CHAPTER 57

APPRAISAL AND WARNINGS

(Sponsors: NAVY PEOPLE-PROMS Dep Hd (Appraisals)
NAVY LEGAL-EMPLOYMENT LAW SO1 (Warnings)
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CHAPTER 57

APPRAISAL AND WARNINGS

SECTION 1 - APPRAISAL - PRINCIPLES AND NAVAL POLICY

5701. Compliance

Naval Appraisal Policy complies with JSP 757 (Appraisal Reporting). This chapter contains supplementary administrative guidance for Appraisal Reports on officers, ratings and other ranks.

5702. Purpose

Appraisal is one of the most important leadership functions; the proper selection of the most suitable officers, ratings and other ranks on merit to fill the range of assignments in the Service depends largely on the quality and accuracy of appraisal reports. An active interchange of views on a frequent basis between the Subject of the report and their Reporting Officers (ROs) and Line Managers is essential for individual development, efficient use of valuable workforce resources and good management practice.

5703. Appraisal Report Functions

The Appraisal Report (AR) has two distinct functions:

a. It informs the Subject, formally and honestly, how well they have done and identifies their potential. From this, the RO can advise the Subject how to improve performance and enhance potential.

b. When considered with all their previous reports, it is used for career management by the staff of DDPD, including selection processes for promotion, command, change of commission/extended career, future assignments and training.

5704. Reporting Officers

In the majority of cases, the Subject will require only 2 ROs, in accordance with the minimum signature level criteria, but in certain circumstances they may require a 3RO (see JSP 757 Part 1, Chapter 1, Annex B). As a general rule, the most suitable ROs are deemed to be those who have the most regular contact with the Subject's work and therefore are best able to give an accurate and realistic view of performance and potential, substantiated by evidence of achievement against agreed responsibilities, tasks and objectives.

5705. Performance and Potential

The AR provides for separate assessments of performance and potential, founded on a culture of regular consultation and the gathering of empirical evidence. The assessment of performance principally provides feedback to the Subject to promote development, enhance professional skills, highlight personal qualities and also forms the basis for the assessment of potential. The assessment of potential is critical for the selection of future leaders, as well as ensuring the Service gains the best from its officers, ratings and other ranks and that all personnel, regardless of rank, are given every opportunity to have a satisfying and rewarding career. It is important for the Subject to be involved throughout the appraisal process to ensure that their aspirations are considered and that they are made aware of their strengths and weaknesses. This will give the Subject the opportunity to develop strengths, reduce weaknesses and should ensure that nothing in the final report comes as a surprise.

5706. Promotion

JSP 757 states that the guiding principle on recommendations of potential for promotion is that each year, every officer, rating and other rank should receive an indication of potential for promotion by 1 rank, and by 2 ranks where applicable, to assist them in making career decisions. In compiling reports, ROs should note that this is regardless of whether the Subject is qualified for promotion and report narratives must be based on displayed potential to hold a higher rate/rank regardless of eligibility; recommendations must, however, be realistic and ROs should be careful not to raise false expectations.

5707. Finalisation of Appraisal Reports

Completed ARs must be approved/finalised by personnel so authorised to enable the report to be released on JPA to the Subject and the appropriate 'tagged' Career Manager. The reporting chain for all types of report is therefore to include the appropriate JPA Mailbox within the Officers' Promotion Section or an appraisal administrator with a 'finalise' capability within their parent unit for ratings. Holders of these roles must be appointed by Commanding Officers/Heads of Establishment who are to ensure the appropriate Code of Governance has been completed (see JSP 757 Part 1, Chapter 9 Annexes C – F).

5708. Employee Preferences and Objectives

The completion of Employee Preferences and Personal Objectives on JPA is not mandated (with the exception of 'Change of Commission' for officers). However, it should be recognised that, along with position Role and Responsibilities, the presence of this data is highly relevant to completion of the AR and furthermore, provides selection boards with a rounded picture of the Subject and their responsibilities and career aspirations.

5709. Mid Period Appraisal Review

The conduct of a Mid-Period Appraisal Review (MPAR) is mandatory and a fundamental part of the overall appraisal process. It is the method by which the Naval Service tells its people how they are performing to date and what they must do to enhance their potential. As part of the MPAR, an individual's RNFT status should be checked to identify those who are qualified and eligible for promotion as well as to ensure compliance with the Duty placed on all Service personnel to be in date. A written record of the MPAR is strongly recommended using the proforma at JSP 757 Part 1, Chapter 3, Annex A which should be signed, and copies retained by both Subject and 1RO. In normal course, a MPAR should be conducted at the mid-point or at least between 4 and 8 months of the annual reporting cycle. Ideally, the MPAR date is scheduled during the joining interview and thereafter, at the start of the next reporting period.

5710. Promotion Criteria

A high quality report will be inconsequential if the relevant competencies required to meet promotion eligibility are not recorded on JPA. It is imperative therefore that, in parallel with AR production, the RO ensures that all pre-promotion criteria, such as RNFT or Annual RPS requirements, are recorded on JPA.

5711. Complaints about Appraisal Reports

See Chapter 23 and JSP 831 Chapter 22.

5712. Alignment of Reports

Alignment is a valuable component within the appraisal of an individual. Commanding Officers (COs) are required, by means of consultation, to level out any inconsistencies in reporting standards and identify their best candidates with the most potential for promotion in comparison with their peers. The size of the peer group should be given and an indication of the individual's position within it, e.g. 'within the top third of 20'. The process is of considerable assistance to selection boards; further details can be found in JSP 757 Part 2, Vol 1, Chapter 1, Para 8.

5713. Amending Reports

ROs may have reason to alter their opinion of an officer, rating or other rank after a report has been raised. Such changes of opinion should be communicated to the Subject at the earliest opportunity and consideration should be given to conducting a formal MPAR. If the reason for the change of opinion cannot be resolved and the next Annual Report is not yet due, consideration should be given to raising a Special Circumstances report in accordance with Para 5719.

SECTION 2

APPRAISAL REPORTING OCCASIONS AND ADMINISTRATION

5714. Flag Officers

Reports are initiated by the Director People and Training/Naval Secretary, who will forward the appropriate Senior Officer Appraisal Report (SOAR) and instructions to nominated reporting officers.

5715. Officers and Ratings on the Trained Strength

In accordance with JSP 757, reports are to be rendered at least annually on JPA for all officers and ratings/other ranks on the trained strength (except 2 Star officers and above – see above) including Maritime Reserve personnel when mobilised for active service, serving on Full Time Reserve Service commitments or borne for training in peacetime. This includes Officers (X) and (E) previously qualified as GTS in their source Branch whilst undertaking Courses in the Flying Training pipeline for sub-specialisation as Aircrew, for whom (as a minimum) MOD 2020E Course Report (for OCU courses) and 2020G Aircrew Insert Slip are to be rendered in addition to the Form E190 III (Aircrew). Where sufficient knowledge of an individual is held by a unit in accordance with JSP 757, a 2020 Full OJAR is to be rendered at least annually. Exceptionally, United Nations and NATO formats and certain training Course reports or Short Stand Alone Tour (SST) reports are accepted in lieu of full ARs. JSP 757 Annex 2C provides full details about when officers, ratings and other ranks on the trained strength are to be reported on and the occasions for report.

5716. Officers Under Training

a. Formal reports on RN YOs are to be raised on the Standard Report Form (SRF) for inclusion in the Training Record (Form E190). The latter provides a complete record of an RN officer's training until they join the trained strength. It is started for every officer entrant to BRNC Dartmouth and passed from ship to ship. It is made up in the form of a booklet with four parts covering Naval General Training (NGT), Pre-Professional Training, Fleet Training and University Training.

b. For RM YOs, a MOD Form 2020E (Course Report – In Lieu of Appraisal) is to be raised on completion of initial training at CTCRM. A full AR is then to be raised after 12 months in their Troop Command assignment unless, by exception, they are deemed to be under-performing, in which case an OJAR (Occasion: 'Special Circumstance') is to be raised and forwarded to the Naval Secretary's Department (see Para 5744).

c. Ab-initio (not on the trained strength) Aircrew Officers undertaking Flying Training are to be reported on at each Flying course prior to Operational Conversion Unit (OCU) using the SRF (detailed at sub para a) and Form E190 III (Aircrew) for flying training progress in accordance with BRd 9469 Chapter 17. On completion of the OCU, in addition to the Form E190 III (Aircrew), MOD Forms 2020E and 2020G are to be raised just as for GTS Officers, as detailed in JSP 757 Appendix 1 to Annex A to Chapter 5. The MOD Form 2020E raised on completion of the OCU will be included in the candidate files presented to Transfer and Promotion Boards. Student aircrew undergoing training on joint or RAF training squadrons will be reported upon using the RAF 5000 series forms.

d. SRFs are to be raised on YOs in accordance with, and on the occasions described in, BRNC and other training establishments' local instructions. SRFs are to be raised: at the end of each stage of training and on the final completion of submarine training; where application is made for the imposition or removal of an Admiralty Board, Commodore/Captain's Warning, compulsory/voluntary withdrawal from training; and when branch/specialisation transfer is sought. The SRF should give an all-round picture of the officer with a clear analysis of their qualities of mind, character and personality. It should be complete in itself and, when necessary to refer to previous reports, should indicate the context. Five key areas should be covered; character, professional progress, leadership, personal qualities and a conclusion which includes a brief summary of potential and, if appropriate, recommendation (e.g. to be placed on Admiralty Board Warning (ABW) or for compulsory withdrawal from training). An example of the SRF to be used is at Annex 57E.

5717 Candidates for Commissioned Rank

a. The Upper Yardman (UY), Senior Upper Yardman (SUY), RM Corps Commission (CC) and RM Senior Corps Commission (SCC) schemes provide opportunities for the promotion of ratings and other ranks to commissioned rank, subject to competitive selection and criteria specific to branch and age. Appropriate personnel need to be identified early and encouraged to complete the relevant qualifications and competencies.

b. Ratings and other ranks who aspire to be commissioned officers should, in the first instance, post their intent by completing the 'Volunteer for Commission (Other Ranks)' field on JPA Self Service Employee under Information Types/Employee Preferences. This action alone does not infer that the individual is a formally recognised UY/SUY/CC/SCC candidate and the prospective candidate should also discuss their aspirations with their Divisional Officer.

c. Where a volunteer for officer candidature on JPA has not otherwise taken forward the request, the initiation of the annual AR will serve to alert the 1RO that an employee has indicated on JPA that they are a volunteer for commission, and that this will require a recommendation on the AR. The 1RO/DO should interview the individual as soon as practicable and provide advice and guidance on:

(1) Whether or not the type of commission selected on JPA is applicable and pertinent to the Royal Navy.

(2) Whether or not the Subject is eligible for a commission in accordance with current regulations and, if not, what they need to do to become eligible.

(3) The Subject's realistic chances of attaining a commission.

(4) What the Subject needs to do to have their candidature formally approved.

d. Where the 1RO/DO is a WO, senior rating or SNCO, they must consult the Commissioned Officer (OF2 or above) who will be formally appointed by the CO to act as mentor for the purposes of the rating's officer candidature, especially regarding application and preparation for the Admiralty Interview Board (AIB).

e. **Confirming Eligibility for Candidature.** The 1RO/DO should assess the individual's eligibility status for UY/SUY/CC/SCC candidature and attendance at the AIB, consulting as necessary with the Line Manager (LM) and officer mentor, who should check the relevant Competence Profile history held on JPA. The regulations at Chapter 50 pertaining to the type of commission and any Branch requirements for which the individual has volunteered must also be considered in detail.

f. **Formal Acceptance.**

(1) The CO (or Designated Officer) Request forum should be used to consider the suitability of an individual for candidature, or the resurrection of candidature following suspension. Where a period of probation is deemed necessary, the individual, along with the 1RO/DO, must be advised of the areas where further development is needed and when the request will be reviewed.

(2) Once formally approved, the relevant RA is to be informed by letter, copied to the candidate's Career Manager, providing:

(a) The full Service details of the candidate.

(b) The date candidature was approved.

(c) The branch/specialisation and type of commission.

(d) Details of any eligibility criteria the candidate is yet to achieve (e.g. Bridge Experience Certificate), according to JPA, before application for attendance at AIB.

(e) Details of any eligibility criteria the candidate must achieve (e.g. Educational qualifications), according to JPA, before they can be considered for extraction.

(f) A certificate confirming the candidate's current medical and visual eligibility for the preferred branch/specialisation.

g. **Personal Objectives.** The 1RO, on appointment, should consult with the candidate and their normal DO/LM to ensure that 'SMART' objectives are set on JPA that will assist the candidate's development and provide empirical evidence of the candidate's readiness to attend the AIB and hold a commission thereafter. While these specific objectives will appear on both the CR and the Annual SJAR, they should be distinct and be compatible with those already set by the LM for the annual SJAR purposes.

h. **Mid Period Appraisal Review (MPAR).** The 1RO nominated for the purposes of the CR is to conduct a MPAR insofar as it affects the Subject's officer candidature.

i. **Primary Evidence.** As the CR seeks to provide the RAs with objective opinion of potential for commission (rather than promotion within the rating and other rank structures), the primary source of evidence will come from the specific 'officer-related' personal objectives set at the beginning of the reporting year. If well-constructed, these objectives should assist ROs to evaluate suitability and preparedness for AIB and the strength of potential for extraction and officer training. The CO must ensure that the CR is founded on empirical evidence of leadership; effective intelligence; powers of communication; and courage and values, applied in terms of that expected of a commissioned officer.

j. **Misconduct and Poor Performance.** Where a candidate conducts themselves in a manner resulting in a Career Check or an Overall Performance Grade (OPG) of D is awarded in a routine SJAR, the CO is to review candidature with immediate effect. If, in all likelihood, their candidature is suspended, the individual may be considered for re-acceptance after completion of a further three years' service. The suspension is to be reported to the appropriate RA by letter.

k. **Suspension or Cancellation of Candidature.** Dependent upon the circumstances, officer candidature may be suspended for a period or cancelled by the CO. The criteria for suspending or cancelling candidature are as follows:

(1) **Suspension.** The candidate becomes ineligible (even if temporarily) due to disciplinary, medical, personal or welfare reasons.

