



DEPARTMENT OF THE NAVY  
COMMANDER NAVAL SURFACE FORCES  
2841 RENDOVA ROAD  
SAN DIEGO, CA 92155-5490

COMNAVSURFORINST 3540.2  
Code N7  
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COMNAVSURFORINST 3540.2

Subj: SURFACE FORCE ENGINEERING READINESS PROCESS

Ref: (a) COMNAVSURFORINST 3540.1

1. **Purpose**. To provide guidance for the conduct of the Engineering Readiness Process for conventionally powered ships.
2. **Cancellation**. COMNAVSURFLANT/COMNAVSURFPACINST 3540.12
3. **Scope**. This instruction provides guidance for the assessment, training, and certification of conventionally powered ships assigned to all Type Commanders. Reference (a) establishes policy and procedures for scheduling and conducting the conventionally powered surface ship engineering certification process.
4. **Action**. This instruction will be used as the Engineering Assessment, Training, and Certification Guide. Commanding Officers and Immediate Superiors in Command (ISICs) should also use it for self and ISIC directed assessments. Nothing herein should be construed as superseding, modifying, or constituting any authority to make changes to U.S. Navy Regulations, manuals, and instructions which govern construction, testing, operation, and maintenance of naval non-nuclear, steam, gas turbine, and diesel propulsion plants. As always, good engineering practices and high day-to-day operational standards are paramount.

(Signed)  
R. A. SPICER  
Deputy and  
Chief of Staff

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CHAPTER 1

GENERAL INFORMATION

REFERENCE: (a) COMNAVSURFORINST 3540.1  
(b) COMNAVSURFORINST 3502.1

1101. DISCUSSION. Reference (a) provides guidance for the Engineering Assessment, Training, and Certification Process and defines applicability, scope, type, and findings of assessments and certifications. Reference (a) also designates the Immediate Superior in Command (ISIC) as the certifying authority for the process. This instruction defines how the Type Commander (TYCOM) supports the ISIC in the execution of the Engineering Readiness process outlined in reference (a). This process places primary emphasis on day-to-day engineering standards and enables individual ships to adapt their training plans to meet specific training needs.

a. Assessments will be based on performance and standards. The focus will be on basic principles and established force standards. Material condition must support training. Safety will continue to be paramount.

b. The Underway Demonstration will be focused on operations and must not be viewed as an end in itself. The desired result of the Basic Phase Assessment, Training and Certification Process is a ship certified for unrestricted propulsion plant operations, safe to operate, and meets the standards established by NAVSEA, TYCOMs, etc.

1102. APPLICABILITY. The requirements of this instruction are applicable to all commissioned conventionally powered propulsion plant ships. Commands with irregular deployment cycles (such as forward deployed units) will have their engineering readiness process tailored on a case-by-case basis with the certification cycle not exceeding 30 months.

a. Methodology. This engineering readiness process is built upon the tenets of process centered improvement. The process provides the tools needed to; (1) assess the ship's engineering plant using prescribed standards; (2) develop training plans specifically tailored to the needs of the ship based on the assessments; and (3) obtain the engineering certification. Achievement of training and material standards will be more easily attainable as training resources are matched to training objectives and brought to bear at the right time in

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the Inter-Deployment Training Cycle (IDTC). Commander, Afloat Training Group PAC/LANT (ATGPAC/LANT) will provide training resources to ships' Commanding Officers and assessment/certification resources to ISICs.

b. Standards. Engineering standards are well established by governing instructions that include, but are not limited to: Engineering Operational Sequencing System (EOSS), Planned Maintenance System (PMS), Naval Ship's Technical Manuals (NSTM), equipment technical manuals, and TYCOM directives. The Engineering Readiness Process validates a ship's performance against these standards.

1103. THE ENGINEERING CERTIFICATION PROCESS

a. Light-Off Assessments (LOA). In accordance with reference (a), ATGPAC/LANT assessment teams will assist ISICs in the conduct of formal LOAs on all new construction ships and on ships where availabilities exceed 120 days. The purpose of the LOA is to ensure the ship is capable of safely lighting off and operating its engineering plant prior to going to sea. ISICs may conduct LOAs for ships not meeting the 120-day requirement. In such cases, ATGPAC/LANT will support those events.

b. Initial Assessment (IA). In accordance with reference (a), an ISIC Initial Assessment of the ship's engineering readiness will be conducted. The IA will normally be conducted in conjunction with the Command Assessment of Readiness and Training II (CART II). ATGPAC/LANT assessment/training teams will assist/augment the ISIC in the conduct of this assessment. The assessment will be focused on material readiness, the proficiency level of engineering watch sections and training teams, the effectiveness of applicable management programs, and the ship's ability to fight a class "B" fire in a major machinery space using the underway repair organization in a hot plant configuration. The IA report will assist the ISIC and Commanding Officer (CO) with the development of training objectives and a training plan for the Basic Phase Training.

c. Training. Training will be based on the training objectives contained in the CO's training plan. The training plan will be tailored to meet the ship's particular set of circumstances (i.e., length of availability, crew turnover, etc.). The ultimate goal of the training process is to certify the ship for unrestricted propulsion plant operations by establishing the following:

(1) Adequate operable propulsion machinery to safely take the ship to sea. (Minimum equipment criteria in paragraph 1105 applies.)

(2) A minimum of two fully qualified watch teams and a fully qualified training team with a Watch Team Replacement Plan (WTRP) in place. The WTRP will be assessed with emphasis in the following areas:

(a) Stable watch organization extending one year into the future, quarter by quarter, to preclude unnecessary watch team changes that adversely affect training progress for the team as a whole.

(b) Long range planning to ensure required replacement personnel are identified and fully qualified prior to assignment to the watchbill.

(c) Definitive ties between WTRP and PQS program management to ensure PQS goal assignment and actual goal attainment support watch team replacement requirements.

(3) Satisfactory demonstration of a major machinery space class "B" fire drill using the underway organization, in a hot plant configuration.

(4) Safety devices within periodicity.

