CHAPTER 21

THE DIVISIONAL AND REGIMENTAL SYSTEM

(Sponsors: Navy Culture-EXECPOL-SO3 (General Divisional Matters)
NAVY PEOPLE-TMG CDR RNLA (CLM and Divisional Training))

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CHAPTER 21

DIVISIONAL POLICY AND PROCESSES

SECTION 1

GENERAL

2101. Aim

'The primary role of all in authority (i.e. Leading Hands/Corporals and above) is to offer leadership. The Divisional and Regimental System enables us to achieve that aim.'

2102. History

a. The Divisional and Regimental System can be traced back to 1755, when Vice-Admiral Thomas Smith issued orders to his Captains to organise their ships' companies into divisions, commanded by junior officers, with the aim of improving discipline, the running of the Fleet and well-being of sailors.

In 1779, Admiral Richard Kempenfelt wrote a famous letter in which he said:

> *"The only way to keep large bodies of men in order is by dividing and subdividing them with officers over each to inspect and regulate their conduct, to discipline and form them. Let the ship's crew be divided into as many companies as there are Lieutenants, except the First Lieutenant, whose care should extend over the whole. The companies to be sub-divided and put under the charge of mates and midshipmen, and besides this, every 25 men to have a foreman to assist in the care of the men, as a sergeant or corporal in the Army".*

b. The general introduction of the system brought immediate advantages to the Navy. Treatment of sailors became more humane, their efficiency improved, and the level of disease fell. The Divisional/Regimental System has remained in place ever since, proving itself to be sufficiently robust to deliver the need for leadership and welfare, whilst also flexible enough to adapt to changes in warship design, the art of warfare, and technology.

SECTION 2

RESPONSIBILITIES AND ORGANISATION

2103. Commanding Officer

The responsibilities of the Commanding Officer (and other members of the Divisional Team) are articulated in BRd 2 as follows: the CO is to organise the ship's company, exclusive of the Royal Marines, into divisions, and is to appoint an officer in charge of each division. The CO is to be the DO to the Executive Officer, Heads of Department and any other specifically named officers where appropriate. All other officers should have a nominated officer as their DO as delegated by the CO.

2104. Commanding Officers of Training Establishments

Commanding Officers of Training Establishments are to ensure that Phase 1 and 2 trainees have absolute and guaranteed confidential access through the Divisional and Regimental System to a Commissioned Officer in order to discuss issues concerning their well-being or welfare. Administrative and training issues should be represented through the normal chain of command. The existence of this route for confidential advice is to be made known to the trainees on joining the establishment.

2105. Executive Officer/2IC

The XO is to supervise the organisation and administration of the ship/unit's Divisional and Regimental System and to act as the focal point for the dissemination of policy matters. The XO is supported, in this role, by the Executive Warrant Officer (EWO), Coxswain, RSM or equivalent. In this respect, the XO's responsibilities are as follows:

a. Act as the overarching Divisional or Regimental champion within the unit.

b. Produce the formal agenda for Divisional Meetings, which are to take place three times per year (normally termly). The termly meetings should include the DO&TC Briefing Notes on The Helm as these underpin the generic Divisional policy updates from Navy Command HQ.

c. Produce feedback on completion of each round of Divisional Meetings highlighting any issues requiring Navy Command input to the NCHQ Exec team via the Divisional Reporting Tool (see 2118.h.).

2106. Divisional Officer/Troop Commander

The DOs'/Tp Cdrs' primary task is to command, lead and manage their people. In doing so, they will supervise and prioritise the work of their DSR/SNCOs. Although acting as first reporting officers (1RO) for the more senior members of their division and being 2RO for the remainder, DO/Tp Cdrs must avoid becoming embroiled in process at the lower levels. Although accountable to HODs in the first instance, DOs/Tp Cdrs are subject to the functional authority of the XO/2IC for matters of discipline (see Chapter 20) and Welfare (see Chapter 24). A comprehensive list of a DO/Tp Cdr's tasks is contained in Section 3 of this Chapter; specific responsibilities are as follows:

a. Becoming familiar with the needs, goals and capabilities (both professional and personal) of each member of their division/troop as soon as possible, ensuring that they are aware of their duties and responsibilities as well as opportunities available to them.

b. Supervising and developing their DSR/SNCOs and LH/Cpls to ensure that the whole divisional and regimental structure is providing all necessary support at the appropriate level and at the right time.

c. The personal and professional aspects of the lives of the members of their division/troop, including induction, training and education, welfare, career development, advancement and maintenance of ethos, standards and core values.

d. Making members of their division/troop aware of the Personnel Functional Standards (PFS) and Guidelines (see Chapter 22) that apply to them and draw to the attention of their HOD any shortfalls in PFS delivery.

e. Providing impartial and non-judgmental support if the individual is involved in a disciplinary offence or when the individual suffers a grievance and needs to make a Service Complaint; the DO must ensure that the Service person is fully aware of all their rights and has access to appropriate publications and legal advice.

2107. Divisional Senior Rate/Senior NCO

The Divisional Senior Rate/Troop SNCO has, among others, the following specific responsibilities:

a. DSR/SNCOs play a very important part in the Divisional and Regimental System, primarily as the vital first 'link' in the chain that allows contact between the most junior sailor/marine and the CO. It is expected that all senior ratings, SNCOs and NCOs will be involved in divisional and regimental management and day-to-day running of the division/troop.

b. The DSR/SNCO will be responsible for running the divisional/troop diary/bring-up system, briefing the DO/Tp Cdr in good time for any forthcoming requests or interviews that require preparation or action[1].

c. The DSR/SNCO will be responsible for meeting new members of the division/troop on joining, and guiding them through the initial joining and induction processes.

d. DSRs should be alert to unit memoranda (CTMs/XTMs etc.) concerning personnel matters which may require action by members of the division/troop.

e. It is not appropriate to provide a list, comprehensive or otherwise, of the duties that may be required of a DSR/SNCO as these will almost certainly be different for each division. In short, the DSR/SNCO is required to keep himself/herself aware of the general state of morale within the division and is to deal initially with all requests from division members, including those where an individual wishes to see the CO on a private matter. DSR/SNCOs will personally lead the induction process for JRs and, through their detailed knowledge, will perform the role of first reporting officer for JRs. They are strongly encouraged to act as 'gatekeeper' and as an 'early warning system' for the DO/Tp Cdr.

[1] Care must be taken to ensure that the Data Protection Act is applied i.e. that personal details are not divulged inadvertently.

f. In performing this function for ABs, DSR/SNCOs must draw on the knowledge of LH/Cpls. DSR/SNCOs will perform career management and welfare support work under the supervision of the DO and HOD. Overall, DSR/SNCOs have a pivotal role in communicating information down and equally importantly, up the Command chain, and are expected to put a human face on the traditional aspects of the Divisional and Regimental System.

2108. Leading Hands/Corporals

LH/Cpls have an important leadership function as they have the closest knowledge of the ABs/Marines in their messdeck and working environment. Divisional LH/Cpls have, among others, the following specific responsibilities:

a. Div LH/Cpls must have a formal role in contributing to the reporting process

b. Div LH/Cpls are to be responsible as 'sea parents', or to allocate an experienced AB/Mne or LH/Cpl from within the same division/troop or mess to be a 'sea parent', for more junior new joiners. This is especially important if the new joiner is arriving in their first complement billet after initial training (some individuals may benefit from this support beyond the initial induction period).

c. It is vital that they play a full part in the communication chain, which is at the heart of a good Divisional and Regimental System. Equally importantly, they must keep their DSR/SNCO informed about the changing support needs of the division. They will often be the first to identify emerging issues for their subordinates, especially impending welfare issues which may burden the individual.

2109. Professional Divisional Officers

The concept of the Professional Divisional Officer (PDO) has been developed in major shore [training] establishments. PDOs are defined as those officers, WOs, CPOs and SNCOs who are employed primarily as DOs to larger than normal numbers of newly entered Able Ratings (ABs) while they undergo Phase 1 or Phase 2 training, or within a Personnel Support Group, Recovery Troop and RNRC Hasler. CTCRM incorporates Troop Commanders within the Phase 1 and 2 training construct. PDOs are borne on the unit's Establishment List specifically for this task and normally spend over 90% of their time at work on such duties. In this context a PDO should be able to manage up to 60 ratings throughout the early part of their training. ABs will normally be allocated to a new division on arrival in each new training establishment, and at every stage of their training. For those undertaking split training courses, it is imperative that the correct divisional care is provided, and local arrangements must be made to ensure that all trainees know who their DO/DSR/SNCO is and how to contact them.

2110. Transit Divisional Officers

Officers and ratings are frequently landed or assigned away from ships or shore units for leave, harmony, professional development courses or on medical or disciplinary grounds. Such personnel will be managed ashore by the Personnel Support Group (PSG) and the Margins MA4/5/6(A)/7(A, B, C, D or E). If an officer or rating is landed to a PSG, they remain assigned to their parent unit and that unit retains full divisional responsibility; the PSG TDO will administer local divisional advice and guidance. It is paramount the parent unit informs the PSG of the landed person if they require PSG involvement or assistance. If an officer or rating is assigned to a PSG, COs are to ensure that a full handover is conducted between the sending unit's DO and the PSG receiving the individual. For officers of the rank Lt Cdr and above assigned to MA5 and MA6 only, divisional responsibility will defer to that individual's Career Manager unless otherwise agreed. All other officers assigned to a PSG are the divisional responsibility of the OC of that PSG. Within a PSG, the recommended divisional ratio is 1:40, and 1:20 for higher dependency divisions. At no stage must an individual have any-doubt as to where their divisional care resides. It is re-emphasised that, in all cases where an individual is not formally assigned to the PSG, the-ship or unit retains full divisional responsibility and the ship's DO and DSR should remain fully-engaged and in contact with the rating on a weekly basis.

2111. Civilians with Divisional Responsibilities

The Divisional and Regimental System depends on the principle that there should be a clear and obvious link between CO and the most junior individual. The joint responsibilities and activities of XOs, the DOs, DSR/SNCOs and LH/Cpls provide that chain. The Divisional and Regimental System should be totally integrated into the departmental structure, and so far as practicable into the operational line management. The organisational structure below is based on the system at sea and should be adapted to circumstances ashore or other fighting arm elements as appropriate. In general, all officers and most SRs/SNCOs should have roles within the system; exceptions should be made only for those with very heavy workloads or with broader remits to the whole unit, such as EWOs, RSMs and Departmental Co-ordinators**. PO/Sgts are not to be employed as Divisional Officers - there is no exception to this**. Detailed guidance is as follows:

a. The Divisional and Regimental System employed within each ship or unit is the responsibility of the CO.

b. Every effort should be made to prevent any member of the management chain having direct responsibility for more than 15 subordinates and the range seven to 12 is optimal. To achieve this at sea, most PO/Sgts and some CPO/CSgts will need to be employed as DSR/SNCOs.

c. It is entirely proper for the Command to nominate experienced DOs (probably Lt Cdr/senior Lt) to supervise junior or inexperienced DOs. These 'Supervising DOs should still have divisions in their own right but can also exercise oversight of up to three 'junior' divisions. Care should be taken that such Supervising DOs are not overburdened with 2RO reporting responsibilities in these circumstances.

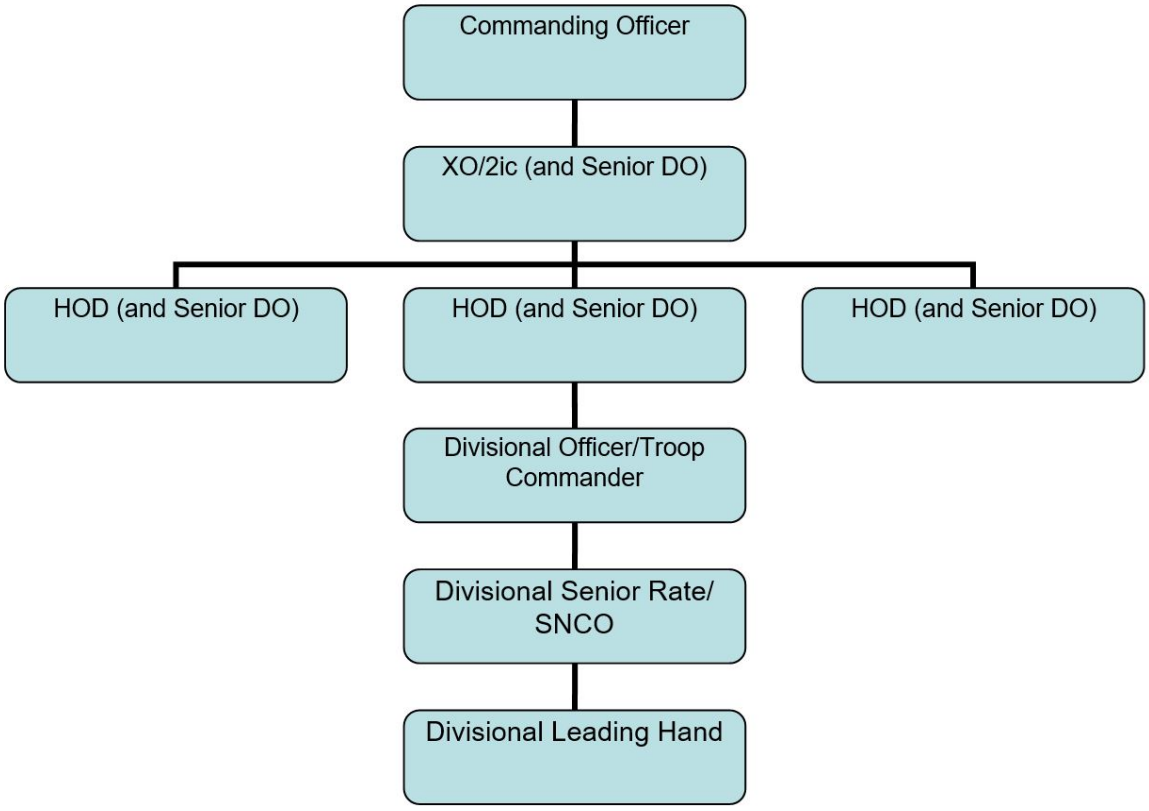
d. Ratings/ORs who have DOs of WOs or CPO rank must always be provided with access to a commissioned officer (e.g. their Supervising DO, HOD or DHOD) should they require it. This does not call into question the ability of SRs to carry out the full duties of a DO but is a 'safety net' to ensure personnel allocated to SR DOs do not feel disadvantaged. This does not affect the Service custom whereby any rating may request, through their DO, to see the CO on a private matter (BRd 2 4201.3.b).

e. On joining a ship/unit, each rating/OR is to be allocated to a division. Individuals do not have the right to question this allocation, nor may they request to change divisions.

f. On arrival in each new training establishment, ratings/ORs will be allocated a new division, and so on at each stage of their training. For those undertaking split training courses, it is imperative that divisional care is provided and local arrangements must be made to ensure that all trainees know their DO/Tp Cdr/DSR/SNCO and how to contact them.

g. WOs, CPOs and SNCOs who are DOs are to be provided with divisional/troop Officers to provide for their own professional and welfare needs.

Figure 21-1. Typical Ship/Establishment/Regimental Divisional Organisation



SECTION 3

DUTIES OF A DIVISIONAL OFFICER/TROOP COMMANDER

2112. Introduction

A DO's duties are many and varied and, while guidance on their principal duties is covered in this section, direction on specific policy matters may be found elsewhere in this BR. The incoming DO/Tp Cdr initially has the vital task of getting to know their division/troop, obtaining their trust and respect as someone who can be turned to with confidence for advice, assistance or help in times of difficulty.

2113. Duties on Taking On/Handing Over a Division/Troop

On assuming responsibility for a division there will be much information to discuss between outgoing and incoming DO. As a minimum, the following tasks are to be completed as part of the handover, before the outgoing DO/Tp Cdr departs:

a. Conduct a discussion on each member of the division, their objectives, welfare needs and the status of their appraisal report.

b. Carry out a check on the 'bring-up' method in use and note taken of any imminent/outstanding requests.

2114. Annual Mandatory Personal Information Check and Divisional Officer/Troop Commander's Dashboards

a. SCIO (Appendix 8 to Annex 21A) is an application within JPA that allows users to view and interrogate JPA information. It also collates all the information held in various areas within JPA into a useful one-page summary. When used correctly, it will save the DO/Tp Cdr a huge amount of time and effort in staff work. It is each individual's responsibility to carry out a JPA Data Check at least annually. UPO/unit HR staffs will carry out periodic reviews to provide assurance that data held by JPA is accurate and that JPA Data Checks are being carried out. A detailed guide of how to carry out a JPA Data Check is at Appendix 1 to Annex 21A.

b. The DO/Tp Cdr dashboard within SCIO builds upon the JPA Data checks and enables DOs, Tp Cdrs and the Chain of Command to access data on their people in a number of different views. Importantly, it highlights when individuals have out of date/incorrect information in JPA as well as automatically displaying bring-up actions or other information on other displays. It is therefore imperative that personal information held on JPA is accurate, in order to inform vital processes such as NOK Casualty Reporting, Souls on Board accounting and career assigning. Information changes constantly and these checks apply to all members of the Service irrespective of rank/rate. The dashboard is simple and intuitive to use and is accessible through the front page of JPA. In addition, inspecting authorities will subject divisional work to scrutiny as part of the work-up process by Holding to Account (H2A) individual DOs/Tp Cdrs whose divisional work is untimely, or lacks the necessary quality or rigour. A detailed guide of how to conduct the DO/Tp Cdr's Dashboard is at Appendix 3 to Annex 21A .

2115. Appraisal Reporting

a. Appraisal is one of the most important functions of **leadership,** providing the chain of command with a dynamic mechanism for engaging fully in the development of its people, thereby enhancing morale and operational effectiveness. To this end, all SP regardless of rank, are to receive honest feedback on their performance against agreed roles, responsibilities and objectives. Additionally, appraisal provides individuals with the opportunity to positively influence their own career path, while enabling Reporting Officers (ROs) to support career management by commenting on potential in terms of both promotion and future employment.

b. The fair, timely, responsive and accountable career management of military personnel is a critical aspect of retaining their trust. It also ensures their careers are properly progressed, a key part of the offer. The delivery of appraisals is at the heart of this process; to ensure they deliver what is required, they must be actioned within clearly defined direction. JSP 757 is the authoritative policy and guidance for military appraisals.

c. There are generally two occasions when DOs/Tp Cdrs need to make formal appraisals of the members of their division/troop, the Annual Report (AR) and the Mid Period Appraisal Review (MPAR). Further details on these are at Annex 21C.

2116. Joining Letters

Joining Letters are normally the first contact the prospective member of the division/troop receives from their new ship or unit and therefore have great impact. Even in the digital age of electronic communication, the Joining Letter sets the tone to the new joiner, delivers vital information, and provides the first opportunity to welcome and absorb them into their new operational setting. Even if subsequent contact is by email, text or mobile phone, a Joining Letter should always be sent. Detailed guidance, together with a template for a Joining Letter, is at Annex 21D.

2117. Joining Routine and Interview

New members of the division/troop should be met on joining by the DSR/SNCO (at least), who should ensure that the individual is guided and supported through the initial joining and induction processes (see also Paras 2107 and 2108, DSR and LH responsibilities). The new joiner should be interviewed by the DO/Tp Cdr as soon as practicable after joining. The interview should be conducted in the DO's cabin (or other similarly private area), be programmed for at least 30 minutes (possibly up to an hour) and be free from interruption. A check-off list and further guidance on the joining interview is at Annex 21E.

2118. Divisional/Troop Meetings and Briefings

Divisional Meetings are to be held at least three times each year; the XO is responsible for producing formal agendas. The following describes the process step by step:

a. The XO, following consultation with the CO and HODs, issues an XTM containing a skeleton agenda, brief on whole ship items and dates by which meetings should be held.

b. In addition to the skeleton agenda, the DO/TC Briefing Notes supported by the latest 60 Second Update video (when applicable), gives personnel 'hot topics' and key points that are to be discussed at divisional/troop meetings. DO/TC Briefing Notes are held at The Helm and are updated throughout the year. This gives units the opportunity to plan divisional/troop meetings at their convenience.

c. In addition to the DO/TC Briefing Notes, the agenda for divisional/troop meetings must include updates on RN policy on alcohol/drug misuse (Para 2137-2140) and RN D&I policy (Chapter 30).

d. HODs brief departmental DOs as required, adding any departmental specific items to the agenda.

e. DOs add any divisional/troop specific items and ask DSR/SNCO to obtain bids and questions from divisional members (always retaining an 'any other business' item).

f. Agenda promulgated in good time to the division/troop.

g. Meeting takes place, chaired by DO/Tp Cdr, assisted by DSR/SNCO and LH/Cpl.

h. Feedback from divisional/troop meetings is to be captured using the Divisional & Regimental Reporting tool (D&RRT) on SCIO (Appendix 5 to Annex 21A). This will allow HODs and Unit Exec the opportunity to respond and provide feedback for unit related issues or escalate the issue to NCHQ for further investigation or guidance.

i. Once feedback has been captured on D&RRT, unit Exec teams are to brief the CO regarding issues raised from divisional/troop meetings.

j. Divisional and Troop meetings need not be confined to the termly events described above. A DO/Tp Cdr may wish to have a weekly get together over coffee, a monthly discussion, or take them to play sport at regular intervals. There is no mandated policy: it is strongly recommended, however, that DOs/Tp Cdrs gather their people at the mid-point between termly meetings to discuss issues at departmental, unit or Service level; the aim being to build esprit de corps and hence operational effectiveness.

2119. Leaving and Exit Interviews

Shortly before departure from the division/troop in normal course (unless an annual Appraisal Report (AR) has taken place in the recent past), the leaving member of the division is to be interviewed by the DO/Tp Cdr. Amongst other things, the leaving interview provides the follow opportunities:

a. To investigate how well the Divisional/Regimental System has met the needs of the individual during their time in the ship/unit.

b. To remind the individual of all they, and the unit, have achieved during their time onboard/in the unit and to thank the individual for their contribution.

c. To establish if the individual has received a Joining Letter from their forthcoming ship/unit and the identity of their new DO/Tp Cdr. If such information is not available, the DO is to establish the receiving DO's name and inform the leaving individual.

d. To inform the individual of any information or matters of concern that are to be forwarded to the new DO/Tp Cdr.

e. To inform the individual that, should they have a period of leave before joining their next unit, their current division (and ship/unit) should be called upon for assistance if required[2].

f. In addition to the routine leaving interview, DOs/Tp Cdrs are to ensure that personnel leaving the service (through Voluntary Outflow) are given an appropriate 'Exit' interview. All COs/LMs are to conduct an Exit Interview as soon as possible following the submission of an individual's notice to leave. Guidance on the conduct of Exit Interviews is currently being re-written (expected to be complete mid 2023). In the interim, reference should be made to RNTM 01-078/18.

2120. Discipline

The DO/Tp Cdr's role in the discipline process is explained at Chapter 20 Section 5.

[2] Mindful that Data Protection Act regulations require any relevant paperwork to be passed to the next unit e.g. Certificates or competences.

SECTION 4

DIVISIONAL GUIDANCE AND ADVICE

2121. Counselling and Welfare Matters

The following guidance is provided on matters of counselling and welfare:

a. One of the DO's tasks is to provide help and advice on personal matters. The DO/Tp Cdr and DSR/SNCO are the first line of 'Welfare Care' to individuals and as such are an integral part of RNRM welfare provision. DO/Tp Cdrs bear primary responsibility for members of their division/troop; whilst the EWO, Chaplain and Medical Officer (or other equivalents) may provide support to the DO/Tp Cdr (but do not replace them).

b. **Individuals must feel confident they can approach their DO/Tp Cdr for an interview whenever the need arises; it is the DO/Tp Cdr's duty to create an atmosphere of approachability and an awareness that 'welfare issues' carry no stigma**. Occasionally, operational circumstances may require that the interview be deferred or it may be prudent not to conduct an interview at the time (e.g. if the individual is in an emotionally excited state, or has been drinking), nonetheless the interview should take place as soon as possible.

c. Inexperienced or young DO/Tp Cdrs may feel reticent about discussing problems, particularly with older ratings, in areas where they have no personal experience, e.g. marriage. DOs/Tp Cdrs should bear in mind, however, that often the individual's prime need is simply to discuss the matter: just by listening, (perhaps with the occasional question for clarification) the DO/Tp Cdr goes part of the way to setting the individual's mind at rest.

d. What may seem a small matter to the DO/Tp Cdr may be of great importance to the individual. It may be that all the individual requires is informed, factual information. Here, if the DO/Tp Cdr does not have the information to hand they should investigate and consult as necessary to obtain the facts or refer the individual to a subject matter expert.

e. Some of the most difficult problems are those of a moral or religious nature that require practical advice or assistance (such as relationship breakdown or bereavement matters). Sometimes the actual or imagined seriousness of a family or personal problem is causing mental or emotional stress to the detriment of the individual's professional performance and may cause disciplinary or administrative problems. If the DO/Tp Cdr feels that their inexperience deprives them of the ability to give practical advice, there may be benefit in arranging an interview with their HOD or the XO, whilst the DO/Tp Cdr remains responsible for oversight of the problem and individual.

f. A member of the division/troop with a personal problem may disclose it to a Chaplain or Medical Officer whilst feeling unable to discuss it with their DO/Tp Cdr. This may be for reasons of embarrassment or fear of being perceived as a burden that tarnishes their career prospects. The Chaplain/MO can translate the situation to the DO/Tp Cdr without necessarily divulging intimate or confidential details, and trust between the DO and Chaplain/MO can develop into a strong working relationship.

g. If a welfare investigation is required, the individual's consent is to be sought and it is expected that they will inform their family. Full details of welfare matters can be found at Chapter 24.

2122. Walking the Patch

The DO/Tp Cdr's primary role is to know and lead their people; this cannot be done from behind a desk or computer. It can only be done by meeting people 'face to face' (humans naturally respond to eye contact and body language) and this is where the inexperienced DO/Tp Cdr builds trust. Meeting members of the division/troop on their territory will make them much more willing to engage and enable DO/Tp Cdrs to learn about their people, their background, family, religion, sport etc. Sailors and marines enjoy 'chat' and welcome genuine interest (which cannot be conveyed by email). A walkabout does not need to cover the entire division/unit or everyone in it, or be conducted at a set time or frequency. The value of a brief chat, however, should not be underestimated; even a brief five minutes of a DO/Tp Cdr's time can make a huge difference to the individuals met. This applies equally to the DSR/SNCO and improves cohesion, morale and effectiveness. Perhaps the single biggest failure of a DO/Tp Cdr is when one's division/troop perceives that they do not know their DO or that they 'never see them'. Walking the patch also gives DO/Tp Cdrs the opportunity to assess their people (their professional standards, attitude, dress, hopes and fears). For individuals, engagement is key to making them feel valued by the organisation. Advice on walking the patch, in the form of a set of 'dos' and 'don'ts', is offered at Annex 21G.

2123. Time Allocated to Divisional/Troop Work

The amount of time allocated to divisional/troop work will depend on operational circumstances and cannot be pre-set or measured in terms of hours per day, week or month. On the basis that leadership, including divisional/troop work, is the prime responsibility of everyone at LH/Cpl and above, DO/Tp Cdrs are to allocate *'as much time as is necessary'* to divisional/troop duties, which are to be given at least equal status to their primary professional role. Time management is an extremely difficult art to perfect. It is routinely 'easy' to continuously prioritise departmental work over divisional duties, however this **must** be monitored and balanced accordingly. COs and HODs are to ensure that officers and senior ratings afford sufficient priority to divisional/troop work and that they are not overwhelmed with secondary duties to the detriment of their responsibility for people. Although it is strongly encouraged for XOs to programme divisional periods into the working day when possible, DOs/Tp Cdrs are to be aware that divisional and regimental duties and responsibilities are a 24/7 responsibility.

2124. Communication

Good communication, both up and down the chain of command, is the lifeblood of the Divisional and Regimental System and it is imperative that DO/Tp Cdrs establish good and regular communications with their division/troop members. Communication starts when the Assignment Order is received (i.e. before they arrive) and continues until either the DO/Tp Cdr or individual is assigned elsewhere. Similarly, DO/Tp Cdrs must regularly brief their HODs/line managers, the XO/Adjutant and, on occasion, the Commanding Officer, acknowledging that this may require moral courage when the message is of an unwelcome or contentious nature. Briefing upwards will build Command confidence in the DO/Tp Cdr and provide assurance that the unit Divisional/Regimental System is working.

2125. Dissemination of Information

In Fleet units, the Executive Officer/2IC, together with the Executive Warrant Officer/RSM, Coxswain or equivalent, is the focal point for the dissemination of information in support of the Divisional and Regimental System and associated issues. From Navy Command, Dir P&T will 'push' relevant policy and procedural information to these points of contact either directly or via Executive teams. Divisional coordinators and EWOs are responsible for pulling information from the DO & TC Briefing Notes held on the Helm. Such information should be disseminated either by routine orders, temporary memoranda, or divisional/troop meetings as appropriate. Feedback on divisional and regimental issues should be forwarded via the Divisional Reporting Tool (see 2118.h.).

2126. Oversight of Initial Trainees

Commissioned Officers are to be given responsibility for the welfare of initial trainees. DOs/Tp Cdrs for initial trainees are to conduct internal quality assurance audits of training undertaken (notwithstanding the requirements of the Defence Centre for Training Support (DCTS)) to ensure that best practice is maintained and that initial trainees are not placed at risk or subject to bullying or harassment at this early stage of their Service careers.

SECTION 5

REQUESTS

2127. Requests

DOs/Tp Cdr's responsibilities concerning requests can range from simple requirements, which can be authorised by the divisional and regimental chain, to more complex tasks which must be approved or seen by the CO. The scope of requests can be quite wide but some of the common subjects/occasions are as follows:

a. Award of GCB.

b. Imposition of Naval Penalties.

c. Confirmation of promotion.

d. Request to become an Upper Yardman/Senior Upper Yardman candidate.

e. Request to see the CO.

2128. Timeliness

The requirement to ensure timely submission of requests applies in all cases. It is essential that the DO/Tp Cdr or DSR maintains a BU Diary to ensure that necessary action is taken in a timely manner. OBIEE provides an electronic BU Diary, although a local paper copy may be the preferred method for many DOs. Extraction of key data and future dates forms part of the Joining Interview which is then updated by the Annual JPA Check using the OBIEE dashboard.

2129. Actions

If the DO/Tp Cdr can deal with a request, the Request Form/JPA Workflow should be returned to the individual with the decision recorded. If the request requires approval at a higher level, the individual should be informed what action is to be taken and when that might be expected. Whilst some requests may be dealt with 'papers only' by appropriately authorised personnel, due regard should be paid to ensure that an appropriate level of prestige and recognition, for example in the award of a Good Conduct Badge, is given to significant stages of an individual's career, which should merit formal or informal presentation by the CO.

SECTION 6

TRAINING, EDUCATION AND PHYSICAL DEVELOPMENT

2130. Training of Divisional Officers/Troop Commanders

The following regulations apply to the training of personnel involved in divisional/troop management.

a. DOs/Tp Cdrs and DSRs/SNCOs must have completed the Divisional Officers' Course (DOC) at the Royal Naval Leadership Academy (RNLA) East, Divisional Training Unit (DTU), HMS COLLINGWOOD (or CTCRM Lympstone for RM) not more than six months prior to, and certainly not after, assuming responsibility for their first Division. DOs/Tp Cdrs and DSR/SNCOs are then to keep themselves up-to-date by accessing the DO & TC Briefing Notes held on the Helm, and other publications (e.g. 60 Second Update videos, DINs, RNTMs and Galaxy Briefs).

b. The Divisional Officer[3] Toolkit (DO Toolkit) was created to provide up-to-date information to DOs across a broad spectrum of areas a DO may be reasonable expected to deal with. The toolkit is updated frequently with up-to-date policy changes and information that are designed to help the DO in quickly finding the most recent guidance and policy information.

c. Continuation of DO/Tp Cdr training is a natural part of RN CLM. There is no formal training package to be completed post completion of DOC and DOs are to keep themselves abreast of changes via the DO Toolkit. In the unlikely event that a CPO, WO or Commissioned Officer does not lead and manage a division for over 5 years, there may be a requirement for that individual to retake DOC. This should be discussed by the responsible unit and the Training Delivery Unit (HMS COLLINGWOOD or CTCRM..

d. WOs, CPOs, SNCOs, and MOD civil servants and members of the Army or RAF who are given responsibility for a division or troop of RN/RM personnel must have completed the Divisional Officers Course (DOC) (RM equivalent is embedded in professional career courses) before assuming that duty. This is a Cat 'A' Personnel Functional Standard (PFS): failure to provide a trained DO/Tp Cdr must be reported to Navy Command Headquarters. If a DO/Tp Cdr is non-commissioned, each member of the Division/Troop must have a formally notified means of access to a nominated commissioned officer.

e. Upon successful completion of the DOC, WOs, CPOs and SNCOs may act as full DOs. WOs may act as DOs/Tp Cdrs for CPOs/CSgts and CPOs/CSgts may act as DOs for POs/Sgts.

f. COs are to take a personal interest in the training and development of their DOs/Tp Cdrs, SRs/SNCOs and LHs/Cpls. Heads of Department are responsible for ensuring that members of their department receive advice and guidance in performance appraisal and reporting.

