



4. BACKGROUND.

- a. The STCW Convention and STCW Code set forth standards for training and certification for merchant mariners, including mariners serving as Master and Chief Mate on ships of 3,000 GT or more.
- b. In order to implement the 1995 amendments to STCW, the Coast Guard published NMC Policy Letter 04-02 providing guidance on how mariners may qualify for endorsements as Master and Chief Mate for service on ships of 3,000 GT or more.
- c. The International Maritime Organization (IMO) amended the STCW Convention and STCW Code on June 25, 2010. These amendments entered into force for all ratifying countries, including the United States, on January 1, 2012.
- d. The Convention is not self-implementing; therefore, the U.S., as a signatory to the STCW Convention, initiated regulatory changes to ensure full implementation of the amendments to the STCW Convention and STCW Code. The U.S. implements these provisions under the Convention and under the authority of United States Code, Titles 33 and 46. The Coast Guard published a final rule in the Federal Register on December 24, 2013 (78 FR 77796) that implements the STCW Convention and STCW Code, including the 2010 amendments. This rule became effective on March 24, 2014. The Coast Guard is publishing this NVIC to provide guidance on complying with the new regulations and this NVIC supersedes NMC Policy Letter 04-02.

5. DISCUSSION.

- a. Policy regarding endorsement as Master and Chief Mate on Vessels of 3,000 GT or More (Management Level) is located in this NVIC. Enclosure (1) discusses specific requirements for the endorsements. Enclosure (2) contains the national assessment guidelines for these endorsements. Enclosure (3) may be used to record completion of assessments. Enclosure (4) provides a transition scheme for mariners who have begun qualifying for these endorsements using the assessments in the now cancelled NMC Policy Letter 04-02. Enclosure (5) provides relevant excerpts from the STCW Convention and STCW Code.
- b. When assessing demonstrations of skills, Qualified Assessors (QAs) should use the guidelines in Enclosure (2) or an approved alternative. Shipboard QAs may make minor changes to the assessments in Enclosure (2) to reflect differences in shipboard equipment and operating procedures. QAs may not make other changes unless prior approval is given by the National Maritime Center (NMC) (46 CFR 11.301(a)(1)(i)).
- c. A training institution applying for approval of a course or program that leads to an endorsement as Master or Chief Mate should state either that the guidelines in Enclosure (2) will apply, or provide the guidelines it proposes to use. Under 46 CFR 10.402(e), a training institution must submit any deviations from these guidelines to the Coast Guard for approval before use.

## NAVIGATION AND VESSEL INSPECTION CIRCULAR NO. 10-14

- d. When applying for an endorsement, the applicant need only submit the completed Enclosure (3), Record of Assessment (or equivalent evidence of demonstration of competency) to the Coast Guard. The Coast Guard recommends that the applicant retain a copy of Enclosure (3) (or equivalent evidence of demonstration of competency) for his or her records.
6. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor is it itself a regulation. It is not intended to nor does it impose legally-binding requirements on any party. It represents the Coast Guard's current thinking on this topic and is issued for guidance purposes to outline methods of best practice for compliance with the applicable law. You can use an alternative approach if the approach satisfies the requirements of the applicable statutes and regulations.
7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
  - a. The development of this NVIC and the general policies contained within it have been thoroughly reviewed by the originating office, and are categorically excluded (CE) under current USCG CE # 33 from further environmental analysis, in accordance with Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this NVIC implements, without substantive change, the applicable Commandant Instruction or other federal agency regulations, procedures, manuals, and other guidance documents, Coast Guard categorical exclusion #33 is appropriate.
  - b. This NVIC will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment.
8. RECORDS MANAGEMENT CONSIDERATIONS. This NVIC has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration requirements, and Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not create a significant or substantial change to existing records management requirements.

NAVIGATION AND VESSEL INSPECTION CIRCULAR NO. 10-14

9. QUESTIONS. All questions regarding implementation of this Circular should be directed to the Mariner Credentialing Program Policy Division (CG-CVC-4), at [REDACTED] or [MMCPolicy@uscg.mil](mailto:MMCPolicy@uscg.mil). To obtain approval for an alternative to the assessments described in Enclosure (2), contact the NMC at (888) 427-5662 or [IAskNMC@uscg.mil](mailto:IAskNMC@uscg.mil).