(5) Compliant training and management programs.

ATGPAC/LANT training teams are available to the Commanding Officer to support meeting the ship's training objectives during Basic Phase Training. At any other point in the IDTC, as desired by the ship or ISIC, a Limited Team Training (LTT) may be requested. ATG assets will be assigned in the conduct of LTTs as available.

d. Underway Demonstration (UD). The Underway Demonstration portion of the Engineering Readiness Process focuses on engineering operations, evolutions, and drills. An ATGPAC/LANT assessment team will support the ISIC during the UD.

(1) The UD should normally not exceed one day and consists of: (1) safety walk-through; (2) two watch sections demonstrating evolutions and drills; and (3) high power and dynamic response underway demonstration, if not previously satisfactorily conducted during Basic Phase Training.

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(2) Overall Operations Grading Criteria. The following grading criteria and formulation guide will be used to determine the Overall Operations Grade at the conclusion of the UD. The minimum standard for operations effectiveness is 65% evolutions and 50% for Engineering Casualty Control (ECC) drills for each of the ship's two underway watch sections. If one or both watch sections fail to achieve this minimum standard, the Overall Operations Grade of the UD is unsatisfactory and the ship will be required to conduct another full UD.

(a) ECC drill performance effectiveness for each watch section are the inputs to the Overall Operations Grade formulation. Evolution performance will carry a weighting factor of 60% of overall Operations grade and ECC drill performance carries a weighting factor of 40% of Overall Operations Grade.

(b) Overall UD Operations grades are formulated by applying the 0.60 weighting factor to the combined watch section evolutions score and 0.40 weighting factor to the combined watch section ECC drills score and adding those results together to achieve this grade.

**OVERALL UD OPERATIONS GRADE:**

<b>Outstanding</b>	<b>&gt;.88</b>
<b>Above Average</b>	<b>.78-.87</b>
<b>Average</b>	<b>.68-.77</b>
<b>Below Average</b>	<b>.59-.67</b>
<b>Unsatisfactory</b>	<b>&lt;.59 or below 50% drills or 65% Evolutions in either section)</b>

Note: The basis for the adjective grade breakpoints is historical CY 2000 force average UD evolutions and drills performance, and may be adjusted in the future.

(c) Formulation Method: The total effective evolutions for both watch sections will be added together, divided by the total number of evolutions for both watch sections, and multiplied by 0.60. The total effective ECC drills for both watch sections will be added together, divided by the total number of drills for both watch sections, and

multiplied by 0.40. The Overall Operations Grade is the combination of evolutions and ECC drills performance. Apply the weighting factor formula as follows: (combined sections effective evolutions percentage x .6 + combined sections effective ECC drills percentage x .4) = Overall score, then determine the adjective grade from above.

**EXAMPLES:**

**Maximum possible combined overall score:** (both sections are 100% evolutions and 100% drills)

$$1.0 \times 0.6 + 1.0 \times 0.4 = 1.0 \text{ overall}$$

**Minimum possible combined (satisfactory) overall score:**

(both sections are 65% evolutions and 50% drills)

$$0.65 \times 0.6 + 0.50 \times 0.4 = .59 \text{ overall}$$

**Specific example:**

Section 1: 12 of 15 effective evolutions/4 of 6 effective drills

Section 2: 14/15 effective evolutions/5 of 6 effective drills

Formula calculation:

Evolutions:  $12 + 14 = 26$  of 30 evolutions = 0.867

Drills:  $4 + 5 = 9$  of 12 drills = 0.75

Overall:  $(0.867 \times .6) + (0.75) \times 0.4 = .82;$

resulting in an Overall Operations adjective grade of **ABOVE**

**AVERAGE.**

**Caveat:** If the overall grade falls within 0.05 of the next higher grade breakpoint, the ATGPAC/LANT Assessment Team should evaluate the overall ship's performance to determine the appropriate score. The ATGPAC/LANT Senior Assessor will report the Overall Operations Grade in the UD completion report to the ISIC and CO.

(3) In cases of sustained, exceptional engineering readiness, where a ship achieves the operations standard (65% evolutions/50% ECC drills or better with two watch sections and a capable ETT), with the engineering plant meeting minimum equipment standards at the IA, the ISIC may request a UD waiver from the TYCOM. The waiver request (Tab E) will include ISIC validation that the ship has met the remaining Engineering Certification Criteria per the SURFORTRAMAN (i.e., management programs, material/safety devices, high power/dynamic response, and main space firefighting capability).

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(4) Eligibility for the Engineering/Survivability Excellence award is based on criteria outlined in reference (b). ATG will assist the ISIC and ship as desired, in validating completion of any remaining SURFORTRAMAN criteria, to fully satisfy SURFORTRAMAN "Certification for Unrestricted Propulsion Plant Operations."

1104. MATERIAL READINESS/SAFETY

a. As a fundamental element of basic engineering training, material readiness must support the ability to safely take the ship to sea for sustained operations. To this end, ISIC/ATGPAC/LANT assessment teams will formally assess the material condition of the ship's propulsion plant during the Initial Assessment. Material and safety checks will be conducted on equipment as recommended by ATGPAC/LANT and as approved by the ISIC.

b. The ISIC with ATGPAC/LANT verifies the ship's material readiness during the Initial Assessment process. The important elements of the material assessment include:

(1) Equipment necessary to operate within EOSS (see minimum equipment criteria below).

(2) Equipment degradations covered by approved written procedures and/or a Departure From Specifications (DFS).

(3) High power/dynamic response underway (if not previously certified in Basic Phase Training).

(4) Cleanliness, preservation, and stowage.

c. Additionally, ships will provide the ISIC/ATG a listing of safety devices and automatic shutdowns indicating periodicity requirements, actual and required settings, and dates of testing.

