the permanent grade of LT, LCDR, CDR, or CAPT as applicable.

(2) A modification of orders which terminates eligibility.

(3) Commencement of processing for separation from active duty.

(4) The day the officer detaches from a qualifying billet, unless the officer is on a promotion list to the next higher permanent grade, in which case the appointment terminates on the date the officer is promoted to that grade.

(5) An officer is convicted at court-martial, found guilty at non-judicial punishment, or is detached for cause while serving in the qualifying billet.

b. Upon termination, officers will revert to the highest permanent or temporary grade held prior to appointment, except for officers whose termination is the result of a promotion to the permanent grade under paragraph 6a(1) of this enclosure.

c. If the member is transferring from one qualifying billet immediately to another qualifying billet, then a second spot promotion board is not required. Prior to transfer, NAVPERSCOM (PERS-4) shall verify the member meets all the requirements as prescribed in paragraph 1 of this enclosure and a new CO nomination letter shall be obtained with the current CO endorsing the member for the new billet. This shall be sent to NAVPERSCOM (PERS-4) and NAVPERSCOM (PERS-8) for verification prior to the member's transfer.

7. Status of Spot Promoted Officers. Because spot promoted officers serve concurrently in their lower permanent grades and temporary higher grades, spot promotions will not influence the officer's eligibility for consideration by the statutory promotion selection boards convened pursuant to references (d) or (e). In addition, an Active Component officer's permanent grade and position on the Active Duty List of the Navy is not changed by a spot promotion. An FTS officer's permanent grade and position on the Reserve Active Status List is not changed by a spot promotion.

a. Date of Rank

(1) The date of rank and effective date for entitlement to pay and allowances of the temporary grade will be stated in the officer's appointment. The date of rank assigned will be the date the Senate confirms the initial spot appointment, or the date the officer reports into a qualifying billet, whichever is later.

(2) Only one officer can serve in a qualifying billet; overlap is not authorized. NAVPERSCOM (PERS-4) shall validate that the member has arrived at the qualifying spot billet and notify NAVPERSCOM (PERS-8). NAVPERSCOM (PERS-8) shall promote



the member and notify the command of the promotion once occupancy of the qualifying billet is verified.

b. Delivery and Acceptance. NAVPERSCOM (PERS-8) shall forward, via the CO, the officer's temporary appointment to the next higher grade upon NAVPERSCOM (PERS-4) notification that the officer has arrived at the qualifying billet or upon Senate confirmation, whichever is later.

(1) Each spot appointment is considered accepted by the officer, unless it is expressly declined.

(2) Officers selected for promotion who elect to decline the temporary appointment shall so state in writing, in which case the appointment authority terminates. The CO shall forward the original of the officer's declination to NAVPERSCOM (PERS-4) and NAVPERSCOM (PERS-8).

#### 8. Entitlement

a. Officers spot promoted shall be entitled to the pay and allowances of the temporary grade from the date specified in the appointment and while so serving until the appointment is terminated as provided in paragraph 6 of this enclosure. COs shall advise NAVPERSCOM (PERS-4), via the appropriate detailers and disbursing officers, of the effective date of appointment and reversion as described in paragraph 6 of this enclosure. NAVPERSCOM (PERS-4) shall notify NAVPERSCOM (PERS-8) of each reversion. Orders detaching an officer will indicate the pay grade on which permanent change of station entitlement will be based.

b. For the purposes of retirement, time in grade shall be calculated based on permanent appointment date rather than temporary appointment date.