

COMNAVSURFORINST 1412.7
16 Dec 2019

COMMANDER, NAVAL SURFACE FORCES SURFACE WARFARE OFFICER CAREER MANUAL



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DEPARTMENT OF THE NAVY

NAVAL SURFACE FORCES
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COMNAVSURFORINST 1412.7

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COMNAVSURFOR INSTRUCTION 1412.7

From: Commander, Naval Surface Forces

Subj: SURFACE WARFARE OFFICER CAREER MANUAL

Ref: (a) COMNAVSURFORINST 1211.3
(b) COMNAVSURFORINST 3500.5
(c) NAVEDTRA 43492-2 Ships Control and Navigation
(d) NAVEDTRA 43101-4 SWO CICWO OOD Underway Platform Endorsement
(e) NAVEDTRA 43484 LCS OOD Underway Platform Endorsement
(f) NAVEDTRA 43483 LCS JOOD
(g) NAVEDTRA 43304 Tactical Action Officer
(h) NAVEDTRA (Various) Engineering Officer of the Watch
(i) COMNAVAIRPAC/COMNAVSURFPAC/COMNAVAIRLANT/
COMNAVSURFLANTINST 3530.4
(j) COMNAVSURFPAC/COMNAVSURFLANTINST 3505.1
(k) MILPERSMAN 1210-090
(l) OPNAV M-5215.1
(m) SECNAV M-5210.1
(n) COMNAVSURFPAC/COMNAVSURFLANTINST 3502.3
(o) OPNAVINST 1412.14
(p) MILPERSMAN 1300-803

Encl: (1) Sample Commanding Officer End of Officer's Tour Letter to PERS-41
(2) Sample Report of Non-Attainment Letter
(3) Sample Recommendation for Revocation of Designation Letter
(4) SWO Milestone Mariner Skills Assessments, Evaluations, and Competency Checks
(5) Matrix of Command Qualification and Matrix of Fleet-Up Requirements
(6) Procedure for Requesting CA Written Exam and Subsequent Attempts of the CA
(7) Command Qualification Record for Surface Warfare Officers
(8) Sample Nomination for Command Qualification Letter
(9) Sample Command Qualification Oral Board Recommendation Letter
(10) Sample Commanding Officer Recommendation Letter for Executive
Officer/Commanding Officer Fleet-Up
(11) Sample Executive Officer/Commanding Officer Fleet-Up Certification Letter
(12) Sample Executive Officer/Commanding Officer Fleet-Up Non-Certification Letter
(13) Command Qualification Record for Aviation Officers (13XX)

1. Purpose. To establish the single Surface Warfare Officer (SWO) community governing document providing the requirements and milestones of SWO's from accession through major command. This is a significant revision to previous policy and should be reviewed in its entirety.

2. Cancellation. COMNAVSURFORINST 1412.5 (Surface Warfare Officer Milestone Mariner Skills Assessments, Evaluations, and Competency Checks), CNSP/CNSLINST 1412.9 (Surface Warfare Mariner Skills Logbook Requirements), COMNAVSURFORINST 1412.6 (Surface Warfare Watchstander Proficiency Requirements), CNSP/CNSLINST 1412.1A (Surface Warfare Officer Qualification and Authority to Wear the Insignia), CNSP/CNSLINST 1412.2C (Surface Force Command Requirements).

3. Discussion

a. All members of the SWO community (116X and 111X designators) will comply with the requirements prescribed in this instruction.

b. Commanding Officers and Officers-in-Charge will give the contents of this instruction the widest possible dissemination.

c. The proficiency requirements described in chapter 1 apply to officer and enlisted watchstanders.

d. In addition to this instruction, all members of the SWO community will review reference (a). Reference (a) is applicable to all officer billets associated with surface commands under Commander, Naval Surface Force, U.S. Pacific Fleet (COMNAVSURFPAC) and Commander, Naval Surface Force Atlantic (COMNAVSURFLANT) administrative control.

4. Responsibilities. COMNAVSURFOR is responsible for establishing SWO community policy and for providing oversight of the overall revision process.

5. Review and Effective Date. Per OPNAVINST 5215.17A, COMNAVSURFPAC, COMNAVSURFLANT, PERS-41, and SWOS will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.



R. A. BROWN

Releasability and Distribution.

This instruction is cleared for public release and is available electronically only via COMNAVSURFOR Directives Web site

<https://cpf.navy.deps.mil/sites/cnsp/Pages/Directives.aspx>

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CHAPTER 1
WATCHSTANDER PROFICIENCY REQUIREMENTS

1. Purpose

a. To establish minimum requirements for watchstanders to attain qualification and maintain proficiency as Officer of the Deck (OOD), Junior Officer of the Deck (JOOD), Conning Officer (CONN), Tactical Action Officer (TAO), Combat Information Center Watch Officer (CICWO), Engineering Officer of the Watch (EOOW), and Combat Systems Officer of the Watch (CSOOW).

b. To define minimum watchstanding proficiency requirements onboard COMNAVSURFOR ships after initial qualification process.

c. To establish minimum requalification policies for qualified watchstanders to maintain and regain qualification after a lapse of proficiency.

2. Discussion. As part of the Surface Warfare Community's effort to best develop, assess, and sustain watchstander proficiency, minimum watchstander proficiency requirements were developed. Building watchstander proficiency and maintaining high standards of performance is paramount to the overall Surface Force readiness. The ability of all officer and enlisted watchstanders to perform as experienced watchstanders is a core skill of our profession.

3. Exceptions

a. Nuclear-qualified Surface Warfare Officers (SWO[N]) assigned to a CVN are exempt from the Surface Warfare watchstanding proficiency requirements.

b. Currently serving chief engineers (CHENG) are exempt from the Surface Warfare EOOW watchstanding proficiency requirements.

c. COs and XOs are exempt from watchstanding proficiency requirements.

d. Precommissioning units are exempt from maintaining these proficiency requirements until the conclusion of builder's trials.

e. If a sortie condition develops and a ship is required to sail unexpectedly, the CO, with immediate superior in command (ISIC) concurrence, may conduct a one-time re-proficiency seminar to meet emergent watchbill requirements.

4. Responsibilities

a. COMNAVSURFOR is responsible for establishing and managing Surface Warfare watchstander proficiency standards.

b. ISICs are responsible for supporting COs by facilitating opportunities to restore proficiency either through underway or simulated experiences. ISICs will also provide feedback to the Type Commander (TYCOM), as appropriate, on recommended improvements to the process.

c. COs are required to implement the enclosed minimum watchstander proficiency requirements within their commands. Specifically, they will:

(1) Track watchstanding proficiency requirements for the watchstations identified in paragraph 6.

(2) Consider minimum proficiency guidelines described in paragraph 6 when approving watchbills.

5. Documentation. SWOs will document their bridge proficiency, and refresh watchstanding, in their personal Surface Warfare Mariner Skills Logbook. The Senior Watch Officer will document and track proficiency, and refresh watchstanding for OOD, JOOD, CONN, TAO, CICWO, EOOW, and CSOOW via local records, for review and inspection during ISIC/TYCOM assessments.

6. Minimum Proficiency Requirements

a. Initial watchstation qualification is obtained by meeting the minimum requirements for hours and evolutions as required in references (c) through (i).

b. The following minimum requirements will be met by each watchstander listed to maintain proficiency in a watchstation for which they have qualified.

(1) Watchstanders are required to stand a minimum of two hours of a designated watch to meet these proficiency requirements.

(2) Watchstanders who exceed the maximum time period allowed between watches must reestablish their watchstanding proficiency before being authorized to stand a qualified watch.

(3) The watchstations below will be tailored by ship class, based on applicable ship class watchstations. The same requirements apply to ship classes which may have different watchstation terminology (e.g. DDG-1000, LCS), but similar watchstanding responsibilities.

(4) The Refresh Requirements section addresses amplifying information as well as the path to reestablish proficiency should an individual fall outside of the periodicity requirement.

(5) Proficiency requirements can be maintained on same ship class units when due to extended inport periods per appropriate Personnel Qualification Standard (PQS) policies, as well as through the use of approved simulators.

c. Watchstander Requirements

(1) Officer of the Deck (OOD)

(a) Periodicity. 1 watch in 45 days.

(b) Standard. Stand one OOD underway watch – normal steaming, special evolution, or navigation seamanship and shiphandling trainer (NSST) session. The NSST scenario will be a high traffic density surface environment per reference (j).

(c) 46-90 Days Refresh

1. One underway JOOD/CONN watch and one OOD under instruction (U/I).

2. One Special Evolution Training (SET) session as the OOD in the NSST. Session must be observed by a qualified and proficient OOD.

(d) >90 Days Refresh

1. One underway JOOD/CONN watch and one OOD U/I observed by the CO or XO. One SET session as the OOD in the NSST. The SET session must be observed by the CO or XO.

2. Pass a command administered, minimum 20 question Rules of the Road exam with a score of 90 percent.

(e) An OOD watch also meets the JOOD/CONN proficiency requirement.

(f) Ships with the installed integrated bridge and navigation system (IBNS) training system may execute proficiency watches using the onboard trainer in lieu of attending the NSST.

Note: The prerequisite requirement for enlisted OODs on Patrol Coastal class ships is the Enlisted Bridge Watchstander Course as well as enlisted QM “A” School, enlisted OS “A” School OR the VMS Operator AND Navigation Fundamentals courses.

(2) Junior Officer of the Deck (JOOD)/Conning Officer (CONN)

(a) Prerequisites. Must be a graduate of Division Officer Course (BDOC) and OOD Phase I courses of instruction (The JOOD course of instruction will meet the requirement of OOD Phase I until OOD Phase I is implemented in mid-2021).

1. BDOC graduates that have not yet attended JOOD or OOD Phase I may stand Conn or JOOD U/I watches, but are precluded from standing U/I during any special evolution or during transits in restricted waters.

2. Aviators assigned to COMNAVSURFOR ships will not attend BDOC, however, prior to standing JOOD/CONN and earning OOD U/W qualification, they must complete the JOOD/OOD Phase I course. This is further detailed in Chapter 3.

(b) Periodicity. 1 watch in 45 days.

(c) Standard. Stand one JOOD/CONN underway watch – normal steaming, special evolution, or NSST session. The NSST scenario will be a high traffic density surface environment per reference (j).

(d) 46-90 Days Refresh

1. One underway JOOD/CONN watch U/I.

2. One SET session as the JOOD/CONN in the NSST. Session must be observed by a qualified and proficient OOD.

(e) 90 Days Refresh

1. One underway JOOD/CONN watch U/I observed by the CO or XO.

2. One SET session as the JOOD/CONN in the NSST. The SET session must be observed by the CO or XO.

3. Pass a minimum 20 question Rules of the Road exam with a score of 90 percent.

(f) An OOD watch also meets the JOOD/CONN proficiency requirement.

(g) Ships with the installed IBNS training system may execute proficiency watches using the onboard trainer in lieu of attending the NSST.

Note: The prerequisite requirement for enlisted JOOD watchstanders on Mine Countermeasure Coastal and Patrol Coastal class ships is the Enlisted Bridge Watchstander Course as well as

enlisted QM "A" School OR enlisted OS "A" School OR the VMS Operator AND Navigation Fundamentals courses. The prerequisite requirement for enlisted JOOD and CONN on Littoral Combat Ship (LCS) Class ships is to be a graduate of the LCS JOOD Course.

(3) Tactical Action Officer (TAO)

(a) Periodicity. 1 watch in 45 days.

(b) Standard. Stand one TAO underway watch (minimum 2 hours) or Combat Systems Training Team (CSTT) scenario. TAO proficiency also resets CICWO proficiency.

(c) 46-90 Day Refresh

1. One underway watch U/I.

2. One CIC CSTT Mariner Skills-intensive scenario observed by a qualified and proficient TAO.

(d) >90 Days Refresh

1. One underway CICWO watch and one TAO U/I. TAO U/I must be observed by the CO or XO.

2. One CIC CSTT Mariner Skills-intensive scenario. Must be observed by CO or XO.

(e) A TAO watch also meets the CICWO proficiency requirements.