[3]https://modgovuk.sharepoint.com/sites/IntranetNavy/Documents/Forms/Sports.aspx?id=%2Fsites%2FIntranetNavy%2FDocuments%2FRNLA%2DDivisional%2DOfficers%2DToolkit%2Epdf&parent=%2Fsites%2FIntranetNavy%2FDocuments

g. Details of Divisional and Command, Leadership and Management (CLM) training are at Section 10.

h. Eligibility for DOC is a minimum of Selected CPOs, WOs and all Commissioned Officers post Phase 2 training prior to compliment assignments. All bookings for DOC are managed and allocated through respective Career Managers.

2131. Individual Training

The subject of training, education and development of individuals is one of the main tenets of the Divisional and Regimental System and must be given appropriate priority by DOs. The 'Teach, Coach, Mentor' culture is already firmly embedded within the RM and is gaining growing recognition in the broader RN. Various branches and 'groupings' have mentor networks established. Details of personal training and development may be found at Chapters 95 and 96.

2132. Physical Development and Well-being

DOs/Tp Cdrs are to actively encourage participation in sport and organised recreation among division members. Personnel Functional Standards (PFS) set out standards and guidelines for many aspects of Service personnel issues (see Chapter 22). DOs/Tp Cdrs are to ensure that their division/troop are aware of the PFS and of the Cat 'A' entitlements and Cat 'B' aspirations. COs, XO, HODs and DOs should all actively promote and encourage a positive environment for physical health and well-being. It is accepted that often the pace of day-to-day operations can lead to insufficient time being afforded to promoting a NavyFit culture. Ultimately, the ability of a unit to prioritise physical development and/or sport periods into the working day/week will only routinely occur if it is Command led. This is strongly encouraged whenever possible.

2133. Royal Navy Physical Employability Standard (PES) (Previously RN Fitness Test)

Every member of the RN has a responsibility to maintain their physical fitness and to be fit in all respects for operations. The PES is the minimum baseline of requirement. It must be completed at intervals of not more than 12 months, and an individual must be in date at their Common Promotion Date to be eligible for promotion. **It is the individual's responsibility to remain in date**, but DOs must pay a close interest and pay particular attention to those on conditioning programmes or who have been temporarily medically downgraded. Refer to Chapter 29 for detailed guidance.

SECTION 7

ETHOS, VALUES AND STANDARDS

Protecting our Nation's Interests. 24 Hours a day, seven days a week, at sea, on land and in the air, the Royal Navy is on duty around the globe.

2134. Ethos, Values and Standards

In the Royal Navy the 'The Team Works': this short phrase describes how our fighting spirit, 'can do' attitude, and high standards of professionalism, behaviour and self-discipline have enabled us (sailors and marines) to deliver operational success consistently down the centuries. We have a duty to sustain that tradition and ethos in order to continue 'Protecting our Nation's Interests'. Our Core Values and other components of Ethos, Values and Standards are detailed at Annex 21H.

SECTION 8

PERSONAL CONDUCT

2135. Armed Forces Code of Social Conduct

a. The Code of Social Conduct explains the Armed Forces' policy on personal conduct, paying particular close attention to relationships involving Service personnel (SP). It applies to all members of the Armed Forces regardless of their gender (including gender reassignment status), sexual orientation, race, religion, belief, ability, rank or status. The Armed Forces Code of Social Conduct policy and application of the Service Test is detailed in JSP 887; this article provides subordinate supplementary single Service guidance to COs and those involved in the management of personal relationships and social misbehaviour.

b. Unacceptable social conduct requires prompt and positive action to prevent damage to operational effectiveness, thus it is important that DO/Tp Cdrs are aware of what action should be considered. Further guidance for the management of personal relationships and social misbehaviour is contained in Annex 21I and associated Appendices.

2136. Substance Misuse

Alcohol and Substance Misuse and Testing policy for the Armed Forces is detailed in JSP 835. In certain areas, however, tri-Service policy requires single Service interpretation and clarification. Royal Navy guidance on this subject is therefore given at Annex 21J (see also BRd 2 Art 3625). In addition to the testing policy, the Alcohol and Substance Misuse Education and Management programme exists as the primary preventative measure to guard against future misuse. The main safeguard against the alcohol culture and drug misuse threat in the Service is a continual programme of education, and advocating core values, ethos and standards of behaviour and personal responsibility. Full details of the RN Alcohol Education policy and management of alcohol abuse strategy are at Annex 21J Appendix 1.

2137. Compulsory Drugs Testing (See also BRd 2 Art 3625 and JSP 835)

Detailed policy and guidance on Compulsory Drugs Testing may be found at Annex 21K.

2138. Involuntary Drug Use (Spiking)

a. The spiking of drinks is unlawful and must be reported to the civil police and Service Police as soon as reasonably practicable. There have been incidents of SP suspecting that their drink has been spiked whilst they were ashore. This can be very worrying, given the penalties for drug related offences. Action to be taken in the event of suspected spiking is to be discussed as part of divisional/troop meetings and is covered at Annex 21K Appendix 1 (see also BRd 9600 Ship's General Orders - SGOs).

b. Guidance on the provision of out of hours supervision for Royal Navy personnel who may be at physical risk, e.g. due to substance abuse or misuse of legal, prescribed or illegal substances, acute distress, or are threatening to cause self-harm, may be found at Annex 21K Appendix 2.

2139. Stress

JSP 375 states the following: "Stress affects people in different ways at different times and is often the result of a combination of factors in their personal and working lives. Work related stress arises where the combination of pressure from workload, working practices, work relationships, etc. exceed the person's capacity and capability to cope, resulting in adverse physical and/or mental reactions"[4]. Service in a deployable fighting force brings with it inevitable pressures, such as separation from family and friends, and periods of intense, sometimes dangerous, activity. Whilst these pressures do not inevitably cause stress and many personnel cope with extraordinary demands without suffering ill effects, anyone can begin to suffer from stress at any time. DOs/Tp Cdrs need to be aware of the possibility of stress as a cause of problems in both themselves and their division and should refer to the detailed guidance that may be found at Annex 21L.

2140. Deliberate Self Harm or Suicide

In comparison to the UK population, deliberate self-harm (DSH) and suicide are not common in the RN. Nonetheless, a basic understanding and knowledge of what to do if their suspicions are aroused is essential for all DOs/Tp Cdrs. Full information is given at Chapter 24 (Welfare) Para 2418 and Annex 24D which should be referred to for detailed guidance.

2141. Diversity and Inclusion

All personnel have the right to work in an environment free from harassment and bullying, and to be treated with fairness, dignity and respect. Any form of bullying, harassment or unlawful discrimination will not be tolerated in the Royal Navy as it undermines team cohesion and weakens operational effectiveness. Creating a culture and working environment which recognises diversity and inclusion (D&I) is the business of everyone in the Service. DOs/Tp Cdrs must be particularly aware of ensuring their people feel valued and included within the team. If issues do occur, DOs/Tp Cdrs must ensure that they are taken seriously and dealt with correctly. Complaints may well be one person's word against another and will thereby become difficult issues to resolve. DOs/Tp Cdrs must take immediate action engaging with the unit Equality and Diversity Adviser (usually the EWO or equivalent). Guidance on what may be appropriate can be found in Chapter 23 (Service Complaints), Chapter 30 (D&I) and BRd 2 Chapter 42 Section 2. A strong Divisional/Regimental System and application of the Royal Navy Ethos (respect for others) ensure a diverse and inclusive workplace for all that will reduce the likelihood of issues or unfair treatment.

2142. Security

Security is the business of all Royal Navy personnel. All aspects of security are dealt with in JSP 440, the Defence Manual of Security, and specifics on Security Vetting policy can be found in Chapter 63. It is essential that security be brought to the attention of all serving personnel. This is to be done by regular security briefings by the Unit Security Officer (USO). All personnel are required to complete the General Security Awareness Training (GSAT) annually, and the Cyber Security Awareness Training (CSAT) every 2 years. DOs/Tp Cdrs are to monitor their division/troop's currency for this lecture as part of the Annual Mandatory Check of Personal Information held on JPA (OBIEE Dashboard).

[4] JSP 375 Management of Health and Safety in Defence Pt 2 Vol 1 (V1.0 Dec 14) Para 17.1.5.

2143. Wills

COs have a responsibility to ensure that personnel are both encouraged and provided with the opportunity to complete a Will. This responsibility may be devolved to DOs/Tp Cdrs to manage within their Divisions/Tps. The MOD is not authorised or competent to provide advice on Wills or Will making which, if required, should be sought from a solicitor or other specialist adviser. Detailed guidance on Wills can be found at Annex 21M.

2144. Social Media

The use of social media/social networking sites is widespread throughout society, including the Royal Navy. Whilst acknowledging the benefits, social media has nevertheless brought challenges for the military in terms of security, discipline and reputation. Detailed guidance for individuals on their use of social media, and for Command teams in dealing with the consequences (intended or otherwise) of communications on social media, can be found at Annex 21N.

2145. Fraud and Irregularity

Fraud costs the public sector £21 billion per annum. The law against fraud and irregularity is shaped by two key pieces of legislation, the Fraud Act 2006 and the Bribery Act 2010. Fraud and Irregularity have no place in the RN. DOs/Tp Cdrs are to ensure that their divisions are aware of the Service's zero tolerance to fraudulent activity and irregularity and are to ensure that the tri-Service Hotline and online reporting website are known about. Details on Fraud and Irregularity can be found at Annex 21O.

2146. Caldicott Principles

The Caldicott Principles are a list of seven principles subsumed into the NHS confidentiality code of practice. They are intended to protect the personal medical information of individuals and govern how such information can and cannot be used. This is relevant to DOs/Tp Cdrs and all others in the chain of command who may on occasion be exposed to an individual's personal medical circumstances, e.g. circumstances leading to medical downgrading. DOs/Tp Cdrs are under the same obligations as the medical profession to respect the confidential nature of this information and ensure it is handled correctly. Details of the Caldicott Principles pertinent to DOs/Tp Cdrs can be found at Annex 21P.

SECTION 9

FINANCIAL AWARENESS

2147. Financial Awareness

While the majority of training establishments deliver financial briefings within Phase 1 and 2 courses, all personnel on the trained strength need to maintain continued financial education and support through-career. Two organisations are authorised to give these briefings: the Money and Pensions Advice Service and the White Ensign Association (WEA).

a. The Financial Services Act required the Financial Services Authority to establish the Money Advisory Service, since renamed the Money and Pensions Service (MaPS) in 2019. The MaPS' primary remit is to enhance the public's understanding and knowledge of financial matters and to improve their ability to manage their own financial affairs, and they have survived the dissolution of the FSA. It remains an independent body which provides and delivers financial briefings on request, as well as individual advice. In the course of surveying financial awareness education, it has become apparent that there are some Independent Financial Advisors (IFAs) offering their own financial briefings to RN units and establishments. CDP has directed that IFAs should not have access to recruits or trainees under the banner of financial briefings, but for all other personnel it is for the CO to decide whether to grant IFAs access to unit personnel in the workplace. It is arguable that some financial education is better than none, but not all providers come without a sales pitch. MaPS' services may be enlisted directly or through RN People and Family Support (RN FPS).

b. Not funded by government but of equal status with respect to financial briefings, the WEA promotes financial responsibility and awareness to members of the Royal Navy (ratings and officers), making free, confidential and impartial advice available to individuals as required. The WEA also delivers financial briefings on request and is used by MaPS on occasion as a proxy to deliver their briefs to units. The WEA and MaPS are both independent and work very closely with all three Services.

c. To maintain awareness and education, or when operations and deployments preclude formal external briefings, self-help training packages are available from:

www.learndirect.co.uk, which provides courses for our people and their families;

Defence E-learning Centres www.delc.co.uk.

2148. Financial Counselling

DOs/Tp Cdrs may need to conduct basic financial counselling for individuals in their Division. A proforma is at Annex 21Q should this be required. DOs/Tp Cdrs are not to give financial advice as such but can and should signpost individuals to professional bodies. Listed below are some of the professional bodies and other websites which can offer assistance:

a. Money and Pensions Service (MaPS) – www.maps.org.uk

b. The White Ensign Association (WEA) – www.whiteensign.co.uk

c. A number of links are available at www.rncom.mod.uk

d. www.nff.org.uk.

2149. Maintenance of Spouses/Civil Partners and Children

a. Married SP in a civil partnership are to be encouraged to make adequate financial provision for the maintenance of spouses/partners and children. It should be fully explained to an individual who neglects to support the family adequately that MOD (Navy) has authority under the Naval Forces (Enforcement of Maintenance Liabilities) Act 1947 to make Compulsory Maintenance Deductions from an individual's pay whether or not a Court Order for maintenance has been obtained. Once a Court Order is obtained deductions from pay will be made in compliance with that order.

b. An individual on assignment to a seagoing ship (home or abroad) or to a shore station abroad involving family separation should be strongly encouraged and given every opportunity to split their net pay (JSP 754 Chap 2 Sect 2), whereby they can have a proportion of their pay sent to their spouse/registered partner or guardian's bank account/building society (if they do not hold a joint account). The DO/Tp Cdr must be satisfied that adequate arrangements exist for the proper support and maintenance of the family. If adequate arrangements have not been made, the DO will inform the CO, who, if they consider the circumstances warrant further action on their part, may interview the individual to encourage them to provide the necessary minimum maintenance.

c. DO/Tp Cdrs should warn individuals who decline to make proper arrangements to support their families that their Personal Status Category will have to be changed which, in turn, will render them liable for Food and Accommodation charges (where applicable), and may reduce or stop allowances they may have been eligible for as a married/registered person.

d. Any order for maintenance or Child Maintenance Service (CMS) requests for deductions from pay on a Maintenance Assessment (MA) will be enforced (JSP 754 Art 02.0605f refers).

2150. Maintenance of Spouses/Registered Partners and Children - Service Personnel Committed to Imprisonment or Detention

It is essential that the families of individuals in Personal Status Categories C1 to C4 be properly cared for whilst the spouse/registered partner is undergoing a period of detention and who therefore is not in receipt of basic pay. The following guidance is designed to assist DOs who have responsibility for such ratings:

a. **Family Maintenance Grants (FMG).** The rules for payment of an FMG are contained in the Business Process Guide. Application for payment is to be made by the offender's Commanding Officer and forwarded to the JPAC. FMG is payable for a maximum of only eight weeks.

b. **Supplementary Benefit Payments.** Where the individual is to be discharged from the Service on completion of sentence, the FMG is payable only up to the date of discharge from the Service or for a maximum period of eight weeks beginning from the date of sentence. When entitlement to the FMG ceases, it will be necessary for the recipient to apply to the local DSS Office for Supplementary Benefit payment.

c. **Rent Payment.** In addition to the FMG there is an element to cover rent, which in the case of a family occupying Service Family Accommodation is the actual rent paid. For those in private accommodation (including owner-occupiers), the rent payment will be based on actual cost up to a maximum of the rent for a Type C Grade 1 unfurnished SFA. The Supplementary Benefit payable by the DSS also includes an element for rent.

d. **Family Accommodation Entitlement.** (see also Chapter 25). If the individual is being retained in the Service on completion of sentence, the family retains their entitlement to occupy SFA. If, however, the individual is to be dismissed on completion of sentence, the entitlement to occupy SFAs ceases on discharge from the Service. Individuals dismissed with an accompanying sentence of detention are considered discharged on the date on which they would be released from detention if they had earned maximum remission. Individuals sentenced to imprisonment are discharged immediately, prior to undergoing their sentence.

e. **Dismissal and Imprisonment.** In all cases where an individual's pay ceases as a result of imprisonment or dismissal, DOs/Tp Cdrs, in conjunction with RN FPS staff, should offer counselling to the individual and family in order to assist them in the transition from Naval to civilian life.

2151. Relationship Breakdown

a. Attention is drawn to Chapter 24, Para 2419. A period of 93 days is allowed before estrangement is deemed to have occurred in circumstances when a marriage or civil partnership is in serious difficulties. DOs/Tp Cdrs who identify individuals with marital or partnership problems should record the date of the initial Divisional Counselling interview in the Divisional BU Diary. A structure for this interview is at Annex 21R.

b. All SP with marital or civil partnership problems should be urged to seek family counselling advice from RN FPS (see Chapter 24 Section 3), a Chaplain or other spiritual adviser (see Chapter 31 and KRRN).

c. At the end of the 93 day period, or when evidence of a positive breakdown in a marriage or civil partnership is received, or when it is apparent no reconciliation is possible, whichever is the earlier, the CO should assess an effective date of estrangement on JS Form JPA N001 (Change of Personal Status, raised by unit HR) and certify that marriage counselling advice has been offered to both parties of the partnership (JSP 752 Ch 1 Section 4 refers). DOs/Tp Cdrs should note the stress on the word 'offered': there is no obligation upon either the individual or their spouse or partner to accept this marriage counselling advice.

d. **Advice.** Marital or partnership breakdowns leading to estrangement or divorce/dissolution have many Service implications. It is most important that individuals be fully briefed on the actions they should take in such circumstances. The following sub paragraphs summarise the main considerations and sources of advice.

e. **The Logistics Officer/Imprest Officer** Chapter 27 and

Change in Personal Status	JSP 752 05.0507
Long Service Advance of Pay	JSP 752 05.0701
Service Families Travel	JSP 752 Ch 6 Sect 3
Home to Duty Travel	JSP 752 Ch 7 Sect 3
Get You Home	JSP 752 Ch 7 Sect 4
Married rates of LOA (if accompanied abroad	
Child Benefit)	JSP 752 Ch 9 Sect 7
Relocation benefits	JSP 752 Ch 12
Education Allowance	JSP 752 Ch 14
Income Tax	JSP 754 Art 02.0105
Food and Accommodation charges	JSP 754 Ch 6 Sect 2

f. **RNRM Welfare**

Relationship Guidance (3-month cooling off period)	Chapter 24
Service Family Accommodation	Chapter 25

g. **The DE Housing Officer** Notes for Guidance (Issued by DE)

Out Muster
Responsibility for damages, telephone, domestic services
Application for waiver of damages for trespass
Application to re-accommodate spouse

h. **The Legal Advice Officer** Chapter 20

Legal Aid Qualification
Solicitor
Financial Statement/Affidavit of means
Court Maintenance Order
Responsibility for joint debts

i. **The Chaplain/Spiritual Adviser** Chapter 24 and Chapter 31

Marriage/Relationship guidance
Religious and ethical problems

SECTION 10

COMMAND, LEADERSHIP AND MANAGEMENT (CLM), AND DIVISIONAL TRAINING

2152. Introduction

The aim of this Section is to describe the training that ratings and officers should undertake as part of their Command Leadership and Management (CLM) development. As leaders and managers, all Divisional Officers have a responsibility to develop their subordinates; this section provides guidance and advice that will help this process. This section outlines the following: the CLM and Divisional training delivered by the Royal Naval Leadership Academy (RNLA) at BRNC Dartmouth, HMS COLLINGWOOD and OLTC Talybont. It provides:

a. A description of the Leadership Courses (LCs) delivered by the RNLA, including their content, and recommendations for pre-course preparation.

b. The need for post course development, together with guidance on how to maximise the benefit of such activities.

c. Details of assistance available from RNLA.

2153. General

a. The RNLA is comprised of three Squadrons and an HQ which are located across three sites. Royal Arthur Squadron (RAS) and Royal Victoria Squadron are based at HMS COLLINGWOOD, whilst the HQ, and Royal Oak Squadron (ROS) are based at BRNC Dartmouth. ROS is also responsible for the Outdoor Leadership Training Centre (OLTC) at Talybont-On-Usk, Brecon, South Wales (Under Royal Oak Squadron).

b. CLM and divisional training is provided to RN personnel throughout their careers, principally in support of promotion, recognising that those selected will be required to exercise greater levels of leadership; divisional training is also provided to any individual across the NS, Army and RAF with divisional reporting responsibilities. All ratings receive an element of team building while undergoing Phase 1 and the Able Rates' Leadership Course (ARLC) during Phase 2 training before being accepted onto the trained strength. This acts as a precursor to subsequent formal RNLA CLM LCs once selected for promotion. Officers receive a significant amount of leadership training as part of their Phase 1 Initial Officer Training (INT(O)) package. They also should undertake Junior Officer Leadership Course 1 (JOLC1) immediately prior to commencing their first complement assignment and will, in due course, undertake a two-week continuation leadership package in Junior Officer Leadership Course 2 (JOLC2).

2154. Output

The RNLA currently delivers the following:

a. **Royal Arthur Squadron (RAS).** The primary purpose of RAS is to deliver mandated CLM training for ratings, and RN divisional training. In addition, a number of smaller courses are run or administered through RAS. All courses delivered are detailed below:

(1) **Leading Rates' Leadership Course (LRLC).** The aim of LRLC is to prepare ABs for their role as a leader through exposure to various leadership models and scenarios. LRLC culminates in a four-day Dynamic Leadership Exercise (DLX) assessing the leader's ability to deliver practical leadership tasks. All ratings joining the RN after 1 Apr 13 must have completed Able Rates' Leadership Course (ARLC) prior to being assigned to LRLC.

(2) **Senior Rates' Leadership Course (SRLC).** SRLC is aimed at developing the leadership and management skills of supervisors through receiving instruction in the theoretical and practical aspects of leadership and management. The 4-week SRLC includes training in; self and group motivation and morale, team building, decision making, problem solving, and priority setting. This is also assessed through a 4-day DLX. The final week of the SRLC is focused on preparing students for the role of Divisional Senior Rate.

(3) **Divisional Officers' Course (DOC).** DOC provides the information and theory necessary to be a Divisional Officer within the RN. The course covers: D&I, SJAR, discipline, H&S, education and resettlement; and includes scenario role plays and visits by external speakers on divisional matters. Any individual with divisional reporting responsibilities for RN personnel, including RM, Army and RAF, **must** attend DOC

(4) **Support to Bespoke CLM Packages.** RAS is also able to support, resources permitting, approved bespoke ship/unit Continuation Training packages. Facilities include:

(a) Low Ropes site.

(b) Practical Leadership Task site.

(c) Assault Course.

b. **Royal Oak Squadron (ROS).** ROS's principal remit is to deliver further CLM training for officers, Warrant Officers and the introduction of teambuilding to Phase 2 ratings.

(1) **Junior Officer Leadership Course 1 (JOLC1).** JOLC1 is designed to build on the CLM training Junior Officers received during their time at BRNC. The course will broaden and develop their ideas of CLM theory but, most crucially, enable contextualisation through practice and real situations. JOLC1 is delivered at OLTC using Adventurous Leadership and Resilience Training (ALeRT) models and controlled exposure to risk by conducting activities in a challenging environment. Uniquely, it also affords officers the chance to lead, mentor and interact with the ratings of ARLC (possibly for the first time in their career) under field conditions, with the two courses being symbiotic and intrinsically linked.

(2) **Junior Officer Leadership Course 2 (JOLC2).** JOLC2 Encourages mid-seniority OF2 Officers to reflect on their leadership journey so far. To be eligible to attend, officers must have a minimum of 2 years' OF2 seniority before the course start date. The seniority requirement gives trainees an appropriate amount of lived experience as an officer in the RN to fully contribute to the course. The course introduces leadership models in context and an exploration of how an understanding of different personality types, including their own, can shape the selection of a leadership style. The students also receive Level 3 coaching training, with the course culminating in a leadership-focused NAVEX and Team Dynamics Exercise at OLTC. During these activities, students have the opportunity to apply the practical aspects of the theories covered and reflect on the concepts discussed earlier in the course.

(3) **Warrant Officers' Staff Course (WOSC).** To deliver further CLM development for the challenges faced at this senior level, the reinvigorated WOSC challenges both substantive and selected Warrant Officers to develop their knowledge around the areas of Command Estimate, briefings and awareness of issues outside their source branch.

(4) **Heads of Department Leadership Course (HODLC).** The HODLC is a four-day course designed to prepare prospective Heads of Department for the CLM challenges that they will face on taking up their Charge assignments. Utilising a deeper exploration of personality-based leadership methods, coupled with briefings from external SME, the course aims to provide the prospective HoD with an enhanced skillset to lead effectively up and down the Chain of Command.

(5) **Able Rates Leadership Course (ARLC).** Delivered at OLTC, ARLC gives all Phase 2 ratings the transferable skills required to work as an effective team member in arduous and demanding conditions. It introduces the students to a variety of leadership and coaching models via Adventurous Leadership and Resilience Training (ALeRT), along with the implementation of core values and principles of followership. Crucially is the interdependence that ARLC has with JOLC1, and the interactions that take place between both cohorts through shared hardship in challenging environments, under field conditions. All ratings joining the RN after 1 Apr 13 must have completed ARLC prior to being assigned to LRLC.

(6) **Executive Warrant Officers' Course (EWOC).** Upon assignment to an EWO appointment, a Warrant Officer must first attend this staff and management training course, delivered by ROS and various subject matter experts. The course equips students with a deeper understanding of advising senior management on human resources, large-scale workforce allocation, and associated procedures and processes. Official guests facilitate high level briefings and understanding to give the EWO the skills to advise the Senior Management and Heads of Department on allocation of work to others, to achieve specific results by using resources effectively, to implement policy in their defined areas of authority and to contribute to broader activities, such as Diversity and Inclusion and Trauma Risk Management (TRiM).

(7) **Departmental Coordinators' Management Course (DEPCO).** The Departmental Coordinators' Management Course is a three-day course that enables students to carry out the functions of a Departmental Coordinator by developing their management knowledge and informing them of their responsibility to the Head of Department for the training, administration, morale and discipline of the department.

c. **Royal Victoria Squadron (RVS).** The primary purpose of RVS is to deliver mandated CLM training for officers and ratings, and divisional training to the Maritime Reserves. Joining Instructions for all RVS courses are promulgated on the RVS site in the Defence Connect application on Defence Gateway. A number of shorter courses for RNR personnel are also run or administered through RVS.

(1) **Senior Rates' Leadership Course RNR (SRLC RNR).** SRLC RNR is aimed at developing the leadership and management skills of supervisors through receiving instruction in the theoretical and practical aspects of leadership and management. SRLC RNR mirrors the training provided to regular service counterparts includes training in; self and group motivation and morale; team building; decision making; problem solving; and priority setting. All of this is assessed via a three-day Dynamic Leadership Exercise (DLX) (see Para 2157). The training is distributed over three separate sessions: the RNR Divisional Senior Rate Course; a pre-SRLC training weekend; and a continuous twelve-day period of training which culminates in the DLX. SRLC RNR is accredited with an Institute of Leadership and Management Level 5 award in Leadership and Management.

(2) **Leading Rates' Leadership Course RNR (LRLC RNR).** The aim of LRLC RNR is to prepare ABs for their role as a leader. As with the SRLC RNR the LRLC has a three-day DLX. As with SRLC RNR there is also a pre-weekend of training that must be completed in advance of attending the course. Successful completion of LRLC is accredited with the award of Institute of Leadership and Management Level 4 award in Leadership and Management.

(3) **Divisional Officers' Course RNR (DOC RNR).** The DOC RNR provides the information and theory necessary to be a Divisional Officer. The course covers: D&I; SJAR; discipline; H&S; education and resettlement; and includes scenario role plays and visits by external speakers on divisional matters. Any individual with divisional reporting responsibilities for RN personnel, including RM, Army and RAF, **must** attend the DO's Course.

(4) **Junior Officers Leadership Course RNR (JOLC RNR).** JOLC RNR is designed to build on the CLM training officers received whilst completing Phase 1 training at BRNC. Delivered at RNLA East (HMS COLLINGWOOD) it explores the concepts of leadership agility and coaching over two separate weekends.

(5) **Leadership Development Weekends.** RVS offer four weekends per training year, for individuals of any rank or rate to attend for CLM development. The packages are tailored to individual needs and can be used as preparation for mandated leadership training or for leadership CPD. Minimum entry requirement is Midshipman or AB1.

2155. CLM Continuation Training

Booking requests for use of RNLA's facilities or training resources should, in the first instance, be addressed to the Academy's Operations Officer (NAVY PEOPLE-TMG RNLA OPS).

2156. Booking

Attendance at an RNLA Career course (WOSC, JOLC1, JOLC2, SRLC and LRLC) should be booked through the individual's Career Manager and will be notified via workflows on JPA. Any queries about a specific course booking should be addressed in the first instance to the Career Manager. Joining Instructions for courses are contained within the extant RNTM and available on the RNLA DefNet page.

2157. Preparation for Leadership Course and the Role of the Divisional Officer

a. The Divisional Officer, Divisional Senior Rate and Divisional Leading Hand play pivotal roles in both the physical and mental preparation of a prospective LC student. DOs are to pay particular attention to the completion of pre-joining documentation, including the training documentation in the extant LC RNTM.

b. DOs are to ensure that all ratings assigned to LC training are made aware of the consequences of failing a LC, which are detailed below in Para 2159 in the RNTM and also Chapter 69. Standard joining instructions are issued annually by the RNLA in the form of an RNTM. All students attending RNLA must read the RNTM and Chapter 69 prior to their arrival at RNLA for LC training. A flow chart for guidance of DOs in preparing members of their division for attendance on Leadership Courses is at Annex 21S.

c. Personnel are required to be in date for the RNPES prior to, and for the duration of, the course. This is to ensure that they are able to undertake the course safely and to ensure that insufficient individual personal fitness does not degrade the quality of training for the group. It is recommended that ratings take the RNPES less than three months prior to joining leadership course to ensure they are at the necessary physical standard. **DOs should enforce this if they are in any doubt as to the rating's physical preparedness for the course**.

d. DOs are strongly encouraged to help prospective students prepare for their LC. This preparation should cover both physical and mental aspects, i.e. general physical fitness, teamwork and communication skills including verbal, Defence Writing and presentational. Preparing students for their LC should be an integral part of a unit's CLM development programme.

e. **Presentations and Lectures in LC.** SRLC students will be given a Naval Ethos presentation title on day one of LC and are expected to prepare a 15-minute presentation to be delivered in Week 3. LRLC students will conduct a seven minute and 12-minute presentation during LC training. All presentation subjects are to have a military title and context. Prior preparation is essential as presentations are given early in the course. All presentation methods are acceptable and are to be in the following basic format:

(1) **Introduction (including Personal).** Setting out the scope of the lecture and the aim. 5% of total time.

(2) **Objectives.** What it is intended to convey in the lecture. 5% of total time.

(3) **Main Body of the Lecture.** The 'meat' of the information to be delivered. 80% of total time.

(4) **Conclusion.** A summary of the main points. 10% of total time.

f. LRLC personnel should prepare and bring with them any props, models, PowerPoint presentations etc. they wish to include, as there is limited time and facilities available for self-help once on course. It is recommended that DOs arrange for students to rehearse their presentations in front of a suitable audience, and have sufficient opportunity to make initial amendments prior to starting course[5].

[5] Outlined in current RNTM.

2158. Return to Unit (RTU) from SRLC/LRLC

a. The Training Performance Statement requires LRLC/SRLC to be physically and mentally demanding, resulting in a considerable amount of pressure being placed on the student's character. In order to succeed on course, candidates must demonstrate the required professional and Character and Leadership (C&L) standards. Each student's performance is assessed continuously whilst on LC, with formal, summative assessments for key Training Objectives (TOs). A warning system is in place throughout courses whereby, if a candidate falls short of the required professional or C&L standard, they will be issued with a written warning that will detail the shortfall and guidance required to redress it.

b. The warnings process is fully briefed to all students at the beginning of course and there is also comprehensive coaching support offered to all students during course to help rectify shortcomings. The RNLA will RTU any student who receives an accumulation of multiple professional and/or C&L warnings.

c. C&L warnings are commonly received for, but are not limited to, the following reasons whilst on course:

(1) Lack of commitment or poor attitude.

