



DEPARTMENT OF THE NAVY
COMMANDER, NAVAL SURFACE FORCE
UNITED STATES PACIFIC FLEET
2841 RENDOVA ROAD
SAN DIEGO, CALIFORNIA 92155-5490

IN REPLY REFER TO
COMNAVSURFPACINST 1412.2C
COMNAVSURFLANTINST 1412.2C
5 Aug 16

COMNAVSURFPAC/COMNAVSURFLANT INSTRUCTION 1412.2C

From: Commander, Naval Surface Force, U. S. Pacific Fleet
Commander, Naval Surface Force Atlantic

Subj: SURFACE FORCE COMMAND REQUIREMENTS

Ref: (a) OPNAVINST 1412.14
(b) SWOSCOLCOMINST 1412.1

- Encl: (1) Command Qualification Record for Surface Warfare Officers
(2) Command Qualification Record for Aviation Officers
(3) Procedure for Requesting Command Qualification Exam and Subsequent Attempts of the SWOS CA/CQE
(4) Sample Nominating Letter
(5) Sample Command Qualification Oral Board Recommendation Letter
(6) Sample Commanding Officer Recommendation Letter for Executive Officer/Commanding Officer Fleet-Up
(7) Sample Executive Officer/Commanding Officer Fleet-Up Certification Letter
(8) Sample Executive Officer/Commanding Officer Fleet-Up Non-Certification Letter
(9) Matrix of Command Qualification Requirements

1. Purpose. To issue the requirements and procedures for Surface Warfare Officers (SWO) 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. Cancellation. COMNAVSURFPAC/COMNAVSURFLANT INSTRUCTION 1412.2B.

3. Applicability. Officers will complete all command at sea requirements contained herein prior to being eligible for screening for Commander Command. Requirements for Early Command are contained in paragraph 9. Qualification for Aviation Designated Officers (13XX) for command of surface ships are contained in paragraph 10. Exceptions to this instruction and transition policies are contained in paragraph 11. Requirements and procedures contained within this instruction apply to all SWOs seeking command, to include CO-Special Mission and CO-Specialty Career Path officers, et al.

4. Discussion. Command is a challenging assignment that places extraordinary demands on professional skills in the areas of seamanship, warfighting, tactics, resource management, judgment, 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 instruction to ensure Commanding Officers (COs) and Executive Officers (XOs) are properly prepared and mentally ready for very challenging and rewarding assignments; the Prospective Commanding Officer (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, Navy Personnel Command (PERS-41), Immediate Superior In Command (ISIC), and Type Commander (TYCOM) in order to ensure compliance with standards and procedures for qualification and placement in command.

5. Command Qualification Requirements. The following requirements must be completed prior to requesting a Command Qualification Oral Board. A summary of these requirements can be found in enclosure (9).

a. Attain formal designation as a SWO (I11X).

b. Serve at least 60 months in a ship or afloat staff, at least 36 months of which shall have been in a commissioned ship, and must include at least one tour in a Lieutenant (LT) /Lieutenant Commander (LCDR) Department Head (DH) (or equivalent) billet. Lateral transfers from other warfare specialty communities accepted for change of designator to I11X shall serve a minimum of 24 months in a commissioned surface ship subsequent to acceptance for change of designator and shall have completed a total of 60 months duty in a ship or afloat staff. Lateral transfers are required to complete at least one tour in a LT/ LCDR DH (or equivalent) billet.

c. Complete the Surface Warfare Officer School (SWOS) DH course.

d. Attain the watch station qualifications of Engineering Officer of the Watch (EOOW) and Tactical Action Officer (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 shall 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. Recommendation should be reflected within Block 40 of the officer's fitness report (FITREP).

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 DHs (i.e. Destroyer (DDG)/ Cruiser (CG) Weapons Officer (WEPS), Littoral Combat Ship Operations Officer (LCS OPS), Amphibious Dock Landing Ship Chief Engineer (LSD CHENG), etc). 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 shall be based on the officer's last command's geographical location.

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) **Command Qualification Exam (CQE)** (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 Commander, 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 (3).

