



DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND
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IN REPLY REFER TO

NAVSEAINST 9997.3 CH-1
Ser 07Q2/119
8 Nov 95

NAVSEA INSTRUCTION 9997.3 CHANGE TRANSMITTAL 1

From: Commander, Naval Sea Systems Command

Subj: DOCKING OFFICER MINIMUM QUALIFICATION REQUIREMENTS

Ref: (a) OPNAVINST 4700.7J of 4 Dec 92

1. Purpose. To update reference (a) of the instruction and to transmit a revised page 3 to the instruction which clarifies the applicable facilities by changing "such facilities" to read "floating dry docks". Reference (a) directs NAVSEA to establish minimum requirements for qualification and certification of docking officers for floating dry docks, graving docks, and marine railways.

2. Action. Make the following pen and ink changes to pages 1 and 3 as shown on the attached pages:

a. Change reference (a) of the basic instruction from OPNAVINST 4700.7H of 30 Oct 87 to read OPNAVINST 4700.7J of 4 Dec 92.

b. On page 3, lines 2 and 3 of the basic instruction, change "such facilities" to read "floating dry docks".

T. J. PORTER
Rear Admiral, USN
Deputy Commander,
Naval Shipyard and SUPSHIP
Management and Field
Activity Support

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DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND
WASHINGTON, D.C. 20362-5101

IN REPLY REFER TO

NAVSEAINST 9997.3
OPR 07Q
29 Dec 92

NAVSEA INSTRUCTION 9997.3

From: Commander, Naval Sea Systems Command

Subj: DOCKING OFFICER MINIMUM QUALIFICATION REQUIREMENTS

Ref: (a) OPNAVINST 4700.7H of 30 Oct 87

Encl: (1) Academic Requirements for the Qualification of Docking Officers
(2) Practical Requirements for the Qualification of Docking Officers
(3) Sample Certification Letter for Docking Officers

1. Purpose. To establish requirements as directed by reference (a) for the qualification and certification of officers who are directly responsible for docking and undocking operations in U.S. Navy graving docks, floating dry docks, marine railways, and vertical lifts.

2. Cancellation. NAVSEAINST 9970.1 of 20 July 1977 was cancelled by NAVSEA Notice 5215 of 2 January 1986.

3. Background. The heavy responsibilities vested in officers directly responsible for docking and undocking operations in U.S. Navy-operated drydocking facilities dictates that such officers be specially trained and qualified for their duties. Accordingly, Docking Officer qualifications have been historically formally certified by their Immediate Superiors-in-Command (ISICs), Shipyard Commanders and Supervisors of Shipbuilding. This instruction establishes the minimum qualification requirements for the certification of Docking Officers. Enclosures (1) and (2) are intended as guides for both initial training of Docking Officers, as well as retraining for officers who have had previous experience in dry dock operations, but who have not maintained their qualification or who must obtain certification for a type of dry dock facility different from that which they were previously qualified.

4. Applicability

a. For fleet activities, Fleet Commanders in Chief or their designated certifying authority retain the final authority for the qualification and certification of Docking Officers assigned responsibilities for the operation of drydocking facilities under their command.

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b. Shipyard Commanders and Supervisors of Shipbuilding (SUPSHIP) shall be the certifying authority for Docking Officers who are assigned responsibilities for the operation of drydocking facilities under their command.

c. Satisfactory completion of the qualification requirements specified herein shall be a prerequisite to the certification of a Docking Officer by all certifying authorities. These requirements apply to officers currently in training and not yet certified, and may be applied to currently certified officers upon transfer to another facility at the discretion of the certifying authority.

d. Once certification is granted, the Docking Officer must participate in a minimum of one docking every six months to maintain qualification. The participation will include review of a docking drawing, check of build-up papers and ballasting and deballasting plans, and involvement in an actual docking or undocking evolution.

e. Docking Officers who fail to maintain their qualification will be retrained and reexamined following the provisions of this instruction prior to being recertified. In this case, the certifying authority will prescribe which of the academic and practical requirements will be completed again for recertification and which may be waived for a particular candidate.

f. A complete, documented record will be maintained for each Docking Officer's qualifications, including a copy of the current certification letter (enclosure (3)), a copy of written examinations, a record of practical training, and a record of dockings performed after certification.