(2) Lack of effort and commitment in PT evolutions.

(3) Inadequate timing or preparation for presentations or briefs.

(4) Inadequate standard of uniform; in particular No 1s.

(5) Lack of military bearing during Divisions and within establishment boundaries.

(6) Poor state of accommodation during daily accommodation rounds.

(7) Attitude or conduct unbecoming of a SR or LH, i.e. unreliability, poor judgement, lack of team spirit.

d. Professional warnings are imposed for failed formal assessments of key TOs such as presentations, practical leadership tasks, defence writing and exams.

e. In addition, students will face RTU action immediately if they:

(1) Are not in date for RNPES on the first day of course.

(2) Fail the Dynamic Leadership Exercise.

(3) Fail the initial assessment and subsequent failures meet the RNLA warnings criteria for RTU.

f. RNLA Training Orders and LC assessment specifications provide further detail on these orders. Students are briefed on this on the first day of their course.

2159. Implications of Failure

a. Under the RN system of 'select – train – promote', leadership courses are often the final stage of training prior to promotion and success can lead to this reward. However, leadership courses are not simply attendance courses and failure can have severe consequences for candidates, as detailed below:

(1) **Relinquishment of the Acting Higher Rate.** Failure of an LC will lead to the relinquishment of an Acting Higher Rate if held (see Para 6916 sub-para h).

(2) **Financial.** Failure to complete the relevant LC prior to the Common Promotion Date (CPD) for non-service reasons that are within an individual's control, which includes failing a course, will result in pay and seniority not being back-dated to the CPD. Individuals who have not completed an LC will not, under any circumstances, be substantively promoted to the higher rate (see Para 6703 sub para b(4), Para 6714 and Para 6719).

b. Individuals who fail either LC will be advised on the minimum amount of time recommended before being allowed to re-attend the LC and, depending on the level of failure, de-selection will not normally be recommended. Individuals who fail an LC as a result of their final DLX, and who do not merit de-selection, will be given the opportunity to attend a two-week Leadership Development Package. On successful completion of this course, they will not be required to re-attend the LC. Those who are required to re-attend an LC or the Development Package should be aware that promotion and CPD time limits continue to apply.

2160. Post Course Development

a. **Why Post Course Development is Important.** The RN commits considerable resource, in terms of both time and money, to train and improve the CLM capabilities of its personnel. Whilst a well-designed and executed course can help improve an individual's performance, the course alone cannot produce sustained performance improvement. It has been shown that newly acquired knowledge and skills deteriorate dramatically, within weeks of the course. In traditional training regimes, nothing happens before training, so the knowledge and performance lines stay the same. During training, individuals are exposed to new knowledge, and this significantly increases. Given the opportunity to practice, the performance line will also increase. However, both will decline unless the student is given the opportunity to embed their new abilities in the workplace, as the new knowledge and skills are quickly forgotten. In this situation, the course will be seen as nothing more than a 'tick in the box' that once completed can be forgotten about. If, however, the student is encouraged to prepare for the course and upon returning to their unit given the opportunity to develop their new capabilities then a significant and lasting improvement is seen. The benefits to the individual will extend beyond the initial improvement, as their confidence and willingness to accept additional responsibility increases. Such post course development should be framed within coaching techniques, as detailed in Annex 21U and Annex 21V.

b. **Post Course Development Strategy.** There are three simple strategies that the line managers/students can employ during the post course development phase:

(1) Quickly seek out opportunities to apply the newly acquired skills. This could include helping to prepare other students who are about to start the LC or as part of the wider CLM development programme onboard.

(2) Making the students accountable for the application of the new skills, by providing coaching and feedback. Individuals must take ownership of their own development and ways to achieve it.

(3) Incorporate development goals and plans into the formal performance appraisal process.

2161. RNLA Help and Assistance

a. **RNLA Web Site.** The RNLA SharePoint contains background information on course structures, Defence Writing, presentations, NSOs and several practical applications. These can be used by students to help them prepare for their LC.

b. Points of Contact.

CDR RNLA
Email: NAVY PEOPLE-TMG CDR RNLA

OPS RNLA
Email: NAVY PEOPLE-TMG RNLA OPS

EWO RNLA
Email: NAVY PEOPLE-TMG RNLA EWO

OiC Royal Arthur Squadron
Email: NAVY PEOPLE-TMG RNLA RASQN OIC

2iC Royal Arthur Squadron
Email: NAVY PEOPLE-TMG RNLA RASQN 2IC

Divisional Training Officer
Email: NAVY PEOPLE-TMG RNLA RASQN DOCO

OiC Royal Oak Squadron
Email: NAVY PEOPLE-TMG RNLA ROSQN OIC)

OiC Royal Victoria Squadron
Email: NAVY PEOPLE-TMG RNLA RVSQN OIC

2162. Coaching and Mentoring

Coaching and mentoring techniques are key leadership skills; they create favourable conditions for individual, group and team learning and collaboration which in turn are likely to result in improved performance and consequently benefit Operational Capability. People who are coached and mentored well usually find the experience highly motivating and fulfilling, which increases the persons sense of value and intrinsic motivation; which can lead to the likelihood of their retention in the Service. Skilled application of coaching and mentoring is therefore beneficial to CLM, and the implementation of the Divisional and Regimental System; as such coaching and mentoring are tools which all personnel are expected to use throughout their areas of responsibility while leading, developing and motivating their people. Although coaching and mentoring may require some initial investment in growing leaders' skills and confidence, and in setting expectations for all personnel, they offer a worthwhile economy of effort: once coaching and mentoring is the norm, leaders will gain more capable, dynamic and resilient teams which need less direction and supervision. Coaching and mentoring are essential tools for professional development in the workplace, across training environments (formal and informal), and within front-line units.

a. **Coaching and Mentoring Policy.** NCHQ P&T directorate is the lead for RN coaching and mentoring policy, with Navy Culture-EXECPOL-SO3 as the key HQ stakeholder. Activities essential to implementing the policy are delivered by the RNLA (this includes career leadership courses), CTCRM, FOST (N) and (S), LDOs (ashore and afloat), establishment Coaching Advisory Support Teams (CASTs), unit CLM Development Officers, MentoRNavy, the Defence Academy, and the DLE.

b. **Coaching.** Coaching is defined by the RN as: "*Unlocking a person's, team's or organisation's potential to maximise their own performance*". Proficient coaching causes self-awareness, reflection and learning (Annex 21T); all are essential components of performance improvement. The spectrum of possible coaching activities ranges from a series of scheduled and relatively formal one-to-one meetings, with a clear agreement between a coach and a coachee on the terms and objectives for the coaching (a common format if using a coach from an external team or organisation), to entirely informal, on the job, one-off, short and sometime opportunistic 'corridor coaching'. While most uses of coaching in the RN will fall somewhere between these extremes, a common set of foundation coaching skills and behaviours is applicable to all situations (Annex 21U); it is therefore necessary for leaders and managers at all levels to continually develop and practise these skills and behaviours.

c. The Service recognises the value of coaching in helping individuals, teams and organisations to make progress towards excellent performance regardless of their current level of performance. All personnel are therefore strongly encouraged to seek regular coaching, as well as developing their ability to coach others. DOs are expected to set a positive example in this respect through divisional activities such as MPAR's and joining interviews. Individuals who seek coaching for the purpose of improving their performance are displaying positive and commendable behaviour and attitude; leaders at all levels are expected to recognise this and give appropriate credit, including recognising such actions as positive evidence in appraisals.

d. There are two main techniques that personnel are expected to adopt at every level to ensure the Service achieves maximum benefit from coaching: GROW (Annex 21V) and Effective Debrief/Feedback Annex 21W). These techniques are suitable for use within MPAR (Annex 21C). Trainers in all training establishments and work-place training environments are trained in using coaching skills and are expected to routinely apply, a blend of Teaching, Coaching and Mentoring (TCM) approaches. Leadership students on career leadership courses are developed by, and are taught to use, coaching and mentoring techniques.

e. Where a unit has a Coaching, Advisory Support Team (CAST), the focus of the team should be on supporting and developing the coaching skills, behaviours and mind-sets of the unit's leaders and/or trainers. In this way, CASTs can support the development of unit cultures that value and enable performance enhancing learning and self-development at all levels.

f. **Coaching Skills Development.** Awareness of coaching theory and practical development of foundation techniques is delivered by the following courses:

(1) **Coaching Introduction.** This is conducted at BRNC and HMS Raleigh to phase 1 trainees which highlights the benefits of being a coachee / mentee and the departments / services that are available to seek a coach or mentor.

(2) **Coaching Workshop 1 (CW1).** CW1 is split into three components (theory, DLE refresh and practical) which covers the basic principles and techniques of being a coach. The minimum requirement is to cover the theory within Annex 21T (The Learning Cycle), Annex 21U (Foundation Skills and Behaviours for Coaching), Annex 21V (GROW) and Annex 21W (Effective Debrief/Feedback). CW1 is delivered in three sections that covers theory session would normally be expected to require 90-120 minutes (although this may vary according to the delivery environment).

(a) Delivered by:

i. HMS Raleigh and RNLA to phase 1 trainees. DLE component to be completed before attending JOLC1 or ARLC. Practical application and assessment of coaching skills are to be conducted during JOLC1 or ARLC.

ii. CTCRM.

iii. LDOs on request by units and establishments.

(b) Achieves a JPA competence mandated for all RN personnel. Competences awarded are to be recorded in JPA by the unit/team delivering the workshop.

(3) **Coaching Workshop 2 (CW2).** CW2 focuses on the effective employment of coaching techniques in the workplace. The minimum requirement is to cover CW1 and also ensure all attendees actively participate in a practical session (which may be contextualised as appropriate) applying Foundation Skills and Behaviours for Coaching (Annex 21U), GROW (Annex 21V) and Effective Debrief/Feedback (Annex 21W). As a guideline, the CW2 practical session would normally be expected to require 120 minutes in addition to any time required to cover, or refresh, CW1 content (although this may vary according to the delivery environment).

(a) Delivered by:

i. Establishment Coaching Advisory Support Teams (CASTs).

ii. CTCRM.

iii. LDOs on request by units and establishments.

iv. RNLA Coaching Cell on request.

v. DLE.

(b) Achieves a JPA competence. Competences awarded are to be recorded in JPA by the unit/team delivering the workshop or course.

(4) Coaching Workshop 4 (CW4). To prepare and ensure coaching is aligned to the code of ethics laid down by the EMCC and RNLA, it is vital that supervision is made available to all those in a CAST so that there is no ethical drift from the standards and practices of coaching. The CW4 is the opportunity to allow experienced coaching practitioners to reflect on their own abilities and start to transition towards understanding the role of a coaching supervisor.

(a) Delivered by:

i. Establishment Coaching Advisory Support Teams (CASTs).

ii. LDOs on request by units and establishments.

iii. CTCRM.

iv. DLE.

v. RNLA Coaching Cell.

(b) Achieves a JPA competence. Competences awarded are to be recorded in JPA by the unit/team delivering the workshop or course.

(5) **Coaching Workshops Alignment and Assurance.** RNLA acts as the RN (excluding RM) CW1 and CW2 delivery lead with responsibility for promoting alignment and congruence between CW deliveries. The purpose of alignment activity is to ensure consistent messages about coaching are communicated which meet the requirements and uphold the intent of this policy. CW deliveries are not expected or required to be identical between organisations and tailoring the delivery of the core CW1 and/or CW2 syllabus to the context of the audience is encouraged. Each organisation delivering CW1 or CW2 shall nominate a point of contact to liaise regularly with RNLA on CW delivery alignment matters, sharing good practice and lessons identified. NCHQ will provide second party assurance of RNLA as in this capacity during routine second party assurance visits.

(6) **Advanced Coaching Skills: National Qualifications Framework (NQF) Level 3/Level 5 Certificates and Awards in Coaching.** The CMI level 3 coaching and mentoring award is integrated onto JOLC2 and LRLC whereby all RN LH's and Lt's will hold the JPA competence and will have the opportunity to complete the CMI level 3 award through the completion of a written assignment post the course. Therefore, coaching can be utilised, where appropriate, as a leadership skill for on the job (OJT) and divisional roles, as well as a conducting formal coaching within a CAST. The CMI level 5 professional coaching practice provides training for service personnel to undertake coaching supervision within the CAST which provides governance and ensure ethical coaching practice is being provided to those that have requested coaching services. Once personnel have completed the course, they can attend the monthly CAST dial in sessions which is conducted by RNLA Coaching Cell. Service personnel who have attended the Level 3 or Level 5 accredited qualification are eligible for a JPA competence which will enable the RN to effectively employ individuals. Unit HR administrators are able to award the JPA competence on production of an individual's original certificate of qualification.

(7) **Coaching Advisory Support Team (CAST).** The function of the CAST is to provide a multitude of coaching functions which range from coaching services, supervision and CPD sessions for the Level 3 coaches. Every establishment / platform, where practicable, should have a CAST which has oversight by the BWO or EWO to ensure coaching services are available and assure that ethical practice is being conducted. This also includes the CAST's conducting the CW2 and CW4 where possible and with authorisation from RNLA Coaching Cell. The amount of supervision per coach is laid in the CAST RNTM and governed by RNLA Coaching Cell which is subject to change if required when coaching maturity evolves over time and supervision is utilised more often by the CAST's. RNLA Coaching Cell are to conduct QA checks on the CASTs to ensure their data record management is being adhered too, CPD is provided, supervision is being conducted, and ethical coaching practice is being maintained. This is done through the CAST local procedures of coacher's onboarding into CAST's, supervision / CPD records and the general management of coaches.

Each CAST will function differently due to the culture, trades and function of the establishment which is accepted and supported due to the unique requirements from the service personnel. If personnel do not have access to a CAST, then they can contact RN personnel who are within the RNLA and CAST network through a multiuser (NAVY PEOPLE-TMG COACHING SUPPORT).

g. **Mentoring.** Mentoring is defined by the RN as "a relationship and process where a person with more experience in a particular field, offers help, guidance and support to facilitate the learning and/or development of a colleague at an appropriate stage in their career". In parallel with coaching, there is a spectrum of possible mentoring activities: at one end is the establishment of a mid to long term mutual, voluntary, mentoring relationship within defined boundaries between a mentee and a mentor who ~~may~~ is likely to be outside of the mentee's management chain; at the other it is possible for very effective mentoring to occur in informal and unplanned circumstances. As mentoring can have substantial overlap with coaching, the foundation skills and behaviours for coaching (Annex 21U) are equally applicable for mentors.

h. **Mentoring Skills Development.** Awareness of mentoring theory and practical development of foundation techniques is delivered by the following courses:

(1) **Mentoring Fundamentals v2.0.** This is an online course accessible to all personnel via the DLE. The aim of this online mentoring awareness training is to provide MOD personnel with an overview of the knowledge and skills that can be used to be successful when undertaking the role of a mentor or a mentee. The completion of this course is a pre-requisite to undertaking the Mentoring in Defence course.

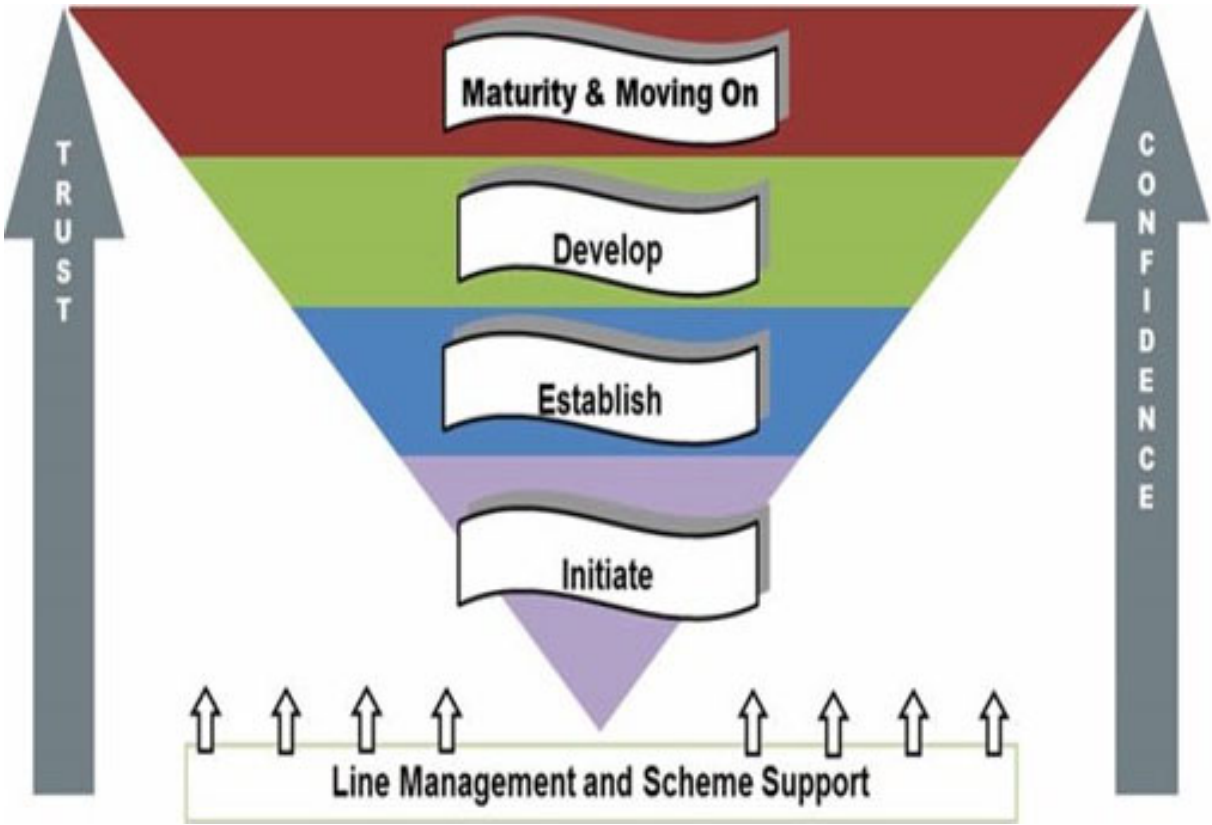
(2) **Mentoring in Defence (Virtual).** This course is facilitated by the Defence Academy through the Defence Leadership Centre (course code RO46) and is accredited by CMI. It is run virtually over three days; one day's preparation delivered via online learning, followed by two days in the virtual classroom. During the course students are introduced to 'mentoring best practice' to enhance their mentoring knowledge, skills and behaviours to support future mentoring relationships. Students build on their mentoring fundamentals knowledge and have an in depth look at the mentoring process. Attendees have the opportunity to practice mentoring skills, learn about reflective practices, questioning skills, listening skills and goal setting. Successful completion of this course will result in a CMI Level 3 Certificate in Coaching and Mentoring.

(3) **Level 5 Coaching and Mentoring Award.** On successful completion of the Mentoring in Defence course, students can opt to complete additional work for the CMI Level 5 Certificate in Coaching and Mentoring. There is an additional cost to the individual for this but for military personnel, SLCs can be used to offset this cost.

i. Mentors can support and guide a mentee in various ways which assist the mentee to progress around the learning cycle (Annex 21T). Mentors might provide an objective, informed and separate perspective, helping a mentee to decide how best to approach their personal and professional development. They can provide the indirect learning benefit of describing examples or situations from their own experience, discussing what they did and the effects of their actions. They can guide and support the mentee's reflection and thinking, and contribute lessons from their own thinking and analysis. They can assist the mentee in making plans and developing mechanisms and strategies for dealing with the upcoming challenging situations they expect to face.

j. **Mentoring Process**. A mentoring relationship can last between six and 24 months, the duration will vary dependant on the purpose of the relationship. However, whether formal or informal mentoring is taking place, it is best practice to follow the mentoring process. There are four stages in a mentoring relationship and below is a diagram illustrating these stages. It additionally highlights the importance of support from Line Management and the programme/scheme coordinator (if applicable).

Figure 21-2. Mentoring Process



k. The RN recognises the value of mentoring in helping individuals, teams and organisations to make progress towards excellent performance regardless of their current level of performance. All Naval personnel are therefore strongly encouraged to seek regular mentoring, as well as developing their ability to mentor others, an ability that necessarily requires drawing upon their experience in their field. DOs are expected to set a positive example in this respect. Individuals who are actively engaged in mentoring for the purpose of improving their performance are displaying positive and commendable behaviour and attitude; leaders at all levels are expected to recognise this and give appropriate credit, subject to evidence of performance, including recognising such actions as positive evidence in appraisals.

l. Mentoring is already in use in a number of areas in the RN: the MentoRNavy Team have run several mentoring programmes, open to regular, reserves, RFA and civil servants. In addition, mentoring is used effectively within some branches and within the RN networks. Mentoring can help develop individuals to the benefit of themselves and the Service and has been proven to increase employee engagement. The introduction of a mentoring programme aligns with an overall vision to reinforce an inclusive and supportive culture within the Service. This process provides an opportunity for all personnel to develop and to maximise their potential.

ANNEX 21A

DIVISIONAL AND REGIMENTAL DIGITAL TOOLKIT

1. The Digital Toolkit to the Divisional and Regimental System is a series of tools designed to enhance access and useability to Divisional and Regimental information including a new “off-line” tool to enable reporting when SCIO is inaccessible. The details below will provide an overview of each of the tools and how they benefit all RN and RM personnel.

2. The Digital Toolkit is to increase the efficiency of Divisional/Regimental processes allowing for greater interaction with the Division/Troop as a whole. It also provides the Chain of Command with increased oversight ensuring maintenance of standards, professional output and tailored support to our people.

3. The key users of the Digital Toolkit referenced in this document are:

a. The Individual

b. Divisional Officer (DO)

c. Troop Commander (TC)

d. Executive staff:

(1) Warrant Officer (EWO)

(2) Departmental Coordinator (DEPCO)

(3) Squadron/Company Sergeant Major (SSM/CSM)

4. Working in conjunction with JPA and SCIO, the Digital Toolkit is comprised of the following elements:

a. JPA Data Check (Appendix 1)

b. DO/TC Dashboard (Appendix 3)

(1) Performance Improvement and Empowerment Record (PIER) (Appendix 4).

(2) Divisional and Regimental Reporting Tool (D&RRT) (Appendix 5).

(3) SP SLI Check & Guidance (Appendix 6&7).

5. The JPA Data Check, DO/TC Dashboard and the Divisional and Regimental Reporting Tool will work collaboratively, improving the accuracy of JPA data and so improving efficiency of the Divisional and Regimental system.

6. To make the learning process as seamless as possible, easily accessible user guides and instructional videos will be made available through the Divisional and Regimental review SharePoint.

7. To maximise the benefit of these tools, it is critical that they are endorsed by unit Senior Management. It remains the responsibility of Divisional and Regimental staff to effectively performance manage their people, but they should encourage personnel to take ownership of their appraisal narrative by embracing these new reflective practices.

8. Although BRd3 does not specify any pre-set time to complete Divisional/Regimental duties, adopting the following battle rhythm is recommended to allow sufficient opportunity to optimise value gained from the D&RT:

a. Divisional administrative hour once per week.

b. Divisional discussion once per fortnight involving all personnel who hold Divisional/Regimental responsibilities - to align divisional understanding, communicate changes in policy or interpretation, discuss divisional trends, themes, problems or plan future training/events.

c. Executive N1 Forums once per month.

9. Allocating timeslots for divisional and regimental responsibilities should not be viewed as a replacement to ‘walking the patch’ or to providing reactive support when required.

10. **SCIO.** The Digital Toolkit uses SCIO to access and manage information at both a divisional and individual level. SCIO is accessible through Google Chrome on both ModNet and DII platforms.

11. SCIO will use the JPA hierarchy and the responsibilities associated with each individual JPA line number to automatically determine the structure of a division and the appropriate level of functionality required within the tools. Divisional structure may then need to be refined using the DO/TC Dashboard within SCIO - changes in SCIO will not be written back to JPA.

Note. *It is essential for all units to ensure that their divisional hierarchies are accurate and that individual roles reflect the appropriate JPA line number correctly.*

12. SCIO is a user-friendly platform which can operate under a reduced bandwidth which will optimise the opportunities available for Individuals to access the tools in environments where connectivity is limited.

13. Users can also login to MySCIO via JPA by clicking through ‘JPA Self Service’ > ‘My Dashboards’ > ‘JPA Dashboard Function’ > ‘NAVY’, and then on the SCIO link (see above) when the OASIS Dashboard has loaded.

APPENDIX 1 TO ANNEX 21A

JPA DATA CHECK

1. JPA data drives career management, promotion, and all other Tri-Service HR functions. Thus, although the maintenance of JPA data is the individual's responsibility, it also informs policy and decision making in NCHQ and the wider MOD.

2. The JPA Data Check replaces the JPA Personal Information Check performed using OBIEE, negating the need to print paper copies for the DO/TC and Unit Personnel Office (UPO). Currently, any changes to personal data will still be made using JPA, which will be reflected on MySCIO within 24 hours.

3. The tool will enable the individual to acknowledge that data held within the Oracle database is up-to-date and correct; the DO/TC will be able to see that this has been completed when they access the DO/TC Dashboard. This information provided on the DO/TC Dashboard is for informational purposes only; responsibility for processing 'date last verified' (DLV) data remains with the UPO.

4. The Dashboard will utilise a traffic light system to indicate to the Individual - and their DO/TC - that their check is in date (Green), 30 days from expiry (Amber), or expired (Red).

5. The JPA Data Check displays an Individual's personal details in an easily readable format, taking the user through a series of pages with acknowledgment points where, for audit reasons and prevention of fraud, they will be required to make a digital declaration. Should an Individual require a change to their data, they will need to alter the details in JPA which will then update MySCIO within 24 hours.

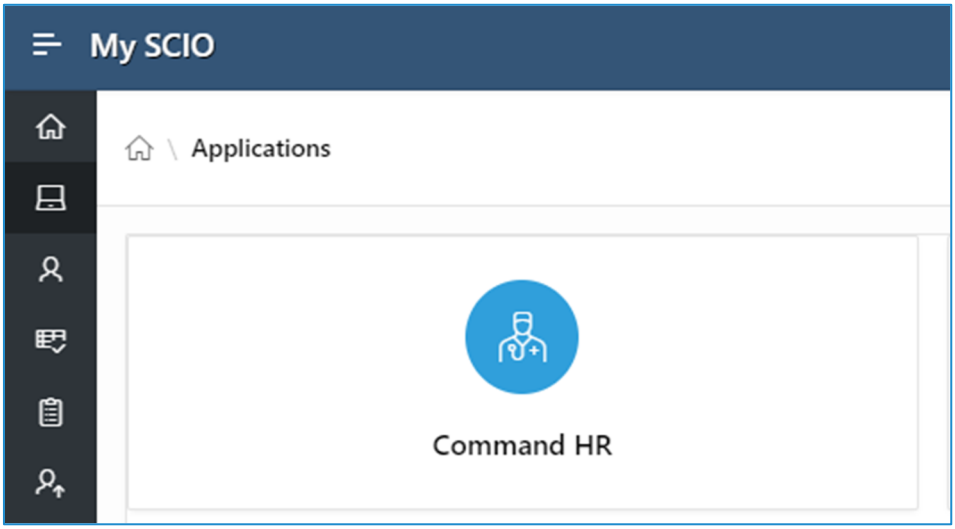
6. The JPA Data Check tool is also available via the MyNavy app.

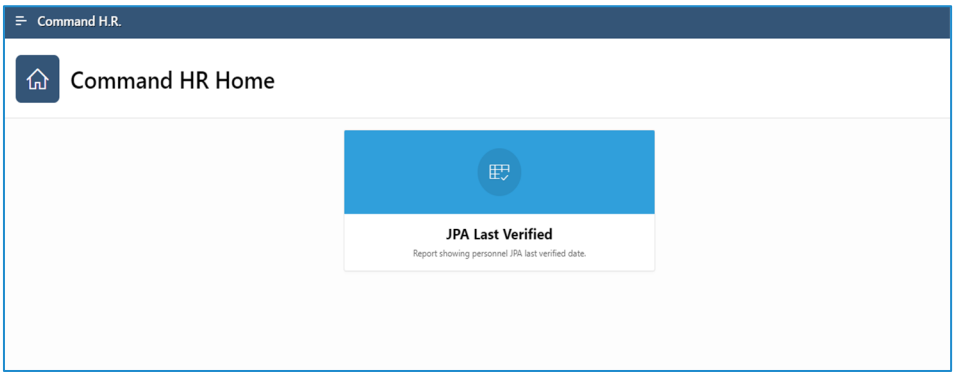
7. A simple integrated user guide will be available within the app to ensure that users are able to complete the check correctly and swiftly.

APPENDIX 2 TO ANNEX 21A

COMMAND HR – JPA LAST VERIFIED APP

1. The JPA Data Check in SCIO, is not tracked within JPA. Therefore, unit personnel with JPA access as 'Unit MI Manager' or 'Unit HR Admin' should be able to access the SCIO 'Command HR – JPA Last Verified' App to view their unit data for the annual JPA data checks, if this access hasn't been granted, the SCIO MB, NAVY PCAP-PPLAN HRA SCIO MAILBOX (MULTIUSER) NAVYPCAP-PPLANHRASCIOMAILBOX@mod.gov.uk can be contacted to request SCIO access for this App.





APPENDIX 3 TO ANNEX 21A

DIVISIONAL OFFICER/TROOP COMMANDER DASHBOARD (DO/TC DASHBOARD)

1. The use of the DO/TC Dashboard enables the divisional and regimental system to work more effectively. Once the positional hierarchy is established and maintained in line with the unit's Divisional/Regimental structure, the dashboard draws on JPA data and offers a quicker solution to retrieving that information than is currently available. Units should aim to establish use of the D&RT DO/TC Dashboard App as soon as possible. All units require a nominated individual to have DO/TC Dashboard 'Unit Administrator/EWO' access to the App, to manage their Divisional/Regimental Plot.

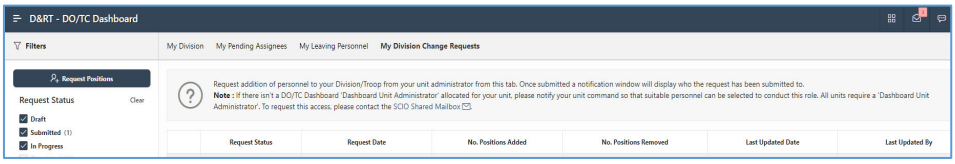
2. The DO/TC Dashboard is intuitive to use and the CoC is able to access and utilise data in several different views. Importantly, it highlights when individuals have out-of-date/incorrect information within JPA as well as automatically displaying bring-up actions.