(4) CIC Watch Officer (CICWO)

(a) Periodicity. One watch in 45 days.

(b) Standard. Stand one CICWO underway watch.

(c) 46-90 Day Refresh

1. One underway CICWO watch U/I.

2. One SET Mariner Skills-intensive session, as the CICWO, in the NSST. The NSST session must be a minimum 2-hour session and be observed by a qualified and proficient CICWO.

(d) >90 Day Refresh:

1. Two underway CICWO watches U/I.

2. Two SET Mariner Skills-intensive sessions, as the CICWO, in the NSST.

Both 2-hour sessions must be observed by a qualified and proficient TAO.

3. Pass an oral board with two qualified and proficient TAOs.

(e) A TAO watch also meets the CICWO proficiency requirements.

d. Combat Systems Officer of the Watch (CSOOW)

(1) Periodicity: One watch in 30 days.

(2) Standard: Stand one underway or inport watch.

(3) >30 Day Refresh: One underway or inport CSOOW watch U/I.

e. Engineering Officer of the Watch (EOOW)

(1) Periodicity. 1 watch in 30 days.

(2) Standard. Stand one underway EOOW or an inport Engineering Duty Officer (EDO) watch.

(3) 31-90 Day Refresh: One EOOW/EDO watch U/I.

(4) >90 Day Refresh: One EOOW/EDO watch U/I observed by the CHENG or Top Snipe.

CHAPTER 2
MARINER SKILLS LOGBOOK REQUIREMENTS

1. Purpose. To establish guidance for the implementation and use of the Surface Warfare Mariner Skills Logbook as an experience tracking tool. The Logbook captures an individual officer's experience gained during each watch, special evolution, and simulator training session.

2. Discussion. The logbook was developed as part of the Surface Warfare Community's effort to best develop, assess, and sustain navigation, shiphandling, and seamanship proficiency. Specific reasons for its development and implementation are as follows:

a. Building mariner skills proficiency and maintaining high standards of performance are paramount to the overall readiness of the Surface Force. The ability of SWOs, from first tour division officers through COs, to perform as experienced and proficient bridge watchstanders is a core competency of our profession. Relatedly, ensuring COs are sufficiently trained and proficient will enable the Surface Warfare Community to perpetuate high standards of performance.

b. Documenting bridge time, simulator time, and special evolutions is necessary to tailor future training and ensure that an officer has been provided the at-sea opportunities necessary to develop mariner skills proficiency.

c. Over time, the Logbook will allow the SWO community to conduct the trend and data analysis necessary to link experience with proficiency. The Logbook is an initial step toward that goal and will provide a tool to aid the SWO community in addressing the challenges of building and maintaining necessary levels of performance and readiness.

3. Responsibilities

a. COMNAVSURFOR. Responsible for establishing Surface Warfare Mariner Skills Logbook policy and standards. A National Item Identification Number (NIIN) for ordering Logbooks for initial accessions and replacement Logbooks has been established (0107-LF-127-7000).

b. Navy Personnel Command (NPC) (PERS-41). Responsible for documenting and maintaining electronic versions of an officer's experience, using inputs provided by COs. PERS-41 will periodically provide the captured data to SWOS for analysis.

c. CO, SWOS. COMNAVSURFOR's executive agent for Surface Warfare Mariner Skills Logbook program. As such, SWOS is responsible for the day-to-day management to include:

(1) Liaison between Commander, Naval Education and Training Command (NETC), and the Surface TYCOM to coordinate requirements and resources for the execution of the Surface Warfare Mariner Skills Logbook, as well as tailoring of shiphandling training across the officer training continuum.

(2) Issue a Logbook to new accessions at the start of BDOC.

d. ISICs. Responsible for supporting their COs by providing opportunities for officers to gain underway or simulator experience. ISICs will ensure best practices for maintaining logbooks are practiced within their commands. ISICs will also provide feedback, as appropriate, on recommended improvements to the system.

e. COs. Responsible for implementing the Mariner Skills Logbook on their ship and establishing a wardroom culture of meticulous documentation of mariner skills experience. Specifically, COs will:

(1) Ensure all SWOs, including themselves, are participating in the Surface Warfare Mariner Skills Logbook program. COs and XO's will annotate "CO" or "XO" in the position column as they track their own maritime experience.

(2) Establish local Logbook guidance on the day to day use, storage, maintenance, etc.

(3) Ensure best practices for maintaining Logbooks are executed and shared.

(4) Review for accuracy and sign each officer's Logbook quarterly, including cross decked officers.

(5) Submit detailed reports of Logbook (i.e., End of Tour Mariner Skills letter) use to PERS-41 using the template provided in enclosure (1). Email (preferred) to the JO Sea Coordinator, member's detailer, swo_logbook.fct@navy.mil, and cc swos_nwpt_mslb@navy.mil or by official mail. Ensure the file naming convention of the report is: YYMMDD MSLB Data Summary of RANK First MI Last for TOUR (e.g. DH1).

(a) Bridge watch hours (U/W). Total amount of underway bridge watch hours spent in a designated watchstation as delineated in an approved watchbill. This includes CONN, JOOD, and OOD, qualified or U/I.

(b) Bridge simulator hours. Total amount of hours spent in bridge simulators. This includes all simulator watches during any simulator time as determined appropriate by the ship CO.

(c) Special evolutions. Number of qualified or U/I sea and anchor details, underway replenishments, and anchoring evolutions in a designated watch station as delineated in an approved watchbill.

(d) Congested Water Space Transits. Number of transits spent in as designated bridge watch station as delineated in an approved watchbill, qualified or U/I, during which multiple risks of collision existed (i.e. straits transits, approach/exits of Suez Canal, Singapore, English Channel).

(e) Bridge Resource Management (BRM). COs will ensure that first tour division officers attend BRM at least once during their tour, and document completion in enclosure (1).

f. SWOs. Both unqualified (116X) and qualified (111X) SWOs will be issued a hard copy Mariner Skills Logbook. They are personally responsible to use and maintain the Logbook throughout their careers and begin tracking their experiences upon receipt of the Logbooks. Officers will ensure both the Mariner Skills Logbook and end-of-tour Mariner Skills Letters are carried with them to all SWOS schools for review at the schoolhouse.

4. Quick Reference Guide

a. First Page. Record name, ship(s) the officer is assigned, dates reported, and dates detached while maintaining the logbook. If the officer is cross decked at any point, record that ship, date reported, and date returned to parent command. In the Ship’s Employment section, record the ships UNCLASSIFIED employment schedule.

b. Tab A (Individual Watch Log)

Watchstanding Log							
Date	Time (Hrs)	Position	UI	Traffic/Watch Complexity			Deployed / Patrol
9/24/18	4	CONN		Low	Med	High	Yes / No
Fleet (Circle)	2	3	4	5	6	7	Location: VACAPES
Notes: -Operated in night steam box -Preparations for morning RAS w/USNS LEWIS AND CLARK -Conducted propulsion – limiting engineering drills -Completed rudder swing checks							

Figure 1 – Watchstanding Log

(1) Date Block: Date the watch commenced.

(2) Time Block: Indicate total number of full hours stood during the watch. For partial hours over 30 minutes, round up time to the nearest full hour. (ex. 4 hrs 35 min = 5 hours).

(3) Position Block: Bridge position (CONN, JOOD, OOD) during the watch. JOOW or similar position will mark JOOD, and annotate specific position in Comments section.

(4) U/I Block: Mark with an “X” if assigned position was U/I.

(5) Traffic/Watch Complexity Block: Mark with a circle description of traffic density. This field is subjective based on the officer’s assessment of traffic density encountered and the complexity of the watch. As a general guideline, a watch that encounters three (3) contacts in an hour that met CO’s reporting criteria is considered medium/moderate traffic density. More contacts meeting reporting criteria is considered high traffic and less than three per hour is low traffic density. Normally, high complexity watches are associated with high traffic density; however, ship’s schedule/employment/exercises/real-world events could result in a determination that a watch was deemed high complexity with little or no traffic.

(6) Deployed/Patrol Block: Mark with Yes/No as applicable

(7) Fleet Block: Circle the Numbered Fleet assigned OPCON (not necessarily geographic).

(8) Location Block: Geographic description of the ship’s operating area. Specific body of water/designated area names preferred. Do not record specific locating data or the ship’s position that would make the entry CLASSIFIED.

(9) Notes Block: Note events that occurred during watch, to include training, evolutions, drills, etc. (e.g., Engineering Drills, GQ Exercises, Man Overboard Training, Small Boat Ops, Flight Quarters, PACFIRE)

Totals	CONN	JOOD	OOD	U/I	Hours	Traffic/Watch Complexity		
						Low	Med	High
Sum Last 11 Watches	24		20		44	3	4	1
Carried Forward	12		24		36	2	1	1
Total	36		44		80	5	5	2

Figure 2 – Watchstanding Log (Totals Rollup section)

(10) Sum Last 11 Watches: Record total hours stood per watch indicated on the preceding two pages, and how many were U/I. Under Hours, add total CONN, JOOD, OOD hours across and indicate sum in hours column. Under Traffic density, capture number of watches vice hours for each category.

(11) Carried Forward Row: Transcribe “Total” from previous page.

(12) Total: Add down each column to keep running total of hours for each position, overall total hours across bridge positions, and total watches of each level of traffic density.

(13) When CO’s Quarterly Review is conducted, close out page diagonally from top left to bottom right, annotating “NO FURTHER ENTRIES THIS PAGE”. Resume log keeping on next page after “Total” calculated.

c. Tab B (Special Evolution Log)

(1) Date Block: Date which the watch commenced.

(2) Location Block: Geographic description of the ship’s operating area. Specific body of water/designated area names preferred. Do not record specific locating data or the ship’s position that would make the entry CLASSIFIED.

Special Evolution Tracker												
Date		Location: Coastal San Diego										
17Feb18		Position			Evolutions					Traffic/Watch Complexity		
D	N	OOD	CONN/JOOD	OTHER	S&A	ANC	RAS	ST	Other	Low	Med	High
X		X				X				X		
Notes: - Daytime anchorage at Coronado Roads anchorage 118 - Variable winds - .5 kts current, swells from the west - 75 yards from intended anchorage location												

Figure 3 – Special Evolution Tracker

(3) D and N Blocks: Mark with an “X” below “D” if the event occurred predominately during the day or below “N” if event occurred predominately at night (based on sunrise/sunset).

(4) Position Block: Bridge position (OOD, CONN/JOOD, OTHER) during the watch. “OTHER” may include but is not limited to NAV, XO, etc. JOOW or similar position will mark JOOD, and annotate specific position in Comments section.

(5) Evolutions Block: Mark with an “X” for appropriate evolution. The Evolution codes are located on the Table of Contents. “Other” block to be used for less frequent evolutions, with three letter code noted on table, and will be included in CO’s tabulation.

	Position			Evolutions				
	OOD	CONN/JOOD	Other	S&A	ANC	RAS	ST	Other
Sum Last 11 Events	NOT USED	NOT USED	NOT USED	3	2	5	2	
Carried Forward	NOT USED	NOT USED	NOT USED	15	5	20	4	
Total Hours	NOT USED	NOT USED	NOT USED	18	7	25	6	

Figure 4 – Special Evolution Tracker (Totals Rollup section)

(6) Traffic/Watch Complexity

(a) Block: Mark with an “X” description of traffic density. Characterization will be based on average number of ships per hour met CO’s contact reporting criteria.

(b) Notes Block: Indicate key descriptors that characterized the event (e.g. weather, visibility, seas, cooperating ship, other notable variables.)

(7) Sum Last 11 Events: Record total Special Evolution hours of each watch, and OCCURRENCES of each type of evolution that occurred on the preceding two pages, and how many were U/I.

