1. **Purpose.** To promulgate the procedures for generating, requesting, delivering, administering, grading and reporting the results of the Command Qualification Exam (CQE) and the SWOS Command Assessment (SWOS CA).

2. **Cancellation.** SWOSCOLCOMINST 1412.1A

3. **Discussion.** Reference (a) directed that each community establish a procedure for assessing Officers for command. As part of the Surface Warfare community’s command qualification program detailed in reference (b), Commanding Officer, Surface Warfare Officers School Command (SWOS) will generate, deliver, and grade CQEs and administer the SWOS CA (CQE, Shiphandling and Tactical Assessments, and 360° Assessment debrief).

4. **Command Qualification Exam**

   a. Per reference (b), Officers who completed their first Department Head (DH) tour before 1 June 2013 are only required to take and pass the Command Qualification Exam (written test), and are not required to take the remaining portions of the Command Assessment (Shiphandling and Tactical Assessments, and 360° Assessment debrief). Afloat Commanders, COs, Officers in Charge, or Reactor Officers will request a written test for their candidate once they have met the requirements of paragraph 5.a through 5.f of reference (b).

   b. Requesting an exam. To request an exam, Afloat COs will:
(1) Send the request via e-mail from their CO SIPRNET account to N75@training.navy.smil.mil, providing the name, rank, and last four of the candidate’s social security number (SSN).

(2) SWOS will generate the exam and send it electronically via SIPRNET as a password-protected document to the CO. The CO will be provided specific instructions and the password to the exam in a separate e-mail to the candidate.

c. For Officers who completed their first DH tour before 1 June 2013 and who are not in an afloat billet (Post Department Head, Global Support Assignment (GSA), Joint Duty), the first Navy 0-5 or above in their chain of command will request the exam as stated above. If in a billet where a Navy 0-5 is not present or it would be impractical, an O-5 in the Officer’s chain of command or Immediate Superior in Command (ISIC)-like billet will request the exam, and explain the circumstances that preclude exam administration by a senior Navy Officer.

d. Administering the exam. These procedures apply to candidates who completed their first DH tour before 1 June 2013 and are in afloat or ashore billets. Specifically:

(1) The CO may delegate proctoring the exam to the Executive Officer (XO) or another suitable Officer, 0-5 or senior.

(2) The candidate will be given four hours to complete the exam. The proctor will allow the candidate to take periodic breaks during the exam, but must ensure examination time is constrained to the four hour time limit. The candidate may not bring anything with them to take the exam. Scratch paper may be used, but must be destroyed by the exam proctor following completion of the exam.

(3) At the end of the exam, the proctor will save the exam document and e-mail it back to N75@training.navy.smil.mil. The CO will delete all exam files after SWOS verifies receipt by e-mail.

(4) SWOS will notify the candidate’s CO of the exam results via email and attach either a Completion or Failure letter as shown in enclosures (1) and (2) of this instruction. Criteria for passing the exam as listed in reference (b) are 90% or better grade on the Rules of the Road section and 75% or better on each of the other sections. 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, or Reactor Officer. The Officer is only required to retake the section(s) of the exam that were failed.

5. Command Qualification Assessment. Officers who complete their first DH tour after 1 June 2013 will receive orders to SWOS for a two-day Command Assessment. Commands with Officers in Fleet-Up billets
(e.g., Weapons Officer to Combat Systems Officer) will coordinate with the Bureau of Personnel (PERS 41) to determine to which convening a candidate will be assigned. This will ensure that mission and operational commitments are met, while affording the candidate the opportunity to complete this significant career milestone. Per reference (b), the SWOS CA will consist of the following:

a. Command Qualification Exam (written test). A score of 90% or better on Rules of the Road and a 75% or better on all other sections is required. Officers who fail any portion of the CQE have the opportunity to request a second attempt, but a second attempt is not required; it is solely at the discretion of the Officer. If a second attempt is desired, 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, or Reactor Officer. The Officer is only required to retake the section(s) of the exam that were failed. If the Officer also failed one or both assessments (tactical or shiphandling) during their SWOS CA, which requires them to return to SWOS should they request a second attempt, the Officer is required to retake the CQE during their time at SWOS. The CQE Bibliography, posted on the SWOS website and updated annually, contains all the references from which every CQE question was derived.