5. Action

a. The certifying authority will ensure that all prospective Docking Officers have met the requirements in enclosure (1), through satisfactory completion of written examinations, prior to certification of their qualifications in writing. In addition, the written examinations will cover information peculiar to the type of dry dock facility for which the prospective Docking Officer is seeking qualification. Prospective Docking Officers must also meet the requirements in enclosure (2) prior to certification of their qualifications in writing. The practical requirements will cover information peculiar to the type of dry dock facility for which the prospective Docking Officer is seeking qualification.

b. The certifying authority will ensure that all prospective Commanding Officers or Officers-in-Charge of such facilities have satisfied the aforementioned requirements and are qualified and certified prior to their relieving. In cases where completion of qualification and certification would unduly delay the turnover, the certifying authority shall be satisfied that the prospective Commanding Officer or Officer-in-Charge possesses an adequate level of knowledge to safely operate the dry dock. An interim qualification may be issued for a specified time not to exceed six months until operational conditions permit full qualification. This determination will be based on the availability within the command or organization of other officers who have been certified as qualified Docking Officers who shall conduct all dockings and undockings during this interim period.

c. In cases where Commanding Officers or Officers-in-Charge of floating dry docks have failed to keep their docking officer qualifications current, the certifying authority should designate, in writing, those requirements that must be satisfactorily completed for recertification, per the instructions in paragraph 4 above. This provision will apply to the prospective Commanding Officers or Officers-in-Charge who previously have been designated by Naval Officer Billet Classification (NOBC) 9430 or 9431.

d. The certifying authorities will establish procedures within their commands and activities to ensure that their prospective and current Docking Officers are certified as qualified and maintain their qualifications per this instruction. Commanding Officers or Officers-in-Charge will recommend to their certifying authorities, officers to be certified as Docking Officers who have completed the requirements of enclosures (1) and (2) and who have otherwise demonstrated to the Commanding Officer or Officer-in-Charge that they possess the professional competence required of Docking Officers.

e. The certification procedure shall include training programs and qualification requirements for the qualification of personnel to man the various stations required to safely dry dock ships and will include procedures to ensure that only persons so qualified, man the stations during docking and undocking evolutions.

f. The certification authorities are encouraged to make their dry dock facilities available, on a "not-to-interfere-with-operational-requirements" basis, to assist in the practical training and qualification of Docking Officers, including those assigned on a temporary duty basis. Arrangements for the conduct

of such training will be made directly between the requesting command and the certifying authority for the drydocking facility, citing this instruction and keeping appropriate superiors informed.

g. A Docking Officer Personnel Qualification Standard (PQS) for floating dry docks which is consistent with this instruction is available from Chief of Naval Education and Training (CNET). The PQS is available to Shipyard Commanders, ISICs, and SUPSHIPS having a dry dock capability, and Commanding Officers or Officers-in-Charge of floating dry docks. The PQS can be modified and supplemented locally, and then administered to prospective Docking Officers to evaluate their understanding of drydocking principals, their knowledge of different types of docking facilities, and their familiarity with local facilities, procedures, and operations.

6. Reports and Forms

a. Docking reports are exempt from reports control as defined in SECNAVINST 5214.2B.

b. Forms NAVSEA 9997/1 through 9997/5 may be requisitioned per NPFC P-2002D.



John S. Claman
Rear Admiral, USN
Deputy Commander for Industrial
and Facility Management

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ACADEMIC REQUIREMENTS FOR THE QUALIFICATION
OF DOCKING OFFICERS

To become a qualified Docking Officer, satisfactory completion of a course of study and passing a written examination covering the following information is required:

1. Duties and Responsibilities of the Docking Officer. Navy Regulations, Article 0871, Responsibility for Safety of Ship and Craft at Naval Station or Shipyard.

2. General information on docking and undocking.

a. OPNAVINST 3120.32B Standard Organization and Regulations of the U.S. Navy.

(1) Part 304.11, Hull Board.

(2) Part 630.5, Drydocking Bill.

b. Navy Regulations, Article 0872, Ships and Craft in Dry Dock.

c. Naval Ships' Technical Manual (NSTM).

(1) NAVSEA S9086-BS-STM-000/Chapter 050, Readiness and Care of Inactive Ships.

(2) NAVSEA 0901-LP-079-0010/Chapter 079, Section I, Damage Control - Stability and Buoyancy.

(3) NAVSEA 0901-LP-079-0020/Chapter 079, Section II, Damage Control - Practical Damage Control.

(4) NAVSEA S9086-HP-STM-000/Chapter 245, Propellers.

(5) NAVSEA S9086-VD-STM-000/Chapter 631, Preservation of Ships in Service.

(6) NAVSEA S9086-7G-STM-010/Chapter 997, Docking Instruction and Routine Work in Dry Dock.

d. NAVSEA 9997/1 through NAVSEA 9997/5, "Docking Reports."

e. MIL-STD-1625 (latest revision) (SH), Safety Certification Program for Drydocking Facilities and Shipbuilding Ways for U.S. Navy Ships.

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3. Docking and undocking of ships and craft in graving docks (when assigned to a facility having graving docks).

a. Standard procedure and principles covering the operation of docking and undocking, in graving docks, emphasizing:

- (1) Nomenclature.
- (2) Safety precautions.
- (3) Sequence of operations in docking and undocking.

b. Uniform Method and Standard (UM&S) 9971-450, Drydocking Naval Surface Ships in graving Docks.

c. Uniform Method and Standard (UM&S) 0043-450, Drydocking Nuclear Powered Submarines in Graving Docks.