1105. SAFE-TO-TRAIN CRITERIA. Proper engineering plant operations must be focused on maintaining propulsion, electrical power generation and distribution, and associated auxiliaries, including hotel services, while ensuring the safety of operating personnel. The below minimum equipment criteria applies in determining "adequate operable propulsion machinery to safely support training at sea," during IA, Basic Phase Training, and the Underway Demonstration.

a. Minimum Equipment Criteria. The results of the material assessment will lead to a recommendation by ATGPAC/LANT to the ISIC as to whether the condition of the plant is capable of supporting training at sea. The following are potential criteria which could result in a finding of material/equipment condition "Not Capable of Supporting Training." For assessment purposes, "in-commission" means that equipment or systems are fully operational and all major safety devices, including governors, are functional. In cases where "half" of the installed equipment is required to be operational, "half" is determined by rounding up when an odd number of components exist.

**ALL PROPULSION PLANTS**

- Main lube oil systems must be capable of complete sequential automatic operation.
- Half of the auxiliary components must be operational in each plant or have cross-connect capability.
- Half of the installed firepumps must be operational.
- Half of the ship's service generators and associated waste heat boilers must be operational.
- Half of the ship's emergency generators must be operational.
- Non-steam propulsion ships are required to have a minimum of one safe-to-steam auxiliary boiler (if so equipped) before getting underway.
- All firefighting systems and portable equipment (Halon, AFFF, Fixed CO2, Portable CO2, Portable PKP, etc.) operable.
- Steering machinery must be fully in commission with relief valves properly set. At least half of the installed steering pumps must be fully operational.
- There must be no other condition which, in the opinion of the ISIC or of the Senior Assessor, would preclude safe operation of the ship or present a hazard to personnel, equipment, or the environment.

STEAM PROPULSION PLANTS

- In general, at least one boiler in each fireroom/combined machinery space must be in commission. Specifically, the following number of boilers are required:

<u>Total Installed</u>	<u>In Commission</u>
2	2
4	2
8	4

- All single shaft ship main propulsion steam turbines must be operational. Twin-shaft ships must have both main propulsion steam turbines operational. Multi-shaft ships must have one half of all main propulsion steam turbines operational.
- Installed automatic boiler controls for required in-commission boilers must be operational.
- Two different main feed pumps with associated feed booster pumps or emergency feed pumps must be capable of feeding the boilers in each plant.
- One source of control air must be operational (Qualifying sources are Low Pressure Air Compressors (LPACs) or dedicated Auxiliary Control Console (ACC) air compressors. Reduced High Pressure (HP) air is not a qualified source).

DIESEL PROPULSION PLANTS

- In diesel propelled ships, the following engine criteria apply: (At least one engine per shaft)

<u>Number of engines installed</u>	<u>In commission</u>
1	1
2	2
4	2
6	4

GAS TURBINE PROPULSION PLANTS

- In gas turbine ships, the following apply:

1. CG 47/DDG 51/DD 963/AOE 6 class: At least one engine per shaft.
2. FFG 7 class: Both engines in commission.

b. MAJOR DAMAGE CONTROL/SAFETY EQUIPMENT OPERABLE. Fixed and portable firefighting systems/equipment, escape trunks (Ellison doors, lighting, escape hatches/scuttles), and adequate operable life support equipage (OBA, SCBA, EEBD, etc.) must be fully functional.

c. At the commencement of UD, inability to obtain the minimum equipment listed above may result in a determination not to proceed with the demonstration. Once the UD is in progress, failure to maintain the equipment standards listed above may be grounds to terminate the UD. In such cases, the ship will not be recommended for certification due to demonstrated inability to maintain adequate operable propulsion machinery to safely train at sea, and a new UD will be scheduled.

CHAPTER 2

CONDUCT OF THE PROCESS

2101. CONDUCT OF LOA FOR NEW CONSTRUCTION AND AVAILABILITIES  
GREATER THAN 120 DAYS

a. Production Completion Date (PCD). To facilitate conduct of the LOA and to ensure safe light-off and routine operation of the propulsion plant, the PCD should occur at least two weeks prior to LOA. This allows for crew training, equipment familiarization, and preparation time.

b. In-briefs. Immediately prior to commencement of the LOA, IA, or UD, the ISIC and ATGPAC/LANT will conduct an in-brief for the Commanding Officer, Engineer Officer, and other ship designated attendees. At the in-brief, the ISIC and ATGPAC/LANT will re-emphasize safety. The below in-brief information applies during the LOA, IA, and UD.

(1) The ship should prioritize corrective action or resolution of deficiencies. It is not necessary to correct all deficiencies, only those required to enable a safe and meaningful assessment. However, all damage control and firefighting safety deficiencies (i.e., discrepancies that pose a significant operational or personal risk) must be corrected.

(2) No situation exists which causes approved procedures such as tag-out, EOSS, and electrical safety to be violated.

(3) ATGPAC/LANT assessors will not operate any equipment nor order equipment operated. Watchstanders will not interpret any question asked by an assessor as direction for the watchstander to take an action. For example, an assessor may request a watchstander to place equipment in operation. The watchstander shall then obtain permission from the appropriate shipboard supervisor to do so.

(4) The Engineering Duty Officer (EDO) or Engineering Officer of the Watch (EOOW) will be in control of the propulsion plant.

(5) The Engineering Training Team/Damage Control Training Team (ETT/DCTT) will initiate and terminate all drills.

(6) The Commanding Officer will address the following prior to commencing the assessment:

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(a) Whether or not there is any corrective maintenance in progress or expected to begin that will impact the conduct of the assessment.

(b) If there are any approved NAVSEA waivers or Departure(s) From Specifications (DFS). Additionally, if there are any plant abnormalities that could result in a deviation from EOSS, whether or not a request for a NAVSEA waiver or a request for a TYCOM DFS has been submitted.

(c) Whether or not there are special operating procedures or precautions, which deviate from, or are in addition to, EOSS and any special CO/Engineer Officer Standing Orders.