(2) **Cancellation.** The candidate:

(a) Is considered by either the AIB or CO to be unlikely to develop the necessary competence and is therefore no longer recommended for consideration.

(b) Withdraws voluntarily from the scheme.

(c) Is or becomes over age for consideration.

(d) No longer meets the medical criteria and is deemed to be unlikely to regain the required standard.

(e) Has exercised their right to apply for early termination of service.

5718. Initial Career Reporting

a. The length of time between joining the Naval Service and attaining Gained Trained Strength (GTS) status for some trainees can be in excess of 40 months. This period is a key formative element for an individual and there remains a requirement to record, assess and report on performance while under Phase 1 and Phase 2 training (the Initial Career Reporting (ICR) period) at least annually and on completion of specific phases. Where possible, Training Establishments are to use JPA Appraisal applications for ICR reporting. For those that are unable to do so, an open reporting mechanism is to be in place that is fit for purpose and allows Subjects to sight and sign their reports. The JPA ICR appraisal:

(1) Provides formal feedback on progress to the trainee.

(2) Records training achievements and highlights any future potential for Career Managers, and thereby first employing units.

(3) Enables the identification of possible CW and Fast Track candidates.

(4) Builds a history for promotion to Leading Hand/Corporal, given that longer courses constitute a significant part of an individual's career prior to full eligibility being achieved.

b. **Branch Transfer and Re-Classing.** Where applicable, the Course Report (Non Appraisal) may be moved via the reporting chain to a new/additional RO to cover those trainees that branch transfer or are re-classed. Alternatively, where this is not appropriate, the report may be deleted by the AA (the 1RO can use the 'previous owner' function to return the report to the AA; this process will clear all information held in the report). Any divisional/training information of relevance to the new 1RO should be transferred using 'hot-handover' procedures, remembering that any written notes must be disclosed to the Subject under DPA legislation.

(1) When used, JPA requires appraisal reports to be initiated online and, once completed by the RO(s) and Subject, 'finalised' by a nominated AA with the Finaliser flag. Annex 57A describes the process for ICR.

(2) All professional/personal conduct warnings accrued during training are normally to be tracked and resolved within individual schools prior to transfer to GTS. However, where a trainee under CO's level of warning for Discharge SNLR successfully attains GTS, this is to be recorded in ICR and the CO of the first employing unit informed in writing.

5719. Special Reports

a. Special reports may be called for by the Navy Board or other authority; in the latter case the Naval Secretary is to be informed. Although they are normally raised only once, further special reports may be called for. They are to be made on MPAR (Occasion: 'Special Circumstance') and, if in response to a MOD letter, the appropriate reference should be quoted at the initial text in the First RO's performance narrative.

b. A request for a special report does not imply that the officer, rating or other rank has been adversely reported on and they are commonly required to support invited applications for a variety of purposes. In such cases, the AR is to contain a specific statement on whether or not the individual is recommended for that purpose.

5720. Officers on Exchange or Loan Service Overseas

Reports on officers and ratings on exchange or loan service overseas are to be initiated by British Defence Staff, British Defence Liaison Staff, Naval or Defence Attachés, or the Directorate of Overseas Military Activity, as appropriate using the Non-Standard Appraisal Report (NSAR) format where necessary (see JSP 757, Part 1, Chapter 8).

5721. Reports on Army and RAF Personnel

Responsibility for raising ARs on Army and RAF officers and ranks lies entirely with the owning CO, regardless of Service. Administrative guidance for ARs on Army and RAF personnel (including standard reporting dates) is contained in JSP 757.

5722. Reservist Personnel

a. **Volunteer Reserve (RNR/RMR) Personnel.** RNR/RMR personnel are to be reported on as follows:

(1) **Royal Naval Reserve/QARNNS Reserve.** Reports on OJAR/SJAR are to be completed on JPA on the same dates and occasions as for regular RN personnel (see JSP 757 Chapter 2, Annex C), restricted to:

(a) **Officers.**

i. In zone Officers, holding substantive rank of Lieutenant and above.

ii. Over zone Officers, when specifically requested by the individual.

iii. Lieutenants with less than five years' seniority and Sub Lieutenants should have Short Appraisal Reports raised annually.

(b) **Ratings.** When eligible for promotion.

(2) **Royal Marines Reserve - List 1.** Reports on OJAR/SJAR are to be compiled on JPA on the same dates and occasions as for regular RM personnel. Where RMR officers and other ranks are attached to RM units for periods of continuous training in excess of two weeks, the parent RMR Unit is responsible for ensuring that a request for a Detachment Insert Slip is made on JPA to inform the full OJAR/SJAR (see JSP 757 Chapter 5).

b. **Volunteer Reserve (RNR/RMR/QARNNS(R)) Personnel on Full Time Reserve Service (FTRS) or Mobilised Service.** Reports for RNR and RMR officers and ratings/other ranks serving on FTRS or mobilised service are to be completed on JPA on the same occasions as for RN/RM personnel. Where only part of the reporting year has been spent on an FTRS commitment or mobilised service, the parent RNR/RMR Unit should initiate the report with an Insert Slip provided by the FTRS or mobilised employer. Where a full year's FTRS or mobilised service has been completed, the FTRS or mobilised employer should initiate the report and an Insert Slip should be provided by any RNR/RMR unit attended and/or by the Head of the individual reservist's branch. In either case, liaison between FTRS/mobilised employer and Reserve unit is essential. Where a period of mobilisation is for 6 months or less, a Short Appraisal Report is to be raised (see JSP 757 Articles 5.08).

c. **Royal Fleet Reserve (RFR) ('Regular Reserve') Personnel on FTRS and Additional Duties Commitment (ADC).** Reports on RFR personnel on FTRS or ADC are to be completed on JPA by the employing Unit on the same occasions as for RN/RM personnel. Where a period of FTRS is for six months or less, a Short Appraisal Report is to be raised (see JSP 757 Chapter 5). In all cases, the final reporting officer is to include a statement regarding the suitability of the individual for further FTRS/ADC and, where appropriate, service in the acting higher rank/rate.

SECTION 3

REPORTING REQUIREMENTS ON IMMINENT DISCHARGE FROM THE SERVICE

5723. Reporting Requirements

Unless a report containing the appropriate recommendations has been raised in the last 6 months, all officers, ratings and other ranks about to retire or be discharged from the Service are to receive an appraisal report (Occasion: Prior to Retirement) from the final employing unit prior to joining the nominated Release Centre.

5724. Recommendation for Further Naval Service

a. Ratings and other ranks who leave the Service before normal retirement age, except for those for whom the reason for discharge precludes consideration for further service ('Deserted', 'Dismissed', 'SNLR', or 'SHORE') , are to be assessed and a recommendation made as to their suitability for further Naval service, including FTRS or transfer to the RNR/RMR. The statement ‘Recommended for further Naval Service’ or ‘Not recommended for further Naval Service' is to be included in the 2RO potential narrative.

b. Where a recommendation for further Naval service is made, this indicates that the individual is considered suitable in all respects for such service (including RFR and RNR/RMR enrolment). In the case of a rating or other rank, service during the last three years should be free of any career checks and their performance grade during this period commensurate with rate, qualifications and seniority.

c. Individuals not recommended for further service are to be informed and made aware of their rights in accordance with JSP 831 at the earliest opportunity to enable any subsequent representation to be concluded before release from the Service.

d. Assignment Orders to release ratings subsequently assigned to another ship or establishment prior to release before joining the Release Centre, or to the Release Centre three or more months before they are due to begin terminal leave, may be reassessed and a further recommendation made if, in the opinion of the new CO, their conduct justifies such action.

e. For officers, final OJARs should include recommendations as to suitability for further active service, FTRS or transfer to the RNR/RMR.

f. **Effects of Recommendation.**

(1) Where the cause of discharge is either ‘Engagement Completed’, ‘At 12 Months’ Notice’ or ‘Redundant’, a recommendation for further Naval service will indicate that Ratings are considered suitable for re-entry and, if they have a liability for the RFR, eligible for enrolment. See also Para 5447 and Part 4 (Recruiting).

(2) For all causes of discharge other than ‘Desertion’, Dismissal’, ‘Service No Longer Required’, ‘Pensioned’ or ‘SHORE’ (except Unhappy Under 18 year olds), the addition of an asterisk (*) to a recommendation for further Naval service indicates that, at the time of discharge, the rating’s personal circumstances were such as to preclude immediate consideration for such service or for immediate enrolment in the RFR, see Para 5724 g sub para (4).

(3) For all causes of discharge other than ‘Desertion’, ‘Dismissed’, ‘Service No Longer Required’, ‘Pensioned’ or ‘SHORE’ (except Unhappy Under 18 year olds), the notation ‘Not Recommended for Further Naval Service’ will indicate that a rating is not considered suitable either to re-enter the Service or for service in the RFR.

g. For a recommendation for further Naval service, a rating must be considered suitable in all respects for such service. When making a recommendation, the CO should take into account the following:

(1) **Cause of Discharge.** Where the cause of discharge does not preclude consideration for further Naval service (Desertion, Dismissed, SNLR or SHORE (except unhappy under 18 year olds), but is other than ‘Engagement Completed’, ‘At 12 Months’ Notice’, ‘Pensioned’ or ‘Redundant’), the circumstances which have led to the decision to discharge the rating should be disregarded as far as possible when assessing suitability for further Naval service. In this situation, the sole criterion should be whether, in normal circumstances, the rating would be considered suitable in all respects for Naval service and could be recommended as such.

(2) **Conduct and Effectiveness.** To be recommended as suitable for further Naval service, a rating’s service during their last three years should be free of any career checks. Their effectiveness assessments during the same period should also be commensurate with rate, experience, qualifications and seniority.

(3) **Medical and Security Considerations.** Ratings with a history of medical problems, or whose discretion on financial or other matters is questionable, which have not, of themselves, promoted an application for discharge from the Service, are to be recommended for further Naval service only if there are clear indications of improvement in these respects.

(4) **Domestic Problems.** Ratings with a history of domestic problems which, in the opinion of the CO would have warranted referral to the Royal Navy Family and People Support (RN FPS) had the rating applied to re-engage, are to be assessed as though the domestic problems did not exist, on the assumption that they may, in the future, be resolved. Ratings in these circumstances who would otherwise be recommended as suitable for further Naval service are to have an asterisk (*) added to their recorded recommendation (see Para 5724 f sub para (2)).

SECTION 4

APPRAISAL REPORTING - NON-UK PERSONNEL

5725. Foreign Officers Under Training

Foreign officers under training should be reported on in accordance with Chapter 8 of JSP 510 - International Defence Training.

5726. Personnel of the United States Navy (USN)

a. Fitness Reports will be made on USN personnel on the following occasions:

(1) Annually, according to rank (see Table 57-1).

(2) When the individual's US reporting senior changes.

(3) On completion of posting/exchange.

b. Fitness Reports are made on NAVPERS Form 1610/02 (03-02) and drafted by the officer on whom the report is being submitted and rendered to the US Personnel Exchange Program (PEP) Administration Office, Naples, Italy. In parallel, the host nation chain-of-command 2RO (minimum rank OF4) shall provide to the US reporting senior a letter for incorporation into the finalised fitness report. A formal request for the host nation letter will be generated by the PEP Admin office approximately 30 days before the report due date.

Table 57-1. Fitness Reporting Schedules on USN Personnel

Rank/Grade	Periodic Report Due Date	Mid-Term Counselling Due Date*
Warrant Officer 2 (W-2)	September	March
Warrant Officer 3/4/5 (W-3/4/5)	March	September
Ensign (O-1)	May	November
Lieutenant Junior-Grade (O-2)	February	August
Lieutenant (O-3)	January	July
Lieutenant Commander (O-4)	October	April
Commander (O-5)	April	November
Captain (O-6)	July	January

* Mid-term counselling affords the host nation chain of command an opportunity to provide the officer with an informal assessment of their strengths and weaknesses. This assessment is due within the month listed above and does not require any formal paperwork to be generated.

5727. Personnel Serving with the Royal Marines

a. **United States Marine Corps (USMC) - Foreign Personnel Exchange Programme (MCFPEP).** Performance evaluation reporting procedures for MCFPEP personnel shall be in accordance with the Marine Corps Performance Evaluation System (PES). As such, the Subject will provide a USMC fitness report to the nominated UK Reporting Officers, annotated in Section 1 that a foreign evaluation report is attached. Consequently, the appraisal is to be compiled using a normal Form MOD 2020 AR, Type 'Regular RM Officer' or 'RM Other Rank, as appropriate, but in the NSAR format. The normal OJAR/SJAR values of grades and recommendations are to be used. Once completed, it is to be signed and attached to the USMC fitness report and returned to the Subject, who will forward the documents via their administrative support unit to the USMC Reviewing Officer for action. On no account is the NSAR to be forwarded to the JPAC. USMC fitness reports are to be submitted within 30 days of the due date, as advised by the Subject.

b. **Royal Netherlands Marine Corps (RNLMC) Officers.** MOD 2020 (NSAR format) 'RM Officer's Appraisal' is to be used for reporting on officers in the RNLMC. This is to be submitted in hard copy only to NPT RM via the chain of command by 30 Nov each year and on termination of assignment.