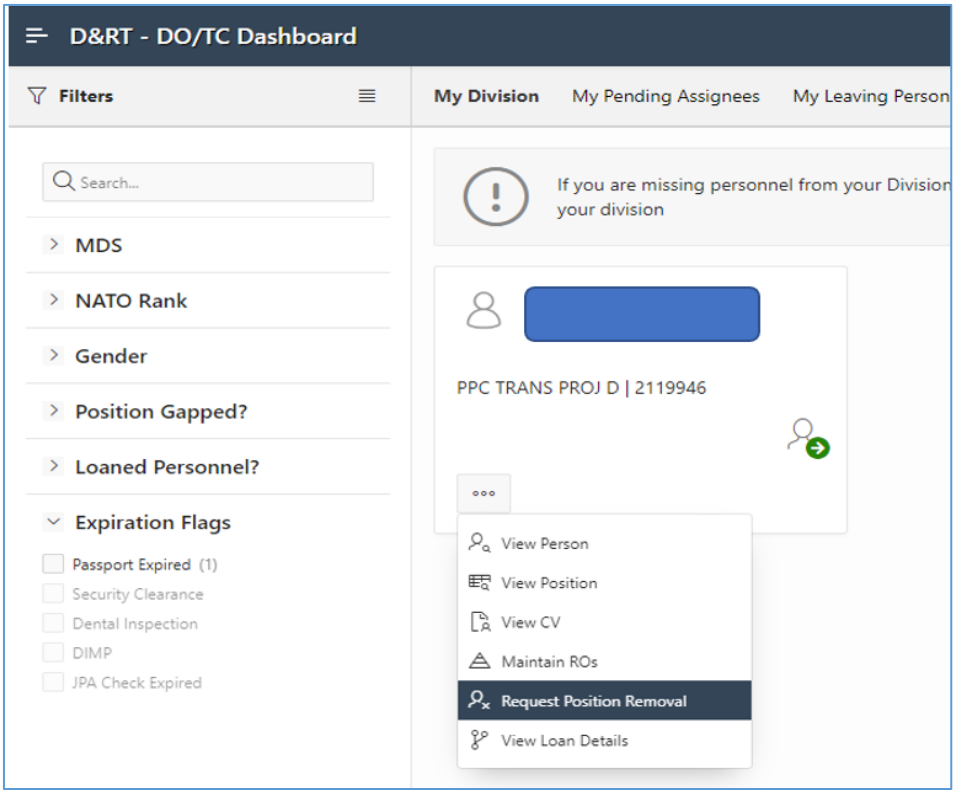
3. The DO/TC Dashboard provides managers with the function to request to add new joiners to their Division / Troop once an individual has been assigned to the unit; this is then approved or rejected by the executive staff. Alternatively, the releasing DO/TC, if applicable, can use the dashboard to request a transfer of the individual to the Division/Troop of the gaining DO/TC with full Command oversight. Once the Individual is added, their new DO/TC will have access to their information (i.e. fitness test results, JPA last verified, NOK details, Naval Core Training/Military Annual Training Tests dates, passport details etc).

4. In the 'My Troop/Division' section, the DO/TC will see an overview of key details for their entire Division/Troop such as Service Number, DOB, JMES etc. From there, they can select an Individual to view more details. They will also be able to see a list of their pending assignees and leaving personnel.

5. Executive staff will have administrator access and will be able to move/assign individuals to any Division/Troop within their unit, providing them with the ability to 'build' if required. They will have oversight of all Divisions/Troops and will be able to monitor DO/TC activity including approval and rejection of requests.

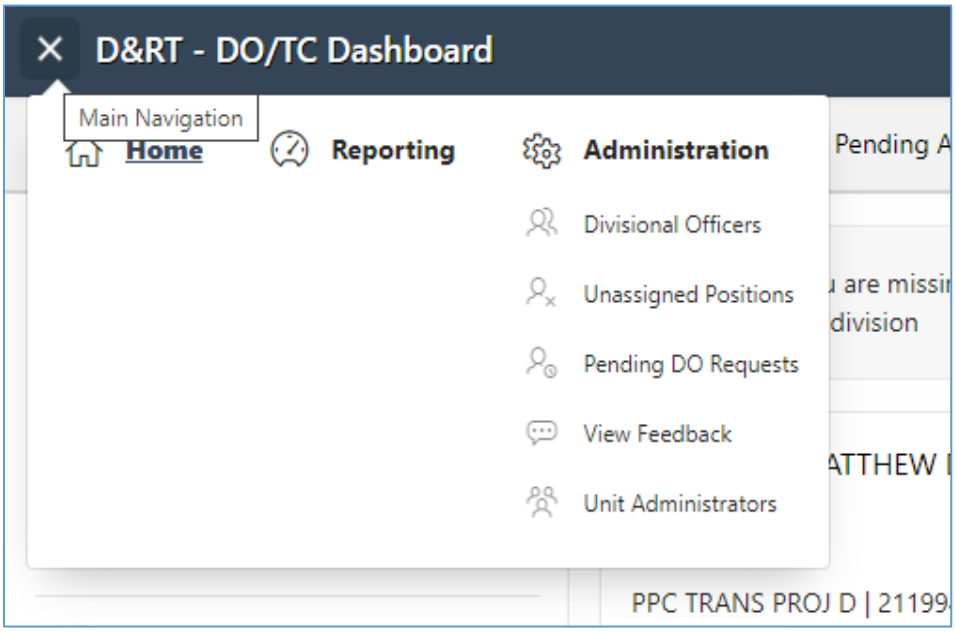
6. DOs and Tp Cdrs can request addition or removal of personnel from their 'Unit Dashboard Administrator'. Additions are requested from the 'My Division Change Request' Tab and removals can be actioned from the individuals Tile within the 'My Division' Tab.

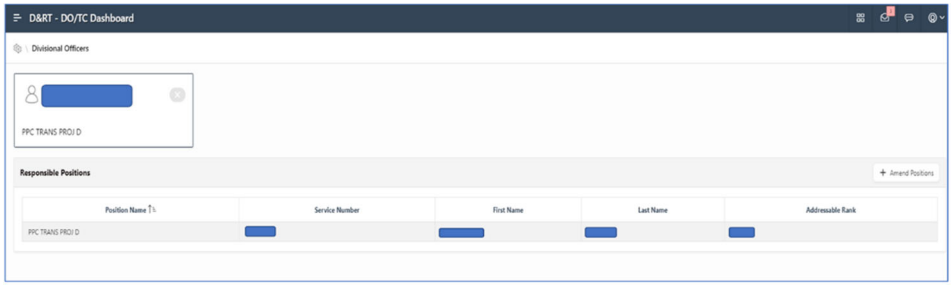




7. 'Dashboard Unit Administrators' are able to access 'Division Change Requests' from DOs/TC via the 'Administration' menu, by selecting 'Pending DO Requests'. The requests can be 'Granted' or 'Denied' by the administrator.

8. 'Dashboard Unit Administrators' are able to manage their unit Divisional/Regimental plot within the 'Administration' menu by selecting 'Divisional Officers'. This will enable them to add/remove personnel for a selected DO/TC, by selecting the required DO/TC and then selecting 'Amend Positions'.




D&RT - DO/TC Dashboard
Divisional Officers
PPC TRANS PROJ D
Responsible Positions
+ Amend Positions
Position Name
Service Number
First Name
Last Name
Addressable Rank
PPC TRANS PROJ D

APPENDIX 4 TO ANNEX 21A

PERFORMANCE IMPROVEMENT AND EMPOWERMENT RECORD (PIER)

1. PIER is a tool for use between the DO/TC and their Division/Troop, encouraging more constructive and refined feedback between Individuals and the CoC. For units with limited bandwidth or limited access to SCIO, an offline template is available.

2. PIER enables individuals to set and record activities and gain feedback/endorsement for their completed activities. An individual's PIER can be accessed by the immediate line management (1UP/2UP) and reporting chain (1RO/2RO), who will also be able to provide feedback. Access to an individual's PIER will be via the 'Subject's PIER' tab. It is a bottom-up initiative and pertinent to performance development and individuals career aspirations, which is designed to result in improved reporting (MPAR, SJAR, OJAR etc).

3. There is a section in 'MyPIER' for Individuals to conduct self-reflection and a SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis, which is aided by a 9-box Format Performance/Potential Matrix. PIER will assist both the subject of an MPAR/SJAR/OJAR and the reporting officer by developing an evidence portfolio.

4. **My SCIO PIER Digital Tool.** The main areas the 'Subject' uses are:

a. **'Access Rights'.** This shows who has access to a Subject's 'MyPIER' (1UP, 2UP, 1RO, 2RO, DO/TC), and enables them to select their 1UP/2UP if necessary.

b. **'Activity Record'.** Division/Troop members set themselves activities which provide tangible evidence for their own SJAR/OJAR. On completion of the activity, the subject records their own analysis of their performance and requests an endorsement (at least 1 rank or rate above the subject). Endorsements should be framed around performance attributes that are reported on within SJARs/OJARs. The subject's 1UP/2UP or 1RO can review the 'Activity Record', including endorsements and provide further comment against the activity.

c. **'Self-Reflection'.** The performance/potential matrix assists the subject in identifying their performance and potential as a basis for discussion and a foundation for their SWOT analysis.

d. **'Evidence'.** This drag and drop box is for evidence uploads to MyPIER which can include emails of endorsement, presentations and files related to recorded activities. This will provide an easily accessible list of files verifying the Individual's performance.

e. **'1RO Narrative'.** This is where the 1RO provides performance feedback to the subject, independently of the subject's own activity record. Entries can be related to any observed performance or task and are to provide constructive feedback, but it must include advice for improvement. There is also a function for 'Subject Response' to the 1RO narrative. This area is only viewable by the 1RO and Subject.

APPENDIX 5 TO ANNEX 21A

DIVISIONAL AND REGIMENTAL REPORTING TOOL (DR&T)

1. The D&RT will facilitate faster issue resolution and improve communication within the CoC enabling greater oversight of Division/Troop status and maintaining the integrity and credibility of the D&RS. Units should ensure that the D&RT Reporting Tool App is used by all DOs and TCs. Units will also need to ensure that the HoDs and Unit Executive Staff have the appropriate access to the Reporting Tool App.

2. The D&RT captures issues by allowing users to raise 'tickets', which are then escalated incrementally through the CoC as required. An opportunity to resolve a ticket is present at each level, however, if the originator or the individual 'holding' the ticket feels it needs more senior input, they can then escalate it. This process, along with unit-wide transparency of raised tickets, will see issues resolved more promptly and at the appropriate level without diluting data collection capability.

3. Data collection facilitates the ability to conduct trend analysis at Flotilla, Brigade and NCHQ level, allowing more effective allocation of resources and forward planning to be conducted on a service-wide basis.

4. The D&RT will use the following standards as guidance when categorising a ticket:

a. Support.

b. Career.

c. Harmony.

d. Accommodation.

e. Healthcare.

f. Wellbeing.

g. Fitness.

h. General Standards.

5. The above standards are subsequently divided into the following sub levels:

a. Support:

(1) Primary level welfare provision.

(2) Family support welfare provision.

(3) Deployed welfare support & families information pack.

(4) RN websites.

(5) Youth forum.

(6) Other.

b. Career:

(1) JPA preferences.

(2) Preference E24.

(3) Jobs list (SCIO).

(4) Maternity, paternity and shared parental leave.

(5) Serving with dependent children.

(6) Branch transfers.

(7) Gunwharf.

(8) Promotions.

(9) Recovery pathway.

(10) Terminations.

(11) Exit interviews.

(12) Other.

c. Harmony:

(1) CAT A.

(2) CAT B.

(3) CAT C.

(4) Separated service.

(5) Other.

d. Accommodation:

(1) SLA.

(2) SFA.

(3) SSFA.

(4) FAM.

(5) Other.

e. Healthcare:

(1) Health promotion.

(2) General.

f. Wellbeing:

(1) General.

g. Fitness:

(1) Synopsis Sport.

(2) Recognised Sport.

(3) Approved Sport.

(4) Training.

(5) AT.

(6) Other.

h. General Standards.

(1) General.

6. The Qualitative Assessment (QA) made by the originator will be key to informing Command and facilitating prompt resolution of issues. QA will be implemented using the following categories:

a. Satisfactory.

b. Minor Weakness.

c. Serious Weakness.

d. Very Serious Weakness.

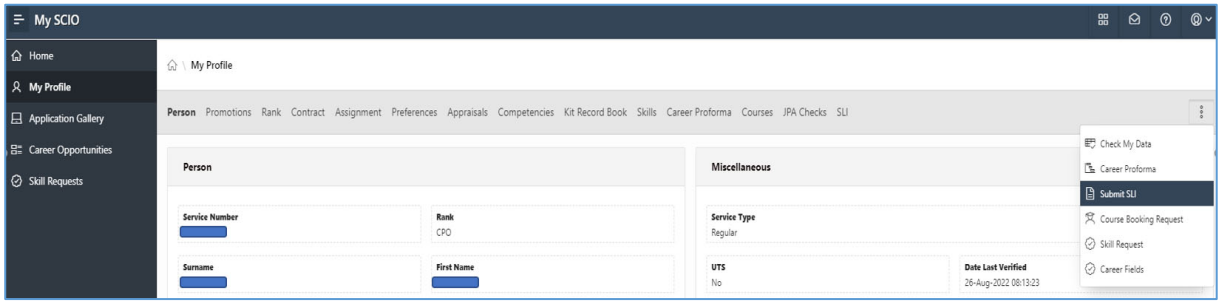
7. This tool operates separately to Personnel Functional Standards (PFS), but both can be used to report issues on the respective categories available in each.

8. Appendix 10 contains a template that may be used when access to SCIO is limited. The completed document should be emailed to NAVYPEOPLE-PSPDIVREPORTING@mod.gov.uk

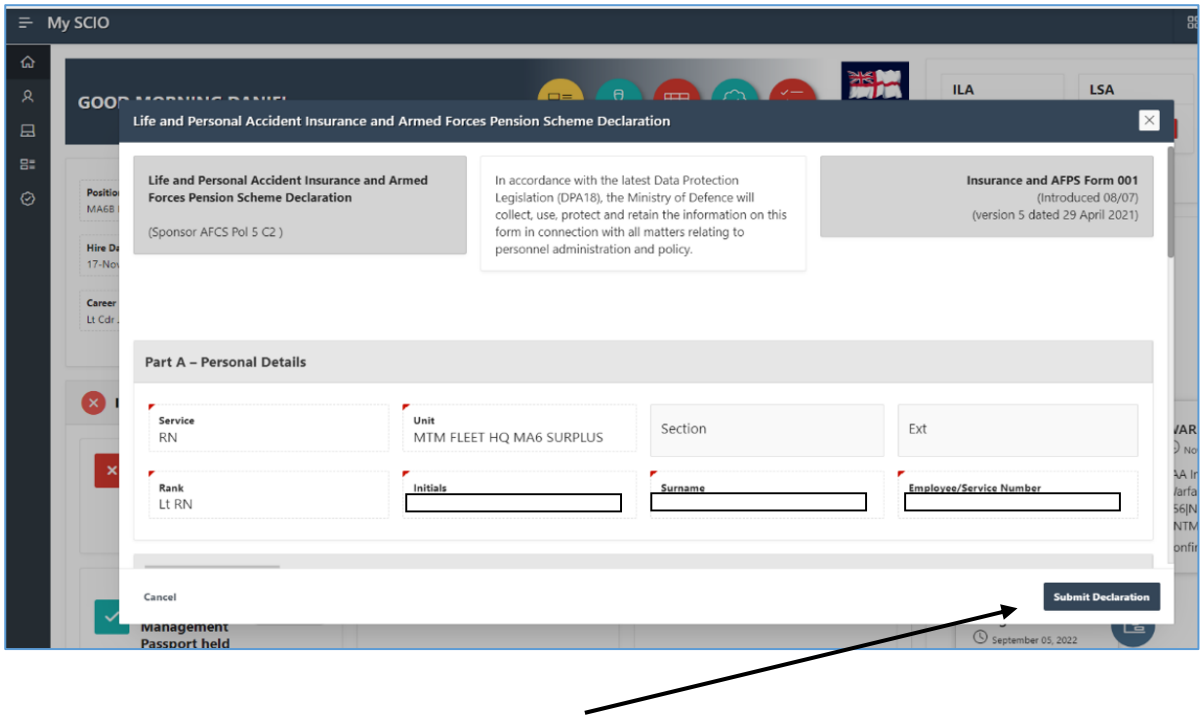
APPENDIX 6 TO ANNEX 21A

GUIDE TO UPDATING/CHECKING SLI STATUS

1. When it is necessary to update your SLI Form, it can be accessed via the My SCIO – My Profile page. Select the 'Submit SLI' from the 'Actions' icon on the right side of the grey banner.

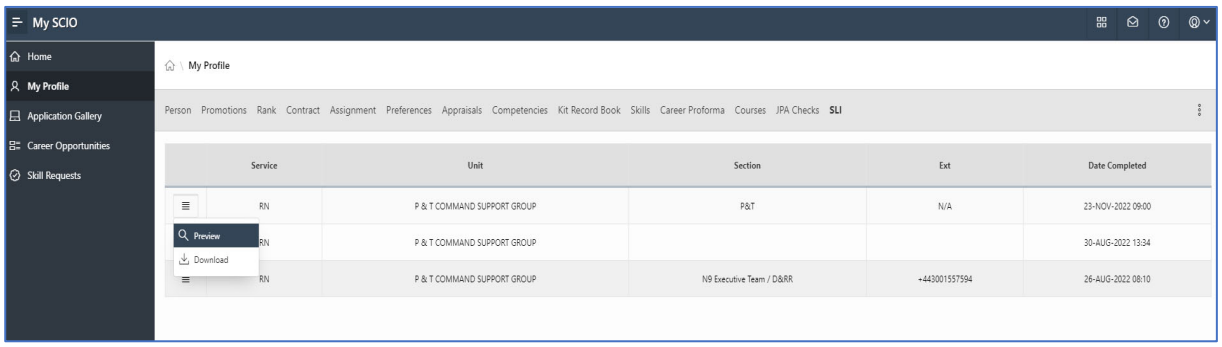


2. Selecting this icon will open up the 'Life and Personal Accident Insurance and Armed Forces Pension Scheme Declaration', shown below.

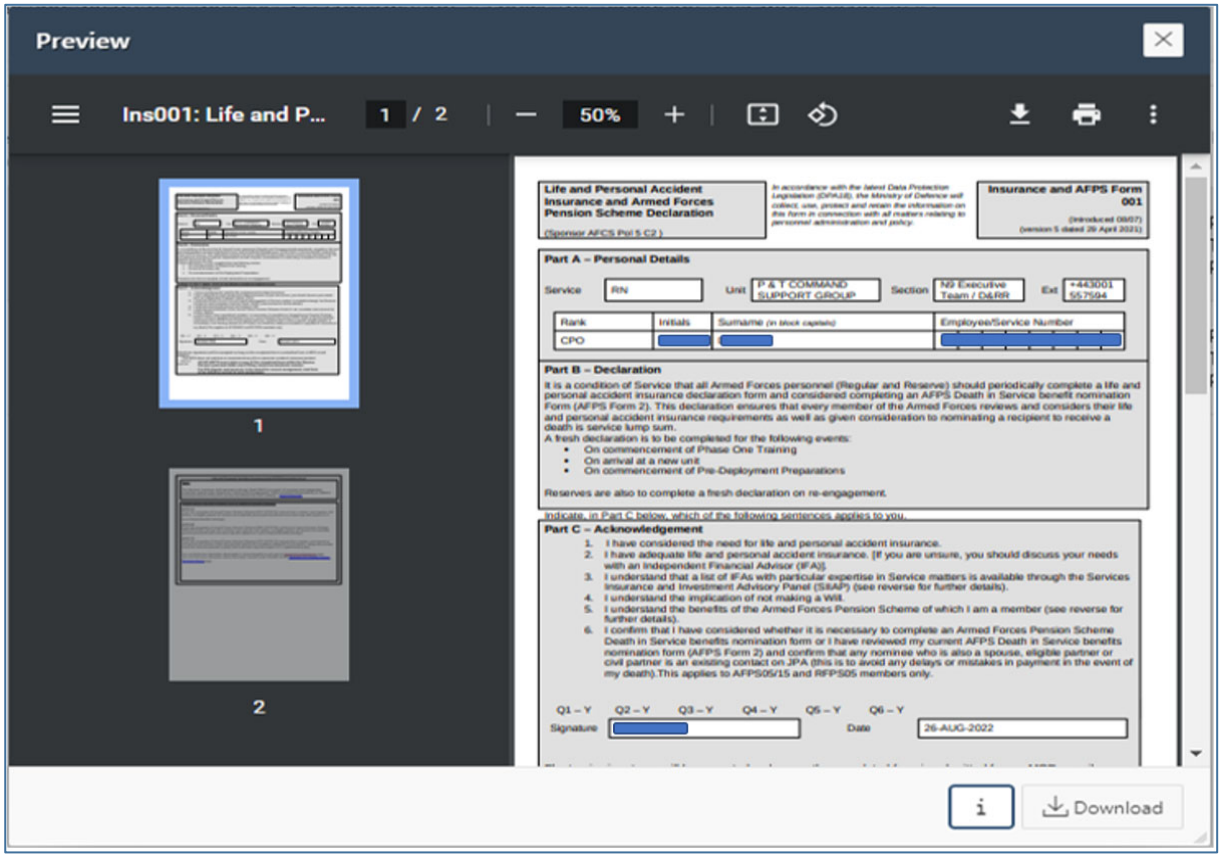


3. Once the declaration is complete, it can be submitted using the 'Submit Declaration' button at the bottom of the page.

4. To view in date or historic SLI Forms in SCIO, select the SLI Tab from within the grey banner in the My SCIO – My Profile page.



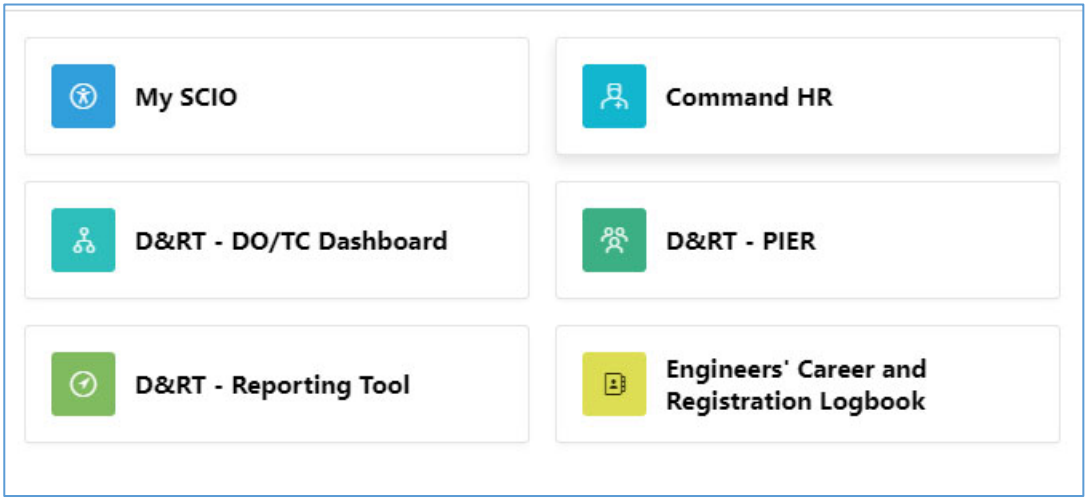
5. Completed SLI Forms can be viewed or downloaded by selecting the row ‘actions menu’.



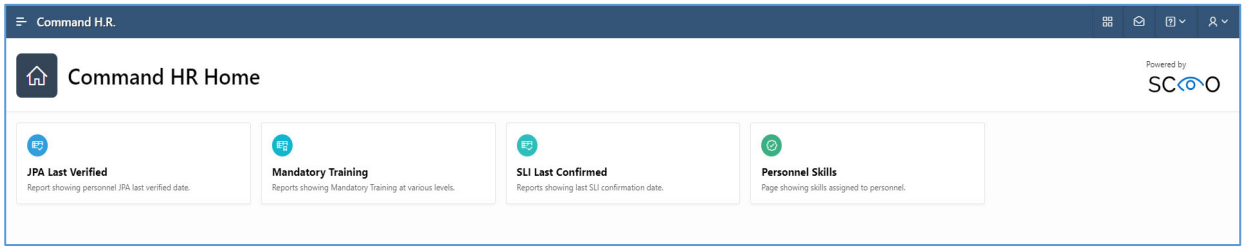
APPENDIX 7 TO ANNEX 21A

COMMAND HR GUIDANCE FOR CHECKING SPs SLI STATUS

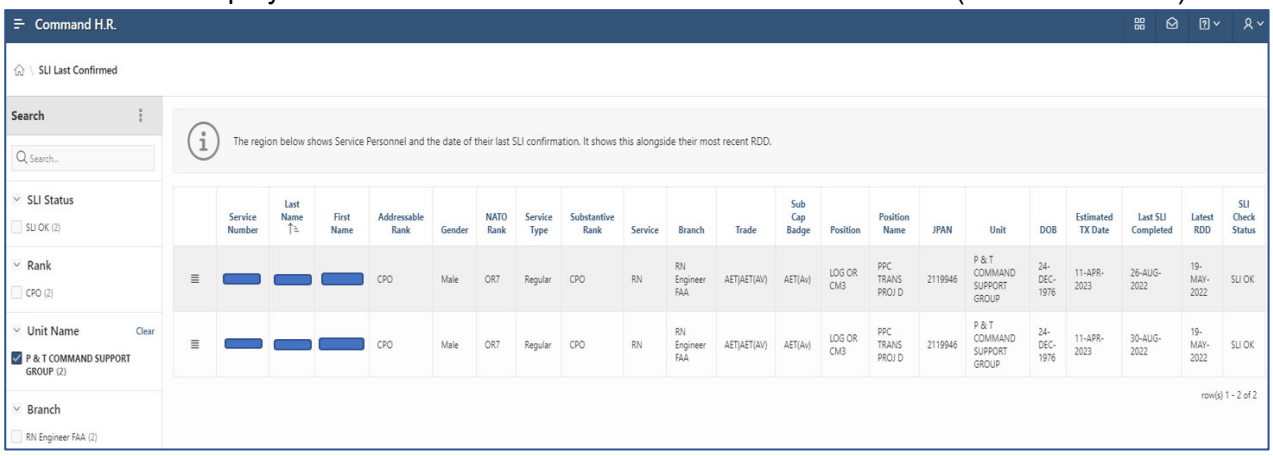
1. To ensure that a Unit is fully in date for an SLI declaration, the Command HR function allows full access to check that all SPs have carried out the procedure in Annex F. Users with JPA 'HR Admin' rights or the 'Unit MI manager' can access this function through the SCIO homepage by clicking on My Apps and Command HR.



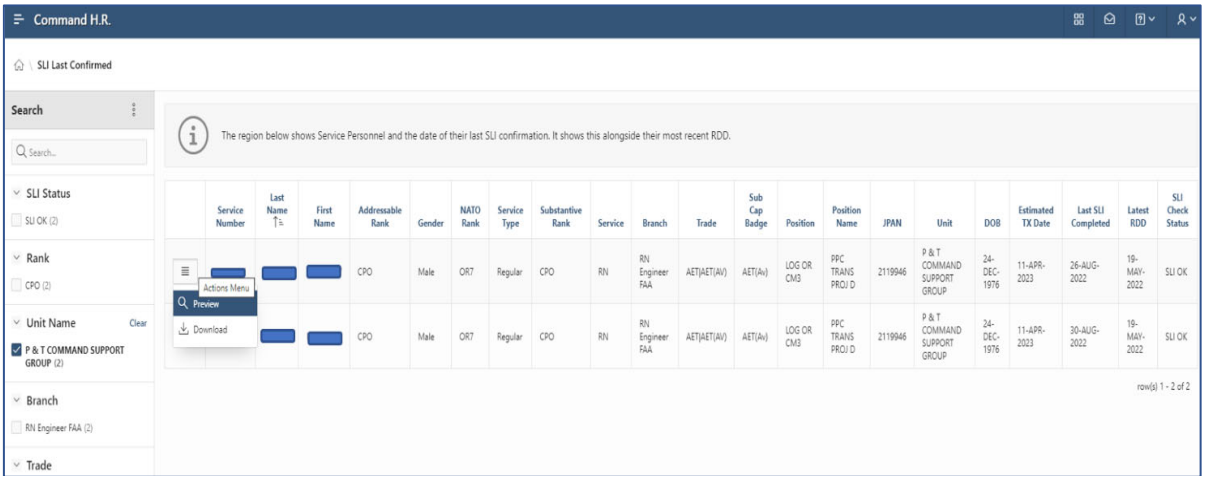
2. Command HR – SLI Last Confirmed.

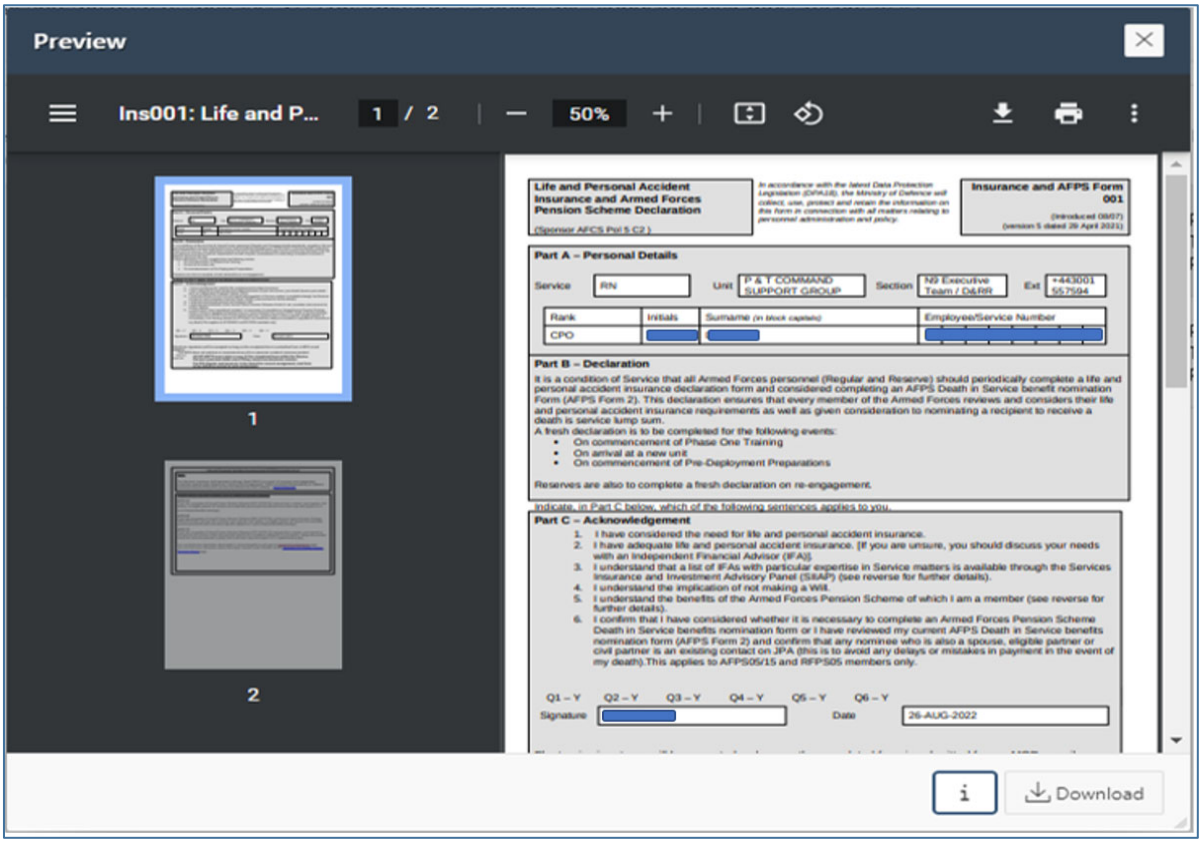


3. This will display the list of SPs and the last verified date of their SLI (Unit/View Filters).



4. The preview/download function allows the user to see the digital SLI form and print if necessary.





APPENDIX 8 TO ANNEX 21A

SCIO DIGITAL ACCESS INFORMATION

1. Email **NAVYPCAP-PPLANHRASCIOMAILBOX@mod.gov.uk** for any SCIO access issues or requests for access permissions to the D&RR Digital Toolkit Apps, if automatic access has not been granted. Please see the information below to detail user types and access levels.

2. Please provide App Title, User Permission required, the individuals PUID and additional justification if required.

App	User Permission	Name & PUID	Justification
D&RT - DO/TC Dashboard	Unit Dashboard Administrator (EWO/RSM auto-access)		
	DO		
D&RT- Reporting Tool	DO		
	HoD		
	Executive		
D&RT - PIER	User		

3. The option to provide feedback directly through SCIO is available in the PIER tool and the DO / TC Dashboard.

4. The Divisional and Regimental Review Team (D&RR Team) is available to deliver training sessions and support. Units may request support by contacting **NAVYPEOPLE-DIVREGREVIEW@mod.gov.uk**

5. Additional resources are available to users via the links detailed below:

a. **Divisional and Regimental System Review Homepage (Legacy)[1].** This should be accessible through DII(F), there is a PowerPoint Brief in the 'Useful Documents' List 'Digital Toolkit Roll Out Brief' however, this version does not contain demo video clips, there are video demos for each App within the 'Digital Toolkit' List.

b. **Divisional and Regimental System Review Homepage (DefNet)[2].** This site contains the MODNet SharePoint version of the D&RSR Homepage, with all the information required for users, this contains a Pre-Recorded version of the Digital Toolkit brief. There is a range of information within this site which includes user guides and demo videos.