(8) Carried Forward Row: Transcribe “Total” from previous page. Add down each column to keep running total of hours for each position, and total number of evolutions. When CO’s Quarterly Review is conducted, close out page diagonally from top left to bottom right, annotating “NO FURTHER ENTRIES THIS PAGE”.

d. Tab C (Simulator Training Log)

Simulator Training Log						
Date	Simulator Evolution	Hours	Instructor	<i>B. WEEKS</i>	Command	<i>SWOS</i>
15 MAR 18	<i>Bahrain Pierwork</i>	2	Signature: <i>Bud Weeks</i>			
Environmental Conditions	<i>Offsetting Wind and current</i>					
Self-assessment <i>- Improved since last session</i> <i>- Need to work on my awareness of non-controllable forces</i>						
Instructor Comments <i>- Continue to work on applying split ship concept</i>						

Figure 5 – Simulator Training Log

- (1) Date Block: Date which the watch commenced.
- (2) Simulator Evolutions: Describe the evolutions(s) performed.
- (3) Hours Block: Total number of hours of simulator training session. (Non-classroom time).
- (4) Instructor and Command: Simulator facility and instructor name.
- (5) Signature: The simulator instructor’s signature.

(6) Environmental Conditions: Describe environmental data presented in simulation(s).

(7) Self-Assessment: Officer's own account of lessons learned, critical notes, and self-assessment.

(8) Instructor Comments: Instructor will record his or her comments based on the session.

e. Tab D (Commanding Officer Quarterly Endorsement Page). Quarterly Sum of each of the indicated items will be noted on CO's endorsement based on rollup data for each section. Comments section should contain specific observations on that Officer's performance, and be used to inform future watchstander development.

Commanding Officer Quarterly Endorsement Page	
I certify completion of <u>150</u> Underway hours, <u>10</u> Simulator hours, <u>3</u> Sea and Anchor Detail, <u>5</u> Replenishment at Sea, <u>2</u> Anchoring Evolutions, and <u>1</u> Straits Transits during the period from <u>01 Jan 2018</u> to <u>31 Mar 2018</u> .	
<u>//Signed//</u> Commanding Officer	
Comments: <i>Qualified OOD 15 January</i> <i>OOD for Night RAS 10 February</i> <i>OOD SOH transit 14 February</i> <i>Officer needs to focus on division of labor among bridge watch team</i>	

Figure 6 – CO's Quarterly Endorsement Page

CHAPTER 3
SWO QUALIFICATION AND AUTHORITY TO WEAR THE INSIGNIA

1. Purpose. To publish the requirements for qualification and designation as SWO per reference (k).
2. Discussion. SWO qualification is the direct responsibility of every 116X designated officer and is a critical career milestone in our community's training and qualification process.
3. Responsibilities. COMNAVSURFOR is responsible for establishing SWO qualification policy and for providing oversight of the overall qualification process.
 - a. To maintain consistent qualification standards, TYCOMs including Commander, Naval Air Forces, Commander, Submarine Forces, and Commander, Navy Expeditionary Combat Command will adhere to the policies and intent of this instruction by monitoring Surface Warfare qualification programs within the surface ships under their cognizance.
 - b. The CO, SWOS is assigned as the executive agent for SWO training and qualification. As such, SWOS is responsible for all matters concerning SWO training and associated officer PQS, to include:
 - (1) Management, review, and distribution of all PQS required for SWO qualification.
 - (2) Development and maintenance of SWO Division Officer training curricula.
 - (3) Liaison between NETC, COMNAVSURFPAC, COMNAVSURFLANT, and Center for Surface Combat Systems (CSCS) to coordinate requirements and resources for the execution of SWO training and PQS matters.
 - (4) Liaison with NPC (PERS-41) for officer training pipeline requirements.
 - c. COs of commissioned or pre-commissioning U.S. Navy surface ships are responsible for the application of this chapter within their commands and all matters concerning SWO training and associated officer PQS, to include:
 - (1) Management, review, and execution of an annual training plan for SWO Division Officer training curricula and oral boards.
 - (2) Adherence to, and management of, the SWO qualification and eligibility outlined in this chapter.

4. Eligibility Requirements

- a. Designators 116X, including lateral transfers into the SWO community, are the only designators eligible to pursue SWO qualification.
- b. Officers pursuing SWO qualification must be a commissioned officer permanently assigned to either a commissioned or pre-commissioning U.S. Navy surface ship.
- c. Only COs of commissioned or pre-commissioning surface ships may qualify officers as SWOs. They may only qualify officers permanently assigned to their ship.
- d. Once SWO qualification is achieved, transfer from one ship to another will not require requalification as a SWO or revalidation of the entire SWO PQS package. However, requalification in all applicable watchstations is required per reference (n).
- e. All SWO qualified second tour division officers, department heads, and XOs must complete a Platform Endorsement for OOD Underway (NAVEDTRA 43101-4 Series Watchstation 303) after reporting to a new platform per reference (n).

5. Qualification Requirements

- a. All 116X designated officers must graduate from BDOC and JOOD/OOD Phase I prior to SWO qualification. Officers who completed BDOC prior to June 2019 are not required to complete JOOD/OOD Phase I.
- b. Satisfactorily complete all applicable 100 Section (Fundamentals), 200 Section (Systems), and 300 Section (Watchstation) PQS items required within paragraph 6.
- c. Demonstrate effective leadership skills and proficiency in performing division officer duties, including personnel, space, program, and equipment management as well as significant experience as a Bridge, Combat, and Engineering watchstander.
- d. Complete an oral SWO qualification board chaired by the CO and composed of a minimum of two 111X designated SWOs with a minimum level of experience of Department Head or higher. This oral examination should validate the officer's general professional knowledge of all aspects of Surface Warfare (predominantly covered by the PQS) and demonstrate thorough knowledge of ship systems, components, and mission.

6. Required PQS

- a. All officers pursuing SWO qualification must complete and qualify in the following PQS watchstations:

- (1) Damage Control (NAVEDTRA 43119) Watchstations 301-309, 318;
- (2) Maintenance and Material Management System (3M) (NAVEDTRA 43241) Watchstation 304 Division Officer;
- (3) Division Officer Afloat (NAVEDTRA 43463-1);
- (4) Inport Officer of the Deck (NAVEDTRA 43397);
- (5) SWO Engineering (NAVEDTRA 43101-3);
 - (a) Completion of an EOOW qualification on any surface ship satisfies the requirement to complete SWO Engineering PQS.
 - (b) Non-nuclear trained officers on nuclear powered ships are required to complete the watchstation requirements for Engineering (Steam Plant) (NAVEDTRA 43101-3 Watchstation 301).
- (6) CICWO (NAVEDTRA 43101-4);
- (7) OOD Underway (NAVEDTRA 43101-4, Watchstation 303), or other NAVEDTRA PQS specific to ship class. For example, CVN OOD (NAVEDTRA 43496 Watchstation 303) may be completed in lieu of SWO OOD.
- (8) Maritime Warfare (NAVEDTRA TBD, in draft). PQS in development, projected completion in 2020.
 - b. The BDOC Course Completion Letter will identify 100 and 200 PQS line items covered during the course of instruction. All 100 and 200 PQS line items not covered by BDOC must be completed prior to qualification.
 - c. If the officer is temporarily assigned to another ship to complete watchstation requirements, the ship to which the officer is temporarily assigned is authorized to sign for completed PQS line items. However, the parent command retains full responsibility for completing the final SWO qualification process for the assigned officer.

7. Timeline

- a. 116X officers will complete SWO qualification prior to attending ADOC and all other BST training required for their Second Division Officer tour assignment. In the event an officer does not qualify SWO by the PRD of their First Division Officer assignment, they will remain onboard their First Division Officer assignment until qualified or Non-Attained.

b. Cross-deck training remains an option available to ship COs to support training and qualifications during long maintenance availabilities that may delay prerequisite qualifications for SWO (i.e. CICWO and OOD Underway). Commanding Officers are encouraged to continue to cross-deck officers past the date of OOD and SWO qualification if, by doing so, the officer would gain valuable underway experience not available on their own ship due to extended maintenance availabilities.

8. Designation and Authority to Wear the Insignia

a. The CO is authorized to present the SWO insignia and certificate to an officer upon qualification. The achievement should be recognized at an appropriate ceremony, and relevant comments should be included in the officer's FITREP.

b. The CO will promptly forward notification of all SWO qualifications to NPC (PERS-412) for all active duty officers and PERS-91 for all inactive duty officers. Upon receipt, PERS-412 or PERS-91 will:

(1) Change the designator of 116X officers to 111X.

(2) Assign Additional Qualification Designator (AQD) code LA9.

c. 111X designation or an AQD of LA9 entitles an officer to wear the SWO insignia. Officers who earn the qualification and transfer to other officer communities retain the right to wear the SWO insignia unless revoked.

9. Non-Attainment of Qualification. The CO can make a decision for non-attainment at any time during an 116X designated officer's tour. COs who recognize that an 116X designated officer lacks aptitude, comprehension, motivation, or application to qualify will:

a. Submit a report containing the circumstances, officer's potential, and an appropriate recommendation concerning retention in the naval service to NPC (PERS-412) via COMNAVSURFPAC or COMNAVSURFLANT as appropriate, with a copy to the ISIC. Reports of fitness should also reflect unsatisfactory progress toward SWO qualification. Do not include FITREPs in non-attainment packages. Officers (116X) failing to attain SWO qualification will be processed as a training attrite and their name will be forwarded to the Probationary Officer Continuation and Re-designation (POCR) Board.

b. The officer will be afforded the opportunity to comment on the CO's report of non-attainment (enclosure (2)). The CO may then make additional comments and append them to the basic report as the second endorsement. The report will then be forwarded to COMNAVSURFPAC or COMNAVSURFLANT as appropriate. TYCOM will adjudicate the non-attainment report and forward results to NPC (PERS-412).

c. In the case that an officer voluntarily quits his SWO qualification process, the CO should notify TYCOM and PERS-412 of the intent to start administrative separation proceedings. The ship will then coordinate with PERS-834.

10. Revocation of Qualification. Revoking SWO qualification is a serious matter, potentially leading to a change of designator or termination of a career. It is an administrative action that should be undertaken carefully when circumstances dictate.

a. A SWO will retain such designation and AQD until it is revoked by COMNAVSURFOR.

b. A CO, or any ISIC in the individual's chain of command may recommend revocation of SWO designation and AQD under any of the following circumstances:

(1) Unsatisfactory performance at sea;

(2) Gross lack of professional or personal judgement and integrity;

(3) Refusal to accept or perform duties afloat;

(4) Being found unfit for sea duty because of lack of seamanship, warfighting, leadership or managerial ability;

(5) Failure to perform at any SWOS milestone school (i.e., ADOC, Department Head course, etc.) and subsequently, if eligible, be considered for referral to a POCR Board.

c. A recommendation for revocation of SWO qualification will be submitted following the provisions of the sample in enclosure (3). The officer initiating the recommendation for revocation will submit the report to COMNAVPERSCOM, via the administrative chain of command.

d. A recommendation for revocation will not be made in lieu of detachment for cause, nor will recommendations automatically be included in cases of detachment for cause.

(1) Revocation may be considered and recommended coincident with a detachment for cause but will be handled administratively as a separate action by NPC.

(2) A recommendation for revocation should be based on both the officer's past performance and potential to continue to serve as a credible member of the Surface Warfare community, either afloat or ashore.

e. Upon approval of revocation, a SWO's designation will be changed from 111X to 1100 and AQD LA9 will be removed from those officers with other than 111X designators.

11. BDOC, JOOD/OOD Phase I, ADOC, and OOD Phase II Requirements, Quotas, and Funding

a. Basic Division Officer Course (BDOC)

(1) Prerequisites. Be an officer (116X) or lateral transfer into the SWO community and meet requirements listed in paragraph 4. Upon commissioning, Ensigns will attend two courses to prepare them to drive ships and lead Sailors. The first course, BDOC, will be attended by new accession officers within six months (179 days) of commissioning. Each year after the May commissioning season, a backlog exists for BDOC quotas. During that time, Forward Deployed Naval Forces (FDNF) units and Nuclear Power Officers will have priority (priority remains for OOD Phase I and II described below as well). TYCOMS and ISICs will take charge of pre-BDOC ensign training and ensure an appropriate introduction to the SWO community is executed.