5728. Officers of Commonwealth Naval Forces

a. **Canadian Forces (Naval).** Letters of 'Performance and Potential' are required to be rendered annually (on all ranks) for the reporting period 1 Apr – 31 Mar. The Canadian Defence Liaison Staff (London) (CDLS(L)) will initiate the reporting process in February each year and provide instructions and guidance on the evaluation requirements and the use of the master template for owning COs. CDLS(L) will also arrange a follow-up visit by the Naval Adviser and/or the Assistant Naval Adviser in early March.

b. **Royal Australian Navy (RAN).** Reports are to be rendered on all officers on exchange/loan postings by one of two methods:

(1) End of course report (for those on RN sponsored courses), or;

(2) As required by the RAN reporting system, on the following occasions:

(a) Those officers in zone for promotion, who have been observed for a minimum of 120 days by the officer's immediate line manager, annually, on 30 Jun.

(b) Those officers not in zone for promotion, on the anniversary of taking up the exchange/loan position when an officer's immediate line manager changes and has observed the officer for a minimum of 120 days.

(3) Reports on in-zone officers will be called for by the Naval Adviser, Australian Defence Staff and managed by the Assistant Naval Adviser (London) (ANA(L)). All in-country Australian Exchange/Loan officers are provided a CD, incorporating the electronic formats for the reporting forms and instructions for their completion. The ANA(L) will forward to the reporting authority a blank formatted disk, together with instructions and a covering letter in Feb and Jul each year. The completed report is to be forwarded directly to the Naval Adviser (London), Australian Defence Staff, Australia House, Strand, London, WC2B 4LA.

c. **Royal New Zealand Navy (RNZN).** Reports are to be rendered as follows:

(1) **Officers of Captain Rank.** Reports on Captains will be initiated by and on the direction of the RNZN Directorate of Naval Officers Career Management. Where an End of Course report is rendered for a significant period of instruction (e.g. RCDS), no other report is required.

(2) **Officers of Commander Rank and Below.** Reports for this category of officers are to be rendered on the following occasions. For Sub Lieutenants and below, this will only apply for those officers who hold all professional qualifications for promotion to Lieutenant:

(a) Annually on the Subject's birthday.

(b) When an officer's reporting officer changes.

(c) On completion of posting/exchange or training.

(d) For Lieutenants and above - for period ending 30 Nov, but only if no other report has been raised for any of the three previous listed occasions within the preceding four months.

(e) As called for by the Naval Adviser, NZDS London.

(3) Reports are rendered on Form MD 68, which are to be completed in accordance with the accompanying Form MD 69 (available on a CD issued to all RNZN officers on arrival in UK). Parts 2-5 are to be completed by the Head of Department and Part 6 by the CO. If, when acknowledging the report at Part 5, the individual indicates that they will be making comment on the report, the report remains incomplete and is not to be forwarded until such time as the comments are attached by the Subject, noting a deadline of 14 days. Parts 7-8 are reserved for the appropriate Headquarters Staff Officer's comments in New Zealand. All reports for RNZN officers on exchange/posting or under training in the UK should be forwarded through the Naval Adviser, NZDS, New Zealand High Commission, 80 The Haymarket, London SW1Y 4TQ, for onward transmission to the Director of Naval Officers Career Management, HQNZDF(NAVY). The MD68 is a completely open reporting system and the officer being reported on is sent a copy of the completed Form MD 68 once all Parts have been completed.

(4) **Junior Officers Under Training (JOUT).** JOUT is defined as those officers who have yet to gain their professional/specialist qualifications for promotion to Lieutenant (e.g. OOW(A) equivalent, WEQ or MEQ). Occasions for report are as follows:

(a) On completion of any Core Professional Course undertaken with the RN (e.g. SEMC) but not if a detailed End of Course report is rendered.

(b) On completion of a posting in excess of 28 days.

(c) On change of Reporting Officer, where there has been no prior report by the departing Reporting Officer.

(d) Should the above occasions not result in a RNZN 41 being raised for a period exceeding six months, a 6-monthly progress report is to be raised.

(e) On the officer attaining their final professional qualification to the rank of Lieutenant; all subsequent personal reports are to be rendered on Form MD 68 Personal Report – Officer (see Para 5728 c sub para (3)).

(f) As called for by the RNZN Junior Officer Career Management Cell, via the Naval Adviser, NZDS London.

(5) Reports for RNZN JOUTs are to be rendered on Form RNZN 41, which are to be completed in accordance with the accompanying instructions. Section 4 is to be completed by the Reporting Officer and Section 5 by the CO (or delegate). If, when acknowledging the report at Part 5, the individual indicates they will be making comment on the report, the report remains incomplete and is not to be forwarded until such time as the comments are attached by the Subject, noting a deadline of seven days. All reports for RNZN JOUTs are to be forwarded through the Naval Adviser, NZDS London for forward transmission to the Captain Fleet Personnel and Training (fao Young Officer Career Management Cell).

SECTION 5

OFFICERS ON THE UNTRAINED STRENGTH - WARNING PROCESS

5729. Training Warnings - General Instructions

a. Officers undergoing initial training, defined as the training undertaken prior to joining the trained strength, are considered to be on probation for the whole period of their training and the MOD reserves the right to terminate a commission at any time if:

(1) They fail to reach a satisfactory standard during their studies or in training; or

(2) Their conduct is unsatisfactory; or

(3) They do not display the qualities required of a RN/RM officer, e.g. in terms of character and leadership or temperament.

b. Additionally, University Cadet Entry officers may be withdrawn from their cadetship/sponsorship schemes if they fail to reach the required standard during initial training, or they;

(1) Fail to pass out of BRNC; or

(2) Fail academically during their degree course; or

(3) Fail to obtain their degree for reasons attributable to their own fault.

c. Only in exceptional circumstances will a UCE officer be considered for transfer to a NCE commission (see transfer procedures at Para 5104).

d. A decision to terminate an appointment is not taken lightly. It is important that officers should be given, and be seen to be given, a fair and reasonable chance to demonstrate whether they have, or have the potential to develop, the personal qualities necessary to be an officer of the Royal Navy. It is equally important that they are given a fair and reasonable chance to achieve the standards of professional competence required. Warning procedures exist to allow YOs to be told where their weaknesses lie, to appreciate the need to improve, to recognise that their future in the Service may be in jeopardy if they are unable to reach and maintain the necessary standards and to be given a reasonable period of time in which to reach an acceptable standard.

5730. RN Phase 1 Training Warnings - BRNC

a. Warnings follow a three tier graduated warning system, maintaining a distinction between Professional and C&L. YOs failing to achieve the requisite standards will be placed on the appropriate level of warning to indicate inadequate progress in the areas specified. Warning states in increasing order of seriousness are Divisional Training Officer (DTO), Senior Training Officer (STO) and Commander Training. Of these, DTO and STO are internal to BRNC and are not recorded externally. In order to assure the correct feedback to the YO, a robust reporting system has been established; all YOs being placed on Commander Training's warning will have a SRF raised with the signed original placed in the P/File held by BRNC and a signed copy held in the E190.

b. A YO who is under Commander Training's Professional Warning on completion of BRNC training may not proceed to the next stage of training.

c. Where a YO is under Commander Training's Warning C&L at the time they complete their BRNC training, Commander Training is to inform the YOs new CO that a C&L Warning has been imposed. The new CO will then be responsible for reviewing the case after a suitable period of assessment has elapsed (usually within one month of arrival) and for either removing the warning or recommending that an Admiralty Board Warning (ABW) be imposed. The Officer Terms of Service Manager and the Career Manager are to be informed of such action as necessary.

d. **Removal from Warning at BRNC.** Commander Training may remove a warning if it is assessed that an YC has reached and maintained the required standard for an appropriate period.

5731. RN Phase 2 Training Warnings - Below Admiralty Board Level

a. COs of ships responsible for YOs undertaking training and COs of shore training establishments may impose a Commodore/Captain's Professional or C&L Warning on any YO under training whose performance gives cause for concern, but does not justify the imposition of an ABW. After an officer has spent the normal assessment period of between one and three months continuously in one ship or establishment, their CO should either remove the Commodore/Captain's Warning which does not require reference to the Officer Terms of Service Manager or, if the officer has failed to improve or is unable to show a sustained improvement, forward an application to the Officer Terms of Service Manager for the imposition of an ABW in accordance with Para 5737.

b. COs of shore training establishments responsible for YOs undertaking training may impose a Commodore/Captain's Professional or C&L Warning on any YO under training whose performance gives cause for concern. After an officer has spent the normal assessment period of between one and three months continuously in the establishment, the CO should either remove the Commodore/Captain's Warning, which does not require reference to the Officer Terms of Service Manager, or, if the officer has failed to improve or is unable to show a sustained improvement, forward an application to the Officer Terms of Service Manager for the imposition of an ABW in accordance with Para 5737.

Note. COs of some shore training establishments have delegated authority to impose an ABW (Professional) - Para 5737 sub para a refers

c. **Review of Commodore's/Captain's Warning during Phase 2 Training.** COs of ships or training establishments should review the case of any YO on Commodore/Captain's Warning before they leave the respective ship or shore establishment for their next assignment with a view to either removing the Warning or making an application to the Officer Terms of Service Manager for the imposition of an ABW. Where, exceptionally, a YO remains under Commodore/Captain's Warning and is appointed elsewhere, it is the responsibility of the former CO to notify the new CO of the status of the warning.

5732. RN Phase 2 Training Warnings - During TM Training

TM officers under training whose progress on any component of the Training Management Officer Course (TMOC) gives cause for concern but does not justify the imposition of an ABW may be placed in the first instance on TMOC Course Officer's Professional Warning. This written warning must detail the nature of the shortfall and remedial action to be taken by the officer, as well as the consequences of failing to reach the required standard. If the officer continues to fail to achieve against course objectives or sufficient progress is not being made to rectify previous poor performance then, following consultation with the Career Manager, an application may be made to the Officer Terms of Service Manager by the CO TMOC for the warning to be elevated to ABW.

5733. RN Phase 2 Training Warnings - During Flying Training

a. **Professional.**

(1) With RN/RM aircrew now trained in squadrons of all three Services and joint units, it is increasingly difficult to impose a single Service solution. To that end, the professional warnings used in flying training, while conforming to the spirit of these general regulations, may differ slightly in their terminology. They are detailed in individual squadron/school flying training regulations.

(2) **Probationary Period.** The whole period of training is one of probation and the MOD reserves the right to terminate a commission at any time if the YO fails to achieve the required standard (see Para 5729 sub para a).

(3) **Warnings for Air and Ground Work.** Warnings will be given for failure or lack of progress in either air or ground work. YOs should be interviewed and advised of their failings, what they are required to do to reach the required standard and what the consequences will be if they fail to do so, all of which should be reflected in the Warning Reports. The following warnings may be imposed:

(a) **Warning Report 1.** Warning Report 1 is to be raised by the Course Officer/Flight Commander, Senior Pilot or Senior Observer. This report must be entered in the trainee's Course Report Folder (CRF) by the Course Officer/Flight Commander or a member of the training staff and the trainee is to sign and date having read and understood the report. The report is reviewed weekly by the Squadron/Wing CO, Chief Instructor (CI) or their nominated representative. The trainee may fly additional sorties which could include check rides or a trainability sortie, or sit further ground school papers. Each case will be considered separately.

(b) **Warning Report 2.** Warning Report 2 is to be raised by the Squadron CO/OC, CI or Training Officer. The report is to be entered as above and forwarded to Cdr (Air) RNAS Culdrose/Yeovilton, Wing CO or Station/School Chief Instructor who may interview the trainee if necessary. The trainee is to sign and date as before. The report is to be reviewed weekly by Cdr (Air), Station/School CI, Wing CO or their nominated representative. The trainee may fly additional sorties which could include check rides or a trainability sortie, or sit further ground school papers. Each case will be considered separately.

(c) **Warning Report 3.** At Warning Report 3, the trainee is to be interviewed by Cdr (Air), BFJT/AFJT, Station/School CI, Senior Naval Officer (SNO) (DEFTS), Wing CO or their nominated representative and formally warned. Failure to improve will normally lead to suspension from flying training. The trainee signs and dates the report as above. The trainee may fly additional sorties which could include check rides or a trainability sortie, or sit further ground school papers. Each case will be considered separately.

(4) With the increasing reliance on simulator training, Air Warnings may be awarded for failures in simulator sorties.

(5) **Recording of Warnings.** A YO placed on Ground or Air Warning is to sign and date as having read the Warning Report before it is entered in their Continuous Reporting Form (CRF)

(6) **Period of Warning.** It is emphasised that Air and Ground Warnings are not to be carried forward from one Training Squadron to the next. There are two exceptions to this:

(a) The 1FTS course is split into two phases – BRT and ART – conducted on two Wings, 2 Maritime Air Wing (2 MAW) and 9 Regiment AAC (9 Reg). Given the natural progression of the course, consideration may be given to carry warnings forward from BRT to ART where appropriate.

(b) Furthermore, given that CTT and CTR are deemed to be a seamless course, warnings are applicable across the whole OCU and may be carried forward between CTT and CTR. Warnings are to be reviewed weekly and trainees who show the sustained and requisite improvement in the area for which they received the warning may have that warning reduced or removed irrespective of the administrative burden. Should there be a subsequent deterioration; another warning is to be imposed.

(7) **Failure to Improve under Warning.** A YO placed on an Air Warning is to be given additional instruction which may include simulator or airborne sorties. The remedial training that is proposed to overcome the student's shortcomings is to be clearly annotated in the Warning Report. Extra tuition may not be appropriate following the award of a Ground Warning and a simple re-sit of a failed examination may suffice. Each case should be considered on its merits within these guidelines and those at Para 5733 a sub para (3).

(8) Warning reports must also highlight the consequences of failure to improve performance.

