



DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
2000 NAVY PENTAGON  
WASHINGTON, D.C. 20350-2000

IN REPLY REFER TO

OPNAVINST 1414.1D  
N86

**15 JUN 1998**

OPNAV INSTRUCTION 1414.1D

From: Chief of Naval Operations  
To: All Ships and Stations (less Marine Corps field addressees  
not having Navy personnel attached)

Subj: ENLISTED SURFACE WARFARE SPECIALIST QUALIFICATION

1. **Purpose.** To issue the requirements for qualification and designation of enlisted personnel as Enlisted Surface Warfare Specialists (ESWS). This instruction is a substantial revision and should be reviewed in its entirety.

2. **Cancellation.** OPNAVINST 1414.1C.

3. **Discussion.** Attainment of ESWS designation signifies that a sailor has achieved a level of excellence and proficiency in surface ships. The ESWS insignia signifies that the sailor is competent in his/her rate and has acquired additional general knowledge that enhances their understanding of warfighting, mission effectiveness, and command survivability. Sailors who wear the ESWS insignia stand out as significant contributors to the Surface Force. ESWS qualification may only be obtained through the formal qualification program set forth in this instruction. The command master chief shall be designated as the ship's ESWS coordinator.

4. **Eligibility.** ESWS qualification recognizes the efforts of enlisted individuals trained in surface ship operations. ESWS qualification is mandatory for all active duty E-5 and senior enlisted personnel who meet the eligibility requirements. Active duty E-4 and junior personnel and enlisted selected reservists may qualify for ESWS qualification if they meet the eligibility requirements. Eligibility to attain the ESWS designation is limited to the following:

a. Enlisted personnel permanently assigned to a commissioned U.S. Navy or Military Sealift Command (MSC) surface ship.

b. Enlisted personnel serving on Type 2 or 4 sea duty, as defined in the Enlisted Transfer Manual (NAVPERS 15909F), who are assigned to U.S. Navy or MSC afloat staffs or to commands which deploy aboard commissioned U.S. Navy or MSC surface ships as members of a detachment. These detachments must have the support of these ships and/or the ships' embarked staffs as their primary mission.

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(1) Staff or detachment personnel billeted to Type 2 or 4 duty (example: HSL or HC detachments) must make a deployment of at least 90 consecutive days while embarked in a commissioned USN or MSC ship. Staff or detachment personnel shall use the ESWS program of the ship in which they are embarked.

(2) All personnel assigned to Pre-Commissioning Units (PCU) may complete those portions of the ESWS qualification program which do not require the ship to be underway; however, prospective commanding officers of these PCUs may not award final ESWS qualification to PCU crew members until after commissioning.

(3) Personnel assigned to a surface ship or afloat staff are expected to qualify in the primary warfare mission of the unit embarked. Exception: Aviation rating personnel assigned to a surface ship with a shipboard Enlisted Aviation Warfare Specialist (EAWS) program are required to qualify EAWS (example: Afloat aviation intermediate maintenance division (AIMD)).

c. Enlisted Selected Reservists (SELRES). Enlisted SELRES who desire to qualify ESWS must be assigned, for a minimum of twelve months prior to final qualification, to a Naval Reserve Unit which is, or whose gaining command is, a commissioned U.S. Navy or MSC surface ship, U.S. Navy or MSC afloat staff, or a command which deploys aboard commissioned U.S. Navy or MSC surface ships as members of detachment and:

(1) Be in a satisfactory drill status.

(2) Complete at least three periods of shipboard annual training (AT) or an equivalent active duty special work (ADSW) of which a minimum of two periods of AT or equivalent ADSW is on the same class of ship in which the member is qualifying.

5. Standards. Candidates for ESWS shall:

a. Comply with eligibility criteria in paragraph 4.

b. Complete at least 12 months accumulated Type 2 or 4 duty prior to final qualification.

c. Demonstrate effective leadership and directing ability, receive at least one observed evaluation, have an overall trait

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average of not less than 3.0 and be promotable or above during the most recent reporting period.

d. Complete the following PQS for initial qualifications:

(1) Damage Control (NAVEDTRA 43119 SERIES). Complete Watchstations 301 through 308.

(2) Ship's Maintenance and Material Management (3-M) Systems (NAVEDTRA 43241 SERIES). Qualification commensurate with paygrade.