[REDACTED]  
J. A. SERVIDIO  
Rear Admiral, U. S. Coast Guard  
Assistant Commandant for Prevention Policy

- Encl: (1) Discussion of Qualification Requirements for Endorsement as Master or Chief Mate on Vessels of 3,000 GT or More (Management Level)  
(2) Assessment Guidelines for Master or Chief Mate on Vessels of 3,000 GT or More (Management Level)  
(3) Record of Assessment for Master or Chief Mate on Vessels of 3,000 GT or More (Management Level)  
(4) Transition from the Former Assessment Scheme for Master and Chief Mate on Vessels of 3,000 GT or More (Management Level)  
(5) Excerpts from STCW Convention and STCW Code

DISCUSSION OF QUALIFICATION REQUIREMENTS FOR ENDORSEMENT  
AS MASTER OR CHIEF MATE ON VESSELS OF 3,000 GT OR MORE  
(MANAGEMENT LEVEL)

1. GENERAL. This enclosure provides guidance for deck officers to qualify for International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended (STCW) endorsements as Master or Chief Mate on vessels of 3,000 GT or more in accordance with Section A-II/2 of the STCW Code, 46 Code of Federal Regulations (CFR) 11.305 and 46 CFR 11.307.
2. SEA SERVICE, TRAINING, AND DEMONSTRATIONS.
  - a. In accordance with 46 CFR 11.305 and STCW Regulation II/2, an applicant for an STCW endorsement as Master on Vessels of 3,000 GT or More (Management Level) must provide evidence of:
    - 1) 36 months of service as officer in charge of a navigational watch on vessels operating in oceans, near coastal waters and/or Great Lakes; however, this period may be reduced to not less than 24 months if not less than 12 months of such service has been served as Chief Mate. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the total required service. Experience gained in the engine department may be creditable for up to 3 months of the required service;
    - 2) Meeting the standard of competence specified in Section A-II/2 of the STCW Code (incorporated by reference, see 46 CFR 11.102). This may be done by completing the assessments in Enclosure (2), or an approved equivalent alternative; and
    - 3) Having satisfactorily completed approved training in the following subject areas:
      - i) Advanced Ship Handling;
      - ii) Advanced Stability;
      - iii) Advanced Meteorology;
      - iv) Search and Rescue;
      - v) Leadership and Managerial Skills;
      - vi) Management of Medical Care;
      - vii) Electronic Chart Display Information Systems (ECDIS), in order to serve on a vessel with this equipment after December 31, 2016;
      - viii) Automatic Radar Plotting Aids (ARPA), in order to serve on a vessel with this equipment; and
      - ix) Global Maritime Distress and Safety System (GMDSS), in order to serve on a vessel with this equipment.
  - b. In accordance with 46 CFR 11.305(d), mariners holding an STCW endorsement as Master of Vessels of 500 GT or more and less than 3,000 GT are eligible for the

endorsement as Master on Vessels of 3,000 GT or More after completing 6 months of sea service as master of vessels of 500 GT or More and Less Than 3,000 GT and any training and/or assessment required for Master on Vessels of 3,000 GT or more not previously satisfied. Assessments that must be completed are noted in Enclosure (2).

- c. Mariners holding an STCW endorsement as Chief Mate valid on vessels other than offshore supply vessels of 3,000 GT or more who are raising the grade of their endorsement to Master on Vessels of 3,000 GT or More will not be required to submit management level assessments, and will not need additional training other than:
  - 1) Leadership and Managerial Skills (46 CFR 11.305 (a)(3)(iv));
  - 2) ARPA, to be valid for vessels with this equipment (46 CFR 11.305(a)(3)(vi));
  - 3) ECDIS, to be valid for vessels with this equipment after December 31, 2016 (46 CFR 11.305(a)(3)(vii));
  - 4) GMDSS, to be valid for vessels with this equipment (46 CFR 11.305(a)(3)(viii)).
- d. As specified in 46 CFR 11.307 and STCW Regulation II/2, an applicant for an STCW endorsement as Chief Mate on Vessels of 3,000 GT or More (Management Level) must provide evidence of:
  - 1) 12 months of service as the Officer in Charge of a Navigational Watch (OICNW) on vessels operating in oceans, near coastal waters and/or Great Lakes. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the total required service. Experience gained in the engine department on vessels may be creditable for up to 1 month of the required service;
  - 2) Meeting the standard of competence specified in Section A-II/2 of the STCW Code (incorporated by reference, see §11.102). This may be done by completing the assessments in Enclosure (2), or an approved equivalent alternative; and
  - 3) Having satisfactorily completed approved training in the following subject areas:
    - i) Advanced Ship Handling;
    - ii) Advanced Stability;
    - iii) Advanced Meteorology;
    - iv) Search and Rescue;
    - v) Leadership and Managerial Skills;
    - vi) Management of Medical Care;
    - vii) ECDIS, to be valid for vessels with this equipment after December 31, 2016;
    - viii) ARPA, to be valid for vessels with this equipment; and
    - ix) GMDSS, to be valid for vessels with this equipment.