(9) **Suspension from Flying Training.** In most cases, further failure after Warning 3 will result in suspension from flying training (see Para 5733 sub para c).

b. **Character and Leadership (C&L) Warnings.**

(1) Officers on the untrained strength are considered to be on probation for the whole period of their training in accordance with Para 5729. As such, student aircrew ex-BRNC are subject to continuous C&L assessment throughout their flying training. If any Squadron has doubts as to whether they display the qualities required of an officer of the Royal Navy in terms of conduct, character and leadership, they are to be formally warned in accordance with the principles of Para 5733 and Para 5737.

(a) **CO's Warning for C&L.** At the CO's C&L Warning stage, the student is to be counselled/interviewed by the Squadron CO or Senior Pilot/Senior Observer and warned of their failings. They are to be informed that if the shortcomings are not remedied within an agreed period of time (normally one month and not more than three months) then recommendation will be made that they will be placed on Commodore/Captain's Warning for C&L. Before this is contemplated, the case must be discussed with the appropriate Cdr (Air), CI or Wing CO. In some circumstances, it may be appropriate for this initial warning to be issued by Cdr (Air), CI or Wing CO.

(b) **Commodore/Captain's Warning for C&L.** At the Commodore/Captain's C&L Warning stage, the student is to be interviewed by the Air Station CO or the Commandant 1FTS/3FTS, and informed that failure to improve will result in a recommendation for an ABW or potentially immediate withdrawal from training.

(c) **ABW for C&L.** At the ABW C&L stage, the student is to be interviewed by the Air Station CO or the Commandant 1FTS/3FTS, and informed that they have failed to make suitable progress since being placed on Commodore/Captain's Warning and that application is therefore being made to Navy Command Headquarters to place them on ABW.

(2) **Period of C&L Warnings.** When a student aircrew officer is under CO's or Commodore's/Captain's C&L Warning at the time that they pass a phase of flying training, they may be permitted to proceed onto the next stage of training but their new squadron/air station CO as appropriate must be informed and is responsible for reviewing the C&L Warning within one month.

(3) The normal periods for Commodore's/Captain's or Admiralty Board Warning for C&L are covered in Para 5731 and Para 5737.

(4) **Recording of C&L Warnings.** The CO's C&L Warning is informal and is merely part of the normal counselling process. It does not necessarily need a written report, but the date of interview must be recorded in the student's CRF; however, at the Squadron CO's discretion, a NAC 98 may be raised. Commodore/Captain's Warning for C&L, by contrast, must be fully reported using the NAC 98 format and should be included with the officer's E190 folder. Application for ABW should be made to the Officer Terms of Service Manager by a simple routine letter outlining the circumstances of the case. A copy of the approval letter should be included with the student's signed and dated SRF within their E190 folder.

(5) End of course reports forwarded to DDir NAvn are to include one copy of each of the C&L Warning Reports.

(6) **ABW for C&L.** In view of the high degree of trust and reliability that is required from aircrew, student aircrew who are placed on ABW (C&L) will be automatically suspended from flying training and referred to the NAAB for consideration. It is likely that they will be appointed to a holdover where they can be given the opportunity to improve their shortcomings and, if subsequently removed from Warning, normally returned to flying training. In this event, the case will be referred to the Officer Terms of Service Manager for consideration of an appropriate seniority adjustment.

c. **Failure During Flying Training.**

(1) **Suspension from Flying Training.** Whilst suspension as a training risk is applicable up to completion of CTT only, trainee Aircrew may be suspended from flying training at any point up to completion of CTR in the following circumstances:

(a) Failure of a trainability or assessed sortie following award of Air Warning 3.

(b) Failure of ground examination following award of Ground Warning 3.

(c) At any point if in exceptional circumstances, including assessment as a training risk.

(2) Failure to achieve C of C will be dealt with under the suspension from flying duties procedures in accordance with BR 767 Para N115.135, although it should be noted that aircrew in this position will be deemed to be under training until award of C of C.

(3) In normal circumstances, trainees who receive Air or Ground Warning 3 who suffer any further failure will be recommended for suspension from flying training. Officers suspended from flying training for any reason are to be interviewed by the CO of the appropriate station or their nominated representative where formally delegated. However, in the case of officers referred to the PNAAB as training risks, the authority to conduct this interview on DDir NAvn's behalf is delegated as follows:

RNAS Culdrose/RNAS Yeovilton: Cdr (Air).

1FTS: Wing CO.

DEFTS:SNI (Cranwell).

BFJT/AFJT: SNI (Valley).

(4) The CO of the appropriate Air Station (or their delegated representative) may suspend a YO from flying training without warning or with less than the normal period of warning. Such action is only to be used in exceptional circumstances and the CO must detail the special circumstances of the case.

(5) In event of suspension from training, the procedures in BRd 9469 Chapter 17 are to be followed. In particular, NAAB and DDir NAvn are to be informed and a NAC 99 suspension report is to be raised giving detailed reasons for failure. The NAC 99 should contain only the facts of the case and no recommendations for future employment with the exception that suitability for back-coursing may be detailed. Under normal circumstances, except where back-coursing is being recommended, there should be no discussion of any case between the Training Squadron and the NAAB before interview. It is important that the report arrives at NAAB at least 24 hours prior to the person under report; non arrival will result in the interview being postponed.

5734. RN Air Traffic Control (ATC) Training Warnings (Phase 2 and Workplace Training)

a. **Probationary Period.** The Phase 2 ATC training (Joint Air Traffic Control Course (JATCC) at the Defence College of Air and Space Operations (DCASO)) is one of probation and the MOD reserves the right to terminate a commission at any time if the officer fails to achieve the standard required (see Para 5729).

b. **Professional Warnings and Suspension – Phase 2.** Officers who fail to make adequate progress during Phase 2 training at DCASO will be subject to the 3 Tier Warning and Review system in accordance with the DCASO Training Quality Manual. Additionally, character and leadership warnings may be issued in accordance with 5734 para h during Phase 2 training.

c. **Professional Warnings and Suspension – Workplace Training (WT).** Officers who fail to make adequate progress during Workplace Training will be formally warned as follows:

(1) **Level 1 Review.** Following consultation with the Officer Commanding ATC (OC ATC) or Senior Air Traffic Controller (SATCO), Level 1 Report is to be raised by the Unit Training Officer (UTO) on NAC Form 88B. The report is to be reviewed weekly and the Subject officer interviewed by the UTO. They are to sign as having read and understood the warning. This warning and any subsequent warnings are to be annotated on NAC Form 88C.

(2) **Level 2 Review.** Level 2 Report is to be raised by the OC ATC or SATCO on NAC Form 98B and forwarded to FGen NAvn ATM SO2. The Subject officer is to be interviewed by OC ATC or SATCO and the report is to be forwarded through Commander (Air) who may also interview the Subject officer if considered necessary. The Subject officer is to sign as before.

(3) **Level 3 Review.** At the Level 3 Report stage, the Subject officer is to be formally warned by Commander (Air) that they are required to improve in the notified areas and that failure to do so will result in suspension. A report is to be raised on NAC Form 98B. The Subject officer is to sign the report which to be forwarded through the CO to FGen NAvn ATM SO1.

d. Reports must detail the Subject officer's specific shortcomings, together with the targets which must be achieved by a specified date[1]. The following timescales for improvement will generally apply, however are subject to OC ATC or SATCO discretion[2]. Designated controlling hours[3] for each unit position are determined by NC in conjunction with Unit OC ATC / SATCO and reviewed periodically.

(1) Level 1 to Level 2 or removal of warning: 30% of designated controlling hours (for position).

(2) Level 2 to Level 3 or removal of warning: 25% of designated controlling hours (for position).

(3) Level 3 to Validation or Suspension: 15% of designated controlling hours (for position).

e. Whilst Level 1 and Character and Leadership reports may be raised on more than one occasion at different phases of training, it is expected that Level 2 and 3 will be rendered only once during any one phase of training.

f. If, at any stage of training, there is doubt concerning a Subject officer's ability to complete training successfully, Navy NAvn ATM SO2 may be requested to conduct an independent assessment of their performance.

g. Officers suspended from training will be interviewed by their CO and a NAC Form 99A is to be raised. The Subject officer will then be referred to the NAAB (see Para 5742).

h. **Character and Leadership (C&L) Warnings.** The following warnings for C&L may be given:

(1) **OC ATC/SATCO/DCASO Senior Naval Instructor's (SNI)[4] Warning (Warning 1).** The Subject officer is to be interviewed by the OC ATC/SATCO/SNI and warned of their failings. They are also to be warned that lack of improvement will lead to a CO's Warning.

(2) **CO's Warning (Warning 2).** A formal warning by the CO for which the procedures at Para 5731 should be followed, keeping FGen NAvn informed.

(3) **ABW (Warning 3).** The procedures at Para 5737 should be followed, keeping FGen NAvn informed.

[1] SMART
[2] Considering live v simulated ratio
[3] Maximum endorsement target hours utilising data from NAC88C (Unit monthly training returns)
[4] Position held by DCASO SO2 Assurance

i. **Period of C&L Warnings.** Warning 1 given during Phase 2 and Workplace Training may be carried forward to the next stage of training. Units/SNI should ensure that the Subject officer's new OC ATC/SATCO is informed of the status of the warning. It should, however, be every OC ATC/SATCO/SNI's aim to remove a Subject officer from Warning 1 before they leave the establishment and they should be given every opportunity to show improvement.

j. For the normal periods for Warnings 2 and 3, see Para 5731 and Para 5737.

k. **Recording of C&L Warnings**. C & L Warnings are to be recorded on NAC 98B (Warning 1 and 2).

5735. RM Phase 1 and 2 Training Warnings - CTCRM

a. During Phase 1 and Phase 2 Training at CTCRM, a RMYO will be issued with a formal written warning as a consequence of:

(1) A failure in professional training. This includes compound failure in the same area (i.e. failure of the Term 2 examination whilst already on warning for failing the Term 1 examination).

(2) A failure to respond to informal warnings from instructors or superior officers for poor character, command or leadership.

b. Formal written statements will state that, unless the RMYO improves (in accordance with the RMYO Operational Performance Statement), it may be necessary to withdraw the YO from training and terminate the commission. A RMYO may not be passed on to an operational unit whilst under warning.

c. A specimen Report Form for the imposition/removal of warning for unsatisfactory progress is at Annex 57G.

d. In addition to that listed at Para 5735 sub para a, formal written warnings will be issued for failure in the following criteria tests:

(1) Term 1 examination.

(2) Term 2 examination.

(3) Bottom field pass out.

(4) Commando Course (encompassing the Commando exercise CRASH ACTION).

(5) Final examination/TEWT.

(6) Final exercise (FINAL NAIL).

e. In exceptional circumstances, consideration may be given to a RMYO's withdrawal from training without warning (or with less than the normal period of warning). Where such a recommendation is made, the Commandant CTCRM (Comdt) is to explain the special circumstances of the case.

f. The three levels of warning for a RMYO are:

(1) **OC RMIOT's Warning.** The OC RMIOT is to impose a formal warning as soon as doubts arise about the YO's ability to complete training satisfactorily. The warning is to be reviewed after either:

(a) One month.

(b) The next opportunity to re-evaluate the particular area of concern (following appropriate remedial instruction).

(2) Continued failure to rectify specified faults, or the occurrence of additional shortcomings while on OC RMIOT's Warning, may result in the imposition of a CO CW's Warning. The YO will receive an interview to explain the reason for the warning and is to sign a written copy. The YO will also be informed what rectification action is required within a stipulated timescale.

(3) **CO CW Warning.** The OC CW is to impose a formal warning as soon as doubts arise about the RMYO's ability to complete training satisfactorily. The warning is to be reviewed after 1 month. Subsequent failure or a failure to improve while on OC CW's warning will render the RMYO liable to Comdt's Warning.

(4) **Commandant's Warning.** Beyond the continued or compound failure articulated above, a Comdt's Warning may be imposed for:

(a) Failure considered sufficiently severe to bypass CO CW's Warning.

(b) Severe professional regression in the final term of training.

(5) Protocols are similar to those of CO CW's Warning but with a duration of 3 months wherever possible.

g. **Imposition of a Commandant's Warning less than 3 months before Pass Out.** In the instance of a Comdt's Warning being imposed less than 3 months before Pass Out, the RMYO is to be informed that until the conditions of the warning are satisfied, the Comdt will (following successful application to the Naval Secretary):

Hold the RMYO at CTCRM for additional assessment until such time as they are considered capable of passing for duty.

Withdraw the RMYO from training and terminate the commission.

h. **Compulsory Withdrawal from Phase 1 Training.** Failure to satisfy the conditions of a Comdt's Warning during Phase 1 Training may result in the RMYO being compulsorily withdrawn from training and the termination of their commission. Other occasions where an RMYO may be withdrawn from training directly are:

(1) A serious failure in judgement or character unbecoming of an officer or liable to bring the Armed Forces in to disrepute.

(2) Failure to pass the professional/academic tests at Para 5735 sub para d, whilst already on Comdt's Warning for a previous associated failure (i.e. if a RMYO fails the Term 2 examination whilst on warning for failure of the Term 1 examination).

i. **Compulsory Withdrawal from Phase 2 Training.** Applications for compulsory withdrawal from Phase 2 training are to be made to the Officer Terms of Service Manager for higher approval - see Para 5436 sub para l. The same criteria for failure apply as for Phase 1 Training.

j. **RMYOs Under 18 years of Age.** On behalf of the Comdt, the CO CW will inform the parents or guardian of a RMYO placed on formal warning or compulsorily withdrawn from training before the RMYO's 18th birthday.

k. **Wider Reporting.** The RM Officer Career Manager is to be notified of any RMYO who is placed on, or removed from, Comdt's Warning or compulsorily withdrawn from training.