(3) Complete all PQS for those watchstations, both inport and underway, to which the members of the individual's particular rating and pay grade would normally be assigned at that point in the ship's schedule (i.e. overhaul, pre-deployment phase, or deployment).

(4) Enlisted Surface Warfare Specialist (NAVEDTRA 43901 SERIES). Both core PQS and platform specific PQS shall be completed for ESWS qualification.

e. Be recommended for ESWS qualification by their chain of command.

f. Display general knowledge of the ship's overall mission, engineering plant capabilities, combat systems, other mission-essential systems, and basic deck equipment through written examination, hands-on demonstration of knowledge, and an oral examination by a multi-member board. The membership of this board shall include, at a minimum, one senior ESWS qualified member from each of the following areas: engineering, deck, combat systems, operations, and supply. On USN ships, the board will be chaired by the ship's command master chief. On MSC ships, the ESWS program manager (Military Sealift Command Force Master Chief, Atlantic or Pacific) will designate a senior ESWS qualified chairperson. Detachments, afloat staffs, and SELRES personnel must use the qualifying board of the ship in which they are embarked. ESWS PQS (core and platform specific) and the ability to demonstrate shipboard knowledge should be used as the foundation for the examination. The oral board will make a recommendation of qualification to the qualifying officer (in most cases the commanding officer). The qualifying officer will review the results and recommendations of the board and make the final determination for qualification.

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**6. Amplifying Information**

a. Final qualification must be documented on a page 4 in the candidate's service record. Subsequent re-qualifications will also be documented. Documentation will include the type of platform ESWS Professional Qualification Standard (PQS) completed as outlined in paragraph 7b. Specifically, E5 and above personnel will have 18 months to complete initial ESWS qualification upon reporting or must be demonstrating significant progress towards qualification. This reporting date will equate to the commencement date.

b. Significant Progress Towards: The term "Significant Progress Towards" is self explanatory and should be utilized only in those rare instances when the Sailor was not able to meet the deadline (i.e. severe personal hardship/illness). The commanding officer, with recommendation from the command master chief, must grant "Significant Progress Towards" status and it should be documented on a Page 13. Due to the flexibility afforded by paragraph 5d(3), qualification should not be delayed due to a commissioned ship's operations schedule (i.e. during extensive overhaul periods).

c. If qualification has not been achieved upon transfer to another afloat command, the new command shall recognize recorded PQS attainment to date, but may require a re-demonstration of knowledge in any area deemed appropriate.

**7. Approval of Qualification**

a. After satisfactory completion of the requirements within this instruction, the qualifying officer will determine approval of ESWS qualification. The appropriate qualifying officer will be as follows:

(1) For personnel permanently assigned to a commissioned ship, only the commanding officer may approve the ESWS qualification.

(2) For personnel assigned to or embarked in MSC afloat units, only the area commander or afloat staff commander may approve the ESWS qualification.

(3) For personnel assigned to ships' detachments, only the commanding officer of the ship in which the oral examination was held may approve the ESWS qualification.

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(4) For personnel assigned to afloat staffs, only the commanding officer of the ship in which the staff is embarked may approve the ESWS qualification, provided the candidate has been recommended by his or her chain of command.

(5) For SELRES candidates, only the commanding officer of the ship in which the oral examination was held may approve the ESWS qualification.

b. When members have qualified or requalified for the ESWS designation, an entry shall be made in their service records as follows:

(1) Annotation in PQS qualification entry section of Page 4.

(2) Page 13 entry as follows:

"(Date) Qualified (or requalified) as an Enlisted Surface Warfare Specialist (ESWS) (platform type) this date and assigned the Enlisted Surface Warfare (SW) designator."

c. The appropriate Diary Message Reporting System (DMRS) entry will be submitted by the cognizant personnel office for the qualifying command at the time of initial qualification.

d. The qualifying officer is authorized to present the ESWS insignia (and optional certificate) upon initial qualification. The attainment of ESWS qualification should be recognized at an appropriate ceremony and relevant comments should be incorporated in the member's next evaluation.

e. In the interest of maintaining consistent standards of qualification, type commanders (including Naval Air Forces, U.S. Atlantic and Pacific Fleets (COMNAVAIRLANT/PAC) and Submarine Forces, U.S. Atlantic and Pacific Fleets (COMNAVSUBLANT/PAC) for surface ships in their command) and Immediate Superiors in Command (ISICs) are directed to ensure that the spirit and intent of this instruction are being followed by subordinate units. This should be accomplished by monitoring and evaluating qualifiers and qualification programs.