4. Docking and undocking of ships and craft in floating dry docks (when assigned to a facility that has a floating dry dock).

a. Standard procedures and principles covering the operation of docking and undocking in floating docks, emphasizing:

- (1) Nomenclature.
- (2) Safety precautions.
- (3) Sequence of operations in docking and undocking.

b. Operations Manuals, Data Books and Damage Control Books of at least two classes of floating docks.

c. Developing pumping plans.

d. Taking deflection readings.

5. Docking and undocking of ships and craft on marine railways or on vertical lifts (when assigned to a facility that has either of these facilities). Standard procedures and principles covering the operation of docking and undocking on a marine railway or on a vertical lift as appropriate emphasizing:

- a. Nomenclature.
- b. Safety precautions.
- c. Sequence of operations in docking and undocking.

6. Design and operational characteristics of dry dock facilities available at a shipyard (when assigned to a shipyard).
7. Study of typical docking drawings for the major classes of ships to be docked at a shipyard (when assigned to a shipyard).
8. Special consideration covering major natural occurrences such as hurricanes, earthquakes, etc. (See paragraph 977-2.5 of NSTM Chapter 997).
9. Use of divers in docking.
10. Review of previous docking accidents or incidents and discussion of causes and actions which could have been taken to avoid them.
11. For dry docks which routinely dock nuclear powered ships, demonstrate a knowledge of:
 - a. Operating requirements of the reactor plant during a docking evolution, dry dock support services required by the reactor plant and safety precautions pertaining thereto.
 - b. Radiological procedures and precautions employed when a nuclear powered ship is in dry dock.
12. Demonstrate a thorough understanding and knowledge in all factors of docking ships such as:
 - a. Trim, list and maximum draft prior to and during drydocking.
 - b. Maximum keel block loading.
 - c. Intact stability during five phases of the docking operation.
 - d. Change of ships characteristics during the lay periods in the dry dock.
 - e. Effect of tide on docking facility.
 - f. The use of BONJEAN's curves in docking.
 - g. Changing ship's weight during the lay period.
 - h. Selection of various types of blocking, and the types of woods and fastening arrangements used in their construction.

i. Setting docking block reference planes.

13. Demonstrate knowledge and familiarity with the casualty procedures applicable to the facilities they are qualified to operate. Procedures should cover the following:

- a. Equipment malfunctions.
- b. Failure of remote control or indicating systems.
- c. Fire in dry dock or dry dock spaces.
- d. Fire onboard ship while in dock.
- e. Flooding of dry dock tanks or basin.

PRACTICAL REQUIREMENTS FOR THE QUALIFICATION
OF DOCKING OFFICERS

To become qualified as a Docking Officer, the following practical factors shall be completed under the supervision of a qualified Docking Officer:

1. Observe the following:
 - a. (2) Docking conferences.
 - b. (2) Dockings (check blocks, land ship, etc.)
 - c. (2) Undocking conferences.
 - d. (2) Undockings.
2. Prepare the following for each major class of ship normally drydocked by the facility (up to a maximum of four):
 - a. (2) Docking or undocking notices for the particular facility being used.
 - b. (2) Docking reports.
 - c. (2) Dry dock build-up papers.
3. Conduct the following:
 - a. (2) Docking conferences.
 - b. (2) Undocking conferences.
 - c. (4) Complete dockings (prepare build-up papers, check blocks, perform calculations, land ship, etc.).
 - d. (4) Undockings.

Notes: (1) The number of evolutions listed are recommended minimums but may be decreased to two dockings and undockings or increased at the option of the qualifying authority.

(2) When it is impractical for prospective Docking Officers to obtain the required practical experience at the parent command in a timely manner, it is encouraged that they be assigned temporary duty at similar naval activities for training and qualification.

Enclosure (2)

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SAMPLE CERTIFICATION LETTER
FOR DOCKING OFFICERS

From: (Certifying Authority)
To: (Individual Concerned)
Via: (Commanding Officer or Officer-in-Charge, if appropriate)
Subj: CERTIFICATION OF QUALIFICATION AS DOCKING OFFICER
Ref: (a) NAVSEAINST 9997.3

1. Having met the requirements of reference (a) by passing a written examination and by demonstrating practical ability to safely dock/undock ships in (type of dry dock or class of floating dry dock), you are hereby certified as a qualified Docking Officer for the aforementioned type or class of dry dock.

2. This certification shall remain effective so long as you actively participate in a minimum of one docking per six month period in each type of facility for which qualified, but will be revoked upon transfer from your present command.

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Enclosure (3)