(2) Graduation Requirements. While attending BDOC, a minimum of 90 percent is required on the Rules of the Road exam. For all other BDOC examinations, 75 percent is the minimum acceptable score. BDOC failures will be treated as initial training attrites and disenrolled. Training attrites will be processed for Administrative Separation per SECNAVINST 1920.6C CH-5, or their record will be forwarded to COMNAVPERSCOM for disposition at a POCR Board, as appropriate.

(3) Funding. NPC (PERS-41) will fund all new accession SWO and re-designated Officers into the SWO Community (116X) to attend BDOC as part of their initial training. Officers will receive PCS orders to their ship with BDOC as an intermediate stop (I-stop) before permanently reporting (i.e., Accounting Clarification Code (ACC) 100) to their ultimate command.

b. OOD Phase I

(1) Prerequisites. Be an officer (116X) or lateral transfer into the SWO community and meet requirements listed in paragraph 4. Must be a graduate of BDOC. The OOD Phase I course is in operation as a 4-week JOOD course and will transition to a full 6-week course, slated for full implementation in 2021.

(2) Funding. NPC (PERS-41) will fund all new accession SWO and re-designated officers into the SWO Community (116X) to attend OOD Phase I as part of their initial training. Officers will receive PCS orders to their ship with OOD Phase I as an I-stop before permanently reporting (i.e., ACC 100) to their ultimate command. 131X/132X pre-DH aviators on a dissociated tour as part of ship's company on a CNSF ship will also attend JOOD/OOD Phase I. BDOC is waived for 131X/132X officers. PERS-43 will provide funding for aviators.

c. OOD Phase II

(1) Prerequisites. At the end of the first tour, or before fleeting up to a second tour assignment on the same ship and at a time which supports the ship's operational schedule, SWO qualified Junior Officers will attend the OOD Phase II course which is projected to start in 2021.

(2) Go/No Go Assessment. Upon implementation of OOD Phase II, officers will be given a Go/No Go assessment. An officer who cannot successfully complete this assessment will be sent to the POCR Board for possible re-designation, if selected by another community.

(3) Funding. NPC funds the requirement for officers to attend OOD Phase II after their first tour and before reporting to their second tour command. However, officers executing a single longer tour onboard the same ship and therefore remaining in the same Billet Specialty Code will have OOD Phase II funded through TYCOM TADTAR that must be approved by the respective TYCOM N7. Commands must coordinate with PERS-413 for a future quota and will send the officer to the course in a Temporary Additional Duty (TAD) status.

d. ADOC

(1) Prerequisites. Upon passing the OOD Phase II course, Junior Officers will attend ADOC at SWOS. All 111X officer, with the exception of SWO(N)s, will attend ADOC enroute to their second Division Officer tour assignment. Any officer dis-enrolled from Nuclear Power School will attend ADOC.

(2) Graduation Requirements. While attending ADOC, a minimum of 90 percent is required on the Rules of the Road exam. For all other ADOC examinations, 75 percent is the minimum acceptable score. ADOC failures who do not successfully remediate will be dis-enrolled. Once a student is dis-enrolled from training, their record will be forwarded to NPC for disposition at a POCR Board.

(3) Funding. NPC funds the requirement for officers to attend ADOC after their first tour and before reporting to their second tour command. Officers executing a single longer tour onboard the same ship and therefore remaining in the same Billet Specialty Code will have ADOC funded through TYCOM TADTAR that must be approved by the respective TYCOM N7. Commands must coordinate with PERS-413 for a future quota and will send the officer to the course in a TAD status.

CHAPTER 4
SWO MILESTONE MARINER SKILLS ASSESSMENTS, EVALUATIONS, AND
COMPETENCY CHECKS

1. Purpose. To establish required SWO Milestone Mariner Skills Assessments, Evaluations, and Competency Checks during career progression from Division Officer to Major Commander as delineated in enclosure (4).

2. Discussion. This instruction provides an overview of the newly established objective, standardized assessment program to periodically assess individual navigation, seamanship, and shiphandling skills over the course of a SWO's career.

3. Responsibilities. COMNAVSURFPAC and COMNAVSURFLANT are responsible for establishing and implementing the standards and requirements to support this policy, and for providing oversight of the overall milestone assessment and evaluation process.

a. CO, SWOS. CO SWOS is assigned as the Executive Agent for SWO Mariner Skills Assessments and Competency Checks. As such, SWOS is responsible for all matters concerning mariner skills training and other associated requirements that support execution of this policy.

b. Unit CO. Unit COs are responsible for execution of the CO Evaluation of an officer's readiness to attend the Officer of the Deck (OOD) Phase II Course of Instruction, attesting that the officer attained the needed experience and demonstrated the requisite skill needed to safely lead a watch team and navigate a ship. Additionally, COs will evaluate first tour department heads prior to the Command Assessment (CA) to certify that the officer has completed all requirements, demonstrated proficiency to effectively and safely handle and navigate a ship, and effectively lead a watch team.

c. Immediate Superior in Command (ISIC). ISICs are responsible for the evaluation of a Prospective Commanding Officer's (PCOs) readiness for assuming command of a ship including their ability to safely navigate a ship in all potential maritime environments. A positive endorsement on the evaluation is a requirement to attend the SWOS PCO Course of Instruction. Completion of this evaluation will be formalized in the fleet-up certification letter, enclosure (11).

4. Definitions

a. Competency Checks. Competency checks are normally conducted by SWOS Evaluators to assess the ability of a student to effectively and safely handle and navigate a ship and lead a watch team in a variety of light, medium, and high intensity virtual scenarios. Assessment results: (1) Complete – No Concerns, (2) Complete – Minor Concerns, and (3) Complete – Significant Concerns. Competency check assessment of either Complete-Minor Concerns or Complete-Significant Concerns is not necessarily a disqualifier to continue on to the next at sea

career milestone, but will result in remediation for the student and a requirement to retake and pass the check while at the schoolhouse or to continue remediation aboard their ship. Results of the competency check will be forwarded by SWOS to the student's CO.

b. Evaluations. Evaluations are conducted by the ship's CO or ISIC that an individual has completed requisite certification requirements and demonstrates proficiency to effectively and safely handle and navigate his or her ship, and effectively lead a watch team. Evaluations are normally conducted as a pre-requisite for continuing on to a career milestone.

c. Assessments. Assessments are normally conducted by SWOS Evaluators to assess the ability of a student to effectively and safely handle and navigate a ship and lead a watch team in a variety of light, medium, and high intensity, virtual scenarios. Assessments are Pass /Fail. In the case of Go/No Go Assessments (upon completion of OOD Phase II course, prior to attending ADOC and during the PCO and MCO courses) there will be additional opportunities to pass the Assessment with remediation. Failure to pass the Go/No Go Assessment on the final attempt will render the candidate ineligible for the next career milestone and will result in Type Commander (TYCOM) adjudication. In the case of the CA, while failure to complete the Assessment would render the candidate ineligible for consideration before the Surface Commander Command Screening Board, the candidate remains eligible to proceed to his or her Second Department Head tour.

CHAPTER 5
SURFACE FORCE COMMAND REQUIREMENTS

1. Purpose. To issue the requirements and procedures for SWOs to be qualified for command of Surface Force Units and for Aviation Officers to be qualified for command of surface ships (Early Command, Commander Command, and Major Command Afloat).
2. Applicability. Officers will complete all command at sea requirements contained herein prior to being eligible for screening for Command. Requirements and procedures contained within this chapter apply to all SWOs seeking command.
3. Discussion. Command is a challenging assignment that places extraordinary demands on professional skills in the areas of seamanship, warfighting, tactics, resource management, judgement, endurance, and leadership. Qualification must be limited to those officers who have both met the requirements and who, by their outstanding performance over a breadth of sea tours, have clearly demonstrated their potential for command. Amplifying policy is incorporated in this chapter to ensure COs and XOs are properly prepared and mentally ready for very challenging and rewarding assignments; the PCO Pipeline affords the means to attain that goal. The PCO Pipeline is a significant investment in the future professional development, expertise, and readiness of our leaders at sea. The intent is to provide XOs and COs with the tools, resources, and time needed to manage and lead with energy, competence, and confidence. All orders for Fleet-Up and the details of the PCO Pipeline will be coordinated between the officer, the respective training commands, NPC (PERS-41), ISIC, and TYCOM in order to ensure compliance with standards and procedures for qualification and placement in command.
4. Command Qualification Requirements. The following requirements must be completed prior to requesting a Command Qualification Oral Board. A summary of these requirements (in addition to Fleet Up requirements) can be found in enclosure (5).
 - a. Attain formal designation as a SWO (111X).
 - b. Serve at least 60 months in a ship or afloat staff, at least 36 months of which will have been in a commissioned ship, and must include at least one tour in a Lieutenant (LT)/Lieutenant Commander (LCDR) Department Head (DH) billet as determined by PERS-41. Lateral transfers from other warfare specialty communities accepted for change of designator to 111X will serve a minimum of 24 months in a commissioned surface ship subsequent to acceptance for change of designator and will have completed a total of 60 months of duty in a ship or afloat staff. Lateral transfers are required to complete at least one tour in a LT/LCDR DH billet as determined by PERS-41.
 - c. Complete the SWOS DH course.
 - d. Attain the watch station qualifications of EOOW and TAO.

Note: A TAO letter from a Patrol Coastal (PC) does not meet this requirement.

Note: Non-nuclear trained officers assigned to nuclear powered ships may complete the certification card for non-nuclear trained personnel to meet the EOOW criteria for Command Qualification.

e. While assigned to an afloat command, demonstrate sustained skill in shiphandling and seamanship by satisfactorily completing a shiphandling/seamanship practical as set forth below. This practical should be completed on the ship to which the officer is assigned. In those cases where this is not feasible, such as during an extended overhaul, the practical may be conducted aboard another ship of the same class with ISIC approval. The practical will consist of the following evolutions at a minimum:

- (1) Mooring to and getting underway from a pier or a nest of ships alongside a pier.
- (2) Anchoring and getting underway from an anchorage.
- (3) Maneuvering through restricted waters entering or leaving port.
- (4) Maneuvering the ship to recover a simulated man overboard.

(5) Replenishment at sea. Minimum requirements include an approach, remaining alongside long enough to demonstrate the ability to make common station-keeping adjustments, execute an emergency breakaway, and departure from alongside.

f. Command Qualification Recommendation. An officer must be recommended for Command at Sea by their CO while in a DH tour on their most recent DH FITREP. Recommendation should be reflected within Block 40 of the officer's FITREP (a Block 41 recommendation is also advised).

g. Complete the SWOS Command Assessment (SWOS CA). Officers will only be afforded two opportunities to take and pass the SWOS CA. If an officer screens for XO-Special Mission or XO-Afloat during a Commander command selection board, the officer will be afforded a third opportunity to pass the SWOS CA. The SWOS CA will be conducted at SWOS between the first and second DH tours. If an officer is not able to attend the SWOS CA between tours, they should coordinate with PERS-41, SWOS, and the TYCOM (as appropriate for funding) to schedule the SWOS CA during their second DH tour or after completion of the second DH tour. Every effort should be made to complete the SWOS CA while attached to an afloat command and prior to completion of the second DH tour. This includes Fleet-Up and single longer tour DHs. All SWO DHs are required to take the SWOS CA – regardless of their career intentions.

Note: SWOS CA minimum Temporary Duty Under-instruction (TDY) time periods will be based on the officer's last command's geographical location.

Note: If an officer fails any portion of the CA on their initial attempt, they may complete the oral board requirement prior to reattempt, however the board completion letter will state the officer is recommended Qualified for Command pending satisfactory completion of the SWOS CA.

Note: COs should coordinate with PERS-41, SWOS, and the appropriate TYCOM when considering the timing for the SWOS CA in relationship to ship tasking and transfer dates in conjunction with permanent change of stations (PCS) moves. SWOS convenes in excess of 20 CAs per calendar year and is flexible enough to support special cases where adequate preparation is not feasible due to ship schedule. TYCOM holds approval authority to delay CA outside of the PCS window.