(d) Review any significant work accomplished in the propulsion plant during the availability (LOA only).

c. Project Officer. Each ship will be assigned a Project Officer by ATGPAC/LANT for the LOA, IA, and UD. The Project Officer will be the primary point of contact for pre-assessment liaison administrative and logistical support.

d. LOA Commencement. The LOA will begin with the ship in a cold iron status. It will be complete when the ATGPAC/LANT assessment team has assessed all areas and the ISIC is able to make a determination of "Ready To Light-Off" or "Not Ready To Light-Off." A ship can be found "Not Ready," but a "Clear Path To Light-Off" may be identified. Once the path to light-off has been achieved to the ISIC's satisfaction, the ship is "Ready To Light-Off." Another LOA will be required in the event a "Clear Path To Light-Off" cannot be determined.

e. Schedule. A nominal LOA schedule is contained in Tab A. Once the assessment commences, the ISIC and Commanding Officer will modify the schedule as necessary for the most efficient use of time and resources. Additionally, if the ship encounters a delay in one area of the assessment, the crew should be prepared to move on to another area.

f. Overview by Major Area. During the LOA, the following will be assessed: management programs, material, and firefighting. The assessment team will conduct initial walk-through inspections of each engineering space. The initial walk-through will verify firefighting and damage control equipment readiness, absence of safety material discrepancies, and that fire and personnel hazards do not exist. Subsequent

assessments will be dependent upon progress of material checks and the schedule agreed upon between the ISIC and ATG Assessment Team Leader. General guidance concerning each area is discussed below.

(1) Management Programs. All engineering management programs will be assessed during the LOA. A review of the following programs during the past three months will be conducted:

(a) NAVOSH programs (heat stress, hearing conservation, tag out, and electrical safety) as specifically requested by the ISIC.

(b) Operating Logs and Legal Records.

(c) Boiler Water/Feedwater Test and Treatment.

(d) Lube Oil Quality Management.

(e) Fuel Oil Quality Management.

(f) Training Administration (to include the Watch Team Replacement Plan).

(g) PQS.

(h) Marine Gas Turbine Service Records.

(i) EOSS.

(j) On Line Verification (OLV).

(k) Bearing Records.

(l) Quality Assurance.

(m) Departure From Specifications (DFS) and NAVSEA Waiver File.

In addition to administrative requirements, all programs will be evaluated for deckplate compliance.

(2) Material. Material assessment results derived from equipment material checks, evaluation of the ship's awareness of material deficiencies (8 O'clock Reports, DFS files, etc.), operating conditions of equipment and systems as observed during

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the assessment, and overall preservation, stowage and cleanliness of the propulsion plant will be evaluated. In order to complete an LOA, all major equipment must be in commission or a clear path to light-off must exist for equipment not in commission. A clear path to light-off is defined as a point where equipment has either passed cold checks or all cold checks have been completed to the point where a specific casualty or discrepancy is identified. Deficiencies are cleared through material rechecks.

(3) Firefighting Capability. Assessment of a ship's firefighting capability is based upon the absence of fire hazards, the material condition of main propulsion and auxiliary space damage control equipment, adequacy of the ship's main space fire doctrine, repair locker readiness, and the main space fire drill conducted by the underway repair organization. The ETT/DCTT should be given the fire drill scenarios at the commencement of the assessment to facilitate preparation and briefing of the drill(s). A cold plant configuration main space fire drill conducted at LOA may not be used for Basic Phase Training firefighting certification.

g. LOA Completion. Upon completion of the assessment, the ISIC will hold a critique for the Commanding Officer and other designated personnel. The purpose of this critique is to review findings for the ship. A final report, detailing the results, will be provided to the Commanding Officer. An LOA completion message will be promulgated by the ISIC, to the TYCOM, using the format in TAB D.

2102. AVAILABILITIES LESS THAN 120 DAYS. If desired, the ISIC may conduct an assessment of the engineering plant's readiness to light-off. An ISIC may direct some or all of the steps contained in paragraph 2101. ATGPAC/LANT assessment teams will support the ISIC for the conduct of such assessments.

2103. ISIC INITIAL ASSESSMENT (IA)/TRAINING

a. Overview. The IA will normally be conducted in conjunction with the CART II. The objective of the IA is to provide a complete assessment of engineering readiness with the goal of developing training objectives for the ship during Basic Phase Training of the IDTC. The IA will be conducted by the ISIC with ATGPAC/LANT support. Basic elements are material checks, applicable management programs review, main space firefighting capability using the underway repair organization in a hot plant configuration, and evolutions and ECC drills with

two watch sections and the training teams (ETT/DCTT). A sample assessment plan is provided in TAB B. An ATG senior assessor will coordinate the structure of the assessment with the ISIC to ensure the ship receives the tailored assessment it requires. The in-brief requirements in paragraph 2101.b. apply.

b. Report. Results of the assessment will be documented in an ATGPAC/LANT written report to the Commanding Officer and the ISIC. Training objectives will be prepared by the assessment team and provided to the ISIC/CO and ATG training teams for development of the ship's tailored engineering training plan. Additionally, an IA results message will be promulgated by the ISIC, to the TYCOM, using the format in TAB F.

c. Training. All engineering training events outside Basic Phase Training are designated optional LTT. LTTs will be requested by the ISIC or ship and tailored to the ship's requirements.

d. Training Completion. Basic Phase Training completes when all training objectives have been met. The ship should coordinate the date of the Underway Demonstration with its ISIC and ATG.

#### 2104. UNDERWAY DEMONSTRATION (UD)

a. Overview. The purpose of the operations focused Underway Demonstration (UD) is to validate the ship's ability to conduct engineering evolutions and casualty control drills with two watch sections and the engineering training team. A sample schedule for the UD is included in TAB C.

b. Report. Following completion of the UD, the ISIC will send a message report to the TYCOM, information to Fleet CINC (N43), Battle Group/Amphibious Ready Group Commander, and ATG. In addition to reporting certification, the message will identify major items that require correction but do not restrict certification or safe operations. UD completion will be reported using the format in TAB G.

c. Certification. The final certification will consist of underway operations, including evolutions and casualty control drills, with all items listed in paragraph 1103.c. having been certified during the IA or Basic Phase Training. For the UD, two watch sections must each pass at least 65 percent of the engineering evolutions and 50 percent of the casualty control drills imposed. Additionally, the engineering plant must

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maintain sufficient equipment in commission to safely operate during the demonstration (minimum equipment criteria in paragraph 1105 above applies). The UD Overall Operations adjective grading criteria in paragraph 1103 above applies.