5736. Admiralty Board Warnings - General

a. If, following a period on Commodore/Captain's Warning (Professional or C&L), a YO who has made insufficient improvement may be placed under Admiralty Board Warning (ABW) (Professional or C&L). A Commodore/Captain's Warning will normally be appropriate as the first stage in the warning procedure. However, it is not essential to precede an ABW with a Commodore/Captain's Warning and, exceptionally, application may be made for a YO to be placed straight on ABW where timing or other circumstances require it.

b. An ABW will normally be for a period of 3 months, however there are occasions when a period of less than 3 months under ABW is appropriate e.g. following an examination failure where re-examination takes place less than 3 months after the initial failure. A period of ABW must not exceed 3 months, since a protracted period under warning is unfair to the individual and the Service, especially if it is unlikely that a YO will be able to reach the required standard.

c. During the Initial Warfare Officers (Foundation) (IWO(F)) course, where the period in the event of a YO being back-classed may exceed 3 months, the period of ABW shall not exceed a period of 20 weeks. This exception is made only for the purposes of incorporating the opportunity of reassessment with the IWO(F) course proceeding that which the YO had failed.

d. A YO being placed under ABW is to be informed as such. With the exception of professional training cases (see Para 5737 sub para a), applications for ABW should be made to the Officer Terms of Service Manager along with the YO's full E190, including a recently completed SRF. The SRF, which must be signed by the YO, 1RO and 2RO (who must state that they support the proposed action) should reflect what has been discussed at a warning interview and specifically refer to: the failings for which the YO is being warned; details of what the YO must do to improve; the timescale in which the YO is expected to achieve the required professional standard or to show the required qualities of character and leadership; and the likely consequences if the YO fails to improve. The YO should be left in no doubt that failure to improve sufficiently within a reasonable period of time under ABW will, in all probability, lead to their withdrawal from training and termination of commission. Only in exceptional circumstances will consideration be given to a YO's withdrawal from training without warning or with less than the normal period of warning. Where such a recommendation is made, the CO is to explain the special circumstances of the case.

e. For units deployed away from UK waters, specimen Report Forms for the Imposition/Removal of Warnings can be found at Annex 57G. COs and YO Training Officers are to ensure that, if an e-mail response is forwarded by the Officer Terms of Service Manager, the Warning Report Forms are reproduced locally and completed in accordance with instructions. The Officer Terms of Service Manager will advise the ship of the second paragraph to be inserted.

5737. Admiralty Board Warnings - Applications

a. ABW (Professional).

(1) COs of the training establishments listed below have delegated authority to impose and remove ABW (Professional) for failure in professional training and courses as follows:

(a) The Commanding Officer HMS COLLINGWOOD - for Warfare Officers who fail in any section of the Initial Warfare Officers Course (IWOC) and where back classing and/or re-examination is approved.

(b) The Commanding Officer HMS COLLINGWOOD - for IW(METOC) Officers who fail in any section of the Aeronautical Meteorological Forecasters Course (AMF – HM300) and where back classing and/or re-examination is approved in accordance with Fisher QMS Documentation.

(c) The Captain Britannia Royal Naval College - for Warfare Officers who fail in any section of the Initial Warfare Officers Course (Foundation) (IWO(F)) and where back classing and/or re-examination is approved.

(d) The Head of Navy Logistics Training (HoNLT) and Commanding Officer Food Services Training Wing (CO FSTW), DCLPA Worthy Down - for Logistics Officers who fail on the Initial Logistics Officer Course (ILOC)(M) and where back classing and/or re-examination is approved.

(e) The Commanding Officer HMS COLLINGWOOD - for Weapon Engineer Officers who fail on the Systems Engineering and Management Course (SEMC) (WE and WESM) and where back classing and/or re-examination is approved.

(f) The Commodore HMS SULTAN - for Air Engineer Officers and Marine Engineer Officers who fail on the SEMC (AE, ME and MESM) and where back classing and/or re-examination is approved.

(g) The Commanding Officer TMOC - for failure on the Training Management (TM) Officers Course when back classing and/or re-examination is approved.

(h) The Commanding Officer Training (Clyde) – for WESM Officers who fail in any section of DWEO(D) or SWSOEC training and where back classing and/or re-examination is approved.

(i) The Commanding Officer Training (Clyde) – for MESM Officers who fail in any section of ONOC1, NGC, or ONOC2 courses, and where back classing and/or re-examination is approved in accordance with Fisher QMS Documentation.

(2) COs are always to notify the Officer Terms of Service Manager of the imposition or removal of ABWs and advise of any subsequent recommendation for withdrawal from training. YOs should be left in no doubt that failure to pass the required professional or academic examinations at the second attempt will, in all probability, lead to their withdrawal from training and the termination of their commission (see Para 5436).

(3) During the Initial Warfare Officers (Foundation) (IWO(F)) course, BRNC warning states apply as per Para 5730 sub para a: SSO warnings are equivalent to OIC IWOTE warnings at MWS and Cdr Training's warnings are equivalent to CO's warnings at sea or OCWS warnings at MWS.

(4) COs of ships responsible for Warfare YOs under training may apply to the Officer Terms of Service Manager to impose (and remove) ABW (Professional) for failure in professional training, where back-classing and/or repetition of Common Fleet Time (CFT) or Specialist Fleet Time (SFT) is required. YOs should be kept informed of the decision to impose ABW and the reasoning behind such a decision. Before making an application, consideration should be made regarding any exceptional circumstances which may have affected the YO's ability to reach the required professional standard.

b. **ABW Character and Leadership (C&L).** A YO under training who shows serious character defects, or a lack of officer-like qualities may be placed under ABW (C&L). Except in cases of rapid deterioration of standards or behaviour, a Commodore/Captain's C&L Warning will normally be appropriate as a first stage in the procedure. Action is normally initiated by the CO who is to inform the YO of their shortcomings, as described in the report recommending an ABW.

c. **ABW Submissions.** When making a submission for an ABW (Professional) (i.e. ships/units who do not have the delegated authority stated at Para 5737 sub para a) or ABW (C&L)), the following is to be sent to the Officer Terms of Service Manager:

(1) A letter from the CO giving the reasons for the proposed ABW.

(2) A copy of the SRF that was raised when the individual was placed on Commodore/Captain's Warning.

(3) A special SRF raised as a result of the decision to apply for an ABW. This must include comments of the 1RO and 2RO (the latter should annotate the report to say that they support the 1RO's decision as a minimum). The SRF should be signed and dated by the YO, 1RO and 2RO, and the YO must be given the opportunity to comment.

(4) A copy of the full E190.

Note. *An ABW (C&L) can only be imposed, extended or removed by Navy People PSP Hd as the supervising officer of the Terms of Service team on behalf of the Admiralty Board*[5]*.*

5738. Admiralty Board Warnings - Headquarters Staffing

a. The period between informing an officer of a recommendation for ABW and approval of such a warning by the Officer Terms of Service Manager will be kept as short as possible so as to minimise the period of uncertainty for the YO. Sensible use of e-mail and facsimile can improve the timing considerably. COs and administrative authorities are to ensure that warning recommendations are handled expeditiously. Where deployment overseas means that forwarding the full E190 will delay the case, the Officer Terms of Service Manager should be contacted to investigate whether alternative arrangements can be agreed.

b. Each case will be considered on its individual merits. If an ABW is approved, the CO is to inform the YO accordingly and advise them to make every effort to reach and maintain the standards expected of a Naval Officer. The CO should also warn the YO that failure to do so may lead to their withdrawal from training and the termination of their commission (see Para 5436).

c. A YO placed under ABW is required to countersign the Warning Report Form to confirm their understanding of the position. A partially completed Warning Report Form is therefore enclosed with the Officer Terms of Service Manager's letter confirming the imposition of a Warning. When it has been countersigned, a copy of the Report Form is to be returned to the Officer Terms of Service Manager and another copy inserted in the YO's E190.

[5] NAV SEC Letter of delegation dated 17 Jan 18.

5739. Admiralty Board Warnings - End of Warning Review

a. After 3 months (or an agreed shorter warning period), with the exception of those listed at Para 5737 sub para a, COs are to make a recommendation to the Officer Terms of Service Manager for either:

(1) **Removal of ABW.** The removal of ABW (i.e. a YO's performance or character and leadership qualities have improved sufficiently). As part of their submission, COs should provide a special SRF with the recommendation that the YO should be removed from warning. Where removal from Warning is agreed, the CO will be notified by the Officer Terms of Service Manager and a Removal from Warning Report Form will be provided for the YO to countersign. A copy of the Form is to be forwarded to the Officer Terms of Service Manager and a further copy inserted in the YO's E190.

(2) **Extension of ABW.** Where, at the end of the warning period, there are still doubts about the trainee's ability to become a satisfactory Naval Officer in all respects, COs must carefully consider whether to recommend an extension of the warning e.g. where an individual has not made sufficient progress to have the warning removed but compulsory withdrawal from training is not deemed appropriate. As above, COs should provide a special SRF setting out the reasons for such a recommendation. The report must be signed and dated by the individual concerned.

(3) **Compulsory Withdrawal from Training.** The application should be supported by a SRF and, where possible, the YO's full E190 (see Para 5729).

b. A YO may not join the trained strength while under ABW (C&L). However, if at the end of initial training, a YO has failed to respond sufficiently to justify the removal of a ABW (Professional) but is not of sufficiently poor standard to warrant compulsory withdrawal from training, the officer may exceptionally be allowed to proceed under quarterly report (see Para 5744 to Para 5746).

5740. Promotion of Officers under Warning

a. Officers under Tier 3 (Phase 1) or Admiralty Board level (Phase 2) C&L Warning at the time of their due date for promotion to Sub Lieutenant and Lieutenant (and equivalents) will have their promotion and, consequently, their seniority in the next rank deferred until the warning is removed. The promotion will take effect from, and with seniority of, the date of the Commanding Officer's recommendation for removal from the appropriate C&L Warning if this is later than the non-selective due date.

b. Officers under Admiralty Board Warning (Professional) (Phase 2) at the time of their due date for promotion to Sub Lieutenant and Lieutenant (and equivalents) will have their promotion, and, consequently, their seniority in the next rank deferred until the warning is removed. The promotion due date will be recalculated and will take into account any seniority adjustment (see Para 5741.b). Once the non-selective promotion date is recalculated, the Officer will promote based on the adjusted seniority, so long as they remain otherwise eligible (see Para 6632).

5741. Seniority Losses - RN and RM YOs Under Training

a. Time lost by individuals during initial training through no direct fault of their own, e.g. as a result of medical, welfare or compassionate reasons, will not normally result in an adjustment to their seniority. Wherever doubt exists about the applicability of an adjustment, COs should consult the Officer Terms of Service Manager in the first instance.

b. In the event of time losses incurred during Phase 2 Training as a result of back-classing or back-batching, examination failure or repeated elements of professional training, that period of time will not count for seniority purposes.

5742. Naval Aircrew Advisory Board

a. The primary purpose of the Naval Aircrew Advisory Board (NAAB) which is chaired by FT Naval Aviation Advisor is to advise COMNA on the future employment of RN/RM officer (and rating) aircrew, ATC Officers and Aircraft Controllers where doubt exists concerning their ability to continue their training or duties in accordance with FLAGO(NA), BR 767, and these regulations, in order that they may be either retained or retrained in a different branch or specialisation or their commission be terminated. The post of the FT Naval Aviation Advisor is a full-time role filled by a senior OF3 (P)/(O) with an extensive aviation background and Command or Executive experience. The Chair may call upon additional Board members as the need arises.

b. SO1 Career Manager (Air) (NAVY PEOPLE-CM OF WAR AIR SO1) will arrange for suitable specialist or executive officers to augment the NAAB if required. An officer additional to the permanent NAAB will not act as Chair of the Board unless either the Chair is specifically required to be an officer of a rank higher than Lieutenant Commander or the Chair is not available.

c. **Functions of the NAAB.**

(1) To interview and advise on the future employment of RN/RM aircrew and RN ATC officers referred to the Board where doubt exists concerning their ability to continue training or duties in order that they may be either retained or retrained in a different branch/specialisation or their commission terminated.

(2) To effect executive disposal from the Consultant Advisor in Aviation Medicine (Royal Navy) following alteration of medical flying category or recommendation for a special appointment.

(3) To act as an independent Aircrew Training Quality Control Organisation for COMNA.

d. The FT Naval Aviation Advisor maintains a close co-operation with the Consultant Advisor in Aviation Medicine (Royal Navy) who attends the Board, if required, in an advisory capacity.

e. The FT Naval Aviation Advisor is responsible to SO1 Career Manager (Air) for the execution of the tasks of the Board. They may also communicate directly with MOD departments and with ships and establishments in matters of detail concerning individual cases. The President is to forward reports on matters connected with their tasks to DDir NAvn.

f. The FT Naval Aviation Advisor will consider and conduct detailed investigation into all cases of compulsory or voluntary withdrawal from flying training or flying duties.

g. **Documentation.** Written reports giving detailed reasons for Compulsory Withdrawal from Flying Training (CWFT) are to be sent to FT Naval Aviation Advisor info DDir NAvn (and JHC for JHC aircrew). Only NAC 99 and Warning Reports are required by DDir NAvn and JHC. The NAC 99 should contain only the facts of the case and no recommendations for future employment with the exception that suitability for back-coursing may be detailed. Under normal circumstances, except where back-coursing is being **recommended**, there should be no discussion of any case between the Training Squadron and the FT Naval Aviation Advisor before interview. The following, and any other relevant, documents should be enclosed with the report (for FT Naval Aviation Advisor only):

(1) Specific NAC/other forms (see table below) and S2020D if necessary.

(2) Warning reports.