(1) The SWOS CA will consist of the following:

(a) Written test. The test is comprised of five sections: Rules of the Road, Command Management, Material Readiness, Navigation/Seamanship and Shiphandling, and Maritime Warfare. A score of 90 percent or higher on Rules of the Road and a 75 percent or higher on all other sections is required. In the event of a failed first attempt, the officer must wait a minimum of 30 days until they can take their second attempt after receiving a recommendation from their CO, Officer in Charge (OIC) or Reactor Officer. If the officer failed one or both assessments (tactical or seamanship) during their SWOS CA, they must complete the second attempt at SWOS. Procedures can be found in enclosure (6).

(b) Seamanship Assessment. Candidates will be assessed in SWOS Simulators on their ability to safely maneuver the class of ship in which they completed their most recent DH tour, with the exception of SWO (N) officers who will be assessed on the platform of their first DH tour regardless of timing of the Seamanship Assessment. This assessment will be in addition to the shiphandling/seamanship practical listed in paragraph 4.e and enclosure (7). Candidates may use up to two four-hour periods of SET in their local NSST in order to prepare for, or remediate following, the Seamanship Assessment portion of the CA. These hours will not be counted against the candidate's parent command, but will be directed towards COMNAVSURFPAC/COMNAVSURFLANT total hours.

(c) Tactical Assessment. Candidates will be assessed in SWOS Simulators on their ability to correctly employ the Rules of Engagement and the combat systems of the class of ship in which they completed their most recent DH tour. This is an assessment of judgment and watchteam leadership, not a ship class-specific tactical evaluation.

(d) Complete a DH 360° Assessment. This is an ungraded portion of the SWOS CA mandated by reference (o). The 360° Assessment will be initiated by SWOS prior to completion of the DH's first tour. COs are responsible for ensuring the 360° Assessment is completed for their DHs no less than 45 days prior to CA convening. SWOS will contact COs 30 days prior to the SWOS CA convening if this has not been completed. During the SWOS CA, SWOs will be

debriefed on the results of their 360° Assessment, by a qualified staff member. Feedback from direct reports, peers, and supervisors will be solicited per the following criteria:

1. COs will select the respondents for 360° Assessments. This is a significant change from previous methods and is critical to providing meaningful feedback and the “full spectrum” assessment of the DH.

2. The CO and XO will complete the 360° Assessment.

3. Two fellow DHs will complete the 360° Assessment. If the ship’s manning does not support this requirement. (i.e. CVN, LCS, ship decommissioning, etc.) the respective DH’s CO, XO, or Reactor Officer will contact SWOS to determine how to best meet this requirement.

4. Two division officers (if available), the command master chief or senior enlisted leader/advisor, one additional chief petty officer (if available), and three enlisted Sailors (E-5 to E-6) will complete the 360° Assessment. Training periods, leave, and other TAD periods are not a satisfactory reason for non-availability of these subordinates.

h. Complete an individual Command Qualification Record, enclosure (7).

i. Receive “Qualified for Command” recommendation from Command Qualification Oral Board. The oral board should be scheduled after completion of the requirements specified above (exception noted in paragraph 4.g). The establishment of Command Qualification Oral Boards within each squadron and appropriate group of the Naval Surface Force is mandatory.

(1) Board Composition.

(a) All members of the board, to include the Board Chairperson, will be 111X designated officers.

(b) The Board Chairperson will be an O-6, either serving in Major Command Afloat (or Deputy/XO Fleet-up), Sequential Major Command Afloat, or within three years of so doing.

(c) Boards will be comprised of an additional two or more O-5/O-6 111X officers who are in Afloat Command, or who have successfully commanded in the previous three years or are currently serving as a Deputy/XO Major Command Fleet-Up.

(d) Board members may not include the candidate’s current CO, OIC, or direct supervisor.

(2) The board will convene at a time and place mutually convenient to the board and the candidate. If by reason of deployment, remote homeporting, or similar circumstance, a board within the chain of command is not available, the candidate’s CO or unit commander may

nominate the officer to any established surface force Command Qualification Oral Board, stating the reason for the variance in the nominating letter. An officer attached to a ship not assigned to a Surface Force TYCOM will be nominated by his or her CO or unit commander to an established surface force Command Qualification Oral Board. If no established board is available, a request must be sent to COMNAVSURFOR who will designate a Command Qualification Oral Board to conduct the formal interview. Nomination packages for the board must include the following:

(a) Certification that the candidate meets all eligibility requirements and date available for interview. Include the candidate's Command Qualification record as an enclosure (enclosure (7)).

(b) A nomination letter (enclosure (8)).

(3) The interview should be oriented to evaluate the candidate's maturity, judgement, attitude, motivation, and awareness to ensure compliance with standards and procedures for qualification and placement in command. Additionally, the board will examine the candidate's character, critical thinking, ability to operate under stress, and technical proficiency in navigation, seamanship, warfighting, and shipboard management scenarios. This board must validate the nominee can manage and lead with energy, competence, and confidence. The board will review experiences and scenarios requiring decisions with negative command climates, ethical challenges, and stressful events to push each candidate to the limit. Length of the board will depend on the time needed to evaluate all minimum requirements listed below. However, the board will be at least one hour in duration. The following minimum items must be discussed, evaluated, and reported in the command recommendation letter:

(a) Leadership, accountability, and standards

(b) Procedural compliance

(c) Complex navigation and shipping scenario with complicating factors and rules of the road discussion

(d) Multi-threat environment scenario that stresses candidate to decide warfare priorities.

(e) Risk assessment with regards to departure from specifications and associated temporary standing orders

(f) Battle damage scenario involving casualties, which require continuation of offensive and defensive combat activities

(g) Self-assessment (strengths, weaknesses, and mitigations)

- (h) Forceful backup
- (i) Operational risk management
- (j) Plan, brief, execute, debrief process
- (k) Watchstander principles, watchstander formality
- (l) Leadership triad

(4) Upon completion of its deliberations, the Command Qualification Oral Board will report its proceedings as follows:

(a) For officers found qualified, a letter setting forth the findings of the board will be sent to the candidate via the appropriate Surface Force TYCOM, copy to the nominating officer, board members, and PERS-41. The nominating officer's letter of recommendation, enclosure (9), will be forwarded as part of the board's report.

(b) For officers found not qualified, a report setting forth the board's findings and explanation thereof, and if appropriate, a recommended date for re-board, will be forwarded to the nominating command, copy to the candidate and the command which established the qualification oral board.

Note: Officers who are unable to complete a Command Qualification Oral Board during their second DH tour must contact COMNAVSURFPAC/COMNAVSURFLANT N7 to arrange an oral board.

5. Qualified for Command. Recognition of achievement of the designation "Qualified for Command" will be accomplished as follows:

a. A letter of qualification will be issued by the appropriate Surface Force TYCOM in recognition of the accomplishment and will be delivered to the officer.

b. Relevant comments concerning the qualification will be made in the officer's next regular FITREP.

c. Upon receipt of a copy of the TYCOM letter of qualification (validation letter), PERS-41 will ensure the appropriate AQD entries (2D1 & LN7) are made in the officer's official record. Both LN7 (SWO-specific Command Qualification AQD) and 2D1 (Navy-wide Command Qualification AQD) are required to be in an officer's record in advance of screening for Commander Command. Post-DH Early Command officers must earn LN7 and 2D1 prior to assuming command.

6. Command at Sea Selection. An administrative board, held annually for Commander Command and semi-annually for Early Command, will select qualified officers for Command at Sea. The following requirements occur after selection. Officers who are selected for Command at Sea will have this important career milestone documented in the officer's next regular FITREP.

a. Prior to assuming Command:

(1) Complete the SWOS Surface Commanders Course (SCC), which includes the Senior Officer Ship Material Readiness Course (SOSMRC); the PCO Pipeline (unless waived by TYCOM); and successfully pass all required oral and written examinations. CO-Special Mission officers are only required to complete the SOSMRC course of instruction at SWOS.

(2) Attend the Command Course at Naval Leadership and Ethics Command (NLEC) prior to assuming command, unless waived by Chief of Naval Personnel (CHNAVPERS). While at NLEC:

(a) Complete a written examination administered at NLEC. The examination will cover specific professional level of knowledge requirements to include: command leadership tenets, CO/OIC authorities, duties, rights, and responsibilities under U.S. Navy Regulations and the Uniform Code of Military Justice.

(b) Complete a 360° Assessment at NLEC for Commander and Major Command and receive debrief by a certified counselor.

(3) Complete Joint Professional Military Education (JPME) Phase I. JPME Phase I can be completed at any point in the career of an 111X prior to assuming command. The JPME Phase I requirement can be waived by NPC (PERS-4) for unusual cases.

b. Summary matrices listing the requirements for Early Command, Commander Command, Major Command, and for Fleet Up in command is provided in enclosure (5).

7. XO/CO Fleet-Up

a. XO/CO Fleet-Up Certification requirements apply to the following officers:

(1) 13XX officers in XO/CO Shipboard Major Command Fleet-Up billets under COMNAVSURFOR cognizance.

(2) 111X officers serving in Major Command, Commander Command, and Early Command XO/CO Fleet-Up billets.

b. Prior to fleetting up into the CO billet, the CO will recommend and the ISIC will certify the officer's continued eligibility for Command. Both the CO and ISIC must validate that the officer can continue to manage and lead with energy, competence, and confidence. Enclosure (10) is a sample recommendation letter.

c. The ISIC will submit the certification of the Fleet-Up officer via letter to the TYCOM after the Fleet-Up officer has served 12 months as the XO, or once a change of command date is set if prior to 12 months. Enclosure (11) is a sample certification letter. Certification will include a review of all requirements outlined in paragraphs 4 through 6 above. Additionally, the ISIC must decide if the member has the professional competence, intelligence, moral courage, and personal honor necessary for Command. TYCOM will validate the officer's eligibility, copy to PERS-41. If the ISIC chooses not to certify the Fleet-Up officer, the TYCOM in coordination with PERS-41, will adjudicate final disposition of the officer. In the non-certification letter, it must explain reasoning why the officer is not able to comply with standards and procedures or manage and lead with energy, competence, and confidence for placement in command. Enclosure (12) is a sample non-certification letter. For XO Afloat screening officers, the ISIC will submit the certification of the officer and conduct evaluation number 8 (enclosure (4)), prior to the completion of the officer's XO Afloat tour.

d. Fleet-Up PCO Pipeline

(1) The XO job is hard. Command is even more demanding. Linking these two assignments back-to-back makes for an extremely challenging and potentially exhausting 3 years.

(2) In order to focus on warfighting and adequately prepare to take command, Commander Command and Early Command Fleet-Up PCOs will execute a period of leave/TDY and training after relief as XO and prior to taking command. Timing of the PCO Pipeline will also enable the new XO to work with the experienced CO prior to change of command. Requirements in paragraphs 7.d. (3) through 7.d. (5) do not apply to Major Command Fleet-Up PCOs or Commander Command Special Mission Fleet-Up PCOs.

(3) The PCO Pipeline consists of several parts: leave/TDY, PCO Course (SWOS), and TYCOM Indoctrination (INDOC) if not previously attended. Per reference (a), XOs fleetting up to CO are not required to recomplete any courses attended as part of the PXO pipeline, with their only requirement being the SWOS PCO course. The PCO curriculum is highly focused and individually tailored for each PCO student based on advance input from the officer, outgoing CO, and ISIC. The first part of the training is three weeks at SWOS and commences with two to three days of Mariner Skills Go/No-Go Assessments (Chapter 4). The remainder of the curriculum focuses on advanced command management, warfighting leadership, maintenance availability management, PERS 41 Community Brief and a segment on communicating with the crew. In some cases, PCOs will have an intense operational period ahead of them. This is an opportunity for SWOS to look at deployed operations specifically. Additionally, SWOS will

typically arrange a seminar with a current or post-command ISIC to discuss ISIC relationships. To gain the most benefit from this course, PCOs will be encouraged to provide several deliverables to SWOS before beginning the PCO Pipeline. PCOs will also return to COMNAVSURFPAC or COMNAVSURFLANT for a short TYCOM INDOC geared to PCOs if not previously attended (i.e. completed as PXO or P-Deputy prior to fleet-up in current tour). The PCO's ISIC in conjunction with the TYCOM, PERS-41, and SWOS, will schedule the tailored PCO pipeline.