(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. This assessment will be in addition to the ship handling/seamanship practical listed in paragraph 5.e and enclosure (1). Candidates may use one four-hour period of Special Evolution Training (SET) in their local Navigation, Seamanship, and Ship handling Trainer (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 (a). The 360° Assessment will be initiated by SWOS at the 12 to 14 month point of the DH's first tour. COs are responsible for ensuring the PDI 360° 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 two-day intermediate stop at SWOS, 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 in accordance with 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. Nuclear Powered Fixed Wing Aircraft Carrier (CVN), LCS, ship decommissioning, etc.) the respective DH's CO, XO, or Reactor Officer shall contact SWOS for recommendations on 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 (1)).

i. Receive "Qualified for Command" recommendation from Command Qualification Oral Board. The oral board should be scheduled after completion of the requirements specified above. 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, shall be 111X designated officers.

(b) The Board Chairperson shall be an O-6 or senior.

(c) Boards will be composed of three or more 111X officers of O5 or senior paygrade who are in command, who have successfully commanded in the previous three years, or are currently serving as a Fleet-Up Major Commander, and are senior to the officer being considered. In that sense, "command" includes any surface force ship, squadron, or group.

(d) The ISIC (or Deputy Squadron Commodore in his absence) should be the senior board member, and will chair the board. In those cases where the ISIC may not be available or is not an 111X officer, another 111X officer serving in Major Command Afloat (or Deputy Squadron Commodore in his absence) shall chair the board. Where the ISIC is a flag officer, the ISIC may designate the Chief of Staff (COS) or other subordinate 111X officer who has served or is serving in Major Command Afloat to chair the board.

(e) Board membership 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 Commander, Naval Surface Forces 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 (1)).

(b) A nomination letter (enclosure (4)).

(3) Subject areas for the interview are at the discretion of the chairperson. The following general guidelines are provided:

(a) The board should be approximately one hour in duration.

(b) The board should not dwell on technical aspects which have been covered by previous qualifications and training. Rather, the interview should be oriented to evaluate the candidate's maturity, judgment, attitude, motivation, and awareness to ensure compliance with standards and procedures for qualification and placement in command. This board is to validate that the nominee can manage and lead with energy, competence, and confidence.

(4) Upon completion of its deliberations, the Command Qualification Oral Board shall 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 (5)), including enclosure, 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.

6. 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 shall be delivered to the officer.

b. Relevant comments concerning the qualification shall 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 Additional Qualification Designator (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. Early Command officers must earn LN7 and 2D1 prior to assuming command.

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7. 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 shall 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.

(a) 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.

b. A summary matrix listing the requirements for Early Command, Commander Command, and Major Command is provided in enclosure (9).

8. 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 (6) is a sample recommendation letter. A CO's recommendation letter will not be required for Major Command staff officers (i.e. Destroyer Squadron (DESRON)/ Amphibious Squadron (PHIBRON)) and the Commodore shall omit enclosure (6) from the Fleet-Up certification 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 (7) is a sample certification letter. Certification will include a review of all requirements outlined in paragraphs 5 through 7 above. Additionally, the ISIC must decide if the member has the professional competence, intelligence, moral courage, and personal honor needed 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 (8) is a sample non-certification letter.

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 three years. PCOs are afforded up to 30 days of leave (if desired and if operations and schedule permit) after they are relieved as XO in order to get a mental and physical reset. For those officers who do not want to take leave or who may not have leave days to take, that time can be spent TDY with their TYCOM Executive Agent (i.e. Middle Pacific (MIDPAC), Regional Support Organization (RSO) Pacific Northwest (PACNORWEST) or Commander, Naval Surface Squadron FOURTEEN (COMNAVSURFRON FOURTEEN) if ISIC is not co-located in homeport) to continue to prepare for command.

(2) In order to refocus on warfighting and adequately prepare to take command, Commander Command and ultimately Early Command Fleet-Up PCOs shall execute a period of leave/TDY and training after relief as XO and prior to taking command. The timing of the PCO Pipeline will also enable the new XO to work with the experienced CO prior to change of command. By 1 October 2016, all PCOs for O-5 ship commands (DDG, LCS, LSD) will execute the PCO Pipeline as outlined in paragraphs 8.d.(3)-8.d.(5); Mine Countermeasure Ships (MCMs) will transition to this model in 2017. Further expansion of the PCO Course and advanced warfighting training will be dependent on resource availability and student feedback. Requirements in paragraphs 8.d.(3)-8.d.(5) do not apply to Major Command Fleet-Up PCOs or Commander Command Special Mission Fleet-Up PCOs.