(3) Sortie/serial reports (including all sortie reports from previous training squadrons).

(4) In the event of a voluntary request for withdrawal from training (VWFT), the letter requesting withdrawal must be forwarded to (Navy People-PSP Emp Pol SO1), copied to FT Naval Aviation Advisor.

Note. *Aircrew are to present their Flying Log Books when attending NAAB and take all flying clothing with them to INM.*

h. **Specific Report Forms.** In addition to the paperwork required above, the following specific NAC/other reports are to be forwarded as appropriate to the circumstances of the individual.

Table 57-2. Appropriate NAC Forms

Background	Reports required
Pipeline Pilot/Observer ex-BRNC	E190 III (Aircrew)/NAC 99
Pipeline Pilot/Observer (former (X)/(E)(AE)/RM)	NAC 97/S2020D/NAC 99
Convertee Pilot/Observer	NAC 97/S2020D/NAC 99
Aircrew on Joint Training Sqns (DEFTS, 1FTS, RAF Valley, RAF Marham)	RAF F5201 Part 1 and 2
ATCO during Part A/Part B training	E190/SRF
Pilot/Observer/ATCO on trained strength	CO's covering letter detailing circumstances of case, NFSF report iaw BR 767 Art 115.135

5743. Naval Advisory Board

a. Naval Advisory Boards (NAB) may be convened as required to assist both directly and indirectly in the retention of YOs in the X, E and L branches.

b. **Composition.** The NAB consists of representatives from the Naval Secretary's staff under the chair of the Navy Command's TMG SO1 Training Pipeline Manager. Other advisers may be invited to attend as necessary. The Board will not examine failures and withdrawals from BRNC, as the College is able to advise and counsel new entry YOs and to respond to any unusual degree of wastage during initial training.

c. **NAB Procedure.** The Board will consider any case of voluntary or compulsory withdrawal from training that in their opinion requires detailed investigation. The Board will normally act on reports and recommendations submitted by COs, and may call for additional information when required. Costs will normally be restricted to the travelling expenses of the YO attending the Board.

d. The benefits of a detailed examination of the causes of withdrawal from training are as follows:

(1) The NAB will ensure a common approach to each case.

(2) Those invited will have the opportunity of an interview.

(3) The NAB will ensure that a YO's future employment is in the best interests of both the officer and the Service.

(4) A YO will have the reassurance that their case is being considered in detail at a higher level.

(5) Overall retention may be improved.

(6) Information will be gained on the reasons for both failure and voluntary withdrawal which will be of use in the preparation of future recruiting and training strategies.

SECTION 6

OFFICERS ON THE TRAINED STRENGTH - QUARTERLY REPORTS

5744. Introduction

a. Quarterly Reports provide the mechanism for close and regular monitoring of an officer's performance. The OJAR recommending Quarterly Report (Occasion: Special Circumstance') and the quarterly reports themselves are to be handled most expeditiously at all relevant levels in the administrative chain of command, to enable a decision on the Subject officer's future to be promulgated as soon as possible after a report has been originated.

b. The Quarterly Report is a formal warning of shortcomings and the consequences of failure to eradicate the faults identified. It is in the best interests of the Service and the individual concerned that appropriate remedial action be taken at the first signs of any significant inadequacy or shortfall in performance.

5745. Process

When an application for quarterly reporting is approved by the Naval Secretary, the clock is started from the 'To' date of the Special Circumstance OJAR recommending this course of action, and the first quarterly will normally be required to be written exactly 3 months from that date. Given that there is likely to be some delay in the process, and in order to give the Subject officer the maximum time to address the shortcomings identified, the assumption should be made that the officer will be placed on Quarterly Report. The following procedure is to be implemented:

a. The 1RO should discuss the way ahead with the Subject and start the necessary remedial programme as soon as possible - ideally at the time that the Special Circumstance report is raised. Clear Objectives to rectify shortcomings are to be identified, agreed and recorded on the OJAR page 1 and reported against in the Performance section by ROs in future OJARs. Whatever the Naval Secretary's decision, this will enable the unit to start addressing the officer's shortcomings early, and whilst it may appear to pre-judge the outcome of the recommendation for quarterly reporting, it is entirely appropriate as it will ensure that:

(1) The Subject always has the full 3 months to improve their performance;

(2) A formal MPAR will be held at the appropriate time before the next report, in addition to any informal interim appraisals.

b. If the Naval Secretary rejects the recommendation for quarterly reporting, the officer's shortcomings will still need to be addressed, and this procedure will ensure that a structured plan is put in place at the earliest possible opportunity.

c. In the case of Lieutenants and below, the decision to be placed on, remaining on or being removed from quarterly reporting is to be directed by the appropriate SO1 Career Manager. In the case of Lieutenant Commanders and above, where the Directorate's recommendation is for the officer to remain on Quarterly Report, approval may be given by Hd CM, but for officers being placed on, or being removed from quarterly report, Hd CM is to pass the quarterly report file, with his personal recommendation and a completed draft Directed Letter proforma, to:

(1) **DDPD.** For Lieutenant Commanders and below (routine cases).

(2) **The Dir P&T/NavSec.** For Commanders and above plus non-routine cases. If an individual case is considered to be contentious or particularly complex (non-routine), the file is normally forwarded to CNLS before being referred to the Dir P&T/NavSec for a decision. Dir P&T/NavSec may consult the Second Sea Lord direct, as necessary. Once the Dir P&T/NavSec and/or DDPD has made a decision, the reporting authority will be informed by letter. This letter is to be read by the CO to the officer concerned.

d. Whilst Quarterly Reports are to continue until Dir P&T/NavSec's department directs that they are to cease; each report is to include the RO's clear recommendation on their continued need. On each occasion of report, the RO is to conduct an appraisal discussion (see JSP 757 Article 4.09) explaining the implications of being placed or being retained on Quarterly Report. Where a Subject on Quarterly Report is reassigned, the Career Manager is to ensure the requirements for quarterly reporting action are brought to the attention of the receiving unit. Where appropriate, the dates of the Quarterly Reports will be adjusted, in consultation with the Career Manager, to align with Supersession or End of Tour reporting requirements with the aim of ensuring any gaps in the reporting cycle are minimised; the requirement for Annual Reports being subsumed by quarterly reporting. The first Quarterly Report in the receiving unit should normally be raised 3 months from date of joining, and quarterly thereafter. Although, as a general rule, there should be no collusion between discharging and receiving units on the content of Quarterly Reports, it may be necessary for the discharging unit to forward a letter or e-mail detailing any relevant progress or otherwise that has occurred during any gap in the reporting process.

5746. Promotion Implications

Officers due for non-selective promotion will not be promoted on their due date if they are subject to Quarterly Report. Officers who are removed from Quarterly Report due to an improvement in their performance will be promoted with effect from, and with seniority of, the date of the CO's recommendation for removal from Quarterly Report if this is later than the automatic date. Officers who fail to achieve a satisfactory standard will be liable to discharge under normal procedures.

SECTION 7

RATINGS ON THE UNTRAINED STRENGTH - FORMAL WARNINGS

5747. Initial Training Warnings (ITW)

The ITW procedure is designed to maintain a record of the individual's shortcomings in Naval General Training (NGT)[6] and professional performance. A record of the warnings issued as a result of failures is to be maintained by the Training Unit/Establishment. The warnings process is summarised at Annex 57B. ITW will be incurred for both NGT and professional failings. An initial brief on the warning procedure should be given at the start of Phase 1 and Phase 2 training, explaining the warning procedure and its purpose. Trainees should sign to acknowledge receipt of this briefing.

a. **NGT Warnings.** Situations in which NGT Warnings may be appropriate include:

(1) Receipt of minor punishments.

(2) Disruptive behaviour in the classroom.

(3) Disobedient, abusive or uncooperative behaviour.

(4) Continually poor punctuality.

(5) Shortcomings in personal administration, kit upkeep or mess deck husbandry.

(6) Poor professional performance due to inappropriate social activity (e.g. falling asleep in class).

(7) Deliberately failing a course.

(8) Multiple failing of Minor Administrative Action (MAA).

b. **Professional Warnings.** Situations in which Professional Warnings may be appropriate include:

(1) Failure of exam or module.

(2) Failure to comply with safety or instructional rules.

(3) Unwillingness to learn specialisation skill.

c. Trainees who receive a warning must sign it to acknowledge the consequences of further failures and be given an opportunity to appeal against the decision of the Awarding Officer. All documentation is to be retained until the trainee passes to the trained strength.

[6] Due to the length and nature of initial RM training, CTCRM has its own detailed procedure for Initial Training Warnings. This is captured in Unit Standing Orders and the CTCRM Supervisory Care Directive.

5748. Phase 1 Warnings

a. Warnings in Phase 1 differ from those in Phase 2 since the level of knowledge is lower and the rating is still adapting to military life. Taking the aforementioned into account, only Level 3 NGT Warnings (discipline, character, attitude etc.) should remain extant and carry forward at the end of Phase 1 Training.

b. Once in place, warnings are to be reviewed after a period of 4 weeks by the Phase 2 Establishment and reduced by one level if no further failure has been committed and the rating displays the correct attitude. A further reduction after 4 weeks is available to the Chain of Command if the trainee has performed to the required standard. This second reduction of warning is at the Chain of Command's discretion and would also assess the trainee's commitment to the high standards of ethos and values of the Service.

c. There is deemed no requirement to have Phase 2B reduction in warning as the trainee has had sufficient time to conform to the rules and regulations of both the Service and the Initial Training Pipeline.

5749. Phase 2 Warnings

a. Warnings are to be issued at the following levels for ratings in Phase 2 training:

(1) First warnings by the Divisional Officer/Establishment Warrant Officer or equivalent.

(2) Second warning by the Head of Department or equivalent.

(3) Third warning by OC or OIC level or equivalent.

(4) Infringement beyond third warning will result in Discharge Unsuitable During Training (DUDT) action being taken by CO or Head of Establishment (Capt RN or above, except Phase 1).

b. On transfer to the trained strength (on completion of Phase 2 Training), the DO/OC is to assess if the individual has corrected the shortcomings that led to the warning being issued. If it is assessed that sufficient progress has been made, the individual is to be removed from warning before proceeding to a new assignment. If the trainee is still deemed to be unsatisfactory, consideration is to be given for them to be placed on HOD/CO's Warning for Discharge SHORE (DUDT) NGT, or to Sea Under Licence. If a rating is sent to sea under warning it is to be recorded on Appraisal in a Spec 'D' report. It should be considered exceptional for a trainee to complete initial training under warning.

c. All warnings issued during Phase 2 Training will remain extant for a period of up to 90 days (excluding leave periods). The Warning Review Period should be between a minimum of 1 month and a maximum of 3 months, taking into account the diversity and periodicity in training that is bespoke to individual branch criteria. Extensions or reductions to the warnings will be approved at the review point.

5750. Minor Administrative Action

a. Minor Administrative Action is appropriate for all Phase 2 trainees who have completed induction in their respective establishments or who could reasonably be expected to have known the Rules and Regulations of the Training School or Establishment's Standing Orders. As a general rule, MAA will be inappropriate for trainees who have completed less than 2 weeks of Phase 2 Training.

b. Any trainee who incurs 3 MAA actions will be liable for disciplinary action in accordance with JSP 833, as a consequence of this action the rating would be deemed to have shown a poor attitude towards training and will have an NGT warning issued at the appropriate level. Any trainee who commits multiple infractions of MAA should be considered for immediate elevation to a higher warning status, which will be at the discretion of the Command.

c. On imposition of a warning, the trainee's file is to be updated and all further failures will be annotated in the same trainee file. The trainee is to be informed that any subsequent failures could ultimately lead to a recommendation for Discharge SHORE (DUDT).

d. See Chapter 20, Section 5 for more information on MAA.

5751. Handover of Information on Trainees Deemed of Concern

a. When Phase 2 trainees deemed of concern[7] are assigned between Training Establishments, or from Training Establishments to operational units, it is essential that a suitable method of informing the receiving unit of any concerns relating to an individual be established, so that the receiving unit can ensure that the level of supervisory care which that individual needs is maintained.

b. The Hot Handover routine should be followed by Divisional Officers (see Para 2147). However, this process is largely informal and there have been several instances where it has not proved reliable or where insufficient information has been transferred. It is therefore necessary to supplement the Hot Handover routine with a more formal process which provides a clear audit trail for the handover of information on Phase 2 trainees deemed of concern.

c. The current Divisional Officer is to pass trainee information to the receiving unit 5 working days before the physical transfer of the individual. As a minimum, the information below is to be passed, using the Proforma at Annex 57C:

(1) Academic record (including any applicable Warning level).

(2) NGT record (including any applicable Warning level).

(3) Compassionate issues of a relevant or immediate nature.

[7] E.g. for professional, NGT, compassionate reasons or considered to be vulnerable or at risk.

(4) Limitations on training resulting from Medical issues.

(5) Any other information which the Divisional Officer thinks might be of use to the next Establishment/Training School/Operational unit.

d. When passing individuals on to the Fleet, only Para 5751 c sub para (3) to sub para (5) are likely to be relevant as any failings to achieve the requisite standards in sub-paragraphs a and b should have resulted in the trainee not yet Passing Out.

e. All staff are to remain vigilant to the importance and urgency required when dealing with this category of trainee. It is incumbent on receiving unit Divisional Officers to inform their chain of command of trainees deemed to be of concern in order that these individuals receive additional levels of care and management. Case Conference procedures are to be followed by Divisional Staff when raising vulnerability/'at risk' trainee concerns to the Command.