(1) Up-Front Review. Prior to the start of the evolution/drill sets, the assessment team will conduct a brief review to familiarize themselves with current conditions in the plant. This review will consist of a plant walk through; a review of that day's fuel, lube oil and boilerwater/feedwater logs, and 8 o'clock reports, and a review of any outstanding modifications to normal operation of the plant (temporary standing orders, DFSs, and NAVSEA waivers). The ISIC will confirm that main machinery space firefighting capability and management program compliance certifications are completed, if not previously certified at the IA.

(2) Evolutions. Each section will demonstrate its ability to satisfactorily carryout routine propulsion plant evolutions. Sufficient evolutions are to be conducted to effectively assess a watch section's ability to accomplish routine watch related operations. These evolutions will vary by ship type and will be selected from class and ship specific EOP, PQS, and/or PMS for each watch section.

(3) Drills. Watchstander casualty control effectiveness will be determined through performance based assessment of responses to imposed casualties. A sufficient number of casualties will be imposed on each watch section to assess the individual watchstander and the watchteam's ability to control casualties. As a minimum, each watch section will be expected to respond to basic casualties imposed upon them from each casualty family. For diesel and gas turbine ships these casualty families are: main engine, propulsion drive train, electric plant, and integrated casualties. For steam ships these casualty families are: main engine/shafting, boiler/feedwater, electric plant, and integrated casualties. Ships with multiple main propulsion machinery spaces will have a sufficient number of drills imposed to effectively evaluate the watchstanders in each main propulsion machinery space. The watchstander(s) must have controlling and immediate action(s) committed to memory and when the plant is stabilized, must refer to EOCC/EOP for supplementary action(s).

d. Assessment Team. To standardize UD's across the force, an ATG Assessment team will support the ISIC in the conduct of Underway Demonstrations. The ATGPAC/LANT Assessment Team Leader

will report findings and recommendations for certification to the ISIC. The ATG assessment team will review any additional areas as deemed appropriate by the ISIC. The ATG Engineering Assessment Team composition will be determined by ATGPAC/LANT based on ship class. Engineering Certification will be determined by the ISIC.

e. In-brief. Immediately prior to commencement of the Underway Demonstration, the ISIC and ATGPAC/LANT will conduct an in-brief for the Commanding Officer, Engineer Officer, and other ship designated attendees. At the in-brief, the ISIC and ATGPAC/LANT will re-emphasize safety.

(1) The ship should prioritize corrective action or resolution of deficiencies identified during the initial safety walk-through. All significant damage control and firefighting safety deficiencies (i.e., discrepancies that pose a significant operational risk), as designated by the ISIC, must be corrected.

(2) No situation exists which causes approved procedures such as tag-out, EOSS, and electrical safety to be violated.

(3) ATGPAC/LANT Assessment Team will not operate any equipment nor order equipment operated. Watchstanders will not interpret any question asked by an assessor as direction or take an action they would not normally take. For example, an assessor may request a watchstander to place equipment in operation. The watchstander should obtain prior approval from the appropriate shipboard supervisor.

(4) The Engineering Officer of the Watch (EOOW) shall be in control of the propulsion plant.

(5) The ETT/DCTT will initiate and terminate all drills.

CHAPTER 3

FINDINGS

3101. CERTIFICATION. When a ship has completed the requirements of the Engineering Readiness Process, it will be certified for unrestricted propulsion plant operations by the ISIC. The ISIC will send a message report notifying the Type Commander (information to Fleet CINC (N43) and BG/ARG Commander) of the certification. TAB G contains details regarding the Certification Completion Report.

3102. ITEMS OF PRIORITY (IOP)

a. The LOA, Initial Assessment, Basic Phase Training, or Underway Demonstration may identify IOPs for which the ship requires outside repair or technical assistance, or where a class problem is suspected. These may include:

(1) Design, supply support, manning, technical documentation, material reliability, or component operating procedures that are either in conflict with technical directives or require clarification.

(2) A technical problem exists, or is discovered that the ship has not succeeded in resolving.

(3) EOSS revalidation/configuration check is required.

(4) Material deficiencies that require significant outside assistance to correct.

b. Items of Priority will be included in the LOA, IA, and UD completion reports.

c. Items of Priority must be corrected or resolved expeditiously. They will be reviewed periodically by the ISIC, as necessary, to assure the appropriate resources and attention have been applied to bring these items to closure. The CO will notify the ATGPAC/LANT Assessment Team of any uncorrected IOPs at the UD in-brief.

3103. REPAIR BEFORE OPERATE (RBO). Equipment found during the assessment to be unsafe to operate shall be designated as Repair Before Operate. The equipment will not be operated until the equipment is cleared by the ISIC or ATGPAC/LANT assessment/

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training teams. The CO will notify the ATGPAC/LANT assessment team of any uncorrected RBOs at the UD in-brief.

3104. RESTRICTED OPERATIONS. A ship assessed as unable to obtain or maintain standards, in the judgement of the ISIC, will be designated for restricted operations. Ships designated for restricted operations do not meet minimum propulsion plant readiness requirements for unrestricted operations. TABs H and I describe reports required in this case. The following restrictions apply for restricted operation ships:

a. Operate at sea only for ISIC supervised training, repeat Underway Demonstrations, emergency sorties, or national emergencies.

b. Embark sufficient numbers of qualified personnel when conducting engineering operations (in port or underway) to ensure safe operation of the engineering plant.