(3) The PCO Pipeline is constituted of four parts: leave/TDY; PCO Course (SWOS); advanced warfighting training (tailored to ship type); and TYCOM Indoctrination (INDOC). Each officer will be afforded the opportunity to take 30 days of leave (operations and schedule permitting). If leave is not desired, officers will go TDY with their ISIC or TYCOM Executive

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Agent. 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 course is two weeks at SWOS and commences with two days of Warfighting Command, a joint Surface and Mine Warfighting Development Center (SMWDC), SWOS, and NWC leadership module. The remainder of the curriculum focuses on advanced management and leadership, to include maintenance availability management for those commands with extensive refit periods, and ship specific employment planning for commands with a scheduled deployment. In some cases, PCOs will have an intense operational period ahead of them. This is an opportunity for SWOS and Center for Surface Combat Systems (CSCS) / SMWDC to look at deployed operations specifically. Additionally, SWOS will typically arrange a Video Tele-conference (VTC) with Forward Deployed Naval Forces (FDNF) DESRONS and PHIBRONs as a part of the curriculum to provide an opportunity for the PCOs to hear directly from their future operational commanders. To gain the most benefit from this course, PCOs will be strongly encouraged to provide several deliverables to SWOS roughly four months before beginning the PCO Pipeline. The two weeks in SWOS “sets the table” for follow on advanced warfighting training in the third week, which is conducted with CSCS and SMWDC oversight. Advanced warfighting training locations will notionally be: DDG PCOs Aegis Training and Readiness Center (ATRC) Dahlgren; LCS PCOs Littoral Combat Ship Squadron (LCSRON)/ Littoral Training Facility (LTF); LSD PCOs SMWDC Det Little Creek, and starting in Fiscal Year 2017, MCM PCOs SMWDC Det Point Loma. PCOs receive training focused on warfighting through advanced simulation. PCOs will also return to COMNAVSURFPAC or COMNAVSURFLANT for a short TYCOM INDOC geared to PCOs. The PCO’s ISIC in conjunction with the TYCOM, PERS-41, SWOS, CSCS, and SMWDC, will schedule the tailored PCO pipeline.

(4) For ships not on deployment, PCOs are afforded the opportunity for up to 30 days of leave or TDY and should receive three weeks of focused training. An ISIC may need to adjust a CO projected rotation date due to operational requirements or FITREP management plans, which could prevent the PCO from taking 30 days of leave or from receiving the full three weeks of training. In such cases, ISICs shall submit leave/TDY and or training waiver recommendations to the appropriate TYCOM as part of the Officer’s Fleet-up Certification, or if timing does not support, an e-mail to the appropriate TYCOM N7 w/ Cc: to respective COS and PERS-41 will suffice. If approved, the TYCOM staff will notify PERS-41 and training commands. For ships on deployment, on operational patrol of greater than 90 days duration, or away from homeport, the PCO, once relieved of duties as XO, will return to homeport to conduct coordination with the ISIC and/or local TYCOM Executive Agent (i.e. MIDPAC, RSO PACNORWEST or COMNAVSURFRON FOURTEEN if ISIC is not co-located in homeport) before beginning leave or TDY, then proceed to the formal schoolhouse training at SWOS and advanced warfighting location. Due to the importance of maintaining operational awareness and maximizing “water under the keel” experience, the policy above is amended as follows: a PCO is afforded 21 days leave or TDY and a two-week training period prior to returning to theater to meet their ship on deployment to assume command. As above, deviation from this policy requires TYCOM approval.

(5) It is expected that 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, advanced warfighting location, and TYCOM. For ships on deployment, on patrol greater than 90 days or out of homeport, orders will be funded by TYCOM to fly the officer back to homeport to conduct coordination with the ISIC and/or local TYCOM Executive Agent (i.e. MIDPAC, RSO PACNORWEST or COMNAVSURFRON FOURTEEN if ISIC is not co-located in homeport), as well as return to TYCOM for a short PCO-focused TYCOM INDOC, before beginning leave or TDY. After that period, PERS-41 will fund the travel to SWOS and advanced warfighting location, and then back to the ship directly. 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.

9. 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 5.e of this instruction.