[1] Divisional and Regimental System Review Homepage (Legacy).
[2] Divisional and Regimental System Review Homepage (DefNet).

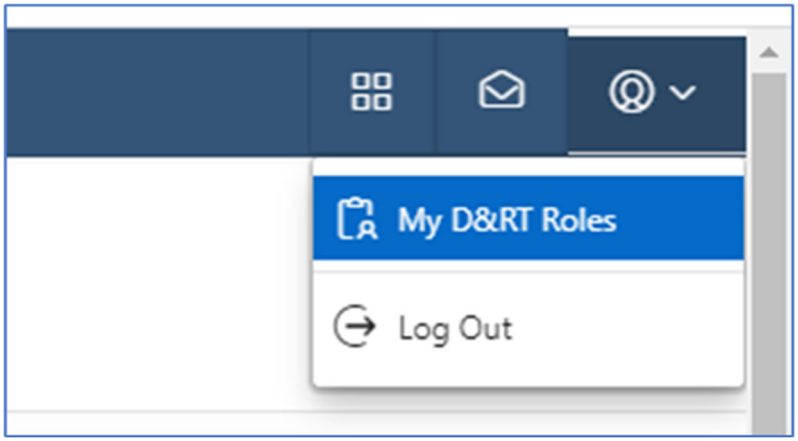
6. Levels of Access. The current levels of access for both DO/TC Dashboard and Divisional & Regimental Reporting Tool (Reporting/Ticketing) are detailed below. The main access positions that are not easily identified and linking to correct positions, is for personnel in positions requiring Administrator/Executive or HoD access. It is likely that units will need to identify who should have this level of access and should request access permissions.

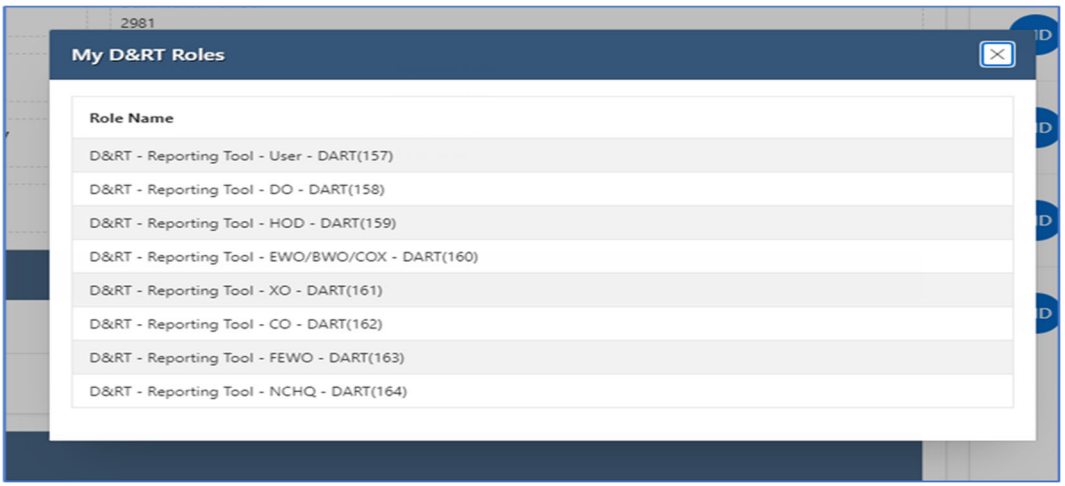
App	User	Access Requirements	Positions Identified for Automatic App Access.
D&RT - DO/TC Dashboard	Unit Dashboard Administrator (EWO/RSM auto-access, all other personnel requiring function will need to apply for user permissions)	Allocate personnel to DO/TC IAW the unit Divisional/Regimental plot.	Granted to SP in positions tagged as 'BWO', 'EWO', 'UWO', 'RSM', 'CSM', 'SSM', 'COX'N', 'DEPCO'.
	DO/TC	DO or TC for accessing personnel data and managing their personnel within their Division/ Troop.	All RN OR7 and above with DO Course JPA competence. All RM OR7 – OR9 with SLDC JPA competence. All RM OF1 and above.
D&RT-Reporting Tool	DO/TC	DO/TC access to raise a ticket for personnel within their Division/Troop. Resolve or Elevate ticket to HoD.	All OR7 and above with DO Course (& RM Equivalent) JPA competence.
	HOD	HoD access to view all raised tickets within their department and Resolve or Elevate tickets allocated to them up to their unit Executive personnel.	JPANs tagged with 'Capital/DD/FF - HODS (LO-MEO-WEO-XO-EWO) Desig (CBRNDC 4)' and 'CBRNDC 4a'.
	Executive	Unit Executive personnel are able view all raised tickets within their department and Resolve or Elevate tickets allocated to them up to NCHQ.	Granted to SP in positions tagged as 'CO', 'XO' (or equivalent, e.g. 2I/C), '1LT' (or equivalent, e.g. Adjutant) 'BWO' & 'EWO' (or equivalent, e.g. RSM, CSM, SSM), 'UWO', 'COX'N'.
D&RT - PIER	User	All RN/RM	All RN/RM
	1UP/2UP (Line Manager)	N/A Selected by PIER user.	N/A Selected by PIER user.
	1RO/2RO	Set by DO within DO/TC Dashboard.	1RO/2RO
	DO/TC	Determined by DO/TC selected in DO/TC Dashboard.	DO/TC

APPENDIX 9 TO ANNEX 21A

USER ACCESS

1. To check allocated user access granted for the D&RT DO/TC Dashboard and D&RT Reporting Tool, you can view current permissions via the D&RT Reporting Tool, select the 'sign out' icon in the top right corner and select the 'My D&RT Roles' option. To request the required level of Digital Toolkit Apps access/permissions, please use information in the 'SCIO Links/Toolkit Access Information', Appendix 8.





APPENDIX 10 TO ANNEX 21A

OFFLINE DOCUMENT FOR DIVISIONAL AND REPORTING TICKET (D&RT)

Service Number:
Name:
Rank:
Unit:

Symptom: ***(Free text)***

Assessment: ***(see over for definitions)***
Assessment:

Sub Level: ***(see over for definitions)***
Sub Level:

Standard: ***(see over for definitions)***
Standard:

Email to: NAVYPEOPLE-PSPDIVREPORTING@mod.gov.uk

Standard	Sub-Level
Support	Primary Level Welfare Provision
	Family Support Welfare Provision
	Deployed Welfare Support
	RN Websites
	Youth Forum
	Other
Career	JPA Preferences
	Preferences E240
	Jobs List (SCIO)
	SC & DV
	Maternity, Paternity, Shared Parenting
	Serving With Dependent Children
	Branch Transfers
	Promotion
	Recovery Pathway
	Terminations
	Exit Interviews
	Other
Harmony	Separated Service
	Cat A
	Cat B
	Other
Accommodation	SLA
	SFA
	SSSA
	FAM
	Other
Healthcare	Health Promotion
	Other
Wellbeing	General
Fitness	Synopsis Sports
	Recognised Sports
	Approved Sports
	Training
	AT
	Other
General Standards	General

Assessment	Definition	Qualitative Assessment
Satisfactory	No shortfall identified	The standard has been met to acceptable quality levels
Minor Weakness	The shortfall may require a change in priorities at unit level to rectify the problem.	A single serious shortfall or a number of minor shortfalls in the delivery of acceptable quality levels.
Serious Weakness	The shortfall may require a change in priorities at Command level to rectify the problem.	A single very serious shortfall or a number of serious shortfalls have been identified which severely restrict the delivery of acceptable standards.
Very Serious Weakness	The shortfall is critical to the achievement of core TACOS. Very Serious Weakness issues should be directed to Navy Command TLB/NAVB for consideration	The shortfall from target is considered critical to the delivery of core TACOS.

ANNEX 21B

SPARE

ANNEX 21C

APPRAISAL REPORTING

1. The definitive guidance and authoritative document for all matters pertaining to appraisal reporting remains JSP 757, however the following paragraphs are offered as initial guidance for Divisional Officers.

2. Reporting Officers

Except in the most exceptional circumstances (and in the RM where other arrangements may be in place), DOs/Tp Cdrs are to be either the first (1RO) or second (2RO) reporting officer for every member of their Division. DOs are to liaise closely with line managers of individuals in order to track and report on professional progress. Where there is not an officer of at least the rank of OF3 (or OF2 if in Command) in the reporting chain, an appropriate OF3 is to be the 3RO. This ensures that the Command Chain remains fully engaged in the alignment and quality control process. This is to ensure that ratings/ORs in such situations are not disadvantaged (see Chapter 57 and JSP 757 for detailed guidance).

3. Mid Period Appraisal Review (MPAR)

The following actions are to be carried out in respect of MPARs:

a. MPARs for all personnel are mandatory. In normal course, following the joining procedure, the next formal interview to be carried out by the DO/Tp Cdr will be the Mid Period Appraisal Review (MPAR). The MPAR is the method by which the Naval Service informs its people how they are performing and what they must do if improvement is required and how to enhance their professional development. Every individual is entitled to an MPAR and one must precede each appraisal report.

b. An MPAR must also be held whenever an individual's performance noticeably deteriorates. In such a case the MPAR would be the likely precursor to a 'Special' report as part of the professional warnings process. This occasion should be taken as an opportunity to address matters such as unsatisfactory social behaviour e.g. persistent misuse of alcohol or abuse of social media. In these regards it acts as an effective audit trail and is a far better tool than a simple verbal debriefing (which in all likelihood is quickly forgotten and in any event does not form a recordable evidence chain).

c. It is important to understand that the MPAR is a management tool that enables the best possible performance to be derived from our people as much as keeping them informed of how they are perceived. DOs/Tp Cdrs should therefore be familiar with the coaching techniques at Annex 21V (GROW) and Annex 21W (Effective Feedback) and make every effort to use these techniques appropriately in MPARs.

d. Whenever possible, MPARs should be held mid-way through the period between appraisal reports. With the inception of Common Reporting Dates aligned to rate/rank, DOs/Tp Cdrs need to plan an MPAR schedule to ensure each member of their division is given ample time for their MPAR. Individuals should always be given at least 24 hours' notice of an MPAR and the opportunity to comment against it. DOs/Tp Cdrs may wish to draw up a draft report for use during an MPAR or use local templates; a copy should be given to the individual and one retained by the DO/Tp Cdr.

e. Preparation is the key to a successful MPAR. A DO/Tp Cdr must gather as much relevant information about the individual as possible. The DSR/SNCO should be consulted together with the employing officer (where they are not the DO) and the individual's line manager. While it is appropriate to give praise when due, the MPAR must inform the individual of how they are performing in all aspects of their job including those 'whole-ship' tasks such as duties and communal roles. Where the DO/Tp Cdr is unable to comment objectively from their own knowledge or experience they must seek advice from appropriate sources. Telling someone that they have a weak area, or other problem is never easy, and DOs must ensure they are well informed and briefed before raising such matters.

f. The DO/Tp Cdr must listen during the MPAR. The individual should be put at their ease, encouraged to join in a dialogue and given the opportunity to describe whether outside factors have been adversely affecting their performance at work; this may well yield some important information. The MPAR is not a mechanism for individuals to negotiate a report that is acceptable to them, but it is a two-way flow where both participants have an equal investment in the individual's career. An effective tool to guide this conversation is the GROW model (Annex 21V), which provides a means for the DO to assist the individual to develop towards realising their full potential. Applied appropriately, GROW will work regardless of the starting level of performance: those already at a satisfactory standard can be stretched and challenged toward excellence while those underperforming can be supported in reaching the required performance standard.

g. DOs/Tp Cdrs must be ready to articulate and explain their views when addressing someone's faults; although this takes moral courage, it is their absolute duty. An effective tool for the DO to structure feedback, including honest articulation of shortcomings and credit where it is due for strengths, is the Effective Feedback model (Annex 21W).

h. Finally, the purpose of airing problems at the MPAR is to achieve an improvement in the individual's performance. A recovery plan must be agreed and progress checks made at appropriate milestones which may require follow-up interviews. Where problems are rectified between the MPAR and the report due date they should be discarded and not included in the subsequent report. The MPAR, although in most cases produced electronically, should still be signed both by the DO/Tp Cdr and the individual. This provides assurance that both parties are content with the report and the measures proposed/implemented within. Once the final report is completed, the MPAR form can be destroyed. 1RO must retain a copy for 6 months after the AR has been finalised IAW JSP 757.

ANNEX 21D

DIVISIONAL JOINING LETTERS

1. General

DO/Tp Cdrs are to make official contact with officers/ratings/marines assigned to their division as soon as the initial Assignment Order is received. A joining letter is always to be sent, even if the majority of contact is by telephone or email. The exact content of the letter is left to the discretion of the author but DO/Tp Cdrs may find the format and possibly even the content of these letters largely decided by the Command in some units. In the case of Senior Ratings/SNCOs, it is recommended and encouraged that, in addition to the formal letter of introduction, the current incumbent writes to their relief to give greater detail about the job and also more general useful information (e.g. mess social events etc.).

2. Contents

Several important subjects must be covered, some of which may only be applicable to seagoing or deployed units. These include the following:

a. Details of the individual's intended employment, all aspects to be covered; enclose a copy of the current Job Description/TORs (NB: Where appropriate, the accuracy of all assigned Temporary Employment Modules (TEMs) is to be confirmed by the DEPCO who is to check the Establishment List. Any errors or omissions are to be set out in the joining letter and resolved immediately with DDPD).

b. Confirmation of the joining date and place (NB: Where this differs from the date on the Assignment Order it is essential that the discharging unit and DDPD are informed, in accordance with Chapter 61 Section 2).

c. Details of the ship's/unit's medium term programme (classified not above 'OFFICIAL' accompanied by the emphasised statement that the programme is for the individual and their immediate family only); a copy of the latest 'Midcast' or 'Longcast' will suffice if it meets the classification caveat.

d. Details of tropical or other kit that will be required on joining or for deployment if applicable.

e. Names of main ship's personalities (CO, XO, HoD, EWO/RSM, DSR/SNCO, LHOM, etc.).

f. Any medical requirement (i.e. vaccinations, dental check, JMES review, PULHEEMS, diving medical, hearing conservation programme, deployment specific medical prophylaxis, etc.) to be undertaken prior to joining.

g. Reference to Service Family Accommodation (SFA) entitlement if applicable.

h. Requirement for any specialised training or equipment and any special information such as:

(1) OPTAG training.

(2) Requirement for General Service Respirator.

(3) Passport.

(4) Personal insurance.

(5) Encouragement to make a Will.

(6) Unit contact details for family (if joining whilst deployed).

(7) Ship/Unit specific NCT.

3. Signatories

In some ships/units, the CO may wish to send the 'official' joining letter, especially for certain key senior rates/SNCOs. Alternatively, the DO/Tp Cdr may wish to send an over-arching introductory letter and then leave the DSR/SNCO to send a follow-on letter or email with detailed instructions/content (the latter may be delegated to a Leading Hand/Corporal if appropriate). Some DOs may prefer to retain sole custody of the initial contact.

APPENDIX 1 TO ANNEX 21D

EXAMPLE OF A DIVISIONAL OFFICER'S JOINING LETTER

HMS [Name]
BFPO [No]

Rate/Rank/Name/Service No
Address
Date

Dear [*Name*],

1. On behalf of the Commanding Officer, [*Rank and Name*], welcome to HMS [*Name*], which, as you probably already know, is a Type/Class [*describe ship*] that is based at [Base Port].

2. I am [*Rank/Rate/Name/Title*] and I will be your Divisional Officer/Troop Commander. [*CPO/PO/CSgt/Sgt/Name*] will be your Divisional Senior Rate/SNCO. It is anticipated that you will be employed in the [*Name*] Part of Ship/Section, and will initially be working for [*CPO/PO/CSgt/Sgt/Name*]. I have enclosed a copy of the current Job Description/TORs for your post to give you an insight into your job.

3. For your information, I have also enclosed a copy of the Ship's/Unit's Longcast which is Protectively Marked Official and should be discussed only with your close family/friends. As always, the programme is subject to change at short notice.

4. Your Unit Personnel Office/Ship's Office/Unit HR has been advised of your joining instructions, which are as follows:

a. You are to join the Ship/Unit at [*Place*] by [*Time*] on [*date*] and should be in possession of a full Blue uniform (plus Tropical uniform if appropriate) and a serviceable GSR.

b. You should bring a photocopy of your current Weapon History Sheet.

c. You are required to check your personal Force Health Protection (FHP) Measures within My Health on JPA, and the Healthcare site within MyNavy App to review your deployable fitness standard. You are to ensure that your Medical Deployability Standard and any MES limitations are correctly identified.

d. You are to ensure you are in-date for all vaccinations and are to include any vaccinations that are due to expire within six months of joining.

e. You are to ensure that you are Dental Category 1: Fully Fit and in date for Personal Dental Inspection. If you are Dental Category 3 or 4 you are to seek dental advice.

f. You should also ensure that you are in-date for your Hearing Conservation Programme.

g. You are to attend your Medical/Dental Centre and request that a check of your documents is made to ensure that you are in date for all medical/dental checks, as previously detailed, along with PULHEEM/Diving Medical etc. prior to joining, and unlikely to go out of date prior to [*add date*]. Furthermore, you are to request the following vaccinations/prophylaxis: [*details to be supplied by ship/unit's medical staff*]. Failure to do so may prejudice your ability to enjoy shore leave during our forthcoming programme.

h. Your passport should be valid for at least the next [*number*] months.

i. As a [Name of Base Port] based ship, you and your family may be entitled to Service Family Accommodation (Note 1) in the local area, for which you are advised to apply as soon as possible.

j. On joining, [*Rank/Rate/Name*] will be your 'Sea Parent' (Note 2) for your first two weeks onboard and will acquaint you with the ship's/routines and guide you as required.

5. I look forward to meeting you on joining; however, in the meantime, please do not hesitate to contact me if you require any further information.

[*Signature Block*]

Enclosures:

1. Job Description.
2. Longcast.

Notes:

1. *Only if appropriate - i.e. the person is married.*

2. *For Senior Ratings only, replace with: "You will shortly receive another letter from [Name] - the present incumbent of the position you are going to fill, who will send more details of your job."*

ANNEX 21E

DIVISIONAL JOINING INTERVIEWS

The following points represent best practice when a DO/Tp Cdr conducts a Divisional Joining Interview:

a. The interview should be in the DO/Tp Cdr's cabin/office or other similarly private area and programmed for at least 30 minutes (possibly up to an hour) which must be free from interruption. The interview should be kept as informal and welcoming as possible. The DO/Tp Cdr may need to take some notes but this should be kept to a minimum. The joining interview is part of the formal 'induction' procedure, completion of which is mandatory. As such the interview must take place as soon as practicable but absolutely within 28 days of the new joiner's arrival.

b. Personal style will influence the exact conduct of the interview, however in general it is probably a good idea to begin by showing an interest in the individual and by initially talking about their previous assignment, family, home and personal circumstances; this should help draw information, overcome initial shyness and gain the individual's confidence. Establishment of the individual's domestic status, whether they have children, and whether there are any particular problems in these areas (e.g. moving to a new base port, entitlement to and availability of SFA etc). Then matters such as the following may be addressed:

(1) Service Engagement – confirm Termination date and resettlement status if appropriate.

(2) GCBs held/due (include LSGCM if appropriate).

(3) Professional status and aspirations.

(4) Educational status and aspirations (is the rating educationally qualified to Petty Officer/Sergeant (PO/Sgt) or an SUY candidate – do they aspire to this?).

(5) Pre-promotion training performance (if this is their first assignment in a higher rate).

(6) A full JPA check in accordance with Annex 21B.

c. Some DO/Tp Cdrs may be uncomfortable with discussion of the more personal aspects of an individual's life, especially if this involves protected characteristics. It is the DO/Tp Cdr's job to overcome any awkwardness and getting to know the person pays long term dividends. This can save embarrassment for both parties through asking inappropriate questions at a later date. DOs can then appreciate what is important to the individual which, in turn, will make the individual feel valued.

d. For many individuals joining from initial training there is a high likelihood that they will be involved with an accreditation route to achieve an NVQ or Apprenticeship Programme. DOs have an important role in ensuring these ratings achieve valuable civilian qualifications (see Individual Training Policy in Chapter 95).

e. For individuals who have recently been deployed on operations, their Service Documents will contain records of Post Operational Stress Management (POSM) (1 per deployment). The content of these should be reviewed by the DO/Tp Cdr and, if necessary, discussed with the individual to ensure continuity of divisional/troop (and any other necessary) support. (NB: If the rating joins under punishment or suspension of punishment, it is essential that the new DO explains the full implications of the punishment, i.e. it should not be assumed that the rating has been briefed.)

f. Once the appropriate Arrivals action has been taken on JPA and the AR initiated by the Appraisal Administrator, the DO and First Reporting Officer (1RO) should discuss the individual's intended employment. The Roles and Responsibilities will have been established prior to the Subject joining their unit and, where available, TORs should also have been briefed. Personal Objectives should be agreed and Career Preferences and Aspirations discussed. The individual is, in an agreed timeframe (recommend maximum of seven days), to enter their Personal Objectives, Career Preferences and Aspirations into JPA. Once this has been done the front page of the SJAR should be printed and handed to the rating. The DO should explain in straightforward terms what is expected of the individual, covering all aspects of employment including that for 'duties' and other 'whole ship' tasks. The DO should set objectives for the individual to achieve over the forthcoming reporting period and ensure the individual understands what is expected of them. Similarly, the individual's training state should be assessed and the DO must draw up a personal training and development record for each individual.

g. A draft Personal Plan (PP) will also be drawn up at this stage for 'squadded' personnel and may include the individual's plans and aspirations for leave, harmony time, educational courses and Adventurous Training. The PP should be discussed in advance with the DEPCO for de-confliction and with the EWO for endorsement; this is an ideal role for the DSR/SNCO. Full instructions on the GSP system, PPs and the DOs responsibilities are contained in the GSP CONOPS, Fleet JR Squad System Divisional Aide Memoire and the Squad System Desk Instructions held by waterfront PSGs. The EWO and DEPCO are focussed on the delivery of OC to the Command from a workforce perspective and, as a consequence, it is deemed best practice to formulate a PP for all members of the division, including Senior Rates and those who are not part of a squad. Remember that the details submitted to the DEPCO for ratification by the EWO are aspirational and, although every effort will be made to meet any agreed arrangement, the operational commitment of the unit has primacy; this should be made clear to individuals.

ANNEX 21F

DIVISIONAL FEED BACK SPREADSHEET

Divisional Feedback Spreadsheet *(Downloadable version available in BRd 3(1) Forms Section)*

ANNEX 21G

WALKING THE PATCH - SOME DO'S AND DON'TS

1. DO'S

a. Do make sure that you have enough time to stop and talk; it would be counter-productive to start a conversation only to dash off to a meeting as the individual starts to confide in you.

b. Instinctively know the individual's name and have something to say; a few 'ice breaking' conversation pieces. There is nothing worse than silence. Ask how the individual is, whether they were ashore last night, plans for the weekend, how the deployment is going, complimenting their part of ship or work, how is their task book training? As you grow in confidence and get to know your people you can become more adventurous. How is the family, did you get the course you were hoping for, how is morale in the mess? Then just have a normal conversation.

c. Do be aware of body language and avoid being 'defensive' in posture.

d. Do be prepared to answer questions on unit policy. Sailors and Marines will be keen to glean the latest 'buzz' from the Wardroom/Officers' Mess; if necessary ask the XO for latest direction and guidance.

e. Do make sure that you acknowledge and take for action any issues raised and also feedback any salient points to the Command if the need merits.

f. Do make sure that your uniform and appearance is smart and proper. It would be awkward to pick someone up for not polishing footwear or for having a back pocket button undone if you are in the same state.

g. Do be interested in what they are doing; look, ask questions and listen conscientiously. If someone has an idea you the DO can act on, do so and tell them how it's going; if you can't act on it, tell them why not. More importantly, if saying that something will be done for someone, make sure that it is done.

h. Do use the opportunity to maintain standards and Naval Core Learning (NCL). Ask them if they are in date for respirator testing or alcohol lecture, for example "did you complete the brief you promised at our joining chat?". It all adds to the conversation.

2. DON'T'S

a. Don't be afraid to pick someone up for not maintaining standards. It is your job and your duty, so never fear from upholding standards by applying moral courage. However, this should not stop you having the conversation you intended in the first instance.

b. Don't be afraid to speculate for example about a forthcoming event or programme, but do make it clear that you are expressing a personal opinion and don't make a comment or speculation which would embarrass the Command later.

c. Don't be a 'fair weather' DO/Tp Cdr. Your people work in the wind and rain, so get out and see them when the going is tough - they will respect you more.

ANNEX 21H

ETHOS, VALUES AND STANDARDS

SECTION 1 - OVERVIEW

1. Introduction

The ethos, values and standards set out below have been selected as being those that experience has shown are vital for success on operations. It is only by fully accepting and living them 24/7, whether on deployed operations, peacetime tasking or off duty, that we can build that teamwork and the spirit to fight and win, which is so crucial to Operational Capability.

2. What is Ethos?

Ethos is the distinctive character, spirit and attitudes of a community, people, culture or group; it defines and motivates the shared ideas, understandings and customs. The ethos of the British Armed Forces centres on four tenets[1]:

a. Vision – how we see ourselves and our purpose;

b. The desire to achieve operational excellence (professionalism);

c. Our Values (what we stand for);

d. Our Traditions.

"Communicating them effectively not only influences how we see ourselves, but also how others perceive us. This underpins our credibility on the global stage".

3. What is Royal Navy Ethos?

By necessity, we operate many miles from our home ports, bases and families in the UK and therefore must bring everything we need with us in order to achieve our missions. The Royal Navy is a 'can-do' organisation and will attempt any mission we are given with the means we have available to us. The ethos of the Royal Navy is defined as:

"The enduring spirit derived from our people's loyalty to their ship, unit or team, sustained by high professional standards and strong leadership that gives us courage in adversity and the determination to fight and win".

It is what we do and how we do it.

[1] Joint Doctrine Publication 04 – Understanding, Para 403.

4. Aim

This Annex outlines the key components of Royal Navy ethos and the importance of understanding, encouraging, fostering and preserving it in order to ensure continued success in future operations and armed conflict. In this context, the Royal Navy comprises of the four Fighting Arms (the Surface Flotilla, Submarine Service, Royal Marines and Fleet Air Arm), the Royal Fleet Auxiliary and the Maritime Reserves and is broadened to include supporting civil servants and families in the collective. It is recognised that the guidance provided is generic and that individual Fighting Arms continue to emphasise their own and unique characteristics. For example, although the Royal Marines are an integral part of the Royal Navy, their history, operational role and characteristics demands a variation on this and is covered separately in the Royal Marine Ethos – 'The Commando Spirit' – documentation.

SECTION 2 - THE COMPONENTS OF ETHOS

5. Vision: How we see ourselves and our purpose.

The Royal Navy must be able to project maritime power to protect and promote our nation's interests. This will require a Royal Navy that is operationally versatile and interoperable in all environments as part of a joint, multi-national and multi-agency force. There is an imperative to be forward deployed, preventative in approach and culturally aware to build trust and make sense of an increasingly complicated world. The Royal Navy must innovate to be able to adapt more quickly than its adversaries and must be supported by lean, effective equipment and workforce structures. Success rests firmly upon the quality of the Royal Navy's people; well led, robust, committed and confident of operating in the maritime environment and expert in handling risk. The Royal Navy will continue to invest in high end technology but it is our people that will deliver the battle winning edge.

6. Standards: The desire to achieve operational excellence.

Our continued success in future operations must be founded on high professional standards. We must demonstrate a sustained desire for continued improvement and innovation to ensure that we maintain the edge over our potential adversaries and remain a world class Navy. To that end, the Royal Navy must be structured and trained to fight, not for the convenience of administration in peace. Whatever area we work in, ultimately the focus for all of us should be on maintaining and improving our current and future war fighting capability. Equally important is the demonstration of high personal standards; whether it is immaculate uniform, smart civilian attire or excellent behaviour at all times, our personal standards must remain consistently high. Divisional standards including knowing the team, working hard to keep on top of divisional staff-work and writing timely reports all have a part to play. Finally, it is our duty and responsibility to uphold and enforce professional and personal standards – setting the right example and encouragement is always better than enforcement.

7. Core Values: What we stand for.

Our core values should be displayed at all times by all of us, whether we are on duty or ashore with our friends and families. They should recognise our values and understand that we are different from society and justifiably proud of the high standards we uphold in support of our country.

a. **Commitment.** Selfless personal commitment is the foundation of Naval Service and enables us to demonstrate a sense of authority and purpose. We must be prepared to serve whenever and wherever we are required, and to do our very best at all times. This means that we accept that we will be expected to put the needs of the mission, and our team, ahead of our own interests.

b. **Courage.** Courage creates the strength on which fighting spirit, that essential element which turns a fighting force into a winning force, depends. We must have the physical courage to carry on with our task regardless of danger and discomfort, and the moral courage always to do what we know is right.

c. **Discipline.** The Royal Navy must be a disciplined service if it is to be effective. We must therefore obey all lawful orders from our superiors. Self-discipline is fundamental; being able to discipline ourselves will earn us the respect and trust of others, and equip us to cope with the difficult, individual decisions we will have to make during our service.

d. **Respect for Others.** Each one of us has the exceptional responsibility of bearing arms, either collectively as part of a unit or individually, and when necessary of using controlled force. In addition, we will sometimes have to live and work under extremely difficult conditions. In such circumstances, it is particularly important that we show the greatest respect, tolerance, understanding and compassion for others regardless of their personal background; leadership and teamwork depend on it, and we have the fundamental right to expect to be treated with the same degree of respect and dignity by all with whom we serve.

e. **Integrity.** Integrity is that quality of an individual's character that encompasses honesty, sincerity, reliability, and unselfishness. It is an essential requirement of both leadership and comradeship. Unless we maintain our integrity, others will not trust us and teamwork will suffer. Putting this integrity into practice sometimes requires us to show moral courage, because our decisions may not always be popular. This is not always easy; however, doing the right thing will always earn respect.

f. **Loyalty.** The Nation, the Royal Navy and those with whom we serve rely on our commitment, dedication and support. We must therefore be loyal to our leaders, those that we lead, our team, and our duty. Pass this test and we will never let others down.

8. Tradition – History, Heritage and Reputation: The Character of a Fighting Force

King Charles II:

> ***"It is upon the Navy…that the safety, honour, and welfare of this realm do chiefly depend".***

Being able to look back over a long and distinguished history is a luxury and privilege that many organisations do not have. The wide ranging history of the Royal Navy, far from being a shackle that holds us back, gives us a unique ability to understand complex situations, today and tomorrow. We can draw an immense amount of pride and satisfaction from this history and our many quirky and unique traditions. It allows us to appreciate the viewpoints of our partners, as well as our potential adversaries, to have an edge in leading in an international setting and to take the positive and negative lessons in order to gain the impetus to adapt and evolve. Our reputation is second to none; many attempt to emulate, but only a few succeed.

9. Leadership

Lieutenant General Capewell, Chief of Joint Operations (2013):

> ***"….chemistry is as important as physics, Emotional Intelligence is as important as IQ and that ATTITUDE invariably trumps aptitude".***

Leadership inevitably pervades all aspects of ethos and is absolutely fundamental to its maintenance. Good leadership inspires and underpins everything we do and is the glue that holds all our activity together. This is never more important than during periods of conflict when we need to overcome, or at least control, fear, fatigue, discomfort and uncertainty. In doing so, the duty of all leaders, at every level, is to maintain the morale and cohesion of the team. High morale is absolutely pivotal to the fighting efficiency of any Ship, Commando, Squadron or Submarine and depends on every individual playing their part and contributing to cohesion as a whole. No matter what their task is, every individual must believe that what they do really matters.

10. Teamwork

Strong teamwork is fundamental to our success and is the component that brings all our individual efforts together. It unites us in our understanding and commitment to work with each other, whatever our function in order to provide maximum unity of effort. Shared pride in success comes from good teamwork. Good teamwork is absolutely essential if we are to face and overcome the challenges inherent in war fighting. We are so much stronger, and have a better chance of winning, when we work together.