(4) Due to the importance of maintaining operational awareness and maximizing "water under the keel" experience, the PCO will usually be afforded the opportunity to take leave or TDY in conjunction with the three-week training period prior to returning to the ship to assume command. Any deviation from this policy requires TYCOM approval.

(5) ISICs will coordinate with their operational commanders before submitting pipeline inputs for their PCOs. Depending on the sequence of training and ship's deployment status, PERS-41 and TYCOM will provide the funding mechanisms to enable any PCO travel associated with the PCO Pipeline. For ships in their homeport, PERS-41 will fund the training at SWOS and TYCOM. For ships on deployment, orders will be funded by TYCOM to fly the officer back to SWOS to conduct training, as well as return to TYCOM for a short PCO-focused TYCOM INDOC. If an officer desires leave after the training, and their ship is still on deployment, they may take leave, but must take leave from their last training stop. Again, deviation from this PCO Pipeline policy requires TYCOM approval.

8. Post-DH Early Command Requirements

a. The following requirements must be completed prior to applying for Early Command.

(1) Attain formal designation as a SWO (111X).

(2) Serve at least 36 months in a ship or afloat staff and serving as an afloat DH or Post DH in the pay grade of LT or LCDR.

(3) Complete the SWOS DH course.

(4) Attain the watch station qualifications of EOOW and TAO.

(5) While assigned to an afloat command, demonstrate sustained skill in shiphandling and seamanship per paragraph 4.e of this chapter.

(6) Upon completion of the requirements of paragraphs 8a(1) through 8a(5), the eligible officer requests a Command Qualification Oral Board via their CO. A command

Qualification Oral Board will be established per paragraph 4.i of this chapter. The board will verify that the Command Qualification Record (enclosure (7)) requirements are met with the exception of g, h, and i.

(7) Submit request package to PERS-41 for Early Command administrative screening board consideration. The Early Command package submitted electronically/faxed to PERS-41 by the requesting officer should include:

- (a) Officer's request for early command;
- (b) CO's endorsement letter;
- (c) First flag officer in chain of command endorsement letter;
- (d) Command qualification board letter.

(8) TYCOM endorsement is not required, unless the TYCOM is the first flag officer in the chain of command. Each endorsing officer must validate that the requesting officer will ensure compliance with standards and procedures for qualification and placement in command. Additionally, they must validate that the officer can manage and lead with energy, competence, and confidence.

Note: JPME Phase I is not required for Early Command.

b. The following requirements must be completed prior to assuming Early Command.

(1) Be selected for Early Command by the semi-annual Early Command administrative board.

(2) Complete the SWOS CA as part of the Early Command training pipeline, to include the SWO DH 360° Assessment. The SWOS CA does not have to be completed prior to the Command Qualification Oral Board.

(3) Forward completed Command Qualification Record, certification of CA completion, and certification of Command Qualification Oral Board completion to the appropriate TYCOM for final designation as "Qualified for Command."

(4) Complete the SWOS Command Training pipeline with associated oral and written examinations.

(5) Complete the Command Course at NLEC.

(6) For MCM XO/CO Fleet-Up, complete ISIC Fleet-Up Certification per paragraph 7.b.

(7) For PC Command, Qualified for Command Designation must be granted prior to assumption of command.

9. Post-DIVO Early Command Requirements (MK VI)

a. The following requirements must be completed prior to applying for MK VI CO Early Command.

(1) Attain formal designation as a SWO (111X).

(2) Serve at least 36 months in a ship, complete at least one deployment, screen for DH, and complete Naval Expeditionary Combatant Command Screening (NECC).

(3) Attain the watch station qualification of EOOW.

(4) While assigned to an afloat command, demonstrate sustained skill in shiphandling and seamanship per paragraph 4.e of this chapter.

(5) Complete the SWOS BDOC and ADOC course. SWO (N) trained officers are exempt from the ADOC requirement.

(6) Upon completion of the requirements of paragraphs 8a(1) through 8a(5), the eligible officer requests a Command Qualification Oral Board via their CO. A command Qualification Oral Board will be established per paragraph 4.i of this chapter.

(7) Submit request package to PERS-41 for Early Command administrative screening board consideration. The Early Command package submitted electronically/faxed to PERS-41 by the requesting officer should include:

(a) Officer's request for early command;

(b) CO's endorsement letter;

(c) First flag officer in chain of command endorsement letter;

(d) Command qualification board letter.

(8) TYCOM endorsement is not required, unless the TYCOM is the first flag officer in the chain of command. Each endorsing officer must validate that the requesting officer will ensure compliance with standards and procedures for qualification and placement in command. Additionally, they must validate that the officer can manage and lead with energy, competence, and confidence.

Note: JPME Phase I is not required for Early Command.

b. The following requirements must be completed prior to assuming MK VI CO Early Command.

(1) Be selected for Early Command by the semi-annual Early Command administrative board.

(2) Complete the Post-Divo SWOS CA as part of the Early Command training pipeline, with the exception of the 360° Assessment. The Post-Divo SWOS CA does not have to be completed prior to the Command Qualification Oral Board and will not affect an officer's requirement to complete the Commander Command CA.

(3) Forward certification of CA completion and certification of oral board completion to the appropriate TYCOM for final designation as "Qualified for Command."

(4) Complete the SWOS Command Training pipeline with associated oral and written examinations.

(5) Complete the Command Course at NLEC.

10. Qualification of Aviation Officers (13XX) for Command of Surface Ships. Because Aviation Officers have separate O-5 command training pipeline and career path, the below tailored qualification standard establishes the requirements to assume command of a surface ship and will be complete prior to assuming command. Aviation officers will also review the signed memorandum of understanding between COMNAVSURFOR and Commander Naval Air Forces (COMNAVAIRFOR), which further codifies the requirements.

a. Maintain designation as Aviation Officer (13XX).

b. Serve at least 36 months in a ship or afloat staff to include squadrons embarked on ships.

c. Attain the qualifications set forth in SWO Engineering PQS (NAVEDTRA 43101-3 Series) for applicable ship class assigned. Successful completion of nuclear training fulfills this requirement. This qualification will normally be completed during XO tour prior to fleet-up to CO.

d. Obtain qualification and serve successfully as Underway OOD as reflected by the LB2 AQD. Completion of NAVEDTRA 43101-4 series PQS (watchstation 302) is the pathway. NAVEDTRA 43496-1 series PQS (watchstation 303), CVN OOD, is an acceptable substitute.

e. While assigned to an afloat command, demonstrate sustained skill in ship handling and seamanship by satisfactorily completing a shiphandling/seamanship practical as set forth below.

This qualification will normally be completed during XO tour prior to fleet-up to CO. In those cases where it is not feasible to conduct the practical on one's own ship, such as during an extended overhaul, the practical may be conducted aboard another ship. The practical will consist of the following evolutions at a minimum:

- (1) Mooring to and getting underway from a pier or a nest of ships alongside a pier.
- (2) Anchoring and getting underway from an anchorage.
- (3) Maneuvering through restricted waters entering or leaving port.
- (4) Maneuvering the ship to recover a simulated man overboard.

(5) Replenishment at sea. Minimum requirements include an approach, remaining alongside long enough to demonstrate the ability to make common station-keeping adjustments, execute an emergency breakaway, and departure from alongside.

f. Complete the SWOS CA. The SWOS CA will be conducted at SWOS in conjunction with completion of the respective Command Training pipeline courses of instruction, and will not be completed simultaneously with SCC course. The SWOS CA will consist of the following:

(1) Written test. A score of 90 percent or higher on Rules of the Road and a 75 percent or higher on all other sections is required.

(2) Seamanship Assessment. Candidates will be assessed in SWOS Simulators in their ability to safely maneuver the class of ship in which they are slated.

(3) Tactical Assessment. Candidates will be assessed in SWOS Simulators in their ability to correctly employ the Rules of Engagement and the combat systems of the class of ship in which they are slated.

g. Complete an individual Command Qualification Record (enclosure (13)). Submit completed record sheet and SWOS CA completion letter to applicable Surface Force TYCOM N7 and be assigned LN7 AQD by PERS-43 prior to assuming command.

h. If serving in an XO/CO Fleet-Up billet, submit enclosures (10) and (11) to the appropriate Surface Force TYCOM for approval of fleet-up.

11. Exceptions. Exceptions to command qualification procedures prescribed in this instruction may be granted only by COMNAVSURFOR and must be at the request of the officer seeking command qualification. Full documentation detailing why the procedures could not be met must be provided.

- a. Once “Qualified for Command” (LN7 AQD), officers who successfully complete Early or Commander Command will maintain this qualification for further command screening boards.

- b. An officer who had previously failed the SWOS CA twice, but is selected for an XO Afloat or XO Special Mission billet, will be eligible for a third attempt to complete the SWOS CA to gain eligibility for command screening at their third look. Requests for a third attempt will be coordinated via SWOS N75.

COMNAVSURFORINST 1412.7
16 Dec 2019

SAMPLE COMMANDING OFFICER END OF OFFICER'S TOUR LETTER TO
PERS-41

1412
Ser CG XX/XXX
DD Mmm YY

From: Commanding Officer, USS SHIP (CG XX)
To: Commander, Navy Personnel Command (PERS-41)

Subj: MARINER SKILLS LOGBOOK DATA SUMMARY OF ENS SALT E. SAILOR, USN,
11XX

1. During ENS Salt E. Sailor's tour on USS SHIP (CG XX) from Month YYYY – Month YYYY.

2. Watch Experience

a. Underway Bridge Watch Hours

(1) OOD

(a) Qualified

(b) Under Instruction

(2) Bridge watch other than OOD or OOD (U/I)

b. Bridge Watch Simulator Hours

(1) OOD (qualified) or (under instruction)

(2) Bridge watch other than OOD or OOD (U/I)

(3) Dates attended BRM

3. Special Evolutions Experience (Day/Night)

a. Sea and Anchor Details:

b. Underway Replenishments:

c. Anchoring Evolutions:

Enclosure (1)

COMNAVSURFORINST 1412.7
16 Dec 2019

Subj: MARINER SKILLS LOGBOOK DATA SUMMARY OF ENS SALT E. SAILOR, USN,
11XX

- d. Straits/Congested Waterway Transits:
 - e. Other (specify particular evolution or event):
4. CO's Overall Assessment: (comments if desired).

/s/
C. O. SHIP

Copy to:
ENS Sailor

COMNAVSURFORINST 1412.7
16 Dec 2019

SAMPLE REPORT OF NON-ATTAINMENT LETTER

1412
Ser DDG XX/XXX
DD Mmm YY

From: Commanding Officer, USS SHIP (DDG XX)
To: Commander, Navy Personnel Command (PERS-412)
Via: (1) LTJG John P. Jones, USN, 1160
(2) Commanding Officer, USS SHIP (DDG XX)
(3) Commander, Naval Surface Force, U.S. Pacific Fleet or
Commander, Naval Surface Force Atlantic (as applicable)

Subj: REPORT OF SURFACE WARFARE OFFICER NON-ATTAINMENT ICO LTJG
JOHN P. JONES, USN, 1160

Ref: (a) COMNAVSURFORINST 1412.7

Encl: (1) As applicable
(2) As applicable

1. Per reference (a), this letter is submitted to document the inability of LTJG John P. Jones to demonstrate the requisite level of knowledge and aptitude necessary to qualify as a Surface Warfare Officer (SWO). Details of his potential and the circumstances leading to his non-attainment are outlined below and further explained in enclosures (1) and (2).
2. Include justification for SWO non-attainment and an appropriate recommendation concerning re-designation and/or retention in the naval service.