(6) Upon completion of the requirements of paragraph 9.a (1) through (5), the eligible officer requests a Command Qualification Oral Board via their CO. A Command Qualification Oral Board will be established in accordance with paragraph 5.i of this instruction. The board will verify that the Command Qualification Record (enclosure (1)) 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) Type Commander 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 8.b of this instruction.

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

10. Qualification of Aviation Officers (13XX) for Command of Surface Ships. Because Aviation Officers have a 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 shall be completed prior to assuming command:

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 Personnel Qualification Standard (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 an Underway Officer of the Deck (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 shiphandling 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 shall 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. The SWOS CA will consist of the following:

(1) CQE (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 (2)). Submit completed record sheet and SWOS CA completion letter to applicable Surface Force TYCOM N7 and be assigned LN8 AQD by PERS-43 prior to assuming command.

h. If serving in an XO/CO Fleet-Up billet, submit enclosures (6) and (7) to the appropriate Surface Force TYCOM for approval of fleet-up.

11. Exceptions and Transition Policies. Exceptions to command qualification procedures prescribed in this instruction may be granted only by the Surface Force TYCOMs 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.

NOTE: Officers who have successfully completed Early Command but have not taken the CQE (i.e., written test) must request and successfully pass the exam in order to be eligible for screening for Commander Command.

b. An officer who had previously failed the CQE or 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 CQE or SWOS CA to gain eligibility for command screening at their third look. Requests for a third attempt will be coordinated via SWOS N75.

c. Transition Period.

(1) Officers who complete their first DH tour after 1 June 2013 will complete this instruction as written.

(2) Officers who completed their first DH tour before 1 June 2013 are not required to conduct the SWOS CA, but are required to pass the CQE except as noted in paragraph 11.c(4), and will only be afforded two opportunities to do so.

(3) All other requirements in this instruction will be completed prior to receiving the LN7 AQD, Command Qualification.

(a) Officers screened for command during the December 2012 Commander Command Board must obtain the LN7 AQD, including completing the CQE (written exam), prior to assuming command.

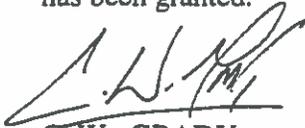
(b) Officers not selected for Commander Command during the December 2012 board or at a previous board, must complete command qualification, including CQE, prior to being eligible for command screening at the December 2013 and subsequent Commander Command Boards.

(4) Officers selected for Commander Command in December 2011 or earlier are not required to take any portion of the SWOS CA or the CQE, but are required to complete the remaining requirements of this instruction prior to assuming command.

12. Report. The reporting requirements contained in this instruction are exempt from the reports controlled by SECNAVINST 5210.16 (series).

13. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of January 2012.

14. Review and Effective Date. Per OPNAVINST 5215.17 (series), Commander, Naval Surface Force, U.S. Pacific Fleet and Commander, Naval Surface Force Atlantic will review this instruction annually on the anniversary of its effective date to ensure applicability, currency, and consistency with Federal, DoD, SECNAV, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will automatically expire 5 years after effective date unless reissued or canceled prior to the 5-year anniversary date, or an extension has been granted.



C. W. GRADY



T. S. ROWDEN

Releasability and distribution: This instruction is cleared for public release and is available electronically only via COMNAVSURPAC directive website, <https://cpf.portal.navy.mil/sites/cnsp/Pages/Directives.aspx>

COMMAND QUALIFICATION RECORD FOR SURFACE WARFARE OFFICERS

NAME: _____

All officers must complete the following items listed in COMNAVSURFPACINST/
COMNAVSURFLANTINST 1412.2C prior to receiving a TYCOM letter of qualification and
the LN7 AQD. Date of line item shall 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)

g². Successfully pass a SWOS-generated CQE (written test).

(Signature) (Date)

h³. Successfully pass a SWOS CA.

(Signature) (Date)

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i⁴. Complete a DH 360^o review.

(Signature) (Date)

j⁵. Be recommended for Command Qualification by an eligible qualification oral board chairperson in accordance with paragraph 5.i.(1) of COMNAVSURFPAC/COMNAVSURFLANTINST 1412.2C.