b. Shiphandling Assessment. Candidates will be assessed in SWOS simulators on their ability to safely maneuver the class of ship in which they just completed their Department Head tour; for aviators, it will be the class of ship to which they are slated. This assessment at SWOS does not replace the requirement for candidates to successfully complete a shiphandling/seamanship practical, as listed in reference (b), enclosure (1). Officers who do not pass the Shiphandling Assessment and desire a second attempt will be required to re-take the assessment at SWOS once it is determined that the candidate possesses the requisite skills to pass the assessment.

c. Tactical Assessment. Candidates will be assessed in SWOS simulators on their ability to correctly employ rules of engagement and the combat systems of the class of ship in which they just completed their Department Head tour; for aviators, it will be the class of ship to which they are slated. Officers who do not pass the Tactical Assessment and desire a second attempt will be required to re-take the assessment at SWOS once it is determined that the candidate possesses the requisite skills to pass the assessment.

d. DH 360° Assessment. This is an ungraded portion of the SWOS CA and is used as a tool to mentor DHs. Per reference (b), COs will receive notification that a DH 360° Assessment must be completed. COs are responsible for ensuring the PDI 360° is completed for their DHs no less than 45 days prior to a CA convening. SWOS will contact COs 30 days prior to the SWOS CA convening if this has not been completed. The CO will select the respondents for a DH 360° Assessment, to include:
(1) The Candidate (must complete a Self-Survey)

(2) The Commanding Officer & Executive Officer (two boss/supervisor inputs)

(3) Two fellow DHs (two peer inputs)

(4) Two Division Officers, one Chief Petty Officer, and three Enlisted Sailors (E-5/E-6) (TOTAL: 6 direct report inputs)

(5) Command Master Chief and Senior Enlisted Leader/Advisor (two other inputs)

6. Responsibilities. Officer training and professional development are an investment in the future and are, therefore, a shared responsibility between SWOS and COs. The fairness and objectivity of this process depends on maintaining exam integrity by preventing compromise. Individual responsibilities for exam request, administration, and grading are as follows:

   (a) SWOS Commanding Officer. Responsible for the overall administration of the CQE and the SWOS CA on the behalf of the Surface Warfare Community Leadership.

   (b) SWOS N75. Responsible to the SWOS CO for all aspects of the CQE and SWOS CA including generation, delivery, grading, and reporting results. N75 will conduct post-exam and post-assessment analysis to ensure SWOS is delivering rigorous and current examinations and assessments, and report to the Commanding Officer quarterly on the exam/assessment status.

   (c) SWOS Academic Directors. Responsible for providing the N75 Director with validated questions, references, and answer keys in their respective area of expertise. The N72 and N73 Directors are responsible for providing the N75 Director with relevant Shiphandling and Tactical Assessments, including appropriate read ahead material for candidates to use during preparation for and execution of the assessments. There will be a minimum of three assessment versions per directorate and a minimum of one assessment per directorate will be updated annually. The N71, N72, and N73 Directors are also responsible for providing the N75 Director with qualified watchstanders and problem control personnel for their respective assessment. All post-Department Head LCDRs on staff that have successfully passed the Tactical Assessment portion of the CA are eligible to act as CA Tactical Action Officers. The delineated areas of responsibility are as follows:

   (1) Navigation, Seamanship & Shiphandling - N72

   (2) Maritime Warfare - N73
(3) Command Management - N75

(4) Material Readiness - N76

(d) Commanding Officers. Responsible for recommending Officers to take the CQE. COs will proctor/safeguard the CQE in accordance with relevant instructions. CO SWOS will record and report an Officer’s successful completion of CQE or the SWOS CA in accordance with references (a) and (b) utilizing Enclosures (1) through (4), as appropriate.