TAB A

TYPICAL LOA SCHEDULE

1. REQUIRED PLANT STATUS. Ready for assessment in that all systems are intact, under ship's force control, and capable of conducting cold checks. The plant will be in a standard cold iron status with the following exceptions:

a. Lube oil and CRP/CPD systems, as applicable, running at proper temperature.

b. EOP procedure MLOC will be completed with the exception of motoring, starting, or lighting-off major pieces of propulsion related equipment or generators.

c. For steam ships: Boilers may be required to be opened for inspection of firesides. Air casings and stacks will always be open.

d. For gas turbine and diesel ships: Intakes and exhaust trunks should be opened or disassembled for inspection. Waste heat and auxiliary boilers may be under an approved lay-up. Boiler firesides may be required to be opened for inspection.

2. SAMPLE SCHEDULE

**Day One:**

0800	In-brief
0830-0900	Management program review
0900-1130	Material checks
1130-1330	Caucus/lunch
1330-Complete	Continue material checks/rechecks and management program assessment.
	ETT/DCTT brief
	Main space fire drill cold plant configuration, caucus, and debrief
	Departure

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**Day Two:**

TBD Main space fire drill (if necessary), caucus, and  
debrief

0800-Complete Continue material checks/rechecks and management  
program assessment

1130-1330 Caucus/lunch

TBD Departure

**Day Three:**

0800-Complete Clear outstanding items

Conduct critique

TAB B

SAMPLE INITIAL ASSESSMENT (IA) SCHEDULE

The ISIC will normally conduct the IA in conjunction with CART II. The schedule below would allow all events to be conducted in a reasonable amount of time:

**Day One:**

In-brief

Commence material checks

Management program reviews

**Day Two:**

Continue material checks (if required)

Conduct main space fire drill and casualty control drill briefs

Conduct evolutions and drill set for first watch team

Continue management program reviews

**Day Three:**

Evolutions and drill set for second watch team/main space fire drill (if not completed on day two)

Complete management program reviews

High power demonstration/dynamic response (if underway)

Out-brief

TAB C

SAMPLE UNDERWAY DEMONSTRATION SCHEDULE

The Underway Demonstration will commence with the ship underway in Condition IV steaming. Based on scheduling constraints, the certification team may either embark the ship prior to Sea & Anchor or meet the ship after it is already underway. The Underway Demonstration should normally be one day in length and should include the following:

- a. In-brief.
- b. Safety walk-through/up-front review.
- c. Executive ETT brief (first section).
- d. Drills and Evolutions (first section).
- e. Executive ETT brief (second section).
- f. Drills and Evolutions (second section).
- g. High power demonstration/dynamic response (if not previously certified in Basic Phase Training).
- h. Out-brief.

TAB D

SAMPLE LOA COMPLETION MESSAGE

At the completion of the Light-Off Assessment, the ISIC will make a report of the results to the TYCOM, information to the applicable Navy Shipyard or SUPSHIP, Regional Maintenance Coordinator, and IMA. The LOA completion message should state the ship is safe and ready to light-off, and it should also address conditions which warrant Type Commander notification (e.g., material conditions which do not support assessment, inability to achieve Production Completion Date, etc.). The LOA completion message should be sent within two working days after LOA completion in the following format:

FM (ISIC or SUPSHIP (as appropriate))

TO COMNAVSURFPAC SAN DIEGO CA//N7/N43/N3// OR COMNAVSURFLANT  
NORFOLK VA//N7/N43/N3// (AS APPROPRIATE)

INFO (APPLICABLE ATG)  
(APPLICABLE SHIPYARD)  
(APPLICABLE SUPSHIP)  
(APPLICABLE IMA)  
(APPLICABLE RSO/RSG)  
USS (SHIP)

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SUBJ/USS (SHIP'S NAME) LOA COMPLETION REPORT//

POC/JONES J.P./LT/ISIC/-/COMM: (XXX) XXX-XXXX/DSN: XXX-XXXX//

RMKS/1. AN LOA WAS CONDUCTED (DATE/LOCATION). (SHIP'S NAME)  
(IS/IS NOT) READY TO LIGHT-OFF.

2. THE SHIP WAS ASSESSED AT (LOCATION) BY (ORGANIZATIONS  
PARTICIPATING IN QUALIFICATION TEAM(S)).

3. ITEMS OF PRIORITY AND REPAIR BEFORE OPERATE DISCREPANCIES:

A. DEFICIENCY NAME:  
CSMP/JCN:  
CASREP NR:  
STATUS OF CORRECTION:

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REQUESTED TYCOM ASSISTANCE (IF REQUIRED):

ADDITIONAL REMARKS:

B. (REPEAT REQUIREMENTS OF A. ABOVE AS MANY TIMES AS REQUIRED.)

4. COMMENTS: (IF THE SHIP IS FOUND "NOT READY TO LIGHT-OFF," STATE WHAT CORRECTIVE ACTIONS ARE REQUIRED, WHICH ORGANIZATION MAY VALIDATE CORRECTION, AND WHEN THE SHIP IS EXPECTED TO ATTAIN A "READY TO LIGHT-OFF" STATUS. ISIC'S MUST VERIFY COMPLETION OF OUTSTANDING ITEMS BY MESSAGE TO SAME ADDEES PRIOR TO LIGHT-OFF.)//

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TAB E

SAMPLE UNDERWAY DEMONSTRATION WAIVER MESSAGE

To waive the Underway Demonstration, the ISIC will submit a waiver message report to the TYCOM. The ISIC will provide the TYCOM the detailed basis for the waiver and use the following format:

FM (ISIC)

TO COMNAVSURFPAC SAN DIEGO CA//N7/N43/N3// OR COMNAVSURFLANT  
NORFOLK VA//N7/N43/N3// (AS APPROPRIATE)

INFO (APPLICABLE ATG)  
USS (SHIP)

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SUBJ/USS (SHIP'S NAME) ENGINEERING CERTIFICATION UNDERWAY  
DEMONSTRATION WAIVER//

POC/JONES J.P./LT/ISIC/-/COMM: (619) XXX-XXXX/DSN: XXX-XXXX//

RMKS/1. DUE TO OBSERVATION OF (SHIP NAME)'S SUSTAINED  
EXCEPTIONAL ENGINEERING READINESS, A WAIVER OF THE ENGINEERING  
CERTIFICATION UNDERWAY DEMONSTRATION IS REQUESTED.