E. D. PREBLE

Copy to:
ISIC
LTJG Jones

Enclosure (2)

COMNAVSURFORINST 1412.7
16 Dec 2019

SAMPLE RECOMMENDATION FOR REVOCATION OF DESIGNATION LETTER

1412
Ser DDG XX/XXX
DD Mmm YY

From: Commanding Officer, USS SHIP (DDG XX)
To: Commander, Navy Personnel Command (PERS-412)
Via: (1) LTJG John P. Jones, USN, 1160
(2) Commanding Officer, USS SHIP (DDG XX)
(3) Immediate Superior In Command
(4) Commander, Naval Surface Force, U.S. Pacific Fleet or Atlantic (as applicable)

Subj: RECOMMENDATION FOR REVOCATION OF SURFACE WARFARE OFFICER
DESIGNATION ICO LT JOHN P. JONES, USN, 1110

Ref: (a) COMNAVSURFORINST 1412.7

Encl: (1) As applicable
(2) As applicable

1. Per reference (a), this letter is submitted to notify LTJG John P. Jones of my recommendation for revocation of his Surface Warfare Officer (SWO) designation (SWO Revocation Recommendation). Details of the circumstances leading to his revocation are outlined below and further explained in enclosures (1) and (2).
2. Include justification with supporting facts for revocation of designation.
3. Further questions can be directed to my Executive Officer, CDR Stephen O. Decatur, by email: xo@ddgxx.navy.mil.

E. D. PREBLE

Copy to:
ISIC
TYCOM
LT Jones

Enclosure (3)

SWO MILESTONE MARINER SKILLS ASSESSMENTS, EVALUATIONS, AND COMPETENCY CHECKS							
NR	Assessment Type	Milestone	Assessment Description	Assessor	Implementation Status	Assessment Location	Assessment Results / Comments
1	Competency Check	Upon completion of the Junior Officer of the Deck (JOOD)/ Officer of the Deck (OOD) Phase I course (graduation criteria)	(1) Written Exam with 50 questions on Navigation, Seamanship, Shiphandling (NSS) and Rules of the Road and (2) a 45-minute light-to-medium traffic density scenario in the simulator	SWOS	In place.	Navigation, Seamanship, Shiphandling Trainer (NSST)/ (MSTC) Norfolk and San Diego	(1) Complete – No Concerns, (2) Complete – Minor concerns, and (3) Complete – Significant Concerns. An assessment of “Complete – Significant Concerns” will result in remediation and the requirement for the student to retake and pass the assessment.
2	Commanding Officer (CO) Evaluation	Prior to completion of the 30-month First Division Officer tour; pre-requisite for officers to attend the OOD Phase II course of instruction	Observation by the Ship’s CO of officer performance in a variety of ship handling, navigation, and traffic management scenarios (either live underway or in the Fleet Concentration Area (FCA) simulators)	Ship’s CO	To be implemented by 2021 upon stand-up of the 3-week OOD Phase II course	Onboard ship or at FCA Navigation, Seamanship, Shiphandling Trainer (NSST)	Certification that the officer has completed all requirements and in the evaluation of the CO is ready to attend the OOD Phase II course of instruction.
3	Competency Check	Upon completion of the NSS portion of Advanced Division Officer Course (ADOC) (until 2021)	(1) Written NSS and Rules of the Road exams and (2) a pier work scenario in the simulator	SWOS	In place. Once the OOD Phase II course comes on line in 2021, this competency check will become a pierwork competency check only	SWOS Newport	(1) Complete – No Concerns, (2) Complete – Minor concerns, and (3) Complete – Significant Concerns. An assessment of “Complete – Significant Concerns” will result in remediation and the requirement for the student to retake and pass the assessment.
	Go/No Go Assessment	Upon completion of the OOD Phase II course (graduation criteria)	(1) Written exam on NSS and Rules of the Road and (2) a 45-minute medium to high traffic density scenario in the simulator	SWOS	To be implemented by 2021 upon stand-up of the 3-week OOD Phase II course	MSTC Norfolk and San Diego	Successful completion of written exam and the scenario are required to attend ADOC and be eligible for a second, follow-on Afloat Division Officer tour. Candidates who fail the assessment are referred to the Type Commander for adjudication.

16 Dec 2019

SWO MILESTONE MARINER SKILLS ASSESSMENTS, EVALUATIONS, AND COMPETENCY CHECKS

NR	<u>Assessment Type</u>	<u>Milestone</u>	<u>Assessment Description</u>	<u>Assessor</u>	<u>Implementation Status</u>	<u>Assessment Location</u>	<u>Assessment Results / Comments</u>
4	Competency Check	Upon completion of the NSS portion of the SWO Department Head (DH) Course (Completion of this competency check is one of the graduation criteria for the DH Course)	(1) Written exam with 50 questions on NSS and Rules of the Road and (2) a 45-minute medium to high traffic density scenario in the simulator	SWOS	In place	SWOS Newport	(1) Complete – No Concerns, (2) Complete – Minor concerns, and (3) Complete – Significant Concerns. An assessment of “Complete – Significant Concerns” will result in remediation and the requirement for the student to retake and pass the assessment.
5	CO Evaluation	During DH tour and prior to Command Assessment (CA) (pre-requisite for Command Qualification)	Observation by the Ship’s CO of officer performance in a variety of ship handling, navigation, and traffic management scenarios (either live underway or in the FCA simulators)	Ship’s CO	In place	Onboard ship or at FCA NSST	Certification that the officer has completed all requirements and in the assessment of the CO has demonstrated proficiency to effectively and safely handle and navigate a ship and effectively lead a watch team.
6	Assessment	During CA	(1) Written exam portion of the Command Assessment for both Rules of the Road and Navigation and (2) a 45-minute high traffic density scenario in the simulator assessed by a post-command Commander (O5)	SWOS	In place	SWOS Newport	Successful completion required to be eligible for consideration for Command at Sea at the Surface Commander Command Screening Board. .

SWO MILESTONE MARINER SKILLS ASSESSMENTS, EVALUATIONS, AND COMPETENCY CHECKS							
NR	Assessment Type	Milestone	Assessment Description	Assessor	Implementation Status	Assessment Location	Assessment Results / Comments
7	Competency Check	Upon completion of the Navigation, Seamanship, and Shiphandling (NSS) portion of the SCC (graduation criteria)	(1) Written exam with 50 questions on NSS and Rules of the Road and (2) a 45-minute high traffic density scenario in the simulator	SWOS	In place	SWOS Newport	(1) Complete – No Concerns, (2) Complete – Minor concerns, and (3) Complete – Significant Concerns. An assessment of “Complete – Significant Concerns” will result in remediation and the requirement for the student to retake and pass the assessment.
8	Intermediate Superior in Command (ISIC) Evaluation	Prior to attending the SWOS Prospective Commanding Officer (PCO) Course	Evaluation by the ISIC of sitting XOs for readiness to fleet-up to CO	ISIC	In place	Onboard ship or at FCA NSST	Certification that the officer has completed all requirements and in the evaluation of the ISIC has demonstrated proficiency to effectively and safely handle and navigate a ship and effectively lead a watch team as a CO. The ISIC evaluation will include, at a minimum, observation of the candidate during a high density traffic scenario underway, or if not feasible, in the FCA NSST simulator.
9	Go/No Go Assessment	During the PCO course	(1) Written exam with 50 questions on Rules of the Road and (2) a 45-minute high traffic density scenario in the simulator	SWOS	In place	SWOS Newport	Successful completion required to be eligible for proceeding to Command at-Sea. Three attempts provided. Candidates who fail the assessment are referred to the Type Commander for adjudication.
10	Go/No Go Assessment	During the MCO Course	(1) Written exam with 50 questions on Rules of the Road and (2) a 45-minute high traffic density scenario in the simulator	SWOS	In place	SWOS Newport	Successful completion required to be eligible for proceeding to Major Command. Three attempts provided. Candidates who fail the assessment are referred to the Type Commander for adjudication..

3

MATRIX OF COMMAND QUALIFICATION REQUIREMENTS

	COMPLETED DIVO TOURS	COMPLETED 1 ST DH TOUR			AVIATION DESIGNATORS FOR SURFACE SHIPS ¹³
	POST DIVO EARLY CMD	EARLY CMD	CDR CMD	MAJ CMD	
a. Designation as SWO (111X)	X	X	X	X	X ¹¹
b. Required time afloat	36 ¹	36	60	60	36
c. Complete SWOS DH Curriculum	N/A	X	X	X	N/A
d. Attain EOOW and TAO Qualification	X ²	X	X	X	N/A
e. Complete BDOC and ADOC	X ³	X	X	X	N/A
f. Screen for Department Head	X	X	X	X	X
g. Complete NECC screening	X	N/A	N/A		
h. Complete SWOS Command Assessment	X ⁴	X ⁵	X	X ¹⁰	X ¹²
i. Complete 360° Review as a DH	N/A	X	X	X	N/A
j. Demonstrate Shiphandling /Seamanship skills while assigned to Afloat Command	X	X	X	X	X
k. Complete CMD Qualification Record	N/A	X ⁷	X	X	X ¹³
l. Be nominated for CMD Qualification Oral Board	X	X	X	X	N/A
m. Complete CMD Qualification Oral Board	X	X	X	X	N/A
n. Be designated as Qualified for Command	X ⁶	X ⁸	X	X	N/A
o. Be selected for Command at Sea by Administrative Board	X	X	X	X	X
p. Complete SWOS PCO course	X	X	X	X	X
q. Complete Command Leadership Course (CLC)	X	X	X	X	N/A
r. Complete CLC-administered written exam	X	X	X	X	N/A
s. Complete 360° Assessment at CLC	N/A	N/A	X	X	N/A
t. Complete JPME I	N/A	N/A	X	X	X
u. XO/CO Fleet-Up Validation	N/A	X ⁹	X	X	X
v. Complete CDR CMD Tour	N/A	N/A	N/A	X	X

Notes:

1. Must complete at least one deployment during 36 months afloat.
2. TAO not required.
3. SWO Nuclear officers are exempt from the ADOC requirement.
4. CA required to be completed during PCO pipeline and not prior to Oral Board. This does not affect requirement to also complete CDR CMD CA.
5. Completed at SWOS during PCO pipeline.
6. Prior to assuming command, forward post-DIVO CA completion and oral board completion paperwork to appropriate TYCOM for final designation as “Qualified for Command”.
7. Item (j) and (l) not required to be completed prior to selection for Early Command.
8. Upon successful completion of Command Assessment and prior to assuming command.
9. Required for MCM Command.
10. Satisfied by completing Commander Command and Go/No-Go Assessment.
11. Must be aviation designated (13XX).
12. Completed during PCO/MCO Pipeline and prior to assuming Command.
13. Aviators will complete enclosure (13).

MATRIX OF FLEET UP REQUIREMENTS¹

	MCM/DDG/LCS /LSD	LHD/LHA	CDS/CPR/MCMRON/ LCSRON	BMU/NBU ⁶
JPME PHASE I	X	X	X	X
QUALIFIED FOR CMD	X	X	X	X
CMD SCREENED	X	X	X	X
CO ENDORSEMENT	X	X	X ⁵	X
ISIC EVALUATION ²	X	N/A	N/A	N/A
ISIC ENDORSEMENT	X	X	X	X
12 MONTHS AS XO/DEPUTY OR CoC DATE SET IF ISIC ENDORSE PRIOR TO 12 MONTHS	X	X	X	X
FLEET UP LETTER SIGNED BY TYCOM	X	X	X	X
SWOS SURFACE CDR COURSE ³	X	N/A	N/A	N/A
MCO COURSE ⁴	N/A	X	X	N/A
SWOS SOSMR COURSE	X	X	X	X
ISIC TAILORED PCO PIPELINE	X	X	X	N/A
COMMAND LEADERSHIP	X	X	X	X

Notes:

1. Non Fleet Up commands are not listed (CG, LPD).
2. ISIC Evaluation is per event number 8, enclosure (4).

3. Includes Go/No-Go per event number 9, enclosure (4).
4. Includes Go/No-Go per event number 10, enclosure (4).
5. Deputy is endorsed by Commodore if billeted as Fleet Up.
6. For command billeted as fleet-up only.