SECTION 8

RATINGS AND OTHER RANKS ON THE TRAINED STRENGTH - FORMAL WARNINGS

5752. Purpose of Formal Warning

The purpose of a Formal Warning is to meet the responsibilities of the employer and explain, in writing, the process and consequences that might arise should an individual continue to fail to meet the professional and personal standards expected of the Naval Service. The warning procedure embraces JPA Appraisal where necessary and ensures that the shortcomings and required improvements are clearly identified, understood and acknowledged by the individual, while allowing a reasonable period of time at each stage of the process for the requisite improvements to be achieved.

5753. Responsibilities of the Commanding Officer

COs are to ensure that the mechanism for the issue of a Formal Warning is sufficiently robust to be clearly and definitively understood by all ratings and other ranks under their command, including the need for appropriate consultation between reporting/warning officers and how it is to be managed. However, there may be cases where the CO properly considers that, in the interests of the Service, the warning procedure may be dispensed with. Thus, it is not intended that Formal Warnings should be regarded as an essential preliminary in all cases; in those cases where immediate discharge is considered necessary, advice should be sought from the Navy Command Headquarters Casework Cell. The CO must bear in mind that, where necessary, an incontrovertible case for discharge/reversion will need to be prepared for submission to the administrative authority. Consequently, all warnings and reviews are to be formally recorded and countersigned by both the person issuing the warning/review and the Subject rating/other rank concerned. The Honesty Test (see Chapter 21 Section 4 – Ethos, Values, Standards and Conduct in the Royal Navy) is always to be applied when Formal Warning action is considered for conduct relating to the individual's private life. Where a Subject leaves the unit on assignment either under Formal Warning or within 12 months of a warning being removed, the sending CO is to write to the receiving CO briefly outlining the facts and, where applicable, specifying when the warning is due to be reviewed.

5754. Initial Interview

a. Where an individual demonstrates shortcomings of professional competence or in personal qualities, action rests with the Divisional Officer and/or immediate Line Manager/First Reporting Officer (1RO) to hold a Formal Appraisal Review. The aim is to give the Subject rating/other rank an early opportunity to rectify these shortcomings - it is essential therefore, from the perspective of both the Service and the Subject, that an interview takes place as soon as it is warranted, with the purpose of avoiding the need for further administrative action.

b. The review is to be conducted using the MPAR structure (see JSP 757 Chap 4 Annex 4C) and the discussions are to be recorded and then acknowledged by the Subject on the MPAR proforma (JSP 757 Annex 4A). The interview must focus on the individual's shortcoming(s) and provide a proposed solution, along with a reasonable timescale within which the requisite improvement is to be made.

5755. Warning Process

a. Formal Warnings normally follow a 3-tier structure comprising Levels 1-3. A Warning at one level can be subsequently removed, or escalated to the next level. Serious cases may warrant immediate escalation to a higher level of Formal Warning. A Level 1 warning requires the raising, completion and delivery of a Formal Warning (see Naval proforma at Annex 57D[8]). Subsequent escalation to Levels 2 and 3 requires the raising and completion of a further Warning and an accompanying 'Review of Warning' SJAR. See JSP 757 Articles 4C.14-18, which draw attention to the specific instructions in this Chapter. Formal Warnings may be issued for a variety of reasons including inadequacy, financial irresponsibility, alcohol and unruly behaviour. In exceptional circumstances, an individual may be retained on the current level of warning for a further period of review. Caution should be exercised when using this option as it is unfair to both the individual and the Service to retain individuals on warnings for extended periods; the default position should be either to remove the individual from warning or to escalate them to the next level. In all but the most straightforward of cases, advice should be sought from the Casework Cell as to the advisability of retaining an individual at the current level of warning.

b. In relation to RN Police (RNP) personnel who are placed on Formal Warning, it is a requirement for RNP personnel to inform HQ PM(N) Professional Standards of their warning (see Chapter 80 Section 12 - Incidents to be reported to Provost Marshal (Navy)). Taking into consideration the unique position that RNP hold within a unit, and in order to obtain a balanced view of the circumstances surrounding the warning, COs should consider providing information to HQ PM(N) Professional Standards by briefly outlining the facts and, where applicable, specifying when the warning is due to be reviewed.

5756. Issue of Formal Warning - Level 1

The officer who conducted the Formal Appraisal Review will normally decide at the end of the initial review period whether or not previous counselling has achieved the desired effect. In the absence of sufficient improvement, a Formal Warning Level 1 is to be initiated using the proforma at Annex 57D, signed (subject to the minimum rank of OR7) and issued to the individual. The warning must describe in sufficient detail the problem (including civil and service convictions); the proposed solution; the timescale for review (usually 3 months); the future process; and the likely consequences if improvement is not forthcoming. The Subject should acknowledge in writing that they understand the Formal Warning and the advice given. The warning is to be retained by the unit (or forwarded to a new unit, as required) and a copy provided to the individual. Where necessary, warnings may be given under a number of headings simultaneously, however, in all cases each warning must clearly articulate what the individual is being warned for and at what level (e.g. LH Smith has today been placed on HOD's Warning for Reversion (Inadequacy) and CO's Warning for Discharge SHORE (Alcohol)).

[8] An electronic version of the Annex 57D Formal Warning proforma may be found by clicking on the 'Forms' Section of the BRd 3(1) Home/Splash Page.

5757. Formal Warning Level 1 Review

The officer who issued the Level 1 Formal Warning (usually the DO) will normally make a decision at the end of the stipulated review period whether or not the warning and advice has led to the requisite level of improvement. Following consultation with the Second Reporting Officer (2RO) (usually the HOD), this assessment will result in one of the following options:

a. **Formal Warning Removed.** The Level 1 Warning Officer informs the subject in writing (proforma at Annex 57D) of their removal from Formal Warning.

b. **Formal Warning to be Escalated to Level 2.** The Level 1 Warning Officer, as the 1RO, raises a SJAR, with the officer who will issue the Level 2 Formal Warning acting as 2RO (subject to the minimum rank of OF2).

5758. Escalation to Formal Warning Level 2

In addition to raising a SJAR, the Level 2 Warning Officer (usually the HOD) is to initiate, sign and issue to the individual the escalation of the Formal Warning to Level 2. The warning (proforma at Annex 57D) must reiterate the process and describe in sufficient detail: the ongoing problem; the proposed solution; the timescale for review (usually 3 months); and the likely consequences if improvement is not forthcoming. The Subject is to certify in writing that they understand why the Formal Warning has been escalated and the advice given. The warning is to be retained by the unit (or forwarded to a new unit, as required) and a copy provided to the Subject. The narrative should reflect the Level 1 review period and substantiate the escalation of the Formal Warning by elaborating on the Subject's prevailing weaknesses and/or unsatisfactory professional effectiveness.

5759. Formal Warning Level 2 Review

The officer who issued the Level 2 Formal Warning will normally make a decision at the end of the stipulated review period whether or not the warning and advice has led to the requisite level of improvement. Following consultation with the CO, this assessment will result in one of the following options:

a. **Formal Warning Removed.** The Level 2 Warning Officer, acting as the 1RO only, raises a SJAR informing the Subject of their removal from Formal Warning. There is no requirement to complete another Annex 57D.

b. **Formal Warning Escalated to Level 3.** The Level 2 Warning Officer (as the 1RO) raises a SJAR; the CO, who will issue the Level 3 Formal Warning, is to act as Second Reporting Officer (2RO) (subject to a minimum rank of OF3). Where the CO is an OF2 (such as in Command of a MM/PP), an appropriate officer in the unit's chain of command/administrative authority should act as 2RO. The narrative should reflect the Level 2 review period and substantiate the escalation of the Formal Warning by elaborating on the Subject's prevailing weaknesses and/or unsatisfactory professional effectiveness.

5760. Escalation to Formal Warning Level 3

Where the CO decides that a further period of review is appropriate, the rating or other rank is to be informed in writing of the escalation of the Formal Warning to Level 3 in addition to raising a SJAR. The warning (proforma at Annex 57D) must describe in sufficient detail the ongoing problem; the proposed solution; the timescale for review (usually 3 months hence); and reiterate the process and likely consequences of failure to make the requisite improvements. The Subject is to certify in writing that they understand why the Formal Warning has been escalated and the advice given. The certificate is to be retained by the unit (or forwarded to a new unit, as required) and a copy provided to the individual.

5761. Formal Warning Level 3 - CO's Review

At the end of the stipulated review period, the CO is to assess whether or not their warning and advice has led to a sustainable level of improvement. This decision is likely to result in one of the following options:

a. **Formal Warning Removed.** The CO, acting as the 1RO only, raises a SJAR informing the Subject of their removal from Formal Warning.

b. **Formal Warning Retained.** The CO re-issues the warning informing the individual of an extension to the Level 3 Warning, giving reason for the decision and the date on which the review of the Formal Warning will be made.

c. **Application for Discharge/Reversion.** The CO is to apply to the Navy Command Headquarters Casework Cell outlining the case for administrative action. Where application is made for discharge, the Subject is to be informed of the case against them (i.e. disclosure of the application and enclosures) and of the right to make a representation (see Para 5447), in the knowledge that the curtailment of their Service career is under consideration. If the rating or other rank chooses not to make a representation, a statement waiving the right to do so is to be signed and forwarded with the application. Should the individual exercise the right to make a representation, the CO is to comment on the issues contained therein and forward the representation with the application.

5762. Apprising Subject of Warning Implications

Consultation between reporting officers and thorough counselling of the Subject play a key role in the warning process. Every effort must be made to ensure that the shortcomings are identified, and the proposed solution explained to and understood by the Subject, who must also acknowledge in writing the advice given, the future process and consequences in writing. While the Formal Warning issued to the individual is to contain sufficient detail to meet this requirement, the 'Review of Warning' SJAR should be seen as a culmination of the Level 2 and Level 3 review periods in which an honest, accurate, unambiguous and coherent assessment of performance is given to the Subject, taking into account all relevant factors and illustrated by reference to specific failures. There must be no mention of any impending or anticipated disciplinary action, SIB investigations, or acquittal after trial. The Subject has the opportunity to comment in the 'Subject Comments Slip' on receipt of the SJAR from the 1RO (see JSP757 Chapter 3 regarding the options available).

5763. Application for Discharge/Reversion

Specific advice about the process of making application, tailored to the type of discharge, is detailed in Chapter 54 and, if further assistance is required, available from the Navy Command Headquarters Casework Cell.

5764. Retention of Formal Warning Documentation

All records relating to a Formal Warning are to be retained in the raising unit. Where the rating or other rank leaves the unit on assignment, copies of all warning documentation (Level 1, 2 and/or 3) must be forwarded under covering letter to the CO of the new unit and receipt confirmed; the CO retains responsibility for ensuring that personnel proceeding on assignment remain under warning and that the receiving unit is adequately informed of such circumstances. Where the individual is removed from warning, these documents are to be destroyed 12 months from the date of removal.

5765. Routine SJAR Falling within a Period of Formal Warning

Annual, Annual/ Supersession or Annual/End of Tour SJARs are to be raised when they become due in accordance with JSP 757 Chapter 2 Annex 2C after the Formal Appraisal Review or during the period prior to the Formal Warning Level 1 Review. However, it is probable that there will have been insufficient opportunity for the Subject's shortcomings to have been addressed. In these circumstances, while the performance attributes should indicate that the rating or other rank is graded below 'Performing to the standard expected in all respects', the Overall Performance Grade must not be lower than 'C'. Routine reports are not required when the Formal Warning has been escalated to Level 2 or Level 3.

5766. Foreign and Commonwealth Personnel

The system of sequential Warnings for Foreign and Commonwealth Students differ from the provisions of this Para in two important respects:

a. The Foreign and Commonwealth Training equivalent of a Captain's Warning is a National Warning. Commodores or Captains of basic professional training establishments and specialist professional training engineering schools are authorised to give National Warnings.

b. The award of any warnings is to be reported in writing to International Defence Training (Royal Navy) (IDT(RN)) immediately. This is particularly important where withdrawal from training or back classing is under consideration, in which case, consultation with IDT(RN) will be necessary prior to a final decision being taken.

5767. Warnings for Discharge SHORE

In cases other than those for Temperamental Unsuitability, Compassionate, Fraudulent Entry, Drugs or Medical Reasons, it is expected that ratings or other ranks will have been formally warned by the CO/Executive Officer of their shortcomings and given a period in which to redeem themselves before an application is made for discharge. This period will depend on the circumstances, but is normally to be at least 3 months and not more than 12 months. This warning should be recorded on a Formal Warning Proforma (Annex 57D), countersigned by the Subject and retained with their Service Documents and, if required, on a SPEC SJAR on JPA. If, after the period stipulated, there has been a satisfactory improvement, individuals are to be informed that they are no longer under warning for discharge and their documents annotated accordingly. A further proforma should record that the individual is no longer under warning and be signed by the CO and the individual. If there has been no improvement, and the CO decides to proceed with the application for discharge, details of the warning given are to be stated. If, for some special reason, a warning was considered inappropriate, this point is to be covered in the application. If an individual is assigned to another ship or establishment while the application is being considered, this should be recorded on a separate proforma and a copy of the application is to be included with the Service Documents. A similar procedure should be carried out if an individual is assigned between being warned and an application being made for discharge.

5768. Warnings for Inadequacy

Ratings and other ranks that hold the rate of Leading Hand (or equivalent) and above who are unable to perform their duties due to inadequacy must be warned for reversion following the Warning Process procedure. Specific guidance for Warnings for Reversion is given in Chapter 70. Ratings and other ranks who are unable to perform their duties at the lowest rate/rank to which they can be reverted (see Relative Rates Table at Annex 65A) due to physical or mental incapacity (not of a nature to warrant invaliding) or incompetence may be warned for Discharge SHORE (Inadequacy) (see Para 5443 a sub para (3) and sub para (4)).

