



Department of Defense **INSTRUCTION**

NUMBER 1334.02

December 7, 2012

USD(P&R)

SUBJECT: Frocking of Commissioned Officers

References: See Enclosure 1

1. PURPOSE. This Instruction:

a. Reissues DoD Directive (DoDD) 1334.2 (Reference (a)) as a DoD Instruction (DoDI) in accordance with the authority in DoDD 5124.02 (Reference (b)) to establish policies and procedures and assign responsibilities to frock officers in accordance with sections 777 and 777a of title 10, United States Code (Reference (c)).

b. Incorporates and cancels Principal Deputy Under Secretary of Defense for Personnel and Readiness (PDUSD(P&R)) Memorandums (References (d) and (e)), and Assistant Secretary of Defense for Force Management Policy Memorandums (References (f), (g), and (h)).

2. APPLICABILITY. This Instruction applies to:

a. OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff (CJCS) and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense.

b. All commissioned officers in the Military Services, except for the United States Coast Guard.

3. DEFINITIONS. See Glossary.

4. POLICY. It is DoD policy that:

a. The Under Secretary of Defense for Personnel and Readiness (USD(P&R)) may approve frocking of commissioned officers to the grades of O-7 through O-10 pursuant to sections 777 and 777a of Reference (c) and Deputy Secretary of Defense Memorandum (Reference (i)).

b. The Military Department Secretaries may frock an officer to the next higher grade pursuant to section 777 of Reference (c), which regulates the exercise of frocking authority by establishing strict criteria as prerequisites for frocking commissioned officers to grades O-4 through O-6 and thereby provides a standardized frocking policy among the Military Services.

c. All statutory and numeric frocking limitations must be adhered to throughout the fiscal year.

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. Enclosure 3 provides overarching procedures, restrictions, allocations, and requirements for the coordination and approval of frocking actions.

7. INFORMATION REQUIREMENTS. The Frocking Report referred to in paragraph 2.c. of Enclosure 2 has been assigned report control symbol DD-P&R(AR)2507 in accordance with the procedures in DoD 8910.01-M (Reference (j)).

8. RELEASABILITY. UNLIMITED. This Instruction is approved for public release and is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

9. EFFECTIVE DATE. This Instruction:

a. Is effective December 7, 2012.

b. Must be reissued, cancelled, or certified current within 5 years of its publication in accordance with DoDI 5025.01 (Reference (k)). If not, it will expire effective December 7, 2022 and be removed from the DoD Issuances Website.

Enclosures

1. References
2. Responsibilities
3. Procedures

Glossary

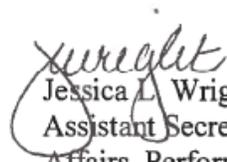

Jessica L. Wright
Assistant Secretary of Defense for Reserve
Affairs, Performing the Duties of the Under
Secretary of Defense for Personnel and
Readiness

TABLE OF CONTENTS

ENCLOSURE 1: REFERENCES.....4

ENCLOSURE 2: RESPONSIBILITIES.....5

 USD(P&R).....5

 SECRETARIES OF THE MILITARY DEPARTMENTS.....5

 CJCS5

ENCLOSURE 3: PROCEDURES.....6

 STATUTORY REQUIREMENTS.....6

 Authority.....6

 Restrictions6

 Benefits Not To Be Construed as Accruing.....6

 Frocking Limitations.....7

 GENERAL AND FLAG OFFICER SERVICE FROCKING ALLOCATIONS7

 General and Flag Officers.....7

 Borrowing Allocations From Another Service Secretary.....7

 GENERAL AND FLAG OFFICER CRITERIA AND REQUESTS TO FROCK8

 Criteria8

 Justifications for Frocking8

 Request Requirements8

GLOSSARY10

 PART I: ABBREVIATIONS AND ACRONYMS10

 PART II: DEFINITIONS.....10

ENCLOSURE 1

REFERENCES

- (a) DoD Directive 1334.2, "Frocking of Commissioned Officers," February 12, 2002 (hereby cancelled)
- (b) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))," June 23, 2008
- (c) Title 10, United States Code
- (d) Principal Deputy Under Secretary of Defense for Personnel and Readiness Memorandum, "General and Flag Officer Frocking," February 9, 2005 (hereby cancelled)
- (e) Principal Deputy Under Secretary of Defense for Personnel and Readiness Memorandum, "General and Flag Officer Frocking," January 14, 2004 (hereby cancelled)
- (f) Assistant Secretary of Defense for Force Management Policy Memorandum, "Frocking Allocations," October 14, 1999 (hereby cancelled)
- (g) Assistant Secretary of Defense for Force Management Policy Memorandum, "General and Flag Officer Management Report," April 23, 1999 (hereby cancelled)
- (h) Assistant Secretary of Defense for Force Management Policy Memorandum, "General and Flag Officer Management Reports," December 7, 1992 (hereby cancelled)
- (i) Deputy Secretary of Defense Memorandum, "General and Flag Officer Frocking," January 7, 2004¹
- (j) DoD 8910.01-M, "Department of Defense Procedures for Management of Information Requirements," June 30, 1998
- (k) DoD Instruction 5025.01, "DoD Directives Program," September 26, 2012
- (l) Chairman of the Joint Chiefs of Staff Instruction 1331.01D, "Manpower and Personnel Actions Involving General and Flag Officers," August 1, 2010
- (m) DoD Directive 5124.08, "Principal Deputy Under Secretary of Defense for Personnel and Readiness (PDUSD (P&R))," February 19, 2009
- (n) DoD Instruction 1320.08, "Continuation of Commissioned Officers on Active Duty and on the Reserve Active-Status List," March 14, 2007