PROCEDURE FOR REQUESTING CA WRITTEN EXAM AND SUBSEQUENT ATTEMPTS
OF THE CA

1. This procedure is valid for officers who are only required to take the written test portion of the CA, as specified in this instruction.
2. Afloat Commanders, COs, OICs, or Reactor Officers will request a written test for their candidate once they have met the requirements of paragraph 5.a. through 5.f.
 - a. Send the request via a SIPRNET email from their Commander, CO, OIC, or Reactor Officer to the SWOS Command at Sea Director (N75) at SWOS_NWPT_CA@navy.smil.mil. Provide the name, rank, and designator of the candidate. Do not include Personally Identifiable Information (PII) in submissions.
 - b. SWOS N75 will generate the test and send it electronically via SIPRNET as a password protected document to the requesting officer. The requesting officer will be provided specific instructions and the password to the test in a separate email.
3. For those candidates not in an afloat billet (Post DH, GSA, Joint Duty, etc), the first available senior Navy officer in the officer's chain of command (minimum O5) will request and proctor the written test as stated above. If in a billet where a senior officer is not present or it would be impractical, a senior officer from any service in the officer's chain of command will request and proctor the test and explain the circumstances that preclude test administration by a senior Navy officer.
4. Administration of the test. These procedures apply to candidates in afloat and non-afloat billets. Specifically:
 - a. The Commander, CO, OIC, or Reactor Officer may delegate proctoring the test to the Deputy Commander, XO or another Post Commander Command O5, but no further delegation is permitted.
 - b. The candidate will be given four hours to complete the test. The proctor will allow the candidate to take periodic breaks during the test, and the proctor must ensure time is constrained to the four-hour time limit. The candidate may not bring anything with them to take the test. Notes, scratch paper, etc. may be used, but must be destroyed by the test proctor.
 - c. At the end of the test, the proctor will save the document and email it back to SWOS N75. The CO and/or proctor will delete all test files after SWOS N75 verifies receipt by email.
5. SWOS N75 will notify the candidate's Commander, CO, OIC or Reactor Officer of the test results via email and attach either a Completion or Failure letter.

6. This paragraph describes the procedure for officers who failed one or more portions of the SWOS CA on their first attempt.
 - a. For those candidates who only failed one or more sections of the written exam, follow the procedures outlined in paragraphs 1-5 of this enclosure to request a retake exam consisting only of those sections that were failed during the first attempt.
 - b. For those candidates who failed one or both of the assessments (tactical or shiphandling) during their SWOS CA, the second attempt must be conducted at SWOS. If a candidate failed one or more sections of the written exam in addition to one or both of the assessments, then the second attempt at both the written exam and assessment(s) will occur at SWOS.
 - c. Candidates needing to return to SWOS to conduct their second attempt will contact SWOS at SWOS_NWPT_CA@navy.smil.mil or (401) 841-4985 to arrange a date/schedule for the second attempt. Requests for funding should be coordinated with the TYCOM for TAD orders and travel to SWOS.
 - d. SWOS N75 will notify the candidate and their parent command CO of results in the form of a Completion or Failure letter.

COMMAND QUALIFICATION RECORD FOR SURFACE WARFARE OFFICERS

NAME: _____

All officers must complete the following items listed in chapter 5 prior to receiving a TYCOM letter of qualification and the LN7 AQD. Date of line item will indicate date of completion, not signature.

- a. Qualify and be designated as a SWO.

(Signature) (Date)

- b. Complete minimum required time in afloat tours.

(Signature) (Date)

- c. Successfully complete SWOS DH School.

(Signature) (Date)

- d. Complete EOOW qualification.

(Signature) (Date)

- e. Complete TAO qualification.

(Signature) (Date)

- f¹. Successfully complete a shiphandling/seamanship practical.

(Signature) (Date)

g. Successfully pass a SWOS-generated written test.

(Signature)

(Date)

h. Successfully pass a SWOS CA.

(Signature)

(Date)

i². Complete a DH 360° review.

(Signature)

(Date)

j³. Be recommended for Command Qualification by an eligible qualification oral board chairperson per Chapter 5 of this instruction.

(Signature)

(Date)

Notes:

- 1: Shiphandling/Seamanship Practical will be completed per paragraph 4.e. of chapter 5 of this instruction. The SWOS CA Shiphandling Assessment is a separate event.
2. Performed concurrently during SWOS Command Assessment.
3. Line item “j” is to be signed by the Command Qualification Oral Board Chairperson.

COMNAVSURFORINST 1412.7
16 Dec 2019

SAMPLE NOMINATION FOR COMMAND QUALIFICATION LETTER

From: Nominating Officer

To: Immediate Superior in Command

Subj: NOMINATION FOR COMMAND QUALIFICATION OF (NAME)

Ref: (a) COMNAVSURFPACINST/COMNAVSURFLANTINST 1412.7

Encl: (1) Command Qualification Record

1. Under the provisions of reference (a), (Name) is nominated for designation as "Qualified for Command." I request a Command Qualification Oral Board be designated to conduct the formal interview. (Name) is available for interview (Date).

2. I certify that (Name) meets the eligibility and prerequisite requirements of reference (a) as recorded in enclosure (1). *(Name) is an Early Command candidate and completion of the SWOS Command Assessment is not a Command Qualification Oral Board pre-requisite. Upon successful completion of the Command Qualification Oral Board, formal designation as "Qualified for Command" will occur following successful completion of the SWOS Command Assessment.

3. (Additional comments).

4. Point of contact information for Command Qualification Oral Board coordination:

/s/

NOMINATING OFFICER

Copy to:

Nominated Officer

*Insert only if Nomination is for an Early Command Candidate.

Enclosure (8)

COMNAVSURFORINST 1412.7
16 Dec 2019

SAMPLE COMMAND QUALIFICATION ORAL BOARD RECOMMENDATION LETTER

From: Board Chairman
To: Candidate

Subj: COMMAND QUALIFICATION ORAL BOARD RECOMMENDATION ICO
(CANDIDATE)

Ref: (a) COMNAVSURFPAC/COMNAVSURFLANTINST 1412.7

Encl: (1) USS NEVERSAIL (CG 47) ltr 1412 Ser 00/001 of 27 Jan 16

1. Under the provisions of reference (a), I chaired a Surface Command Qualification Oral Board on DD Mmm YYYY to determine the fitness for command of (Candidate). The board members included _____, _____, and _____ and covered the topics required by paragraph 4i(3) in chapter 5 of reference (a).

2. The board found (Candidate) fully qualified per reference (a) for selection to command.

*3. Upon successfully completing the SWOS Command Assessment, this board recommends that (Candidate) be designated as “Qualified for Command.”

4. (Comments).

/s/
COMMANDING OFFICER

Copy to:
BUPERS (PERS-41)
TYCOM
Nominating Officer
Board Members
Nominating Officer

*Insert only if the board is for an Early Command candidate who has not yet completed the SWOS CA.

Enclosure (9)

COMNAVSURFORINST 1412.7
16 Dec 2019

SAMPLE COMMANDING OFFICER RECOMMENDATION LETTER FOR
EXECUTIVE OFFICER/COMMANDING OFFICER FLEET-UP

From: Commanding Officer/Commodore
To: Immediate Superior in Command

Subj: EXECUTIVE OFFICER/COMMANDING OFFICER FLEET-UP
RECOMMENDATION ICO (NAME)

Ref: (a) COMNAVSURFPAC/COMNAVSURFLANTINST 1412.7

1. Under the provisions of reference (a), I have reviewed the officer's eligibility for Command.
2. I have conducted a validation of all requirements outlined in reference (a) and have determined that (Candidate) does have the professional competence, intelligence, moral courage, personal honor, and energy needed to lead in Command.
3. (Comments if desired).
4. Anticipated Change of Command date is (DD Mmm YYYY).

/s/
COMMANDING OFFICER

Copy to:
Recommended Officer

COMNAVSURFORINST 1412.7
16 Dec 2019

SAMPLE EXECUTIVE OFFICER/COMMANDING OFFICER FLEET-UP CERTIFICATION
LETTER

From: Immediate Superior in Command
To: Commander, Naval Surface Force, U.S. Pacific Fleet
Commander, Naval Surface Force Atlantic (as applicable)

Subj: EXECUTIVE OFFICER/COMMANDING OFFICER FLEET-UP CERTIFICATION
ICO (NAME)

Ref: (a) COMNAVSURFPAC/COMNAVSURFLANTINST 1412.7

Encl: (1) (Recommending CO) ltr 1412 Ser 00/001 of 27 Jan 16

1. Under the provisions of reference (a) and in consideration of enclosure (1), I have reviewed the officer's eligibility for Command.
2. I have conducted a validation of all requirements outlined in reference (a), to include (Name) performance during a high traffic density scenario (per Competency Check number 8) and have determined that (Name) does have the professional competence, intelligence, moral courage, personal honor, and energy needed to lead in Command.
3. (Comments if desired.)
4. Anticipated Change of Command date is (DD Mmm YYYY).

/s/
COMMANDING OFFICER

Copy to:
Recommending Command
Recommended Officer

*Current ISIC for XO Afloat who subsequently screens CO Afloat will submit letter, subject to read "Commanding Officer Afloat Fleet-Up Certification ICO (NAME).".

Enclosure (11)

COMNAVSURFORINST 1412.7
16 Dec 2019

SAMPLE EXECUTIVE OFFICER/COMMANDING OFFICER FLEET-UP NON-
CERTIFICATION LETTER

From: Immediate Superior in Command
To: Commander, Navy Personnel Command (PERS-41 or 43)
Via: (1) Non-recommended Executive Officer
(2) Immediate Superior in Command
(3) Commander, Naval Surface Force, U.S. Pacific Fleet
Commander, Naval Surface Force Atlantic (as applicable)

Subj: EXECUTIVE OFFICER/COMMANDING OFFICER FLEET-UP NON
CERTIFICATION ICO (NAME)

Ref: (a) COMNAVSURFPAC/COMNAVSURFLANTINST 1412.7
(b) MILPERSMAN 1301-818

Encl: (1) Supporting Documentation

1. Under the provisions of reference (a), I have reviewed the officer's eligibility for Command.
2. I have conducted a validation of all requirements outlined in reference (a) and have determined that (Candidate) does not have the professional competence, intelligence, moral courage, or personal honor needed for Command.
3. Comments. Use this section to briefly state why the officer is not able to comply with standards and procedures or manage and lead with energy, competence, and confidence for placement in command and any additional background to support the non-fleet-up determination. Additionally, recommend one of the following courses of action:
 - a. Officer should be given an opportunity for a second Executive Officer tour and not be formally de-screened from command.
 - b. Officer should be de-screened from Commander Command Afloat. Should the ISIC recommend this course of action, the officer will, in addition to this correspondence, submit a separate letter to Commander, Navy Personnel Command, via the Type Commander, stating that the officer *will not be certified to fleet up and should be de-screened per reference (b)*.

/s/
COMMANDING OFFICER

Enclosure (12)

COMMAND QUALIFICATION RECORD FOR AVIATION OFFICERS (13XX)

NAME: _____

Aviation (13XX) designated officers must complete the following items listed in Chapter 5, paragraph 10 of this instruction prior to receiving a TYCOM letter of qualification and the LN7 AQD. The LN7 AQD is required prior to assuming command of a surface force ship. Date of line item will indicate date of completion, not signature.

- a. Qualify and be designated as an Aviation Officer.

(Signature) (Date)

- b. Complete at least 36 months in afloat tours.

(Signature) (Date)

- c. Qualify and successfully serve as Underway OOD.

(Signature) (Date)

- d. Successfully complete SWO Engineering PQS (NAVEDTRA 43101-3 series).

(Signature) (Date)

- e¹. Successfully complete a shiphandling/seamanship practical.

(Signature) (Date)

f². Successfully pass a SWOS Command Assessment.

(Signature)

(Date)

Notes:

1. Shiphandling/Seamanship Practical will be completed per paragraph 4.e of chapter 5 of this instruction. The SWOS CA Shiphandling Assessment is a separate event.
2. Will be conducted at the SWOS during the PCO/MCO Pipeline.