(Signature) (Date)

Notes:

- 1: Shiphandling/Seamanship Practical shall be completed IAW paragraph 5.e. of COMNAVSURFPAC/COMNAVSURFLANTINST 1412.2C. The SWOS CA Shiphandling Assessment is a separate event.
- 2: Required for SWOs who complete 1st DH tour before 1 June 2013. Not required for Officers who screened for CDR Command at the December 2011 board or earlier.
- 3: Required for SWOs who complete 1st DH tour after 1 June 2013.
- 4: Performed concurrently during SWOS Command Qualification Assessment.
- 5: Line item "j" is to be signed by the Command Qualification Oral Board Chairperson.

COMMAND QUALIFICATION RECORD FOR AVIATION OFFICERS (13XX)

NAME: _____

Aviation (13XX) designated officers must complete the following items listed in COMNAVSURFPACINST/COMNAVSURFLANTINST 1412.2C paragraph 10 prior to receiving a TYCOM letter of qualification and the LN8 AQD. The LN8 AQD is required prior to assuming command of a surface force ship. Date of line item shall 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 shall be completed IAW paragraph 10.e. of COMNAVSURFPAC/COMNAVSURFLANTINST 1412.2C. The SWOS CA Shiphandling Assessment is a separate event.

2: Will be conducted at the SWOS during the PCO Pipeline.

**PROCEDURE FOR REQUESTING COMMAND QUALIFICATION EXAM AND
SUBSEQUENT ATTEMPTS OF THE SWOS CA/CQE**

1. This procedure is valid for officers who are only required to take the CQE (written test), 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 e-mail from their Commander, CO, OIC or Reactor Officer to the SWOS Command at Sea Director (N75) at N75@training.navy.smil.mil. Provide the name, rank, designator and last four of the SSN of the candidate.
 - 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 e-mail.
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 O-5, 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 e-mail it back to SWOS N75. The CO and/or proctor will delete all test files after SWOS N75 verifies receipt by e-mail.
5. SWOS N75 will notify the candidate's Commander, CO, OIC or Reactor Officer of the test results via e-mail 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 or CQE in their first attempt.

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a. For those candidates who only failed one or more sections of the CQE, 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 CQE in addition to one or both of the assessments, then the second attempt at both the CQE and assessment(s) will occur at SWOS.

c. Candidates needing to return to SWOS to conduct their second attempt shall contact SWOS at N75@training.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.

SAMPLE NOMINATING LETTER

From: Nominating Officer
To: Immediate Superior in Command

Subj: NOMINATION FOR COMMAND QUALIFICATION OF (NAME)

Ref: (a) COMNAVSURFPACINST/COMNAVSURFLANTINST 1412.2C

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.

**SAMPLE COMMAND QUALIFICATION ORAL BOARD RECOMMENDATION
LETTER**

From: Board Chairman
To: Candidate

Subj: COMMAND QUALIFICATION ORAL BOARD RECOMMENDATION ICO
(Candidate)

Ref: (a) COMNAVSURFPACINST/COMNAVSURFLANTINST 1412.2C

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 Month YYYY to determine the fitness for command of (Candidate). The board members included _____, _____, and _____. [Three or more captains and/or commanders (III X) who are in command or who have commanded surface force ships, squadrons or groups within the previous three years.]

2. The board found (Candidate) fully qualified in accordance with 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/
Board Chairman

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

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

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

From: Commanding Officer

To: Immediate Superior in Command

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

Ref: (a) COMNAVSURFPACINST/COMNAVSURFLANTINST 1412.2C

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 YY).

/s/
COMMANDING OFFICER

Copy to:
Recommended Officer

***Remove this enclosure for Deputy Commodore Fleet-Up.**

**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) COMNAVSURFPACINST/COMNAVSURFLANTINST 1412.2C

***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) 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 YY).

/s/
COMMANDING OFFICER

Copy to:
Recommending Command
Recommended Officer

***Remove this enclosure for Deputy Commodore Fleet-Up.**

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) COMNAVSURFPACINST/COMNAVSURFLANTINST 1412.2C
(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:

(1) Officer should be given an opportunity for a second Executive Officer tour and not be formally de-screened from command.

(2) Officer should be de-screened from Commander Command Afloat. Should the ISIC recommend this course of action, he/she 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 in accordance with reference (b)*.