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

S. F. ROBERTSON

Distribution: (See SWOSCOLCOMINST 5216.2T)
List I
SAMPLE COMPLETION LETTER

1412
Ser N75/XX
Date

From: Commanding Officer, Surface Warfare Officers School Command
To: Rank Name, USN
Via: Commanding Officer, USS NEVERSAIL (CG 30)

Subj: REPORT OF SUCCESSFUL COMPLETION OF THE COMMAND QUALIFICATION EXAM

Ref: (a) OPNAVINST 1412.14
     (b) COMNAVSURFPAC/COMNAVSURFLANTINST 1412.2C

1. Congratulations on successfully passing the Command Qualification Exam. Your diligent work has taken you one step closer to achieving Command Qualification, as outlined in reference (b).

2. With appreciation and respect for your efforts.

S. F. ROBERTSON
From: Commanding Officer, Surface Warfare Officers School Command
To: Rank Name, USN
Via: Commanding Officer, USS NEVERSAIL (CG 30)

Subj: REPORT OF FAILURE OF THE COMMAND QUALIFICATION EXAM

Ref: (a) OPNAVINST 1412.14
     (b) COMNAVSURFPAC/COMNAVSURFLANTINST 1412.2C

1. I regret to inform you that you did not pass the Command Qualification Exam. Specifically, you failed the following section(s):
   a. Rules of the Road
   b. Command Management
   c. Material Readiness
   d. Navigation, Seamanship, and Shiphandling
   e. Maritime Warfare

2. In accordance with references (a) and (b), you may retake the above section(s) of the exam not earlier than 30 days from the initial test date.

S. F. ROBERTSON
SAMPLE SWOS COMMAND ASSESSMENT COMPLETION LETTER

1412
Ser N75/XX
Date

From: Commanding Officer, Surface Warfare Officers School Command
To: Rank Name, USN

Subj: REPORT OF SUCCESSFUL COMPLETION OF THE SWOS COMMAND ASSESSMENT

Ref: (a) OPNAVINST 1412.14
(b) COMNAVSURFPAC/COMNAVSURFLANTINST 1412.2C

1. Congratulations on successfully passing the SWOS Command Assessment (Command Qualification Exam, Shiphandling and Tactical Assessments). Your diligent work has taken you one step closer to achieving Command Qualification, as outlined in references (a) and (b).

2. You have also reviewed your 360° Assessment feedback with a trained SWOS coach. I would encourage you to periodically reflect on the 360° Assessment comments so that you will continue to improve as a naval leader.

3. With appreciation and respect for your efforts.

S. F. ROBERTSON

Copy to: Commanding Officer, USS NEVERSAIL (CG 30)
From: Commanding Officer, Surface Warfare Officers School Command
To: Rank Name, USN

Subj: REPORT OF FAILURE OF THE SWOS COMMAND ASSESSMENT

Ref: (a) OPNAVINST 1412.14
     (b) COMNAVSURFPAC/COMNAVSURFLANTINST 1412.2C

1. I regret to inform you that you did not pass the SWOS Command Assessment. Specifically, you failed the following exam section(s) and Assessments:
   a. Rules of the Road (etc.)
   b. Shiphandling Assessment
   c. Tactical Assessment

2. In accordance with references (a) and (b), you may retake the section(s) of the exam not earlier than 30 days from the date of this letter. ***or*** You are required to return to SWOS to re-take those portions of the Command Assessment listed in paragraph one that you failed.

3. You also reviewed your 360º Assessment feedback with a trained SWOS coach. I would encourage you to periodically reflect on the 360º Assessment comments so that you will continue to improve as a naval leader.

S. F. ROBERTSON

Copy to:
Commanding Officer, USS NEVERSAIL (CG 30)