11. Morale

The maintenance of good morale is one of the principles of war. It is based on recognition of the needs of the individuals who collectively form the team, and it manifests itself in the will to win. Morale promotes the offensive spirit and determination to achieve the aim. Good morale is based on: a shared sense of purpose; clear understanding of, and belief in, the aim; discipline and self-respect; confidence in equipment; training; and well merited mutual trust and respect between those in and under command. The Naval systems of Command and its long standing Divisional and Regimental Systems provide a clear framework for effective leadership and support for the individual within the ship, or unit.

12. 'Can Do' Attitude

Many of the components of Naval ethos are captured neatly in the expression 'Can Do'. The Royal Navy has a legendary reputation for sticking to a task whatever the constraints or changes in circumstance. This was summed up by Admiral Cunningham's remarks during the evacuation of Crete in 1941:

"It takes three years to build a ship, 300 years to build a reputation - We'll stay."

13. Sense of Humour

Maintaining our unique Naval sense of humour and banter is vital to our ethos and way of life. It helps us face adversity, whether it is physical hardship, fear or uncertainty. It can break tensions, allowing events to be seen in a more balanced perspective. No matter how grim the situation, 'Jack' and 'Royal' will always see the funny side of it and almost invariably someone will have been in a 'worse' situation before. The almost limitless ability of our people to exchange anecdotes or 'spin dits' about all aspects of Naval life, many of which have a serious point, is a crucial means by which our ethos is sustained and instilled into our successors. However, if taken to the extreme, there is a fine edge of common sense and good taste when banter can be offensive and thus unacceptable.

14. Humility

We should not be self-important or arrogant, and we should never show condescension towards others. Instead, we should treat others with respect and, while confident in our own ability, we should value others and welcome and recognise their contributions. We should appreciate our own fallibility and learn from our mistakes.

15. Covenant

The Armed Forces Covenant (see Chapter 1, Para 0111) is the formalisation of the agreement by the citizens and Government of the UK to support the UK Armed Forces and their families. It states that we should face no disadvantage compared to other citizens in the provision of public and commercial services. Special consideration is appropriate in some cases, especially for those who have given most such as the injured and the bereaved. It is the written declaration that our nation supports us in what we do. Furthermore, there is a relationship that exists between the Royal Navy and its people and their families. This is represented as a series of mutual beliefs, perceptions, informal and formal obligations which engenders trust and mutual respect. An example of the expression of this 'bond' is Personnel Functional Standards (PFS) (see Chapter 22).

16. Standards of Conduct

a. The Royal Navy has an enviable and unrivalled reputation for operational success, both past and present. It is an enduring feature of which everyone can be justifiably proud, but we should not take this for granted. Awareness and continuity of our ethos is fundamental to maintaining this success in the future. Regardless of your rank or position, in terms of 'RN Ethos - The Spirit to Fight and Win', you therefore have a duty to understand it; recognise the pressures that could undermine it; and encourage, foster and preserve it. As members of the Royal Navy we are expected to conduct ourselves to a high standard at all times. A handful of simple guidelines should help:

(1) **We Must Obey:**

- Civil Law, wherever we are serving;
- Service Law, which includes additional offences that are required to maintain discipline and thus operational effectiveness; for example, absence without leave, and insubordination; and
- the Law of Armed Conflict, whenever we are on operations.

(2) **We Must Also Avoid:**

- any activity which undermines our professional ability, or puts others at risk, in particular the misuse of drugs and abuse of alcohol;
- any behaviour which damages the trust, confidence and respect between us and others in our team and unit. In particular, we must not:
- harass, bully, or discriminate against anyone, on any grounds; or
- behave in a manner which could undermine good order and naval discipline or tarnish the Service's long-standing reputation.

(3) **The 'Service Test'.** Ultimately, we must always measure our conduct against the following test:

"Have the actions or behaviour of an individual adversely impacted on the efficiency, operational effectiveness or reputation of the unit and/or the Service?"

b. If we can look ourselves in the mirror and say, honestly, "No, my action will not have an adverse impact" then we can be proud of the fact that we are living up to the values and standards expected of us. On the other hand, if we are unsure of our answer, or find ourselves saying "Yes", then we are about to over-step the mark. This is indeed what every Commanding or Divisional Officer will need to consider when assessing any potential Code of Social Conduct issue.

17. The Special Duty of our Leaders

Those in positions of authority, from Leading Hand upwards, have a duty of care towards our subordinates, looking after their interests and ensuring that they fully understand what is expected of them. This duty of care requires us to deal with any complaints brought to our attention in a thorough, impartial and timely manner. It is everyone's absolute right to make a complaint, and equally the duty of those in authority to do all in their power to assist them in the resolution or progress of that grievance. Above all, those in authority must make every effort to ensure that anyone who complains is not made to feel that they are being treated any differently, or victimised, because they have complained.

18. Conduct of those in Authority

In order to be an effective professional fighting team, mutual trust, obedience, loyalty and respect between all ranks and rates is essential. The conduct and behaviour of those in positions of authority must therefore be beyond reproach. Officers, Senior Ratings and Leading Hands should not defer from making well considered and necessary but unpopular decisions or giving reasonable but firm orders for fear that they will be challenged by a complaint on the grounds of harassment or discrimination. Any inappropriate behaviour, in particular that of bullies and harassers, must be challenged. Moral courage and appropriate leadership throughout the chain of command must be exercised at all times.

a. Officers

(1) Changes in society, together with a more egalitarian approach to entertainment ashore, have increased the tendency for officers and ratings to visit the same bars and clubs, particularly abroad. Whilst this can sometimes be useful in the context of team building, problems can arise in such a relaxed atmosphere where alcohol is being consumed. The trick is for the officers to be alert to the need to disengage before any difficulties arise. Dress also has a part in subtly reinforcing rank distinction. Further, a very late hour and excessive drinking before proceeding ashore have been common factors in a number of disciplinary cases involving officers and ratings; and previous over-familiarity on board has often been behind a breakdown of discipline. A guiding rule of thumb is that officers must be discernible as officers, by their dress, behaviour and conduct, at all times, in all places both on and off duty

(2) Being well informed about what is happening in the workplace, mess decks and accommodation is as important as ever for Divisional/Messdeck Officers in the care of their people. Even regular walking of the patch is unlikely to keep a DO/Tp Cdr sufficiently aware of issues in messes, especially those of a sensitive nature, such as bullying or any form of harassment. Two-way communication is vital in this area and frequent informal discussions with the DSR/SNCO will yield high dividends. Similarly, if DSR/SNCOs are doing their job properly and being observant, they will draw the DO/Tp Cdr's early attention to areas of potential difficulty. With mixed profession messdecks increasingly the norm, liaison is vital between the Messdeck Supervising Officer, the DSR and the Leading Hand of Messdecks in order to maintain an enjoyable and efficient working and living environment.

b. **Senior Ratings/Leading Hands.** There have been many occasions when incidents onboard and ashore could have been avoided if the Senior Ratings present or involved had acted with courage, conviction and in a responsible manner. With an increasing focus on the need for professional technical expertise, Senior Ratings need to be given regular reminders that first and foremost they are Warrant, Chief and Petty Officers with the responsibilities that come with those higher rates. Too often service discipline has been eroded by abrogating responsibility through condoning activities that are clearly contrary to good order. With this in mind, Senior Ratings and Leading Hands must know that they will be fully supported when they use their authority. The need for moral courage and resolute action extends to all supervisory levels, including Leading Hands, again, both on board and ashore. This is particularly so for Leading Hands of Messes who, while they have a responsibility to the Command chain, also have an important role to play in the divisional context and must be positively encouraged to keep the DO and DSR informed, and to be confident of their support. Periodic reminders to all in positions of authority of the words on the reverse of the certificate of advancement are commended, the key parts of which are as follows:

"KRRN 3602. Maintenance of Good Order

1. It is the duty of every Officer, Warrant Officer, Chief Petty Officer, Petty Officer and Leading Rating of each branch of the Service [including equivalent ranks in the RMs] to ensure that order and regularity are preserved in their vicinity among those Officers and ratings/ranks, of whatever branch and whether they are on duty or not, who are junior to them in rank or rate;

2. Conduct to be observed. All Officers and ratings/ranks are to conduct themselves with the utmost respect to their superior Officers and with strict obedience to their orders. They are at all times to discharge every part of their duty with zeal and alacrity and, so far as circumstances permit, to assist all Officers in the duties they have to perform. They should on all occasions strive to promote the welfare of the Naval Service and by the good order and regularity of their conduct show an example to those who may be subject to their command."

19. Control of Standards

One key area where standards can be enforced is through the control exercised on the gangway (or, where uniformed gate staff are used, at establishment gates). The Officer of the Day (OOD), Duty Senior Rating (DSR) Quartermaster and Boatswain's (Bosun's) Mate are vital to the effective maintenance of standards, in particular standards of dress and the control of liberty routines, both proceeding ashore and returning onboard. Duty personnel should be briefed regularly and given firm direction on requirements, including a regular reminder that we have a duty of care for our people under Health and Safety legislation. There is a particular need for the OOD and/or DSR to be present on the brow when the majority of personnel go ashore and when they are expected to return. Many OODs have lost their nerve in demanding high standards and need to be clear on the requirements and confident of support. Both Senior and Junior Ratings need clearly to understand the authority vested in the Quartermaster (QM) and symbolised by the Naval Patrol badge, which must always be worn; the QM has both the duty and the right to forbid any unsuitably dressed rating (up to and including Warrant Officer) from going ashore.

20. ‘Walk on by’ Culture

In some quarters a ‘walk on by’ culture has been allowed to develop, where individuals fail to exercise the responsibilities they have, and where standards are allowed fall. This is caused partly by societal trends, partly by reticence to demand a standard for fear of being unpopular. More accurately, it is caused by a lack of understanding of responsibility and by a lack of moral courage to do the right thing. No-one is paid to be popular; they are paid to do their duty and shoulder their responsibilities. It is worth ‘leaders’ of all ranks and rates knowing that subordinates like being in a disciplined service and that they expect standards to be maintained, and thus they do not resent having them enforced. You cannot be wrong for maintaining standards.

ANNEX 21I

THE ARMED FORCES' CODE OF SOCIAL CONDUCT

Para

2101. The Armed Forces Code of Social Conduct

APPENDICES

Annex 21I1 The Armed Forces Code of Social Conduct - Guidance Notes for Commanding Officers.

Annex 21I2 Guidance Notes for Commanding Officers on the Practical Aspects of Implementing The Code of Social Conduct

ANNEX 21I

THE ARMED FORCES' CODE OF SOCIAL CONDUCT

2101. The Armed Forces Code of Social Conduct

The Code of Social Conduct explains the Armed Forces' policy on matters of personal conduct. Although often focussed on personal relationships involving Service personnel, it can also apply to any behavioural issue (e.g. alcohol or drug abuse, gambling, debt and other elements of financial irresponsibility) in which a reference to the Service Test is needed. It applies to all members of the Armed Forces, regardless of their sex (including gender reassignment), sexual orientation, race, whether they are married or in a civil partnership, religion, belief, ability, rank or status. The Code of Social Conduct policy and application of the Service Test in JSP 887[1] take precedence over BRd 3, including the supplementary single Service guidance to Naval Service COs and all involved in the management of personal relationships and social misbehaviour contained in this Annex and its associated Appendices. If in doubt, the relevant staff legal adviser is to be consulted.

[1] JSP 887 - Defence Strategy and Social Conduct Code to Meet Public Sector Equality Duties.

APPENDIX 1 TO ANNEX 21I

THE ARMED FORCES CODE OF SOCIAL CONDUCT - GUIDANCE NOTES FOR COMMANDING OFFICERS

1. Key Criteria

Incidents which involve the potential commission of a civil or military offence should first be considered for investigation in accordance with Service disciplinary procedures. As a general policy, the Services will only intervene in the private lives of individuals where it is necessary in the interests of preserving operational effectiveness. Following such consideration, where it is judged that a case should be dealt with by adopting administrative procedures, then the factors below should be used in applying the Service Test to assess the seriousness of the actual or potential impact of the alleged social misconduct:

a. **Rank, Status and Responsibility.** What are the ranks (or status) of the individuals involved? Was any influence, inducement, manipulation, coercion or threat exercised by virtue of rank or status (e.g. instructor/student relationship)? Or may an individual have justified reason to believe that they might be subjected to unreasonable influence?

b. **Extent of Service Involvement.** Does the social misconduct involve other Service personnel, spouses or dependants of Service personnel, or civilian employees? Has any relationship directly or indirectly impacted upon command or management chains? Does it involve working relationships and, if so, have, or might these have, been damaged or compromised to any extent?

c. **Damage to other Relationships.** Has the conduct damaged or placed in hazard the marriage, civil partnership or personal relationships of other Service personnel, or those within the wider defence community?

d. **Broken Relationships.** Experience shows that broken relationships can also provide disharmony, particularly where the breakdown was caused by the conduct of, or at the behest of, one of the parties. Again, once the friction and difficulties come to the notice of those in authority, the parties concerned should receive divisional counselling and removal may be appropriate in some cases. Unfortunately, broken relationships, particularly where third parties are involved may, on occasion, spill over. In a number of cases, assaults have been carried out on former girlfriends/boyfriends and divisional staff should maintain an ever-watchful eye. Also, further cases have come to light where an individual, affected badly by the break-up of a relationship, has attempted self-harm. The foundering of relationships is not confined to the Naval Service but Commanding Officers will be aware that the close confines of a ship may bring an unusually high intensity to relationships.

e. **Sexual Activity Onboard Ship.** Any sexual activity onboard ship, whether homosexual or heterosexual, involving two or more people, will prima facie be prejudicial to good order and naval discipline and is likely to be an offence under Section 19 of the Armed Forces Act 2006. If personnel are discovered taking part in sexual activity onboard they should be taken to separate locations and questioned by Ship's Service Police. A medical examination is only required where there is evidence of, or an allegation that, a serious sexual offence has been committed. In such circumstances the procedures laid down in FLAGO Article 1611-12 covering rape and other serious sexual offences are to be followed.

f. **Operational Circumstances.** Did the incident occur within an operational theatre or environment? If so, the impact may be more immediate and severe.

g. **Understanding of the Service Interest.** To what extent has the individual disregarded the Service's attitude towards social misconduct?

h. **Previous Warnings.** Has the individual been previously warned about their behaviour - if so, when and how and to what extent has the warning been disregarded? Has there been a formal audit trail of warnings including appropriate MPARs if necessary?

i. **Unwelcome Attention.** Has the behaviour involved unwelcome sexual attention in the form of physical or verbal conduct?

j. **Damage to Service Reputation.** Has the incident caused damage (actual or potential) to the reputation of the Service? If so, how and to what degree?

k. **Awareness of Circumstances.** Was the behaviour conducted in the knowledge of the circumstances of the status of all parties? Was a spouse or partner absent from the unit on an operational detachment, leave, temporary duty or other long-term detachment? Was there any evidence of collusion or abuse of privilege to facilitate that absence?

l. **Response to Discovery.** Did the individual volunteer the information before it came to light? Once the incident came to light, did they freely admit the misconduct, attempt to lie or prevaricate? Were the denials repeated? Did the relationship continue despite (repeated) denials? Did the individual show remorse?

m. **Any Other Factors.** Do any other factors, such as stress or a medical condition, have a bearing on the case? Is there a security aspect to the case?

2. Range Of Sanctions

A broad range of sanctions[1] is available to commanders in taking action against social misconduct. Sanctions arising from administrative action fall into three bands: informal action; formal action; and termination of service. Formal disciplinary action will be a matter for summary disposal or trial by court-martial. Administrative action might also have to be considered in the light of such disciplinary action.

1 Not all the range of informal and formal sanctions will necessarily apply to the 3 Services.

a. **Informal Action.** After due consideration, a Commanding Officer could decide to take no action. If action is considered appropriate, the range of informal sanctions might include:

(1) Counselling or warning about future conduct.

(2) Informal rebuke (which might subsequently be reflected in the character assessment made in an annual report).

(3) Posting within the Unit.

(4) If, after counselling and reminding them of Service policy, the individuals involved continue in its development, consideration should be given to the removal of one of the parties. The criteria set out should be considered carefully, but the position of the senior of the parties concerned should be the subject of the closest scrutiny, if their lack of judgement and conduct has caused the greatest risk or damage to operational effectiveness.

b. **Formal Action.** Formal action could include:

(1) Posting away from Unit or Theatre.

(2) Formally recorded administrative censure.

(3) Formally recorded warning about future conduct, including a written and signed MPAR.

(4) Reduction in rank/rate.

c. **Termination of Service.** The most serious sanction is termination of Service.

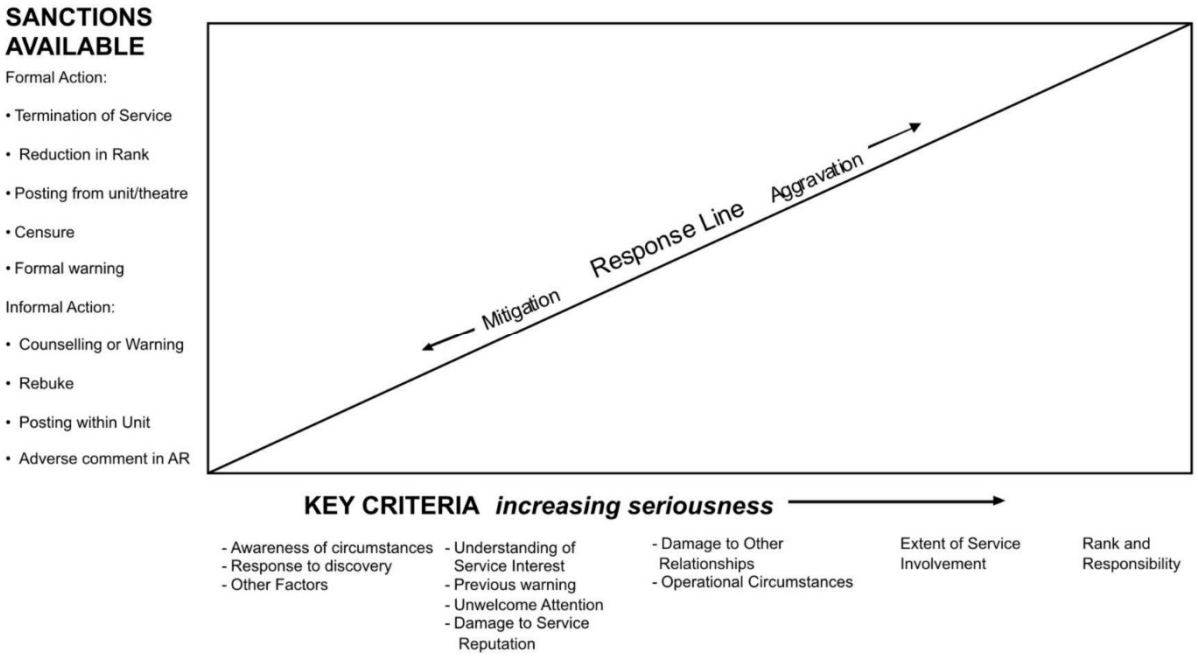
3. Application

a. The guiding principle in deciding the extent to which action might be taken against an individual for social misconduct will be that of proportionality. Against this principle, it is necessary for the three Services to work within a common framework and to judge each case, and the response to it, against the common set of criteria outlined above.

b. It is important to accept, however, that even when cases are judged within a common (tri-Service) framework, the outcome might well vary from one case to another. Such differences will reflect the relative impact that any of the distinguishing features of the case might have. Moreover, it should be recognised that such variations might occur not only between the three Services but also within a case involving personnel from only one Service. In all cases, social misconduct involving individuals from different Services will invariably be the subject of liaison between the relevant policy staffs of the respective Services involved.

c. In constructing a common framework, therefore, it is necessary to ensure that the approach for considering the action to be taken in the case of social misconduct is consistent. The following graph provides the starting point for such analysis. Whilst it is only a guide, it recognises that where cases of social misconduct involve certain identifiable characteristics, then consideration should be given to appropriate levels of response. It is for the chain of command to judge the overall level of response on the basis of all the circumstances of the case, taking full account of both its mitigating and aggravating features. Thus any case of social misbehaviour can be dealt with proportionately, can be judged against a common set of characteristics and can be disposed of by the appropriate chain of command after taking full account of all of the facts in the case. The response graph, Figure 21I-1-1-1, illustrates the key criteria on which cases might be assessed and the range of sanctions available.

Figure 21I/App1-1. Responsive Graph - A Guide



APPENDIX 2 TO ANNEX 21I

GUIDANCE NOTES FOR COMMANDING OFFICERS ON THE PRACTICAL ASPECTS OF IMPLEMENTING THE CODE OF SOCIAL CONDUCT

1. Introduction

This Appendix addresses the practical issues concerning the Armed Forces Code of Social Conduct (AFCSC). Implementation has been achieved with the minimum of fuss and disruption to unit life, and has been a process of adaptation rather than dramatic change. The changes achieved will be sustained by imaginative and firm leadership and the sensitive exercise of discretion rather than by over-regulation and confrontation. The key to success rests firmly with commanders at all levels, and specifically with Commanding Officers.

2. Principles

Commanding Officers are to be guided by the following principles:

a. The Armed Forces value the unique contribution which every individual makes to operational effectiveness.

b. There is no place in the Armed Forces for harassment, bullying or discrimination.

c. Commanders have a duty of care to all those under their command.

d. The Armed Forces respect the right to individual privacy of every Service Person and will only intervene in the private lives of individuals where it is necessary in the interests of preserving operational effectiveness.

e. Incidents which involve the possible commission of civil or military offences, or which come to a Commanding Officer's attention through a formal complaint, should be investigated and dealt with in accordance with Service disciplinary or administrative procedures.

f. The Service Test contained in the Code of Social Conduct should be applied when there is any doubt about the impact on operational effectiveness of any particular incident.

3. Practical Guidance Framework

Commanding Officers should use the following framework for dealing with any issue which might arise in applying the Code of Social Conduct:

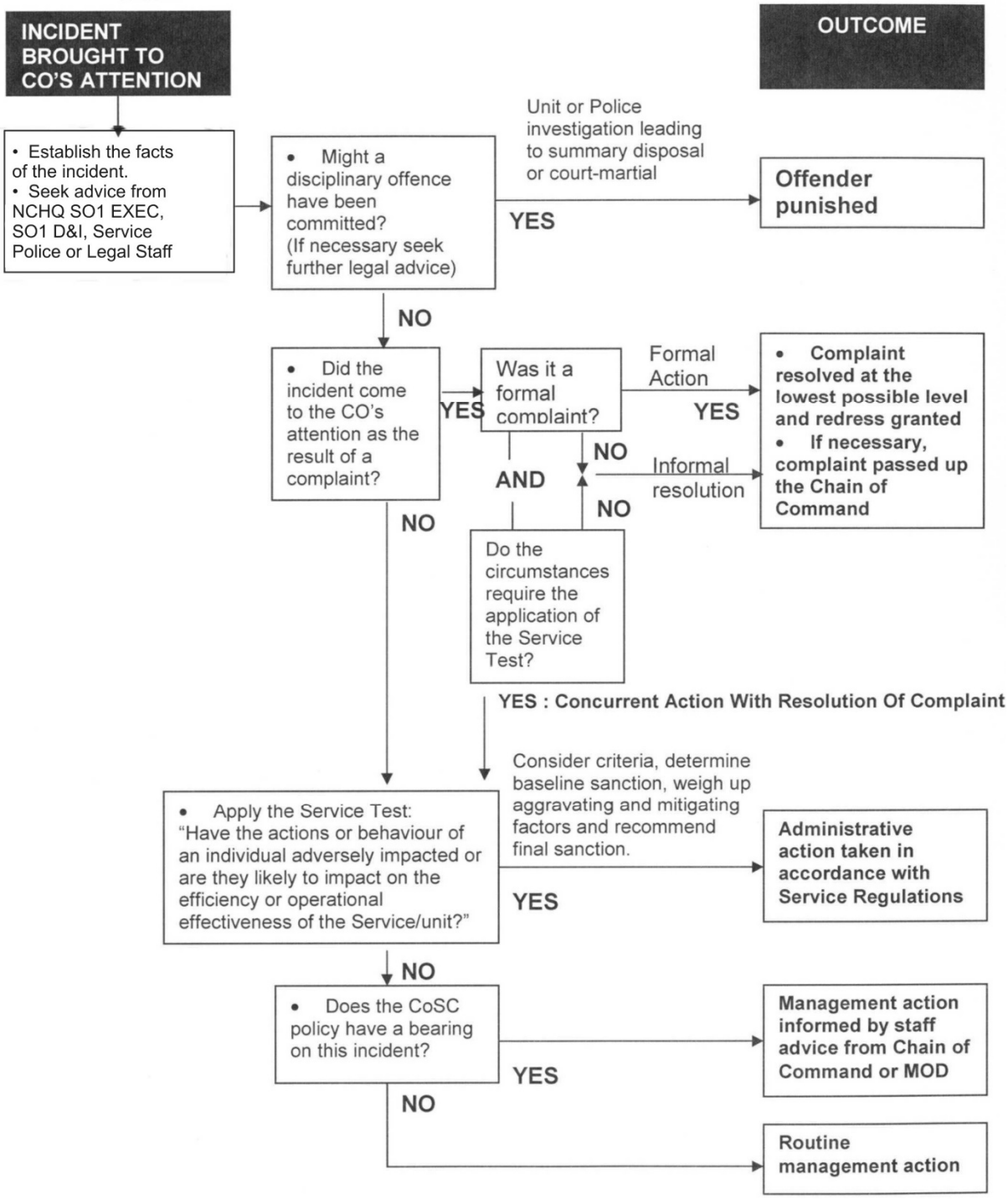
a. The disciplinary system should be invoked to deal with any incident which involves a breach of discipline.

b. The Service Test contained in the Code of Social Conduct should be applied to any incident which relates to personal relationships.

c. The internal complaints procedures should be followed to investigate and resolve any complaints which arise from alleged activity which has been construed as discrimination, harassment or which takes the form of bullying.

d. The framework has been expanded into a diagram that outlines the essential decisions which Commanding Officers will have to make in handling incidents.

Figure 21I App2-1. Commanding Officer's Guide to Handling Incidents Arising from the Code of Social Conduct



ANNEX 21J

SUBSTANCE MISUSE

1. Background

Substance misuse is unacceptable in the Royal Navy which maintains a policy of zero tolerance. Substance misuse is increasingly accepted in wider society, however, and it would be naïve not to recognise the cyclical public debate about decriminalisation of certain substances may affect the attitudes of some Naval personnel. It is known that drugs are more widely available than ever before and, consequently, many recent joiners have experimented with drugs and have more relaxed attitudes towards them than their line management. Although substance misuse is still 'relatively' rare in the Service (the average CDT positive rate, up to 2022 was 0.83% per annum although the 2020 figure reached almost 1% at 0.96%, thus there is a clear worrying increase in usage), management cannot be complacent and must remain vigilant at all times. Experience, supported by statistical evidence, indicates that younger sailors (especially those in the 18-30 age group) are the most likely to misuse, although not exclusively so; these are the most impressionable and vulnerable of Service personnel, and also the ones least likely to have the confidence to report suspicions about their mess-mates to the Chain of Command. At the simplest level there are two abiding reasons that the Armed Forces continue to take the toughest line on drugs:

a. **Misuse of Drugs is Illegal.** Those who misuse drugs have participated in criminal activity and had contact with criminals. They have injected money into a system that sponsors violence and exploitation worldwide. They have fallen far below the standards of conduct expected of members of the Armed Forces.

b. **Drugs are Unpredictable.** Many people who experiment may do so only for a short period with no lasting harm; but illegal drugs are controlled because their physiological and psychological effects are unpredictable and can be extreme. Sailors and Marines are in charge of dangerous, expensive and sensitive equipment. They are regularly in charge of the lives of others, both their colleagues and civilians. In the misuse of drugs they betray public confidence by putting their own performance at risk.

2. Civilian Law

The Law in relation to drugs can be summarised as follows:

It is an offence against the Misuse of Drugs Act (MDA) 1971 if the accused, without lawful authority or excuse, knowingly, is in possession or control of a controlled substance. The cultivation of cannabis is a specific offence under MDA 1971. Trafficking or supply of a controlled substance remains a serious criminal offence. Possession of a prescribed medicine without lawful authority or reasonable excuse and using any substance with the intention of obtaining an intoxicating or hallucinating effect are both offences against the Armed Forces Act (AFA) and may lead to charges under AFA Section 42.

3. Scope of AFA

The provision under the AFA includes the misuse of solvents, steroids and New Psychoactive Substances (previously called 'Legal Highs' but now illegal following the New Psychoactive Substances Act 2016). Within the AFA, the intention to achieve the effect is an offence, regardless of the actual effect achieved. The Service policy of zero tolerance makes very little distinction between different types of drug. All alleged drugs offences will result in administrative or disciplinary action and where individuals are convicted sentences are harsh, normally involving at least dismissal, with detention or even prison a probability in more serious cases, or where there has been any attempt to supply drugs to others.

4. Anabolic Steroids

Anabolic steroids are a Class C drug. Their use and possession is prohibited by criminal law and specifically by Service personnel for additional policy reasons, breach of which is an offence under AFA 06 Section 13 and this order. In sum, the possession or control, without lawful authority or reasonable excuse, of any anabolic steroid is an offence by virtue of the relevant criminal law and/or standing order. Anabolic steroids are pharmaceutical products but their misuse, in the view of the British medical profession, for bodybuilding, weightlifting and other recreational use, is dangerous to physical and mental health and hence is a significant threat to all Service personnel. All major sports organisations have banned the use of such drugs. Use or possession by Service Personnel will result in administrative action, with a strong presumption of Discharge. Commanding Officers who suspect steroid misuse in their unit should consult WO1 CDT (NAVY PEOPLE-POL EXEC CDT WO) Tel 02392 547324) or FXO (NAVY PEOPLE-PSP EXEC FXO) Tel Skype +443001698293). Further information on anabolic steroids is in JSP 835, articulated in Alcohol and Substance Misuse presentations and is widely available on the internet.

5. Body/Performance Enhancing Supplements

(See also JSP 835 Chap 3 Annex D). Evidence suggests that the use of body enhancing supplements by Service personnel is widespread and growing. Such supplements are usually consumed in the belief that they improve physique and performance. Although there is much scientific evidence that consuming whey protein (or soy/casein) and/or creatine will enhance anaerobic performance, there is little or nil evidence that the vast majority of other every day bought supplements will actually perform to their labelled claims.

a. The MOD's concern over these supplements is that they are manufactured by an unregulated industry, there is irrefutable scientific proof of one in 10 such products being contaminated (deliberately or otherwise) by anabolic steroids, and some manufacturers are less than scrupulous, often using ingredients with unknown physiological and psychological consequences.

b. Supplements can be obtained from a variety of sources, and when this includes the internet even greater caution is required; even 'over the counter' products from reputable outlets in UK cannot be considered 100% safe to use. A supplement sold in the NAAFI is no guarantee of its safety. Contaminated supplements therefore can theoretically lead to a CDT failure.

c. MOD policy is that the internet website 'Informed Sport' is the only recognised database of 'safe' supplements and even this is without a 100% guarantee. Other sites and companies purport to give quality assurance of supplements but it should be noted that the World Anti-Doping Agency, UK Anti-Doping and most UK based sports organisations defer only to 'Informed Sport' for ultimate assurance of 'safe' body and performance enhancing supplements.

d. The 'zero tolerance' policy still applies to a CDT 'positive result' caused by body enhancing supplements, and therefore their use is strongly discouraged.

e. **Supplement Myths.** Use of multiple, uncontaminated supplements DO NOT cause bio-symbiotic metabolisation as a steroid or any other illegal drug.

6. The MOD 'Line'

The MOD's view on body and performance enhancing supplements is as follows:

a. MOD has no requirement for any individual to use body/performance enhancing supplements.

b. The INM view is that there is no Service requirement for any individual to use body/performance enhancing supplements providing that they are eating a balanced diet and following a sensible exercise regime.

c. There are 'risks' associated with all body supplements and they may result in a positive CDT result. The risk is reduced (but not entirely removed) if the supplement is listed on the 'www.informed-sport' website.

d. The individual remains responsible for that which they ingest into their body and the MOD maintains a zero tolerance policy to substance misuse.