¹ Copies may be obtained from the secure Internet website at the General Flag Officer Decision Support System (<https://www.dmdc.osd.mil/gofo>) or by calling (703) 697-4685

ENCLOSURE 2

RESPONSIBILITIES

1. USD(P&R). The USD(P&R), in accordance with the authority delegated in Reference (i), will:

a. Authorize qualified general and flag officers to wear the insignia of the next higher grade before promotion, notify Congress of this intent, and exercise overall responsibilities for DoD frocking policy.

b. Monitor compliance with this Instruction.

2. SECRETARIES OF THE MILITARY DEPARTMENTS. The Secretaries of the Military Departments will:

a. Establish controls to ensure their respective Military Departments do not exceed frocking limits and that all frocking restrictions are adhered to in accordance with sections 777 and 777a of Reference (c).

b. Approve or delegate authority to approve frocking for grades O-4 through O-6 and administer the frocking programs of their respective Military Departments, ensuring compliance with applicable statutes and this Instruction.

c. Submit to the USD(P&R), as requested, a frocking report for officers to be frocked to grades above colonel, and captain for the Navy, that includes the name of the officer frocked, frocked grade, date the officer was frocked, the number of months frocked before promoted, the date the officer was confirmed, the officer's projected date of promotion (PDOP), current duty position, and future position.

3. CJCS. The CJCS will:

a. Formulate procedures and instructions to implement and support OSD instructions governing the frocking of commissioned officers.

b. Review and provide advice on frocking requests from the Secretaries of the Military Departments.

ENCLOSURE 3

PROCEDURES

1. STATUTORY REQUIREMENTS

a. Authority. The Secretary of Defense is the approval authority for frocking officers above the grades of colonel, and captain for the Navy, pursuant to sections 777 and 777a of Reference (c). The Secretary of Defense has delegated this in Reference (i), to the USD(P&R).

b. Restrictions. An officer may not wear the insignia for the frocked grade unless:

(1) The Senate has confirmed the appointment of the officer to that grade.

(2) The USD(P&R) has approved the officer to wear the insignia of that grade.

(3) The USD(P&R) has submitted to Congress a written notification of the intent to authorize the officer to wear the insignia for that grade.

(4) The officer to be frocked to the grade of brigadier general or major general or, in the case of the Navy, rear admiral (lower half) or rear admiral, is serving in, or has received orders to serve in, a position for which that grade is authorized.

(5) The officer to be frocked to the grade of lieutenant general or general or, in the case of the Navy, vice admiral or admiral, has received orders to serve in a position outside the Military Department of that officer for which that grade is authorized. An officer who has been confirmed for appointment to the grade of lieutenant general or general or, in the case of the Navy, vice admiral or admiral, may be authorized to wear the insignia for that higher grade for a period of up to 14 days before assuming the duties of a position outside the officer's Military Department where the higher grade is authorized.

c. Benefits Not To Be Construed as Accruing

(1) An officer authorized to wear the insignia of the next higher grade will not:

(a) Be paid at the higher rate of pay.

(b) Assume any legal authority associated with that grade.

(2) The time an officer wears the insignia of the next higher grade does not count as:

(a) Seniority in that grade.

(b) Time of service in that grade.

d. Frocking Limitations. The limitations on number of officers frocked by grades are:

(1) The total number of officers on the active-duty list in the grades of colonel and above or, in the case of the Navy, captain and above, who are authorized to wear the insignia for the next higher grade may not exceed 85.

(2) Officers frocked to the grade of colonel, or, in the case of the Navy, captain, may not exceed two percent of the total number provided for the officers in that grade in that Military Service pursuant to section 523 of Reference (c) for that fiscal year.

(3) Officers frocked to the grades of major and lieutenant colonel or, in the case of the Navy, lieutenant commander and commander, may not exceed 1 percent of the total number provided for the officers in those grades in that Military Service in accordance with section 523 of Reference (c) for that fiscal year.