- e. In accordance with 46 CFR 11.307(d), mariners holding an STCW endorsement as Chief Mate of vessels of 500 GT or more and less than 3,000 GT are eligible for the endorsement as Chief Mate on Vessels of 3,000 GT or More after completing 6 months of sea service as Chief Mate of Vessels of 500 GT or More and less than 3,000 GT and any training and/or assessment required for Chief Mate on vessels of 3,000 GT or more not previously satisfied. Assessments that must be completed are noted in Enclosure (2).
- f. To qualify for an STCW endorsement as Master or Chief Mate on Vessels of 3,000 GT or More (Management Level), mariners must provide evidence of meeting the standard of competence for Basic Training (BT) (46 CFR 11.302) and Advanced Firefighting (46 CFR 11.303).
- g. Operational-level training and assessments are not required if the mariner holds or has previously held an STCW endorsement as OICNW or Master valid on vessels other than offshore supply vessels of 500 GT or more issued after 1997. Mariners who have not held an STCW endorsement as OICNW for 500 GT or More issued after 1997 must also meet the requirements of 46 CFR 11.309 for qualification as OICNW.
- h. Mariners may qualify for endorsements that are limited to near coastal waters by meeting all of the qualification requirements for the non-limited endorsement, with one exception. Assessments that are not relevant to near coastal voyages may be omitted. The assessments that may be omitted are as noted in Enclosure (2). Mariners may remove the near coastal limitation by completing the assessments that were not completed for the near coastal limited endorsement.

3. GRANDFATHERING AND TRANSITION PROVISIONS.

- a. Until December 31, 2016, the training specified in 46 CFR 11.305(a)(3) and 11.307(a)(3) is not required for mariners who began their service or training for the Master or Chief Mate 3,000 GT or More endorsement before March 24, 2014, other than ARPA or GMDSS which is required for the endorsement to be valid for vessels with this equipment. A mariner will be considered to have started service on the first day of their service that meets the requirements for the endorsement they have applied for. Training is considered to have started on the first day of training that results in the issuance of a Master or Chief Mate endorsement valid for vessels of 3,000 GT or More.
- b. Mariners may continue to qualify for their endorsement using previous model assessments until December 31, 2016.

4. RENEWAL OF ENDORSEMENT.

- a. To renew an endorsement as Master or Chief Mate on Vessels of 3,000 GT or More before January 1, 2017, mariners must provide evidence of meeting the general requirements of 46 CFR 10.227 to renew their national officer endorsement(s); and for the endorsement to be valid after December 31, 2016, provide evidence of meeting the standard of competence in Leadership and Managerial Skills. Mariners who do not provide evidence of meeting this requirement will receive a limitation on their endorsement indicating that it is not valid after December 31, 2016.

- b. To renew an endorsement as Master or Chief Mate on Vessels of 3,000 GT or More to be valid on or after January 1, 2017, mariners must provide evidence of:
  - 1) Meeting the requirements of 46 CFR 10.227 to renew their national officer endorsement(s);
  - 2) Meeting the standard of competence in Leadership and Managerial Skills (if not previously met);
  - 3) Successful completion of approved training for ECDIS, to be valid for vessels with this equipment; and
  - 4) Maintaining the standard of competence in the following:
    - i) Basic Training as specified in 46 CFR 11.302(b); and
    - ii) Advanced Firefighting as specified in 46 CFR 11.303(b).
- c. Assessment is not required for renewal of endorsement.