5769. Alcohol

Alcohol and abuse of alcohol may lead to disciplinary problems which should be dealt with as disciplinary matters. Under circumstances where an individual's efficiency, physical condition or value to the Service becomes materially impaired through addiction, Discharge SHORE may ultimately be recommended. Personnel should be placed on formal warnings for 'Discharge SHORE (Alcohol)' and follow the standard 3-tier process in accordance with Paras 5755-5765. Specific guidance for Divisional Officers on managing the problem drinker is at Para 6 to Appendix 1 to Annex 21J, which must be consulted in all cases.

5770. Royal Navy Fitness Test (RNFT) Failure

The guidance and process for the administration of the RNFT (see Chapter 21 and Chapter 29) includes separate and distinct instructions for warning and discharge from the Service following failure of RNFT.

5771. Naval Annual Personal Weapons Test (NAPWT) Failure

The NAPWT failure policy is detailed in BRd 8988 Chapter 10 and contains separate warning instructions.

5772. Warnings for Discharge SNLR (Unruly)

Individuals who are considered to warrant Discharge SNLR (Unruly) will normally have been formally warned by the CO/Executive Officer of their shortcomings and given a period in which to reform as in Para 5767 before an application is made for discharge. Para 5444 is to apply to warnings if the individual is approaching pension. This warning may be dispensed with in cases in which it would not be appropriate, for example after a serious civil conviction.

5773. Warnings for Ratings and Other Ranks Serving on an Extended Career

Guidance on Warnings relating to Ratings and Other Ranks who are serving on an Extended Career are detailed in Para 4945 sub para k.

ANNEX 57A

INITIAL CAREER REPORTING (ICR) - GUIDANCE AND PROCESSES

1. JPA Appraisal System - Procedure and Responsibilities

ICR is to be delivered utilising the JPA (on-line) Course Report (Non Appraisal) – MOD 2020E. The report is to be initiated at course commencement, either by a nominated Appraisal Administrator (AA) (preferably with the Finalise Flag) assigned to a member of the Training Establishment/School staff or by the trainee via 'Self Service Employee – Initiate own Appraisal'. In all circumstances, the reporting chain is to reflect the assigned Divisional Officer or Course instructor as the 1RO. An outline of the process is as follows:

a. Select Report Type: 'Course Report' followed by Occasion: 'Course Report (Non Appraisal)' - Action: AA.

b. Insert 'Year' (e.g. 2013/14), and period of report (start/end dates of course/stage of course or agreed report dates where the course is protracted) - Action: AA.

c. Insert the Service No. of the first person in the reporting chain (AA or 1RO) and complete the reporting chain with a 2RO and the AA with Finalise Flag as required - Action: AA.

d. 1RO completes narratives (1850 characters, including spaces), recommendation free text – 925 characters), contact time with Subject, course competencies (pass marks?), course grade achieved (see Table 1 below) – yellow fields are mandatory - Action: RO.

e. Subject accesses JPA, reads report and clicks complete on Student Certificate (default states "I have read this report and received a copy" - Action: Subject.

f. 1RO clicks 'next owner' (either 2RO at sea for instance or AA with Finalise Flag) - Action: RO.

g. Report finalised on-line and appears in Subject's JPA Self Service and CM's workflow - Action: AA.

2. Report Compilation

The report narrative should focus on course performance against the professional course criteria and fulfilment of the All Ratings First Sea Draft (ARFSD) TPS. Consideration should also be given to the inclusion of comments on:

a. Ability to complete task book training;

b. Leadership potential and suitability for early promotion;

c. Team ethic and core values and standards.

3. Recommendation for CW or FTS

Where this is given, it should be supported by empirical evidence of heightened leadership/professional potential should be included within the Potential section of the report. Should the subject display exceptionally high or low qualities or be affected by extraordinary circumstances, the 2RO (who should be Lt RN or above in this instance) is to be consulted and included in the reporting chain.

4. Course Grading Assessment

While this section is mandatory, it is nonetheless a free text box. Consequently, course grades are to be restricted to the following:

Grades		Comment
A	Exceptional	A 2RO must be consulted before awarding this grade and should only be used for Fastrack/CW candidates
A-	Above Average	
B+	High Average	
B	Average	Average Pass
B-	Low Average	
C	Below Average	
D	Well below Average	Must Consult 2RO. In the exceptional circumstance that a rating is transferred to sea with this grading a 2RO of Lt RN or above will must be assigned and report on the individual.

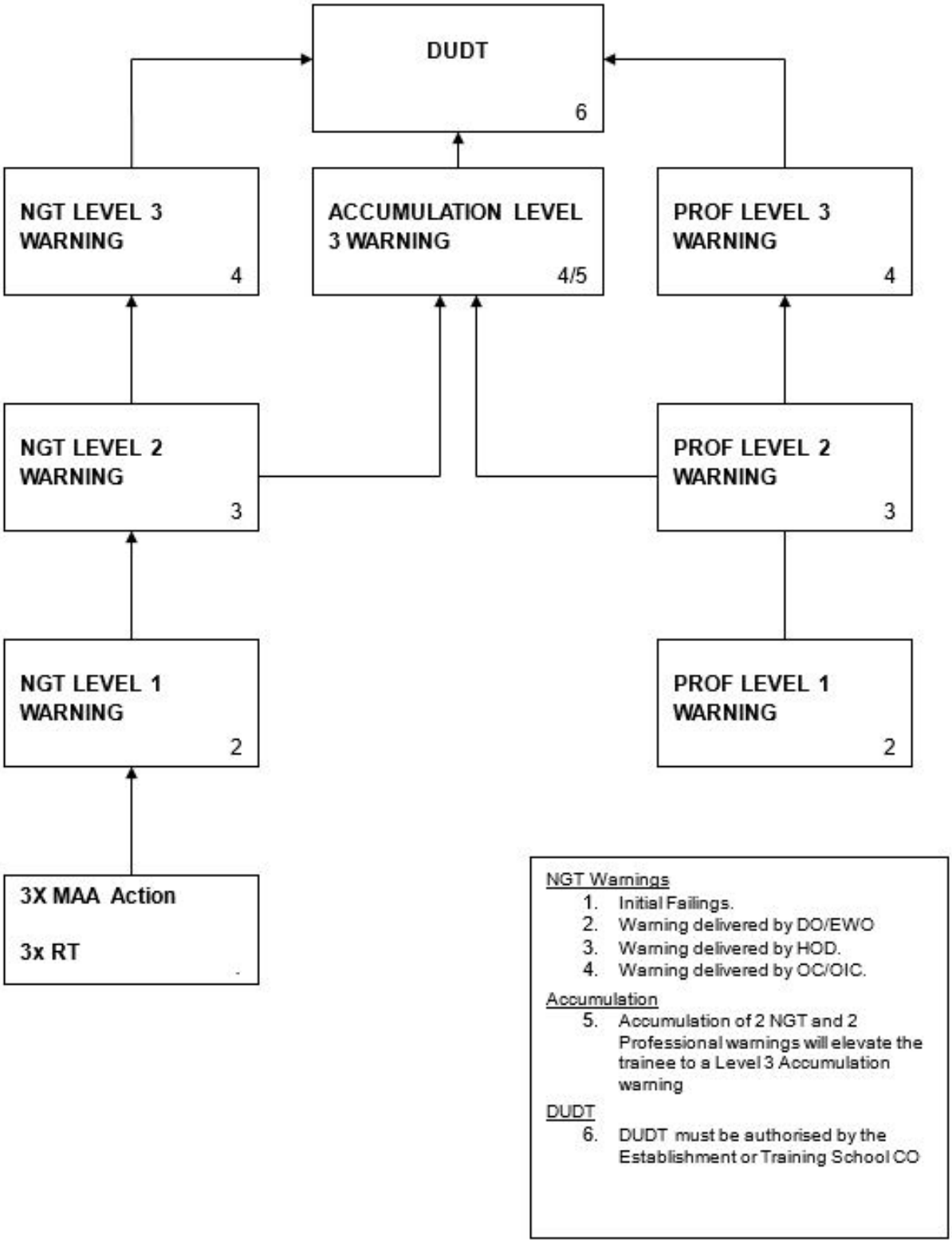
In the context of course achievement, a “B” grading equates to an average pass. There is specific fail grade, given that any rating not passing Professional Course would not reach GTS in any case. However, any student who fails and is held for further training or branch transfer or is Discharged SHORE “Deemed Unsuitable During Training (DUDT)” is to receive a report either at the end of the course or immediately prior to being withdrawn or removed from a course, whichever is appropriate.

5. UTS Personnel placed under Training Warning

Individual Establishments/ Schools operate their own process for placing UTS ratings on warning and this will continue. The warnings are to be removed on completion of UTS training.

ANNEX 57B

UTS WARNING PROCESS



ANNEX 57C

RATINGS DEEMED TO BE OF CONCERN - HANDOVER PROFORMA

Recruit XXXXX, Service Number XXXXX, who will join your unit on DD MMM YY is being highlighted to you as a Rating of Interest.

1. Warnings

Academic Warning level:
(Expand with information as required)

NGT Warning level:
(Expand with information as required)

2. Compassionate

The trainee has encountered the following compassionate issues:

(Within the normal limits of confidentiality or with the trainee's permission, details of the compassionate issue to be as fully explained as possible)

3. Medical

The trainee has encountered a problem of a medical nature which requires the following limitations on their training:

(Details of the limitations to be explained as fully as possible whilst maintaining medical confidentiality)

4. Additional Information

The following additional information is forwarded to aid the Divisional Officer in compiling a more complete profile of the trainee:

(Details of the additional information which may be of interest)

Rating's Details

Name/Rate:

Service Number:

Signature:

Date:

Releasing DO's Details	Receiving DO's Details
Name/Rank/Rate:	Name/Rank/Rate:
Service Number:	Service Number:
Signature:	Signature:
Date:	Date:

ANNEX 57D

FORMAL WARNING FOR RN RATINGS AND RM OTHER RANKS

Annex 57D can be accessed from the Home Page under the Forms Link.

ANNEX 57E

STANDARD REPORT FORM (RN)

(REV FEB 18)

Service No.	Date of Birth	Rank	Seniority	Surname and Initials

Branch & Specialisation	Date Assumed (POP Date)	Unit/Establishment/Ship

Occasion	Period
INTO(O) REPORT	

Performance Attributes (SRF only) **Overall Performance Grade** ☐

Adaptability & Initiative	☐	Awareness & Understanding	☐	Breadth of Perspective	☐	Communication & Influence	☐	Delivering Results	☐
Leadership	☐	Physical & Mental Resilience	☐	Problem Solving & Decision Making	☐	Teamwork & Collaboration	☐	Values & Standards	☐

1. Reporting Officer's Assessment

LEADERSHIP

PROFESSIONAL

HOLISTIC

FITNESS

WARNINGS

CONCLUSION

POTENTIAL (SRF only)

Name	Rank	Appointment
Unit	Signature	Date

2. Second Reporting Officer's Assessment (SRF Only)

I have contact with this officer's work		OverallPerformance Grade	
Name	Rank	Appointment	
Unit	Signature	Date	

3. Subject Officer's Statement

I have been given the opportunity to make written comments and received guidance on the significance of my Premature Termination of Career Point.

- I do not wish to do so ☐ - My comments are attached ☐

Name Date

ANNEX 57F

IMPOSITION OF ADMIRALTY BOARD WARNING

STUDENT: .....

ESTABLISHMENT/SHIP: .....

TYPE OF WARNING: .....

This is to certify that (*Rank*)…..... (*Surname*)..... has been informed that they have been placed under Admiralty Board (*Type of Warning*)..... with effect from (*Date*)..... .

The officer has been warned that: .....

(This part of warning to be advised by the Navy Command Headquarters Officer Terms of Service Manager as appropriate)

SIGNATURE: .....(*Warning Officer*)

NAME: .....

DATE: .....

I acknowledge this warning and understand that, should I be unable to reach the required standard, this will in all probability result in my compulsory withdrawal from training and the termination of my appointment.

SIGNATURE: .....(*Student*)

NAME: .....

DATE: .....

REMOVAL OF ADMIRALTY BOARD WARNING

STUDENT: .....

ESTABLISHMENT/SHIP: .....

TYPE OF WARNING: .....

This is to certify that (*Rank*)…..... (*Surname*)..... has been informed that they have been removed from Admiralty Board (*Type of Warning*)..... with effect from (*Date*)..... .

SIGNATURE: .....(*Warning Officer*)

NAME: .....

DATE: .....

SIGNATURE: .....(*Student*)

NAME: .....

DATE: .....

ANNEX 57G

IMPOSITION OF WARNING FOR UNSATISFACTORY PROGRESS

RM YOUNG OFFICER: .....

TRAINING ESTABLISHMENT/COMMANDO: .....

TYPE OF WARNING: * .....

This is to certify that (*Rank*)…..... (*Surname*)..... has been warned that he has failed to reach the standards required of a Young Officer under training and that, unless there is an immediate and sustained improvement in his performance, consideration will be given to his withdrawal from training and termination of his appointment.

SIGNATURE: .....(*Warning Officer*)

NAME: .....

DATE: .....

SIGNATURE: .....(*Young Officer*)

NAME: .....

DATE: .....

* Insert “Commandant CTCRM/Commanding Officer’s” as appropriate

REMOVAL OF WARNING FOR UNSATISFACTORY PROGRESS

RM YOUNG OFFICER: .....

TRAINING ESTABLISHMENT/COMMANDO: .....

TYPE OF WARNING: * .....

This is to certify that (*Rank*)…..... (*Surname*)..... has been removed from

* ……..Warning.

SIGNATURE: .....(*Warning Officer*)

NAME: .....

DATE: .....

SIGNATURE: .....(*Young Officer*)

NAME: .....

DATE: .....

* Insert “Commandant CTCRM/Commanding Officer’s” as appropriate