2. BASIS FOR VALIDATION IS (INSERT VALIDATION BASIS HERE).//

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TAB F

SAMPLE ENGINEERING INITIAL ASSESSMENT (IA) RESULTS MESSAGE

Following completion of the Initial Assessment, the ISIC will send a message report to the TYCOM, information to Fleet CINC (N43), Commander, Naval Surface Forces, Battle Group/ Amphibious Ready Group Commander, and ATG. In addition to reporting results, the message will identify major items pertaining to material, firefighting, operations, and management programs that require correction. Use the following format for reporting Initial Assessment results:

FM (ISIC)

TO COMNAVSURFPAC SAN DIEGO CA//N7/N43/N3// OR COMNAVSURFLANT  
NORFOLK VA//N7/N43/N3// (AS APPROPRIATE)  
INFO CINCLANTFLT NORFOLK VA//N43// (LANT SHIPS ONLY)  
CINCPACFLT PEARL HARBOR HI//N43// (PAC SHIPS ONLY)  
COMNAVSURFOR SAN DIEGO CA//N7/N71/N72/N43//  
COMNAVSURFLANT NORFOLK VA//N7/N3/N43// (PAC SHIPS ONLY)  
(APPLICABLE BATTLE GROUP/AMPHIBIOUS READY GROUP COMMANDER)  
(APPLICABLE CMWC AS APPROPRIATE)  
(APPLICABLE ATG)  
USS (SHIP)  
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MSGID/GENADMIN/ISIC//

SUBJ/USS (SHIP'S NAME) ENGINEERING INITIAL ASSESSMENT (IA)  
RESULTS//

REF/A/DOC/COMNAVSURFOR/DATE//

REF/B/DOC/COMNAVSURFOR/DATE//

NARR/REF A IS SURFORTRAMAN. REF B IS SURFACE FORCE ENGINEERING  
READINESS PROCESS.//

POC/JONES J.P./LT/ISIC/-/COMM: (XXX) XXX-XXXX/DSN: XXX-XXXX//

RMKS/1. (SHIP'S) IA WAS CONDUCTED XX-XX MONTH YYYY IAW REF A  
UNDERWAY IN \_\_\_\_\_ (NORVA/VACAPES OPAREA, MAYPORT OPAREA,  
SAN DIEGO/SOCAL OPAREA, PEARL HARBOR/HAWAII OPAREA,  
EVERETT/PUGET SOUND OPAREA, SASEBO OPAREA, ETC.).

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2. ENGINEERING INITIAL ASSESSMENT RESULTS ARE AS FOLLOWS: (IF IA GRADE IS SUCH AS TO MAKE UD UNNECESSARY, THE APPROPRIATE UD ADJECTIVE GRADE WILL BE ASSIGNED AND USED AS THE GRADE FOR THE IA AS IF A UD HAD BEEN HELD AND THE PARAGRAPH WILL BEGIN "1. ENGINEERING INITIAL ASSESSMENT RESULTS ARE AS FOLLOWS, AND AN ADJECTIVE GRADE OF ABOVE AVERAGE WAS ASSIGNED.") (NOTE: REF B CONTAINS FIVE ADJECTIVE GRADES. IN THIS EXAMPLE "ABOVE AVERAGE" WAS USED.)

A. MATERIAL - MINIMUM EQUIPMENT WAS (MET/NOT MET). MATERIAL CONDITION IS (CAPABLE/NOT CAPABLE) OF SUPPORTING TRAINING. THE SHIP'S MATERIAL SELF-ASSESSMENT CAPABILITY WAS (SATISFACTORY/NOT SATISFACTORY).

1) ITEM(S) OF PRIORITY: LIST EACH IOP. PUT NONE WHERE APPLICABLE.

2) REPAIR BEFORE OPERATE (RBO) IDENTIFIED: LIST EACH RBO. PUT NONE WHERE APPLICABLE.

3) ALL SAFETY DEVICES WITHIN PERIODICITY/SPECIFICATIONS (MET/NOT MET).

4) A HIGH POWER DEMONSTRATION (WAS/WAS NOT) SUCCESSFULLY COMPLETED.

5) A MANEUVERING TRANSIENT (WAS/WAS NOT) SUCCESSFULLY CONDUCTED.

B. FIREFIGHTING - ONE MAIN SPACE FIRE DRILL WAS CONDUCTED AND WAS ASSESSED AS (EFFECTIVE/PARTIALLY EFFECTIVE/NOT EFFECTIVE) (COMMENTS AS APPROPRIATE).

C. OPERATIONS - TWO WATCH TEAMS WERE EVALUATED AND BOTH WERE ASSESSED AT LEVEL \_\_\_ (IAW PARA 2306 OF REF A). SECTION ONE SUCCESSFULLY COMPLETED \_\_\_ OF \_\_\_ EVOLUTIONS (XX PERCENT) AND \_\_\_ OF \_\_\_ DRILLS (XX PERCENT). SECTION TWO SUCCESSFULLY COMPLETED \_\_\_ OF \_\_\_ EVOLUTIONS (XX PERCENT) AND \_\_\_ OF \_\_\_ DRILLS (XX PERCENT).