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8. **Qualification Continuance.** For active duty personnel, once qualification has been achieved, transfer to another afloat command will require renewal of qualification. For SELRES personnel, renewal of qualification will be required upon mobilization to an afloat command. Qualified enlisted personnel who subsequently accept an appointment as commissioned officers will retain the right to wear the ESWS insignia per U.S. Navy Uniform Regulations without renewal requirements.

a. Transfers between same platform types. When an individual transfers between ships of the same type, the individual must re-demonstrate general knowledge of the ship's overall mission, engineering plant capabilities, combat systems, other mission-essential systems, and basic deck equipment through an oral demonstration of knowledge. Upon a satisfactory demonstration of knowledge, a recommendation will be made to the commanding officer for final qualification. An individual renewing qualification on same type platforms shall not be required to re-complete the platform specific PQS if previously completed. However, tailored platform specific PQS may be used to facilitate requalification. The individual renewing qualification must update/requalify as required to meet requirements outlined in section 5d. Commencement of ESWS renewal will be considered as the embarkation day for all previously qualified personnel. Completion of qualification on the new unit must be documented on page 4 in the candidate's service record per paragraph 7b. Specifically, E5 and above personnel will have 12 months to complete ESWS requalification upon reporting. This time limit shall be adjusted to compensate for time lost through official off ship assignment during the first 12 months and should also be documented.

b. Transfers between ships of different platforms. When an individual transfers between ships of different types, the individual shall demonstrate general knowledge of the ship's overall mission, engineering plant capabilities, combat systems, other mission-essential systems, and basic deck equipment through written examination, hands-on demonstration of knowledge and oral multi-member board. This board will be conducted as outlined in paragraph 5f. An individual renewing qualification on different type platforms will be required to complete the platform specific PQS for the unit of qualification, update/requalify as required to meet requirements outlined in section 5d, and complete any additional watchstation requirements unique to the platform of qualification. Commencement of ESWS renewal will be considered as the embarkation day for all previously qualified personnel.

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Completion of qualification on the new unit must be documented on page 4 in the candidate's service record per paragraph 7b. Specifically, E5 and above personnel will have 12 months to complete ESWS requalification upon reporting. This time limit shall be adjusted to compensate for time lost through official off ship Temporary Additional Duty (TAD) assignment during the first 12 months and should also be documented.

9. **Failure to Qualify.** E-5 and senior eligible enlisted personnel, who fail to qualify within the required time limits, will have a page 13 entered into their service record and the failure will be reflected in the next evaluation or fitness report.

10. **Disqualification**

a. Members previously qualified shall be disqualified by their commanding officers if any of the following conditions exist:

(1) Failure to maintain Promotable status per the enlisted evaluation guidelines.

(2) Refusal to accept or perform duties afloat.

(3) Failure to complete ESWS requalification within prescribed time limits.

b. Formal notification of disqualification shall be recorded in the member's service record as follows (specific rationale for disqualification must be stated in page 13 entry):

"(Date) Failed to maintain qualification as an Enlisted Surface Warfare Specialist (ESWS) in that (include specific rationale for disqualification). Member has been informed that as of this date he/she is disqualified and is no longer authorized to wear the ESWS insignia or use the Enlisted Surface Warfare (SW) designator."

c. After receiving written approval from a qualifying officer, qualification commencement must be recorded in the member's service record and the member must follow the initial qualification process.

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11. Waivers. Requests to waive any part of this instruction will be submitted to Chief of Naval Operations (N86) via the unit's administrative chain of command (to include the appropriate type commander) and both Commander, Naval Surface Force, U.S. Pacific Fleet and Commander, Naval Surface Force, U.S. Atlantic Fleet.

12. Implementation. The above requirements are effective as of the date of this instruction. Sailors who begin the initial ESWS qualification process prior to 1 September 1998 may continue under the previous qualification program without an extension until 1 March 2000. Sailors who qualified ESWS prior to the date of this instruction are required to requalify prior to 1 September 1999 in accordance with paragraph 8 unless they are assigned to the command where they initially qualified.

13. Form. Surface Warfare Specialist certificates, OPNAV 1412/2 (2-84), S/N 0107-LF-014-1210, may be ordered through Navy supply channels per NAVSUP P-2002.



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Distribution:  
SNDL Parts 1 and 2