7. Dietary Supplements

Dietary supplements such as Vitamin C or Cod Liver Oil and similar, bought from reputable sources, are overwhelmingly unlikely to lead to a positive CDT result providing that they are used as directed.

8. Representative Sport

Any Service Person who participates in representative sport will be subject to the relevant Governing Body's regulations regarding substance misuse, as well the Service policy. Any individual who is subjected to a drug test by a sport's Governing Body is to notify their Commanding Officer or Service Sports Association within two weeks of the test. An individual who provides a positive result following a drug test, in accordance with the relevant Governing Body's regulations, is to notify their Commanding Officer and Service Sports Association immediately of the result and will be subject to administrative action by the Service, in addition to any action taken by the relevant Governing Body. Such Service administrative action will be decided by Navy Command HQ staff and will depend on the level and type of drug for which the test proved positive.

9. New Psychoactive Substances (NPS)

The possession, without lawful authority, of any herbal and/or chemical substance, in whatever form, which may be used to produce or cause an intoxicating, stupefying or hallucinatory effect, is an offence by virtue of this order and AFA 06 Section 13. Legal Highs are not legal, they are often produced in very dubious circumstances and are often mixed with known Class A, B and C drugs - they are dangerous to the individual. The effects of NPS will vary and are unpredictable. The long term side effects are unknown and unlikely to be known for years. The production, distribution and selling of NPS is now illegal following the ratification of the NPS Act 2016.

APPENDIX 1 to ANNEX 21J

ALCOHOL AND SUBSTANCE MISUSE - EDUCATION AND MANAGEMENT

1. Introduction

Royal Navy directed Substance Misuse education is combined with Alcohol education and delivered as a Naval Core Training (NCT) requirement on the Defence Learning Environment (DLE). NCT-5 is Compulsory Substance Misuse and Alcohol training, which all RN and RM Service Personnel are to complete at intervals not exceeding every two years. The presentations take approximately 40mins and focuses on the Command message of intolerance of substance misuse and the dangers associated with drinking alcohol. Units should maintain their own rolling education campaign, via notes in Daily Orders and discussions in divisional/troop meetings.

2. Responsibility

Completion of NCT-5 Substance Misuse and Alcohol DLE training remains the responsibility of the individual (as a Naval Core Training requirement) but Divisional Officers, Troop Commanders, line managers and ultimately Commanding Officers have a responsibility to ensure that their personnel are in date. DOs/Tp Cdrs should bring any shortfalls to the attention of their Command (using SCIO/DR&R Reporting Tool).

3. Periodicity

The RN Substance Misuse and Alcohol lecture is a mandatory Naval Core Training (NCT-5) Maritime Skill. It must be completed by all RN and RM Service Personnel at intervals not exceeding every two years. There is no longer an upper and lower age limited interval.

4. Delivery

a. The RN Substance Misuse and Alcohol lead is FXO and WOCDT. A small number of Substance Misuse and Alcohol ‘educators’ have been authorised to deliver NCT-5 in presentation form at the major RN and RM Training Establishments. The following establishments are to ensure the appropriate personnel have been authorised to deliver the brief:

(1)	BRNC	MAA
(2)	CTCRM	G1 Adviser
(3)	HMS RALEIGH	Initial Phase MAA
(4)	HMS Collingwood (RNLA (E))	Divisional Instructors

b. **Unit Education Support.** The anti-drugs message should feature regularly in unit Daily/Weekly Orders. Basic information about alcohol and drugs in the Service is contained within JSP 835 which includes ‘sound bites’ for Daily Orders. Additional support is also available from Community Mental Health departments at the Naval Bases (details in current RNTM) and NCXT.

5. Substance Misuse and Alcohol Education Competence Recording

a. On completion of the mandatory two yearly Substance Misuse and Alcohol NCT0-5 RN and RM Service Personnel are to ensure that it is recorded on as a JPA competence.

b. Executive departments are reminded of the importance of the Divisional and Regimental System, messdeck/barrack supervision and coaching/mentoring in promoting education and combating alcohol and drug misuse.

c. Specific guidance for Executive teams and Divisional Officers/Troop Commanders is available from Community Mental Health departments at the Naval Bases, and NCXT.

d. Specific guidance for Unit Personnel Office staff when inputting the above relevant competences may be found in the relevant Business Process Guide (BPG) on how to enter the information on JPA, which may be found by using the following path from the JPA Portal: JPA Portal – BPG – Personnel Processes – AP & PD – Updating SP Competencies. The BPG reference is 'Update Competencies against a Service Persons Profile IN915019'.

e. Evidence of successfully completing NCT-5 is the presentation of the award of the supporting certificate (E-Certs) may be used. The appropriate recorded JPA competence should be checked by DOs/Tp Cdrs during the Annual JPA Checks and any shortcomings addressed.

6. Alcohol Misuse[1]

a. **Responsibilities.** From the Service point of view, excessive use or misuse of alcohol is not acceptable as it adversely affects safety, efficiency, discipline and the reputation of the Service. On a personal level, any excessive use or misuse of alcohol can lead to errors of judgement, unacceptable behaviour, and in some cases tragic accidents, while regular and long-term misuse carries with it significant risk to health and/or social problems. Excessive is a relative term and, depending upon the circumstances, it does not require much alcohol to cause serious consequences. QRRN Article 3624.6 states that:

> *It is the duty of all those in authority, whatever their rank, to discourage excessive drinking and, by example and supervision, to foster a climate of opinion in which such drinking is regarded as unacceptable.*

b. Furthermore, DOs are to:

> *Be especially vigilant in such matters and are to ensure that alcohol education is a regular feature within their division and that counselling is readily available.*

[1] See also JSP 835 Chap 2, BRd 9467 (FLAGOs) Art 1627 and BRd 9600 (SGOs) Chap 10.

c. **Overview.** With the demanding workloads associated with lean manning, increasingly high-tech equipment and, of course, familiarity with the drink/driving regulations, Naval personnel have become more sensitive to the dangers of mixing alcohol consumption and the working environment. The vast majority adhere to the Naval code of sensible and responsible drinking and are increasingly aware of the risks, dangers and long-term physical and mental health effects associated with drinking. It is recognised that culturally, alcohol (consumed moderately) plays a role in our society, that as a Service we work hard and that most of our frontline personnel are aged between 18 and 30. Nevertheless, despite the 'work hard/play hard' ethic persisting, it should not be allowed to excuse heavy (binge) drinking sessions ashore or when off duty. There also remains a strong correlation between alcohol consumption and disciplinary incidents, to the extent that drunkenness and drink-related offences must continue to be dealt with and punished firmly. In addition, those found guilty of a drink-related offence should ordinarily be required to attend a Brief Advice Tool (BAT) (a one-on-one 'Brief Intervention' delivered by DCMH staff - see sub-para i below) if the Command deems it to be appropriate.

d. **Problem Drinkers.** The Royal Navy community reflects society at large and inevitably includes personnel who will drink to excess on occasion. The great majority will mature gradually and, without intervention, establish a more moderate and acceptable drinking style. There will be those, however, who are, for various reasons, disposed to consistent alcohol misuse and/or periodic bouts of uncontrollable drinking leading to alcohol dependence. These personnel must be the targets for early identification and intervention. For the DO who identifies a potential problem drinker there is no neutral position. Once identified, the DO can only intervene or collude; intervention must be early, firm and constructive. It is important to understand that the Divisional/Troop management process, including disciplinary actions, can and should run in conjunction with therapeutic and social interventions. Mess Presidents and Leading Hands of Messes also bear a responsibility and must use both judgement and moral courage to assist the Command in identifying and managing the 'problem drinker' for the greater good of both the Service and the individual. Continual education at all levels is by far and away the most effective weapon.

e. **Identification.** The harmful use of alcohol, and ultimately dependence does not happen overnight but, rather, by the gradual emergence of a pattern of heavy drinking within which an individual's reliance and involvement with alcohol can take on an overriding importance. This gradual, regular and excessive consumption and the potential to become a problem drinker may manifest itself in a number of ways, for example:

(1) Poor time keeping at work.

(2) Alcohol related disciplinary offences.

(3) Inconsistency at work and a decline in professional standards.

(4) Neglect of personal standards on issues such as dress, fitness and interaction with others.

(5) Increasing health problems.

(6) Financial and/or domestic problems.

(7) Mess deck feedback.

f. DOs must also be alive to the possibility that a problem drinker may have developed an ability to dissemble and have a tolerance to alcohol consumption that will enable them to show few overt signs of excessive drinking. Thus, they may appear quite sober, despite regularly carrying abnormally high concentrations of blood alcohol.

g. **Managing the Problem Drinker.** On becoming aware of a suspected alcohol dependent or a potential problem drinker and before any consideration of formal warnings, the DO should immediately instigate 'Recovery Action', as follows:

(1) **Informal Action.** Informal action will include giving divisional counselling to the individual, both in order to register the DO's concerns and to ascertain whether there is any underlying cause of the behaviour which may be solvable independently (e.g. by referral to RN FPS – see Chapter 24). If an informal verbal warning of the likely consequences of excessive drinking is appropriate, this should invariably be given in the presence of a third party (e.g. DSR/SNCO) and recorded on a locally produced form (an MPAR format is ideal). This form should be signed by the DO, the witness and the individual and kept with the individual's Service documents for a specified warning period (normally three months). Where a routine appraisal report falls during the designated period, no mention should be made of the informal warning. At this stage, depending on the trigger for, and outcome of, the discussion, the DO may consider recommending withdrawal of alcohol allowance (In cases of dependency on alcohol, Divisional Officers/Command are to consider the potential detriment to the service person by the withdrawal of alcohol allowance) and/or the privilege of living in private accommodation. Consideration should also be given to ordering the individual to attend a BAT (see sub-para i), or its equivalent. Speedy action in the early stages of a problem is more likely to be successful in the long term. The combination of divisional discussions, formal MPAR and attendance at the BAT will serve two purposes. Firstly, it is likely to 'nip in the bud' any situation which, if left unchecked, could escalate in severity and secondly, it provides the Command with the reassurance that appropriate duty of care has been afforded to the individual prior to any formal administrative action. It is important that **no warning procedure is commenced** without first conducting the above measures. This informal monitoring stage retains an indefinite timescale as every case will be different and must be assessed locally by the Divisional hierarchy and command. If it is felt that informal administrative action has been exhausted but ineffective, further formal action should be considered. Although there is no formal policy on the **minimum time** required to move from informal action to formal action and warnings, it is suggested that **three months is an appropriate and fair guide**. Advice can be sought from the relevant Regional Legal Office and/or Navy Command Executive team as necessary.

(2) **Formal Action.** If, as a result of persistently poor behaviour, attitude or alcohol-related offences, an individual is approaching the state where they are becoming an unacceptable risk or an administrative burden, and having exhausted the informal administrative measures detailed above, the DO should initiate formal warnings for administrative Discharge SHORE (Alcohol). This warning process should follow the three tier structure as detailed in Chapter 57 paras 5755-5765, with associated documentation being raised. Furthermore, it should be reported to the Command via the N1 Annex to the Weekly Logistics Summary Report. The warning documentation should refer to the attempt to resolve the matter informally and the delivery of an MPAR and attendance to a BAT. At the BAT, or alternative directed by the Royal Navy Mental Health Services, some individuals will be offered the opportunity to volunteer for formal treatment for their problem drinking. Should they decline this offer, and problems persist, they should be advised to consult with their unit MO. Refusal to accept referral or actively engage with any DCMH or medically recommended treatment should be clearly recorded as a poor attitude and may be commented upon when reviewing the current warning level and the consideration to raise to the next stage. It is always incumbent upon the unit to demonstrate that adequate measures were made to offer treatment to the individual if a subsequent request for administrative discharge is to be justified.

(3) **Discharge.** Should an individual fail to respond to the procedures listed above and still remain an administrative burden following the full three tiered warnings process, application should be made for administrative discharge. This process remains an Executive matter throughout. **There is no authority on medical grounds alone for discharge of an individual assessed as misusing alcohol**.

h. **Assistance Available from Other Agencies.** At any stage during this process, consideration should be given to seeking other means of assistance through RN FPS, Medical Services, the Chaplaincy Service, or outside agencies.

i. **Brief Advice Tool.** The Brief Advice Tool (BAT) policy is the result of collaboration between Navy Legal, Navy Pers Exec, Navy Med Div and DPHC.

(1) The BAT is a short, evidence based individual intervention by a mental health nurse, after which the individual will have the option of engaging in formal treatment for alcohol misuse if they so wish. If they opt for the latter, they will be offered an assessment appointment at the DCMH within 15 working days.

(2) The Executive, normally through the DO, can refer any service person to the BAT; they can be ordered to attend but cannot be ordered to undertake the treatment. Any service person whose alcohol consumption causes concern must be referred, particularly if disciplinary action is being considered. Personnel may also refer themselves for this intervention.

(3) Upon notification of a request or order to attend the BAT, Departments of Community Mental Health (DCMH) in the base ports will then offer an appointment to the person concerned, within 5 working days, at one of the regional centres.

(4) Personnel can book/be booked for a BAT on the following numbers:

(a) DCMH Portsmouth (all Portsmouth-based Units): 9380 26256 (mil) or 02392 726256 (civ).

(b) DCMH Plymouth (all units in the South West): 9375 65965 (mil) or 01752 555965 (civ).

(c) DCMH Faslane (all Clyde based Units, 45 Cdo and Units at Rosyth): 93255 5421 (mil) or 01436 674321 (civ).

(5) The service person will be given a letter of attendance that serves as confirmation that they have been given the opportunity to engage with specialist treatment for alcohol misuse if they so wish, thereby satisfying the requirements of Para 9.g(2) above.

(6) Further attendance at the BAT within a twelve-month period is not generally indicated. If problems persist, or reoccur within one year, the individual should be directed to see the Unit MO.

7. Safety Critical Duties - Testing for Cause for Alcohol and Drugs

The Armed Forces Act 2011 (AFA11) introduced testing for cause for Alcohol and Drugs in relation to Safety Critical Duties[2]. This brought with it a new offence namely 'Section 20A AFA 06 – Exceeding alcohol limit for prescribed safety-critical duties'. This Paragraph should be read in conjunction with the References footnoted below. Whilst it is intended to provide guidance on interpretation of the regulations, it is not intended to duplicate guidance already published in JSP 830.

a. **Policy Background.** Whilst it is reasonable to expect that all personnel will be in a fit state to perform their duties, certain duties are by their very nature safety-critical, where performing that duty while impaired by alcohol or drugs could result in a risk of death or serious injury to a person, serious damage to property, or serious environmental harm. The testing regime seeks to promote a professional, sensible and moderated approach to alcohol consumption, particularly in relation to safety-critical duties, and to a large extent mirror existing civilian provisions, such as are contained in the Railway and Transport Safety Act 2003 (to which RFA personnel are subject). They also arise as a consequence (but NOT the result) of a number of high profile incidents which had a detrimental effect on the reputation of the Royal Navy.

b. **Mechanism.** The mechanism for 'testing' is by use of the NON-evidential Lion 500A Alcometer (breathalyser) and, thereafter, an evidential urine sample. There is scope within legislation to use an evidential blood test but, as yet there is NO provision within the Royal Navy to take blood samples.

[2] References relating to AFA11 include: Armed Forces Act 2006, Armed Forces (Alcohol Limits for Prescribed Safety-Critical Duties) Regulations 2013, JSP 835 (Alcohol and Substance Misuse Testing) Chapter 5 (as amended to 1 Nov 13), JSP 830 (Manual of Service Law) (as amended to 1 Nov 13) and 2013DIN01-212 (The introduction of new powers to test personnel undertaking safety-critical duties for drugs and alcohol).

c. **Options for Commanding Officers.** Alcohol testing regulations supplement the existing provisions governing alcohol consumption in the Armed Forces. Commanding Officers (COs) will continue to have available to them a range of options to deal with incidents involving alcohol misuse. These responses range from Minor Administrative Action, divisional administrative action and education (including attendance on Alcohol Education Courses). The existing offence of 'Unfitness or misconduct through alcohol or drugs' contrary to Section 20 of AFA 06 remains and COs should note paragraph 11 of JSP 830 which makes clear that, while there is no power to order a person to submit to testing when the duty concerned is not safety-critical, it is still possible to pursue a charge of unfitness or misconduct through alcohol or drugs under Section 20(1)(a).

d. **Command Judgement.** Command judgement will invariably be required as to what best serves the Service interest, and a pro-active and pre-emptive alcohol and drugs education campaign will invariably reap dividends. It is envisaged and intended that the 'breathalyser' offers as much an opportunity for education and raising awareness of issues and consequences associated with alcohol consumption and culture, as it does for enforcing discipline. Often the key issue which will decide which course of action the Command takes is the requirement to achieve swift justice. Due to the requirement for laboratory analysis of a urine sample following a positive breathalyser test, this (Section 20A) route will invariably lead to a longer process than that followed by the Section 20(1)a 'subjective opinion' route. The command will need to decide whether proceeding under the Section 20(1)a 'misconduct through alcohol or drugs' route is actually more effective locally and will have greater deterrence than proceeding down the Section 20A 'over a prescribed limit for alcohol' route. Advice on this and similar issues can be obtained from local Service Police as well as NCXT or NCHQ Police personnel.

e. **Prescribed Duties and Alcohol Limits.** A CO has the power to require a person subject to Service law to submit to testing for alcohol or drugs, providing they have **reasonable cause** for believing that the person's ability to carry out the duty is impaired through alcohol or drugs or the person's blood alcohol level is over the prescribed limit. This power may be delegated through a Duty Officer or Senior Rating (minimum of OR6 – Petty Officer/Sergeant) - see sub-para l below. There is no requirement for an incident to have occurred before a person can be required to submit to testing. The alcohol limits for prescribed safety-critical duties have been set at two levels, as follows:

(1) **Higher Alcohol Levels.** The majority of safety-critical duties fall into the higher alcohol limit for testing of breath, blood or urine. The higher limits are as follows:

(a) Breath – 35 microgrammes of alcohol in 100 millilitres.

(b) Blood – 80 milligrammes of alcohol in 100 millilitres.

(c) Urine – 107 milligrammes of alcohol in 100 millilitres.

(2) **Lower Alcohol Levels.** Some safety-critical duties require a heightened speed of reaction in an emergency situation and therefore are subject to a lower alcohol limit. The lower limits are as follows:

(a) Breath – 9 microgrammes of alcohol in 100 millilitres.

(b) Blood – 20 milligrammes of alcohol in 100 millilitres.

(c) Urine – 27 milligrammes of alcohol in 100 millilitres.

f. **Testing.** The hand-held breathalyser devices issued to units provide a preliminary, non-evidential, test and may be used to determine whether it is necessary to proceed to an evidential test (or not). Because of the difficulties in calibrating evidential quality breath test devices, within the Royal Navy it is envisaged that urine tests will be the predominant means of evidential testing. Evidential urine tests are conducted by the RNP and are processed through Government laboratories (LGC Teddington) (akin to the process for CDT). The result forms the evidential basis for any subsequent disciplinary action.

g. **Command Declaration of Unfitness for Duty.** It should be noted that an individual may 'blow' negative in the breathalyser for alcohol but the Service Police, in communication with the Command, may still wish to conduct an evidential test if they suspect that the individual may be unfit through the influence of drugs. Individuals may also test negative but (assuming no suspicion of drugs) the CO may elect subjectively to declare the individual 'unfit for duty' through Section 20 under AFA 06 – in such instance the result from the breathalyser must be discarded and not used in subsequent investigation.

h. **Non-Prescribed Safety Critical Duties.** As well as the categories of prescribed duties detailed in the References at Footnote 2, there may be circumstances where a CO believes an offence under Section 20(1)(a) has been committed in respect of a non-prescribed safety critical duty. In such cases, a CO may order a preliminary or evidential test, however, the test can only be used to establish the presence of alcohol or drugs: the higher or lower levels detailed above do not apply. Even where the presence of alcohol or drugs is established, the other elements of an offence described under Section 20(1)(a) must also be proven.

i. **Safety Critical Duties - Definition.**

(1) Before determining an activity to be 'safety critical', the CO must first satisfy themselves that the duty meets the statutory definition:

A duty which the Commanding Officer reasonably believes is such that performing the duty with ability impaired by alcohol or drugs would result in a risk of death, serious injury, serious damage to property or serious environmental harm.

(2) Examples of when such testing would be appropriate could include: a person who appeared to be drunk when operating a vertiflow lift during a store ship; or a range safety officer who appeared to have been taking drugs when supervising a live shoot.

j. **Notification of Safety Critical Duties.** Although listing which duties a CO would regard as safety-critical is not required by the legislation, in order that individuals can plan ahead and either avoid consuming alcohol altogether, or moderate their alcohol consumption as appropriate, COs should use their Temporary Memoranda to detail those safety critical duties which are expected to be reasonably commonplace, and to make use of Daily Orders or other unit routine orders in order to 'activate' such duties. An infrequent or uncommon safety-critical duty can be detailed either in a short Captain's Temporary Memorandum (CTM) or equivalent, or Daily/Unit Orders – it is recommended that COs maintain a standing CTM template for such situations. A CO should avoid placing unnecessary liability for testing on any other person who may be required to perform any related or ancillary duty merely because it is convenient to do so (e.g. all members of a work party or team) but which is not genuinely safety-critical in nature. When personnel are required to complete an activity that is not within their normal daily routine, a CO should provide advance notification that their particular duty on a given day or for a given period may be regarded as safety-critical because of the heightened standards expected at the time. This may help deter excess alcohol consumption ahead of the duty and ensure all relevant personnel understand their liability for testing.

k. **Alternative Measures.** COs should not forget that they have a range of measures available to them in managing alcohol consumption and do not need to have to justify a position as safety critical. For example, a ship about to be involved in a Humanitarian and Disaster Relief scenario can apply a more stringent alcohol state (iaw BRd 9600 - SGOs) in order to prevent personnel from drinking prior to operations. In the same manner, a more restrictive 'alcohol state' can be applied when in Defence Watches rather than attempting to declare every position as 'safety critical'. COs are also at liberty to impose 'alcohol bans' when appropriate.

l. **Delegation of Authority for Ordering Test.** Whilst the CO is responsible for deciding whether an individual is referred to the Service Police for a preliminary alcohol or drugs test, the legislation permits delegation of this decision to Petty Officer or Sergeant level. The intent of this is to permit (for example) a Petty Officer performing duty as Officer of the Day in a Mine Countermeasures Vessel, or a Petty Officer Diver in charge of a diving unit detachment, to order a test. Navy Command intent, therefore, is that authority to test should generally be delegated to the XO, Heads of Departments and Officers of the Day/Duty Officers only, but may occasionally include others, e.g. those in charge of a detachment for a determined period, and that these delegations should be articulated in CO's Temporary Memorandum. COs wishing to delegate further should contact Flotilla or NCXT staff for advice.

m. **Reasonable Cause.** It is reiterated that 'Reasonable Cause' must be established prior to a test being ordered. In this respect 'Reasonable Cause' requires the same subjective judgement as for assessing an individual to be 'Unfit for duty' in accordance with Section 20(1)(a) of AFA06. It is impossible to give a definitive list of what constitutes 'Reasonable Cause', but factors taken into account may include:

(1) Verbal notification that an individual was seen/known to be drinking excessively prior to assuming a duty.

(2) Named in an alcohol related incident in the 'Daily Occurrence Book'.

(3) Obviously dishevelled or un-naval/military like in conduct, bearing or appearance.

(4) Smelling of alcohol.

(5) Been seen drinking to excess whilst ashore.

n. **Failure to Provide a Specimen for Analysis.** It is an offence for an individual to fail to provide a sample when required to do so in accordance with AFA 06 Section 93E(10), without reasonable excuse.

o. **Education.** The implementation of AFA 11 and associated legislation with respect to alcohol has been widely notified across the RN. All career courses are specifically briefed, and the sentiment is included in the routine 'Alcohol and Substance Misuse Lectures' delivered as part of the NCT programme. The physical presence of the Lion 500 handheld Alcometer offers a tangible, visible representation of the regulations and it should be used to develop a culture that is circumspect of anything more than responsible and moderate alcohol consumption. Alcohol calculators have also been distributed to educate personnel in the amount of alcohol contained within drinks (Percentage Alcohol By Volume, or %ABV), 'units' of alcohol and the time required for the body to process it.

p. **Ethos.** The RN Ethos advocates RN Core Values and Standards, amongst them professionalism and integrity. With respect to alcohol, the intent is to highlight the responsibility placed upon members of the Royal Navy and the need to maintain the highest standards of conduct and behaviour that is always expected of us by the Nation.

q. **Divisional Involvement.** The implementation of AFA 11, combined with Navy Command led campaigns on alcohol culture and ethos, provide the CO with the tools necessary to take forward the education process. The pro-active engagement of those in involved in the Divisional/Regimental System completes the 'triad' that will shape and maintain the irreproachable personal and professional standards that underpin the RN's global standing and good reputation.

r. **Medical Personnel.** Medical officers, dental officers, nurses or MAs are all subject to the AFA 11 and a CO may determine their duties to be non-prescribed safety-critical. It should be noted that were a member of the Medical Services found to be under the influence of alcohol or drugs they may also be liable to sanction by their respective professional bodies.

s. **Civilians Subject to Service Discipline.** In certain circumstances civilians subject to service discipline may also be subject to alcohol testing. Those situations will arise when the individual is suspected of committing an offence under certain Sections of the Railways and Transport Safety Act 2003. Wherever practical, COs should seek legal advice before ordering the testing of civilians.

t. **Summary.** AFA 11 aligns the Armed Forces more closely with domestic legislation and engenders a professional but pragmatic approach to alcohol consumption and culture. It is not designed to constrain personal freedom nor erode privilege, but it does re-emphasise the need for a mature and responsible approach to alcohol.

ANNEX 21K

COMPULSORY DRUGS TESTING

1. Compulsory Drugs Testing (see also BRd2 Art 3626 and JSP 835).

a. Every person in the Royal Navy is subject to Compulsory Drugs Testing (CDT), which may be carried out by RN or tri-Service CDT teams. Failure to comply, when required by a CDT team member of any Service (i.e. to produce a urine specimen) is a disciplinary offence with a punishment of dismissal and up to six months imprisonment or detention. Adulteration or substitution of specimens carries the same penalty. Divisional Officers/Troop Commanders are to counsel any member of their division/troop who refuses to supply a specimen to ensure that they understand the implications. If the individual continues to refuse to provide a sample, a refusal certificate obtained from the CDT team leader is to be completed immediately, in duplicate. One copy will be retained by the unit and the other taken by the CDT Team Leader. Disciplinary action is to be initiated by the unit.

b. The Navy Command Executive Team (NCXT) has complete discretion in deploying the RN CDT team. There are reciprocal arrangements with the Army and RAF for personnel serving in Joint units or with another Service. The decision as to when to test units will, as far as possible, take into account unit programmes, training cycles, operational requirements, historical frequency of tests, perceived risk of drug misuse and the travel and resource constraints of the CDT Teams. However, periodicity will deliberately be varied in order to avoid predictability and to maximise the subsequent deterrent effect of CDT. The CDT team are authorised to deploy globally to enforce the message that CDT can occur at any time and in any place.

c. The CDT team will not normally consult Administrative Authorities before arranging a test, save where particular complexities make this desirable. The OiC of the visiting team will normally consult with the Commanding Officer in order to agree dates and confirm logistic arrangements. **It is very important that disclosure of the pre-arrival of the CDT team should never take place**. This is particularly pertinent to persons involved in the logistical preparations of a unit. For example, placing a notice in a mess hall/briefing room several days in advance highlighting that the room will be ‘out of action’ due to drugs testing is clearly harmful to the deterrent effect of the visit. The CDT team do have a mandate to arrive at a unit ‘unannounced’ and may do so. Commanding Officers may request a visit from the CDT Team if they feel it necessary (i.e. following word of potentially suspicious activity reaching the Command’s ear), by contacting WO1 CDT Team - NAVY PEOPLE-POL EXEC CDT WO or via Skype +443001531062 / Mob: 07876 476937 or FXO - NAVY PEOPLE-TRG-HQ N9 EXEC FXO or via Skype +443001698293. Additionally, it is entirely appropriate and indeed encouraged, if deemed necessary by the Command, to send an individual(s) to the CDT at HMS EXCELLENT for testing. This procedure is designed as an alternative solution to specifically bidding for an on board CDT, (following reports of suspicious activity), and may be optimal if the CDT team is unable to reach the unit swiftly (e.g. a deployed unit believes it has a suspicious case on board and wishes to fly an individual(s) back to the UK for testing; this procedure is encouraged).

Finally, it is encouraged that unit Commanding Officers should, where possible, conduct local spot checks of their personnel by sending a small cross-section (e.g. six to eight people) to the CDT team at HMS EXCELLENT for random testing (although a powerful deterrent, it is appreciated this procedure is difficult for non-Portsmouth based units, however the methodology remains sound and is hereby recommended). The CDT Team will always endeavour to minimise the impact on a unit and take a pragmatic view on the unit's programme, however ultimately they are performing a task that is directed by the Defence Council. Experience has shown that the CDT process flows much more efficiently with proactive and supportive engagement from the unit XO/2IC and EWO/Cox'n or equivalents.

d. The CDT Team needs logistic support from the unit being tested in order to conduct testing. The Team will send details of this requirement to a unit prior to its arrival. This will include a requirement for (circa) six to12 SRs/SNCOs to act as Collection Assistants (manning desks) and double the number of JRs/Other Ranks to act as Monitors (escorts of individuals to/from heads). All units should have available dormant orders for CDT implementation. A template for such orders is available from WO CDT on request.

e. Upon arrival the CDT Team will need to train the assisting personnel, a procedure which takes approximately 30-45 minutes. Thereafter testing can begin. Assuming the host unit is supportive, CDT Team can test a full DD/FF Ship's Company, or approximately 250 personnel in a shore establishment, in approximately four to five hours. The CDT team and assisting Collection Assistants, Monitors and Computer Operators do not stop for lunch; units are required to provide packed meals for those concerned as agreed with Navy Command Logistics. The CDT Team will provide more details in advance.

f. The number of personnel tested during any visit and particularly when the visit involves an overseas unit or a major shore establishment/capital ship, will be a variable percentage of the Ship's Company as directed by the CDT Team; this will range from a full 100% test to a relatively small 'Dip Test' of just 10-20 personnel. However personnel selected to provide samples will be taken from across all ranks/rates. Details will be agreed with unit Command/Executive staff/RSMs at the time of the test.

g. Establishment and base port accommodation areas will be included within this revised practice. In which case, the CDT Team will liaise with local establishment and Royal Navy Police staff in advance to make the necessary arrangements.

h. The CDT Team is empowered by the Armed Forces Act (AFA) and exercise testing as part of the MOD's 'deterrence' policy associated with random testing. Therefore they are not able and will not 'target' individuals or groups, unless this has been specifically requested as highlighted above at sub para c. They will determine the numbers or percentage of personnel to be tested; thereafter it is for unit HR staff to select the specific individuals. The only exception is those who have previously been placed on the Individual Re-Test List, and these persons will be identified by the lead member of the CDT team.

2. Reporting or Suspicions of Alleged Drugs Offences

The most important link in ensuring early initial reports is Leading Hands (LH/Cpls), particularly Leading Hands of Messes (LHOM). All LHs are briefed to be on the lookout for and to report immediately any suspicions they may have of substance misuse. It is particularly important that such suspicions are not discussed in the messdeck. To do so will alert the suspect and could lead to evidence being destroyed. While LHs and the LHOM may be the first to become aware of a possible drug problem, everyone in the RN has a duty to report suspected substance misuse. Failure to report suspected drug offenders or evidence of drug abuse is a serious Service offence.