D. MANAGEMENT:

1) X OF 15 PROGRAMS ASSESSED AS EFFECTIVE:  
(LIST PROGRAMS)

2) X OF 15 PROGRAMS ASSESSED AS PARTIALLY EFFECTIVE:  
(LIST PROGRAMS)

3) X OF 15 PROGRAMS ASSESSED AS NOT EFFECTIVE:  
(LIST PROGRAMS)

3. DETAILED OBSERVATIONS WERE PROVIDED TO THE COMMANDING OFFICER.//

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TAB G

SAMPLE UNDERWAY DEMONSTRATION COMPLETION/ENGINEERING CERTIFICATION  
MESSAGE

Following completion of the Underway Demonstration, the ISIC will send a message report to the TYCOM, information to Fleet CINC (N43), Commander, Naval Surface Forces, Battle Group/Amphibious Ready Group Commander and ATG. In addition to reporting certification, the message will identify major items that require correction, but do not restrict certification or safe operations. The ISIC will ensure and verify corrective action to any items noted. Use the following format for reporting Underway Demonstration completion:

FM (ISIC)

TO COMNAVSURFPAC SAN DIEGO CA//N7/N43/N3// OR COMNAVSURFLANT  
NORFOLK VA//N7/N43/N3// (AS APPROPRIATE)

INFO CINCLANTFLT NORFOLK VA//N43// (LANT SHIPS ONLY)  
CINCPACFLT PEARL HARBOR HI//N43// (PAC SHIPS ONLY)  
COMNAVSURFOR SAN DIEGO CA//N7/N71/N72/N43//  
COMNAVSURFLANT NORFOLK VA//N7/N3/N43// (PAC SHIPS ONLY)  
(APPLICABLE BATTLE GROUP/AMPHIBIOUS READY GROUP COMMANDER)  
(APPLICABLE CMWC AS APPROPRIATE)  
(APPLICABLE ATG)  
USS (SHIP)

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SUBJ/USS (SHIP'S NAME) ENGINEERING CERTIFICATION REPORT//

POC/JONES J.P./LT/ISIC/-/COMM: (XXX) XXX-XXXX/DSN: XXX-XXXX//

RMKS/1. AN UNDERWAY DEMONSTRATION WAS CONDUCTED IN (SHIP'S  
NAME) ON (DATE). THIS SHIP (IS/IS NOT) CERTIFIED FOR UNRESTRICTED  
ENGINEERING OPERATIONS AND INTERMEDIATE TRAINING.

2. SIGNIFICANT ISSUES REQUIRING TYCOM ATTENTION: (IF REQUIRED)

3. ITEMS OF PRIORITY:

4. REPAIR BEFORE OPERATE:

5. ADDITIONAL REMARKS://

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TAB H

SAMPLE RESTRICTED OPERATIONS NOTIFICATION AND POA&M REPORT

Restricted Operations (RO). When the ISIC places a ship in a RO status, the following messages are required:

(a) A RO notification report to the TYCOM, information to Fleet CINC (N43) and Battle Group/Amphibious Ready Group Commander, within 24 hours of placing a ship into a RO status. A sample RO notification report is provided below.

(b) A POA&M to the TYCOM, within five working days of the RO notification. RO notification and POA&M may be combined as a single message, if desired. A sample POA&M report follows.

(c) POA&M updates every two weeks. Use the following format to report RO notification and POA&M establishment/updates. Biweekly POA&M updates will be sequentially numbered.

FM (ISIC)

TO COMNAVSURFPAC SAN DIEGO CA//N7/N43/N3// OR COMNAVSURFLANT  
NORFOLK VA//N7/N43/N3// (AS APPROPRIATE)

INFO CINCLANTFLT NORFOLK VA//N43// (LANT SHIPS ONLY)

CINCPACFLT PEARL HARBOR HI//N43// (PAC SHIPS ONLY)

(NUMBERED FLEET COMMANDER)

COMNAVSURFOR SAN DIEGO CA//N7/N71/N72/N43//

COMNAVSURFLANT NORFOLK VA//N7/N3/N43// (PAC SHIPS ONLY)

(APPLICABLE BATTLE GROUP/AMPHIBIOUS READY GROUP COMMANDER)

(APPLICABLE CMWC AS APPROPRIATE)

(APPLICABLE ATG)

USS (SHIP)

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SUBJ/USS (SHIP'S NAME) RESTRICTED OPERATIONS NOTIFICATION (AND  
POA&M (UPDATE) (NUMBER))//

POC/JONES J.P./LT/ISIC/-/COMM: (XXX) XXX-XXXX/DSN: XXX-XXXX//

RMKS/1. ORIG HAS PLACED (SHIP'S NAME) IN A RESTRICTED  
OPERATIONS STATUS DUE TO (REASON). ENGINEERING RE-CERTIFICATION  
WILL BE OBTAINED WHEN FOLLOWING CONDITIONS ARE MET: (LIST)

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2. THE FOLLOWING POA&M IS SUBMITTED (UPDATED/COMPLETED):  
EVENT-SCHED DATE(S)-CURRENT STATUS

3. REMARKS://

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TAB I

SAMPLE ENGINEERING RE-CERTIFICATION REPORT

Removal from restricted operations status. When an ISIC restores engineering operations after having placed a ship in a RO status, the ISIC will notify the TYCOM, information to Fleet Commander in Chief (N43), Commander, Naval Surface Forces, Battle Group/Amphibious Ready Group, and ATG. Use the following format to report removal from RO status:

FM (ISIC)

TO COMNAVSURFPAC SAN DIEGO CA//N7/N43/N3// OR COMNAVSURFLANT  
NORFOLK VA//N7/N43/N3// (AS APPROPRIATE)  
INFO CINCLANTFLT NORFOLK VA//N43// (LANT SHIPS ONLY)  
CINCPACFLT PEARL HARBOR HI//N43// (PAC SHIPS ONLY)  
(NUMBERED FLEET COMMANDER)  
COMNAVSURFOR SAN DIEGO CA//N7/N71/N72/N43//  
COMNAVSURFLANT NORFOLK VA//N7/N3/N43// (PAC SHIPS ONLY)  
(APPLICABLE BATTLE GROUP/AMPHIBIOUS READY GROUP COMMANDER)  
(APPLICABLE CMWC AS APPROPRIATE)  
(APPLICABLE ATG)  
USS (SHIP)

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SUBJ/USS (SHIP'S NAME) REMOVAL FROM RESTRICTED OPERATIONS  
STATUS//

POC/JONES J.P./LT/ISIC/-/COMM: (XXX) XXX-XXXX/DSN: XXX-XXXX//

RMKS/1. ORIG HAS REMOVED SHIP FROM RO STATUS.

2. REMARKS://

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