/s/
COMMANDING OFFICER

Enclosure (8)

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MATRIX OF COMMAND QUALIFICATION REQUIREMENTS

	COMPLETED 1 ST DH TOUR ON OR PRIOR TO MAY 2013			COMPLETED 1 ST DH TOUR AFTER MAY 2013			AVIATION DESIGNAT ORS FOR SURFACE SHIPS
	EARLY CMD	CDR CMD	MAJ CMD	EARLY CMD	CDR CMD	MAJ CMD	
Designation as SWO (111X)	X	X	X	X	X	X	X ⁹
Required time afloat	36	60	60	36	60	60	36
Complete SWOS DH Curriculum	X	X	X	X	X	X	N/A
Attain EOOW and TAO Qualification	X	X	X	X	X	X	N/A
Complete Command Qualification Written Test	X ¹	X ⁵	X ⁶	N/A	N/A	N/A	X ⁷
Complete SWOS Command Assessment	X ²	N/A	N/A	X ⁷	X	X ⁶	X ⁷
Complete 360° Review as a DH	X ²	N/A	N/A	X	X	X	N/A
Demonstrate Shiphandling / Seamanship skills while assigned to Afloat Command	X	X	X	X	X	X	X
Complete CMD Qualification Record	X ³	X	X	X ³	X	X	X ¹⁰
Be nominated for CMD Qualification Oral Board	X	X	X	X	X	X	N/A
Complete CMD Qualification Oral Board	X	X	X	X	X	X	N/A
Be designated as Command Qualified	X ⁴	X	X	X ⁴	X	X	N/A
Be selected for Command at Sea by Administrative Board	X	X	X	X	X	X	X
Complete SWOS PCO course	X	X	X	X	X	X	X
Complete Command Leadership Course (CLC)	X	X	X	X	X	X	N/A
Complete CLC-administered written exam	X	X	X	X	X	X	N/A
Complete 360° Assessment at CLC	N/A	X	X	N/A	X	X	N/A
Complete JPME I	N/A	X	X	N/A	X	X	X
XO/CO Fleet-Up Validation	X ⁸	X	X	X ⁸	X	X	X
Complete CDR CMD Tour	N/A	N/A	X	N/A	N/A	X	X

Notes:

1. Completed prior to assuming Command.
2. Completed at SWOS if selected for Early Command.
3. Item (g) or (h) and (i) not required to be completed prior to selection for Early Command.
4. Upon successful completion of Command Qualification Assessment.
5. This is a pre-requisite for Officers to be selected for Commander Command with the exception of those who were selected in Dec 2011 board or prior.
6. Satisfied by successfully completing Commander Command.
7. Completed during PCO Pipeline and prior to assuming Command.
8. Required for MCM Command.
9. Must be Aviation designated (13XX).
10. Aviators will complete enclosure (2)

MATRIX OF FLEET UP REQUIREMENTS

	FLEET UP LETTER	ISIC ENDORSEMENT	RECOMMENDATION	CMD QUALIFIED	CMD SCREENED	COMMANDER'S COURSE/MCO	SWOS SENIOR OFFICER SHIP MATERIAL	TO COMPLETE ISIC TAILORED	COMMAND LEADERSHIP	JPME PHASE I	SERVED AT LEAST 12 MONTHS AS XO OR
L-Class	X	X	X	X	X	SCC	X	X	X	X	X
PC	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
MCM	X	X	X	X	X	SCC	X	X	X	X	X
LCS	X	X	X	X	X	SCC	X	X	X	X	X
DDG	X	X	X	X	X	SCC	X	X	X	X	X
CG	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ACU	X	X	X	X	X	N/A	X	N/A	X	X	X
BMU ¹	X	X	X	X	X	N/A	X	N/A	X	X	X
NBU ¹	X	X	X	X	X	N/A	X	N/A	X	X	X
MCMRON ²	X	X	X	X	X	MCO	X	N/A	X	X	X
LCSRON	X	X	X	X	X	MCO	X	N/A	X	X	X
PHIBRON (Desig 111X)	X	X	X	X	X	MCO	X	N/A	X	X	X
PHIBRON (Desig 131X)	N/A	N/A	N/A	N/A	N/A	MCO	N/A	N/A	N/A	N/A	N/A
NBG	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
DESRON	X	X	X	X	X	MCO	X	N/A	X	X	X
PCRON	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Notes:

1. For command billeted as Fleet-Up only.
2. For squadron billeted as Fleet-Up only.