2. GENERAL AND FLAG OFFICER SERVICE FROCKING ALLOCATIONS

a. General and Flag Officers. Frocking allocations to the grades of O-7 through O-10 are as follows:

(1) Army: 29

(2) Air Force: 27

(3) Navy: 21

(4) Marine Corps: 8

b. Borrowing Allocations From Another Service Secretary

(1) A Secretary of a Military Department, who certifies that the frocking of an officer is essential to the officer's duties and that the frocking of the officer will cause the Military Department concerned to exceed the frocking allocation outlined in paragraph 2.a. of this enclosure, may request to borrow one or more frocking allocations from the Secretary of another Military Department.

(2) The requesting Military Department Secretary will provide a written memorandum of agreement, signed by both Military Department Secretaries, that describes the details of the agreement, to include the number of frocking allocations agreed upon and the duration of the loan.

(3) The requesting Military Department Secretary will include the memorandum of agreement in the frocking request package submitted to the USD(P&R).

3. GENERAL AND FLAG OFFICER CRITERIA AND REQUESTS TO FROCK

a. Criteria. Criteria established as prerequisites for frocking general and flag officers are:

(1) An officer to be appointed to the grade of lieutenant general or general, or, in the case of the Navy, vice admiral or admiral, must:

(a) Meet the requirements in section 777a of Reference (c).

(b) Have orders to serve in a position outside the Military Department of that officer.

(2) An officer to be appointed to the grade of brigadier general or major general or, in the case of the Navy, rear admiral (lower half) or rear admiral must:

(a) Meet the requirements in section 777 of Reference (c).

(b) Be serving in, or have received orders to serve in, a position for which that grade is authorized.

b. Justifications for Frocking. Frocking must be essential to the officer's maximum effectiveness in the assigned billet. Appropriate positions are:

1. Assignment to duties in the international environment.

2. Assignment to joint duties.

3. Assignment to command.

4. Other unusual circumstances, as determined by the Secretary of the Military Department.

c. Request Requirements

(1) Military Department Secretaries will submit frocking requests for general and flag officers through the CJCS pursuant to CJCS Instruction 1331.01D (Reference (1)), certifying that frocking is essential to the officer's maximum effectiveness in the assigned billet and providing written justification that supports the certification.

(a) For an officer to be frocked to the grade of lieutenant general or general or, in the case of the Navy, vice admiral or admiral, the frocking request will be submitted as part of the nomination memorandum to the Secretary of Defense.

(b) For an officer frocked to the grade of brigadier general or major general or, in the case of the Navy, rear admiral (lower half) or rear admiral, the frocking request memorandum will be addressed to the USD(P&R) pursuant to DoDI 5124.08 (Reference (m)). If both the

USD(P&R) and the PDUSD(P&R) positions are vacant, the Military Department Secretary's memorandum is addressed to the Deputy Secretary of Defense.

(2) The request will include the officer's name or list of officers' names requiring frocking and will identify the requirements for the position that each officer is to be assigned. Each officer on the request must be aligned with a specific frocking allocation; each request will include the officer's name, current duty title, frocked grade, date frocking is required, projected date of assignment, duty requiring frocking, date of nomination by the President of the United States, date of confirmation by the Senate, promotion list, and justification. Refer to the General Flag Officer Decision Support System (www.dmdc.osd.mil/gofo) for additional information, examples, and templates.

(3) A list of officers currently frocked must also be provided with the request that includes name, frocking allocation number, frocked grade, PDOP, date authorized to frock, date frocked, and date of request.

(4) The request will include a list of officers within that Service who are approved for frocking, but not yet frocked. The list will include name, frocking allocation number, frocked grade, PDOP, date authorized to frock, projected date of frocking, and date of request.

(5) The request will include the frocking allocation timeline that explains the current and projected frocking. This timeline includes officers currently frocked, officers approved but not frocked, and the list of officers in the request. The information will include grade, frocking allocations (numbered one to the total number of allocations of the Service concerned) with the names of officers aligned to each allocation number, identified by months indicating how long each officer will be frocked, and which officer is planned to assume that allocation upon the officer's promotion.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

CJCS	Chairman of the Joint Chiefs of Staff
DoDD	DoD Directive
DoDI	DoD Instruction
PDOP	projected date of promotion
PDUSD(P&R)	Principal Deputy Under Secretary of Defense for Personnel and Readiness
USD(P&R)	Under Secretary of Defense for Personnel and Readiness

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purpose of this Instruction.

active-duty list. Defined in section 101 of Reference (c).

commissioned officer. Defined in DoDI 1320.08 (Reference (n)).

frocked. An officer who has been selected for promotion to the next higher grade may be authorized to wear the insignia for that next higher grade prior to the officer's promotion date; the officer is said to be "frocked" to that grade.

frocking. The administrative authority from the Secretary of the Military Department concerned 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.

PDOP. For an officer, the anticipated date that officer is due to be promoted. The PDOP is used by the Senate Armed Services Committee in determining when nomination scrolls may be considered for confirmation.