3. Positive CDT Results

a. **Army and RAF Personnel.** When Army or RAF personnel serving in a RN or RM unit provide a positive result following a CDT Test, liaison between local Command and the relevant Service Policy Desk Officer must occur before the individual is informed. WO1 CDT Team - NAVY PEOPLE-POL EXEC CDT WO or via Skype +443001531062 / Mob: 07876 476937 or FXO - NAVY PEOPLE-TRG-HQ N9 EXEC FXO or via Skype +443001698293 are to be contacted to facilitate this liaison.

b. **Process.** Personnel will be informed of the test result by their CO and advised of their right to make a representation against discharge. Additionally, they will be given 48 hours to decide if they wish to make a statement following interview, and if they do, they should be assigned an Assisting Officer. Within their statement, it is vital that they declare whether they are accepting or contesting the result of the positive test. They should be informed of the option to have the B-Sample of the urine specimen tested at an independent laboratory at their own expense. It should be made clear to the individual that there is no compulsion to provide at statement but failure to do so or not **provide sufficient detail, (that cannot be refuted on scientific grounds), and which is supported by independent evidence** may diminish the reliability of the individual's explanation. It is essential that the process laid out in JSP835 and this Annex is followed correctly. Should a B-Sample return as negative, the individual is reimbursed and the case immediately collapses. Those testing positive will usually be discharged from the Service.

c. **Controlled Drugs Detected Below the Cut-Off Level.** Where controlled drugs have been detected below the threshold for the drug(s) detected (i.e. Positive Sub Cut-Off), it is possible that the individual may have experienced accidental or indirect ingestion. Alternatively, an individual has taken a controlled drug unlawfully. In the latter case, the amount of drug misused may either have been very small or the passing of time may have reduced the residual level. In any event, such results indicate that the individual may, at the very least, have been in the presence of others while drugs have been misused. The CO is therefore, to issue the suspected Drug Misuse Warning. Personnel are retained in Service but are added to an Individual Retest List (IRT) for a period of five years. Throughout this period they will be liable for individual re-testing at any time and without warning by the CDT Team. This liability will remain, in accordance with single Service policy, from the date of the original test result.

d. **Second Sub Cut-Off**. If an individual who has previously tested Positive Sub Cut-Off produces a second Positive Sub Cut-Off result within the five year period, this is to trigger an investigation with a view that an application for discharged SNLR (CDT) will be submitted in the same way as a Positive CDT result.

e. **Hair Sample.** The individual has no right to demand a hair sample for testing. This procedure is an option for Commanding Officers only, and is only used as an aid to assess the likelihood of prolonged drug usage, if this is suspected, rather than to provide further evidence of a Positive result. Similarly, DNA testing is not conducted by the MOD. When an individual signs the CDT paperwork at the time of testing, they are declaring their acceptance of the current procedure. If, having received a Positive test result and subsequently a further Positive B-Sample, no further toxicology options are open to the individual.

f. **Decision.** The emphasis is placed upon the Commanding Officer to determine if, on balance of probabilities, **the individual Knowingly, Recklessly or Intentionally consumed an illegal substance;** in sum 'are they at fault or not?' FXO and Navy Legal Casework are available to be consulted at every step of the CDT process and early liaison is encouraged, if any doubt exists.

(1) '**Knowingly' and 'Intentionally'** can be taken to include an individual who, under the influence of alcohol, elects to try or experiment with a drug that is offered to them, or which they chose to obtain regardless of whether they would have done so when sober.

(2) An individual will have been '**Reckless'** when they know or should have been reasonably expected to know that there is a real risk that their conduct would lead to a positive test but did not take steps to prevent it; an example would be the use of body and performance enhancing supplements not listed on 'Informed Sport', or alternatively trying so-called novel foods and herbal/floral tea products without considering the potential that they may contain illegal or harmful substances which would provide a Positive result at CDT, or leaving drinks unattended or 'mine sweeping' in a pub where they knew illegal substances were in use. Additionally, cases of extreme intoxication in which the individual declares they have no memory of events during a night(s) in question will quickly draw a deciding officer to the conclusion of recklessness.

g. **Medical Prescription.** Some CDT positive results will be caused by a legitimate prescription of medical drugs. In such cases the Commanding Officer should call for a statement from the Medical Officer, (following the individual's consent; it is appreciated that it is contrary to logic that an individual would not provide consent if they were stood accused of a positive result), detailing the drugs prescribed and the dosage dictated. In such cases, it is prudent to call for a Toxicology Report (via contact with WO(CDT)) in order to verify that the prescribed drugs would have accounted for the positive result, (it is not always the case), and thereafter the paperwork can be forwarded to NAVY LEGAL-CASEWORK, with a recommendation that the case be closed with no further action required under the provisions of Para 3. h. sub para (1) below (**Satisfactory Explanation**).

h. **Potential for Retention.** There is only one scenario in which an individual **might** be retained within the Service following a positive CDT result:

(1) **Satisfactory Explanation.** The Individual provides a statement that satisfactorily explains the presence of a drug in their system. This might be a medical report confirming a prescribed medication, or a confession to the Police and subsequent arrest for criminal assault by a third party, that they deliberately 'spiked' an individual, or some other form of 'spiking'.

(2) In cases of an inadvertent or accidental ingestion such as spiking the Commanding Officer will need to establish that 'on balance of probabilities' all of the following criteria are met:

(a) The allegation cannot be refuted on scientific grounds.

(b) It is supported by independent evidence, including circumstantial evidence (e.g. if subsequent investigation by civil/service Police reveals that drink 'spikers' are known to operate in a particular pub/club).

(c) The CO accepts the explanation as completely valid.

i. As already stated, a positive test result will almost invariably lead to Discharge SNLR for Ratings or Misconduct for Officers. For some, especially those who claim 'spiking' and are adamant of their innocence, Divisional Officers/Troop Commanders are to ensure that appropriate pastoral support is given as necessary (DCMH, Chaplains, RN FPS, etc.) and individuals should be informed of their right to make a Service Complaint.

APPENDIX 1 TO ANNEX 21K

INVOLUNTARY DRUG USE (SPIKING)

1. Legal Considerations

The spiking of drinks is unlawful and must be reported to the Service Police as soon as reasonably practicable. The Service Police will be able to investigate the establishment where the alleged incident took place and gain additional evidence which may corroborate the allegation.

2. Education

There have been incidents of Service personnel suspecting that their drink has been spiked whilst they were ashore. This can be a very worrying situation, given the penalties for drug related offences. Action to be taken in the event of suspected spiking is to be discussed in divisional/regimental meetings:

a. The Service will generally consider that the individual has been careless and 'reckless' in failing to take adequate care of their own safety and allowing themselves to be placed in a situation of danger under excessive influence of alcohol. Reinforcing this message should be an essential part of the education campaign.

b. Never leave your drink unattended; if you need to go to the heads then get a trusted 'oppo' to look after it for you.

c. Always try and watch where your drink is being poured from.

d. A person who suspects being spiked whilst ashore should immediately cease their 'run ashore' and return onboard. Failure to report such a suspicion will greatly increase the likelihood of discharge if a subsequent positive drugs test is received.

e. The Duty Officer and Senior Rate/SNCO, MO and local Service Police are to be informed and the suspicion recorded in the Daily Occurrence Book or equivalent.

f. The individual should be given a medical examination.

g. The DO/Tp Cdr should be informed and start keeping a record.

h. At the earliest practical opportunity, the individual should be interviewed by the Service Police.

i. If deemed appropriate, the remainder of the Ship's Company/unit personnel should be informed to be wary for the possibility of spiking and if necessary be banned from dubious establishments.

j. The CO and XO should be informed at the first convenient opportunity.

3. Having tested positive and facing the likelihood of imminent Discharge SNLR, individuals frequently present stories of being spiked but without having undertaken the correct initial actions. Without credible detail of who, when, where and how, and good reason given for failure to report the suspicion immediately, these stories merit little consideration.

4. In considering a CDT positive result, and before initiating any administrative action, the CO has to determine, on the balance of probability, whether the individual has a legitimate reason for the positive test result (e.g. properly prescribed drugs), or whether they have knowingly, willingly or recklessly consumed controlled drugs and are therefore culpable. The onus is on the individual to provide robust evidence that this presumption of culpability should not hold. However, when they have reported suspicions of spiking immediately after the event rather than only once prompted by CDT, the explanation will carry much more credibility. COs are required to conduct a reasonable investigation where an individual puts forward an explanation for a positive result. What is reasonable will depend on the circumstances and legal advice should be sought where required.

5. Effects of Alcohol

Some personnel who offer ‘spiking’ as the reason for a positive CDT result (but have not previously mentioned it) will often cite that they were too drunk to realise their drink was being spiked or that that they frequently left their drink unattended, or that they were ‘mine sweeping’. In all these cases the CO must determine on the ‘balance of probabilities’ whether the spiking claim is true or not. A genuine case of spiking is capable of being a ‘satisfactory explanation’ for the presence of a drug. However, there must be sufficient evidence to show on the ‘balance of probabilities’ that this is what occurred. Clinical tests have shown that when drinks have been spiked with illegal substances there is often a variety of physical and chemical changes which are evident. Discolouration, altering taste and smell are all possibilities. Failure to notice these or any similar alterations following excessive drinking (e.g. the anaesthetic effect to the tongue and throat which occurs as a result of orally ingesting cocaine) will add weight to the Command’s assessment that an individual has been reckless.

APPENDIX 2 TO ANNEX 21K

OUT OF HOURS SUPERVISION OF ROYAL NAVY PERSONNEL

1. Introduction

a. OoHS is for personnel who may be at physical risk, for example, due to substance abuse or misuse of legal, prescribed or illegal substances, acute distress, or who have or are threatening to cause harm to themselves or others who have been discharged from medical care and require further oversight. It sets out how care out of hours should be afforded to ensure the wellbeing of the Service Person (SP) until other support systems can be accessed in the normal working day.

b. In order to ensure the safety of the individual within the Royal Navy, dedicated personnel, procedures and facilities are to be available outside of working hours, including weekends and main leave periods as required by Command. This Appendix will not distinguish between substance abuse or misuse of alcohol, drugs, prescribed medication or mental illness.

c. If in any doubt of any individuals condition then supervising personnel should immediately dial 999/111 followed by 2222 in the UK or when outside the UK the local authority's emergency number.

d. The spiking of drinks is unlawful and must be reported to the Service Police as soon as reasonably practicable. The Service Police will be able to investigate the establishment where the alleged incident took place and gain additional evidence which may corroborate the allegation.

2. Authorising Out of Hours Supervision

a. The Officer of the Day (OOD), Officer of the Watch (OOW) or Naval Base Duty Officer (NBDO) or equivalent, dependent upon establishment, is authorised to assess an individual's ability to be allowed to return to their own accommodation area. If it is deemed that the individual is a risk to either themselves, their establishment or their colleagues, the OOD, OOW or NBDO can authorise OoHS, this responsibility cannot be delegated.

b. The individual is not under arrest or being detained, but it is in their, and the Service's interest, if they can be ordered to remain within OoHS. When normal working hours resume, the Divisional Officer (DO), Troop Commander (TCdr) and Chain of Command is to be informed of OoHS in order that follow-on action may be taken. This may be referenced to the unit Case Conference, DCMH/Medical Centre, involvement of People Support, or other such organisations or possibly disciplinary or administrative action.

c. Any resistance or public nuisance by the individual during the OoHS process may be dealt with by the Service Police and may result in formal arrest and detention. Any assessment, medical inspection, decision and subsequent development regarding an incident involving OoHS is to be recorded in the Daily Occurrence Book (DOB).

3. Accommodated Personnel

a. **Onboard.** If a person accommodated onboard is found in a condition that gives cause for concern due to substance abuse or misuse or their welfare is in doubt, then the OOD/OOW/NBDO is to be informed immediately for them to assess whether OoHS is appropriate.

b. **Returning Onboard.** If the individual is accommodated onboard and returning from ashore, the Quartermaster (QM), Bosuns Mate (BM), MOD Guard Service or other Security Services may be the first person in authority to view them and form an opinion of their condition. The QM/BM or other Services will inform the OOD/OOW/NBDO for the OOD/OOW/NBDO to assess that the individual is in a condition that may warrant OoHS.

4. Non-Accommodated Personnel

For personnel who are not accommodated within the establishment but who present themselves to that establishment and whose condition is assessed as warranting OoHS, the OOD or OOW is to inform Parent Unit OOD, OOW or NBDO. If possible, the individual should be escorted back to their unit, however, it may require that the receiving unit's OoHS organisation needs to be utilised. Action taken in either event is to be recorded in the Daily Occurrence Book (DOB).

5. Personnel in HM Ships

For personnel serving in HM Ships alongside in a Naval Base who are returning from ashore, the OOD, OOW or Security Staff will form an opinion of their condition. This includes personnel returned aboard by Service Police or civilian police. The OOW/OOD is to inform the NBDO or DCO if it is assessed that an individual requires OoHS. If personnel who require attention are entering the Naval Base gates, then MOD Guard Service/MOD Police are to alert the OOW or OOD accordingly. The OOW/OOD or NBDO will contact the individual's ship and inform them of the situation and their assessment of OoHS requirement. If the ship decides that it does not want the individual returned, or does not have the capacity to provide the necessary supervision from among those onboard, then the OOD, OOW or NBDO will place them under OoHS. Local arrangements for the ship to provide personnel to assist with the supervision may need to be considered.

6. Personnel in HM Submarines

Action shood be taken in accordance with Para 5 with the exception that due to the increased risk in a submarine, an individual that has been assessed by the OOD/OOW/NBDO as requiring OoHS will remain in the Establishment Supervision suite in accordance with Para 5. The OOD, OOW or NBDO will inform the submarine OOD. Local arrangements for the crew to provide personnel to assist with the supervision may need to be considered.

7. Supervision Routine

a. Personnel, regardless of rank or rate, who require OoHS are to be managed by being placed under continuous watch, noting Action Briefs G and H, until the danger of harm through vomit induced asphyxia or another event has passed. Personnel in this category are not in custody but are to be described as under 'Supervision'. (This is not to be confused with personnel in 'Custody' who have been arrested by Civilian/MOD/RN Police etc and may be affected by substance abuse of misuse at the time of arrest.)

b. No medical examination is required before a person is placed under OoHS; however the Duty Watch should follow guidance in Action Brief B. A list of First Aid equipment is at Action Brief H. If there are concerns regarding the person's health, it is to be dealt with as a medical emergency.

c. Establishments will have a dedicated OoHS suite of a minimum of two beds, dependent on size of establishment, with furnishings to enable sentries to monitor and items required to sustain the monitoring of an individual(s) health.

d. The Duty Watch (DW) will require to be augmented in NB and SE to ensure that dedicated personnel are nominated, suitably qualified and in date for NCT 2 First Aid and Air Assessor training to maintain watch in a dedicated OoHS suite. NB and SE should consider the utilisation of personnel across their NB and SE including lodger units.

e. No Service individual under the age of 18 may be considered for this Duty.

f. Cases of self-harm may also be dealt with under the PS procedure, including the use of the OoHS.

g. Ships should establish OoHS within the First Aid Post onboard, with the Duty Watch providing the initial response, followed by individuals from the Ships Company of any rank to act as Sentries. The OOD and DPO are to ensure that these individuals are fully briefed and competent. If no non-DW are available outside assistance should be sought from either HMNB or an equivalent provider.

h. Sentries are to be briefed by the Executive Department, to include covering briefs from Service Police and Medical Centres during working hours, ensuring that they read and sign to say they have understood the Supervision Orders at Action Brief B before commencing their duty. The OOD, OOW and NBDO are also to attend briefings with amplification of any SP who may be included on the At-Risk Register ensuring that medical confidence is not breached. The OOD, OOW and NBDO will ensure that they have provided the sentry with all that is required to conduct the duty; that the sentries conduct their duties correctly; that the OoHS Log is completed (Action Brief C) and that valuables and loose items of clothing are kept securely and recorded in the Property Receipt Log (Action Brief D).

i. The DO/TCdr of any Service individual under the age of 18 who requires OoHS should be notified immediately.

j. **DCMH.** The OOD, OOW or NBDO should contact the Out of Hours Mental Health Nurse (24/7) should any Service individual who is receiving DCMH care request assistance whilst in OoHS.

(1) Out of Hours (OOH) advice and support for clinicians and executive (Not patients) are: National Tri-Service duty mental health clinician OOH number 07990 551693.

(2) RN OOH number 07990 551691.

(3) In hours (0830-1630 Monday to Friday) DCMH and ask to speak to the duty clinician. RN DCMH: Portsmouth 02392 726256/Mil 938026256. Plymouth 01752 555965/Mil 937565965. Faslane 01436 674 321 Ext 5421/Mil 93255 5421

(4) All personnel under OoHS may only be discharged personally by the OOD, OOW or NBDO to the care of their DO/TCdr or Divisional Senior Rate (DSR). The individual maintains the right to make a Service Complaint later in accordance with JSP 831[1]. The individual's DO is to be invited to the next N1 Unit Case Conference should the Executive Department deem necessary.

Action Briefs are available at the FORMS area of the Home Page:

Action Brief A:	Incident Flow Chart
Action Brief B:	Post Incident Action Flow Chart
Action Brief C:	Sentry Orders for Out of Hours Supervision
Action Brief D:	Out of Hours Supervision Log
Action Brief E:	Property Receipt Log
Action Brief F:	Individual Suspected Of Substance Abuse Misuse Or Misuse - OOD/OOW/NBDO Actions
Action Brief G:	Self-Harm - OOW/OOD/NBDO Actions
Action Brief H:	Head Injury - OOW/NBDO Actions
Action Brief I:	Medical Considerations

[1] Ministry of Defence, JSP 831, Redress of Individual Grievances: Service Complaints, Annex F: Service Complaint Form

ANNEX 21L

STRESS

1. The MOD Health and Safety Handbook states the following:

Stress affects people in different ways at different times and is often the result of a combination of factors in their personal and working lives. Work related stress arises where the combination of pressure from work load, working practices, work relationships, etc. exceed the person's capacity and capability to cope, resulting in adverse physical and/or mental reactions[1].

2. Service in a deployable fighting force brings with it inevitable pressures, such as separation from family and friends, and periods of intense, sometimes dangerous, activity. Whilst these pressures do not inevitably cause stress and many personnel cope with extraordinary demands without suffering ill effects, anyone can begin to suffer from stress at any time. The potential catalysts range from extreme trauma to mismanagement over a long period of time. Mundane, chronic catalysts, such as domestic difficulties, excessive work demands and lack of support are the more common causes.

3. It is too easy for hardened line managers in the Service to take a dismissive attitude to stress. Although it is true that a moderate level of pressure, even stress, can be beneficial to performance and motivation, in extreme cases its effects on health are medically measurable, and its effects on behaviour and performance are an administrative concern. Symptoms may include frequent minor health problems, leave-breaking, poor time-keeping, impaired performance, lowered personal standards, and irritability.

4. DOs must be aware of the possibility of stress as a cause of problems in both themselves and their division. In particular they should be aware that many of the major causes of stress in the Royal Navy come from inter-personal relations: e.g. conflicting demands from line management, or lack of support from seniors or peers. In some cases, DOs must be prepared to examine their own style and recognise that they or other line managers may be causing or exacerbating stress if not providing a clear and supportive line of command. Alternatively, individuals are frequently enabled to come through periods of stress, improve their performance and cope with very high levels of pressure without suffering stress with the support that they receive from good DOs. The ability to cope may change and can be strengthened or undermined by how people are treated. Above all, making personnel feel valued and able to approach their line managers is essential.

5. When suffered for prolonged periods, stress can cause illness, but it is recognisable and can be treated. Sufferers may perceive succumbing to stress as a weakness, however, and may be unwilling to seek advice or attend treatment. The DO must make the time to listen to the fears and concerns of their Divisions/Troops and, where possible, help them find solutions which are appropriate to their needs. Stress relieving strategies that can be discussed are covered by the mnemonic ASPIRES, which is decoded as follows:

[1] JSP 375 Management of Health and Safety in Defence Pt 2 Vol 1 (V1.0 Dec 14) Para 17.1.5.

Assertiveness - know when to say ‘no’ and do not take on too much;

Self-Talk - assess the situation constructively and objectively;

Prioritising - manage time and delegate effectively;

Identifying sources of stress - act on them;

Relaxation - look after yourself and keep a balance of work and leisure;

Energy renewal techniques - e.g. physical activity; and

Support - communicate problems, talk to friends; seek help.

6. Where the DO seems unable to assist in resolving the problem, the individual should be made aware that professional support and help is available from a wide variety of sources, including RN FPS, the Confidential Support Line, Chaplains, Medical Officers and Medical Branch ratings. Further guidance can be found in Chapter 24 (Welfare) and Chapter 34 (Operational Stress Management).

7. DO’s are to be familiar with and utilise the Vulnerable Risk Management Information System (VRMIS) in accordance with current policy if necessary. VRMIS replaces legacy N1 and Unit Risk Registers and is to be used to identify, record and manage personnel assessed as vulnerable or at risk. It provides a command-led, multi-agency mechanism to support the management of individuals through the maintenance of a Care Action Plan (CAP), ensuring that risk, actions and outcomes are formally recorded and regularly reviewed. DOs will normally act as Care Action Plan (CAP) Leads and are responsible for the timely initiation, maintenance and update of CAPs, ensuring that appropriate control measures and support arrangements are implemented. They are also to ensure continuity of information during assignment between units and that all actions are recorded in accordance with policy to enable effective oversight by the Chain of Command.

8. The maintenance of a properly operating Divisional and Regimental System, where individuals readily seek advice and discuss their problems, should be the aim of all DOs and DSR/SNCOs. In getting to know their people, DOs should build up a reasonable picture of what to expect from each individual in terms of manner and performance. Knowledge of individual’s normal demeanour will assist DOs in identifying differences in performance, attitude and behaviour that may be the result of stress.

ANNEX 21M

WILLS

1. Commanding Officers have a responsibility to ensure that personnel are both encouraged to make a Will and provided with the opportunity to do so. This responsibility may be devolved to the DO/Tp Cdr to manage within the division/troop. The MOD cannot provide advice on the content of a Will which, if required, should be sought from a solicitor or other specialist adviser.

2. The recommended methods available to Service personnel for making a Will are as follows:

a. Drawing up a Will using expert advice.

b. Using a MOD Will Form (MOD Form 106).

c. Writing a simple Will on a sheet of paper.

d. Using one of the printed forms which can be purchased.

e. In exceptional circumstances an informal Will can be made.

Completed Wills, either MOD Form 106s or privately created, can be stored free of charge at the Defence Handling Centre (DHC) Glasgow; further details may be found in the references below[1].

3. There is a Service requirement for the status and whereabouts of a Service Person's Will to be recorded on JPA, or the fact that the Service Person (SP) has chosen not to make a Will or declare their intentions to the Service. Units are able to interrogate JPA to confirm those personnel who have a Will held at the DHC and those who have indicated to UPOs/HR Admin that they have a Will held under private arrangements. Units can also interrogate JPA to identify cases where Wills have been sent to the DHC but where receipt has not been entered onto JPA.

4. It is important that Wills are updated immediately to reflect any changes to personal circumstances (e.g. marriage, civil partnership, divorce, change of partner, births, or death of a named beneficiary). It is also important to update JPA quickly to reflect this so as to ensure that the correct Will is issued to the family/Executor.

5. Units are to ensure that personnel are made aware of the importance of both making a Will and updating it promptly if circumstances change. Whilst these are both personal responsibilities, units should programme time to facilitate this activity and ensure that MOD Form 106s and other relevant stationery are readily available. Operational Mounting Instructions will reiterate this requirement which is an essential part of pre-deployment preparations.

[1] QRRN Ch 55 J Section I Para J5501 and 2014DIN01-174.

ANNEX 21N

SOCIAL MEDIA

1. Introduction

This Annex provides clear direction on the rules and guidance for service personnel engaged on social media and is divided into three parts. The first provides generic guidance and the second discusses the responsibilities and behaviours of members of the Royal Navy, Royal Marines, Royal Fleet Auxiliary, and Civil Servants working with the Navy when using social media in a personal capacity. The final part provides guidance to those using official accounts, including those representing ships, squadrons, commando units, establishments, and sports teams.

PART 1 - GENERIC DIRECTION ON ALL USE OF SOCIAL MEDIA

2. Introduction

a. Use of social media - whether done in an official capacity or as an individual - counts as communicating in public and this RNTM must be read in conjunction with 2020DIN03-005, 'Contact with the Media and Communicating in Public' (which is expected to be superseded by JSP 758 in due course). It is imperative that all engagement on social media is done responsibly, safely, and in accordance with the core values of the service.

b. It should be noted **all** communication in public on contentious topics requires prior approval from the Directorate of Defence Communications (DDC). The list below provides an indication of such topics, though this is not exhaustive, and judgement should be applied. If there is any doubt about whether communications are potentially contentious, personnel must talk to RN Comms or DDC Secretariat prior to engagement.

- Annual Budget Cycles (ABC)
- Spending Reviews
- Defence Reviews
- Reductions in Service and civilian personnel
- Estates/Basing Strategy
- The Deterrent
- Materiel Strategy
- Scotland and Defence

c. All personnel should be aware that information sent via messaging services, including but not limited to WhatsApp, WeChat, Telegram, Signal, SnapChat, iMessage and Facebook Messenger, can be easily forwarded to others and should be treated with the same care as more obvious social media channels such as Twitter, Facebook, LinkedIn and Instagram, as well as forum-based activity including posts on Reddit and comments on online news story pages.

3. OPSEC and PERSEC

a. The normal rules of OPSEC[1] and PERSEC also apply to personal and official social media accounts. Misplaced and ill-thought social media could compromise the safety of you, your colleagues or family. Make sure your family and friends are also aware of the risks; it is not only you who can share sensitive information. Information posted on social networks may result in risks to personal safety so think carefully about what you want to share in all use of social media. Whether using an official or personal channel be cautious about posting detailed personal information. You should never mention your security clearance online. For more on staying safe online, see the "Think Before you share"[2] guidance on the GOV.UK website.

b. There are numerous instances on record of RN and RM personnel putting OPSEC, PERSEC and RN/RM Reputation at risk. All units and personnel are at continual risk from traditional enemies, terrorist organisations, subversive groups and deranged individuals, both at home and abroad. All information posted online is in the public domain and can be used to build intelligence on a particular group or individual – this may be a State intelligence organisation or a private citizen indulging in 'hacking'. Unit programmes are inherently at risk from individuals posting seemingly harmless comments. Using social media to report or comment on dates, places or circumstances can have severe consequences for a unit, including radical alteration of a unit's programme if compromised to the detriment of unit or personnel security – invariably this will be inconvenient to the personnel involved.

4. Investigations and rights of victims

Do not share information pertaining to events under investigation; this includes ship's investigations as well as matters under investigation by the Service Police, non-statutory and statutory investigations. Speculation and sharing of privileged information could have an adverse effect on the investigation or could prejudice outcomes. Personnel must note that after investigations have concluded some information remains sensitive – often including the outcomes and these should not be shared without authorisation. Moreover, all should understand that in cases involving accusations of rape, assault by penetration, sexual assault and causing someone to engage in sexual activity without consent, victims are given life-long anonymity, **regardless of the outcome of the case**, and no details that could identify a victim should ever be divulged by any means and to do so is a criminal offence.[3]

5. Complaints Processes

Nothing within this annex interferes with the rights of any Service Person to seek redress or to make a complaint in accordance with the normal processes. Further information on the informal complaints resolution process is in JSP 763 Part 2. Further information on reporting Unacceptable Behaviours can be found in RNTM 01-093/22.

6. Education and Training

COs of ships and establishments are to reinforce this guidance and policies as part of regular and divisional and regimental briefs.

[1] See JSP 440 Vol 5 Sect 6 Chap 6
[2] Think before you share online - GOV.UK (www.gov.uk)
[3] See Sexual Offences (Amendment) Act 1982

PART 2 - DIRECTION FOR PERSONAL USE OF SOCIAL MEDIA

7. Introduction

a. The Royal Navy encourages the responsible use of social media to engage with the public and colleagues in a positive way. However, communicating using social media is no different to communicating in real life and must always be done in accordance with the values and standards of the Service.

b. Acceptable behaviour is required offline or online, on duty or off duty, and personnel should always behave in a lawful and appropriate and professional manner – wherever you are in the world and whatever you are doing[4].

c. You should avoid saying anything on social media that you would not be prepared to say in person or on any other public channel – the rules of defamation apply as much in social media as they do in traditional media. Personnel who post or repost things on social media that are not true, and may impact people's reputation, could be personally sued by the person they are posting about.

d. All personnel should note that if you are clearly identifiable as a member of the Armed Forces (e.g. by sharing photos of yourself and friends in uniform) or refer to your Service or organisation (e.g. in bios or by using insignias or logos as profile pictures) the public and mainstream media can and will recognise you as such and regard your posts as if they were official comment. People and wider media will relate to what you say about the Service, even if you state your opinions are your own and could use them more widely in online, print, and broadcast media.

e. Personnel must never bring the Royal Navy into disrepute, divulge classified information, or take part in illegal or inappropriate behaviour online or in real life. To do so is unprofessional and risks harming the service. Moreover, it may result in administrative and/or disciplinary action. Do not ‘troll’ your oppos or line management/chain of command. It is contrary to our values and standards and could also be a criminal offence. The digital world is the **real** world with **real** consequences - **Think twice, post once - or not at all.**

f. Once you post on social media you lose control of the content and anyone else can amplify. You may have second thoughts and delete a post, but it is easy for others to take screenshots and they may already have captured such posts and then forward more widely and repost elsewhere. As already stated, this includes messaging services such as (but not limited to) WhatsApp, WeChat, Facebook Messenger, Signal, and SnapChat which should all be regarded as social media as well as the more recognisable platforms. **Think before you share.**

[4] See JSP 763 Part 1 Chapter 2 Para 253

8. Ethos and Core Values

a. Royal Navy and Royal Marines personnel should always comply with the Service's values. It goes without saying: this applies equally on social media as it does in real life.

(1) The Royal Navy's core values are:

(a) **Commitment.** Selfless personal commitment is the foundation of naval service and enables us to demonstrate a sense of authority and purpose.

(b) **Courage.** Courage creates the strength on which fighting spirit, that essential element which turns a fighting force into a winning force.

(c) **Discipline.** The Royal Navy must be a disciplined service if it is to be effective.

(d) **Respect.** Respect for others. Each one of us has the exceptional responsibility of bearing arms, either collectively as part of a unit or individually, and when necessary, of using controlled force. In addition, we will sometimes have to live and work under extremely difficult conditions. In such circumstances, it is particularly important that we show the greatest respect, tolerance, understanding and compassion for others regardless of their personal background; leadership and teamwork depend on it, and we have the fundamental right to expect to be treated with the same degree of respect and dignity by all with whom we serve.

(e) **Integrity.** Integrity is that quality of an individual's character that encompasses honesty, sincerity, reliability, and unselfishness.

(f) **Loyalty.** The Nation, the Royal Navy and those with whom we serve rely on our commitment, dedication and support. We must therefore be loyal to our leaders, those that we lead, our team, and our duty. Pass this test and we will never let others down

(2) The Royal Marines Commando values are:

(a) **Excellence.** Strive to do better.

(b). **Integrity.** Tell the truth

(c) **Self-Discipline.** Resist the easy option.

(d) **Humility.** Respect the rights, diversity, and contribution of others.

b. Our values and standards are inherent to our success as a service, which could be undermined by ill-considered communications that damage the reputation of the Service and erode the dignity of the individuals involved. Additionally, when photos of individuals are posted without the subject's permission, it can place personal security at risk. RN Comms and PSyA have been requested to intervene with social networking providers to protect individual and collective security, and individuals have had to submit complaints to social network sites to have pages shut down.

c. Our Ethos and Core Values always apply to us, on and off duty, and are the 'DNA' that set us aside from the civilian community. Communications on social media should be regarded as being the same as conversing face to face. Individuals should be reminded that the Service has credible and effective mechanisms for dealing with grievances, both through the Divisional, Regimental, and the Service Complaints systems. Airing grievances on social media, or passing derogatory comment on an individual or group, unequivocally demonstrates a lack of respect for others, moral courage, integrity, self-discipline, commitment, trust in the team and personal standards; in short, it fails the Service Test and it has no place in the Royal Navy.

9. Administrative and Disciplinary Action

Some communications via social media may be considered inappropriate in the eyes of the Service but not severe enough to merit Service Police investigation or disciplinary action. Commands may, however, consider that the Service Test (below) has been breached such that administrative action is required to safeguard and restore operational effectiveness and efficiency. Such administrative action should treat communications via social media in the same way as any other social interaction when applying the Service Test.

a. **Code of Social Conduct.** The following extracts from JSP 887 are pertinent when considering abuse of social media:

(1) **Para 2.** "the overriding operational imperative to sustain team cohesion and to maintain trust and loyalty between commanders and those they command imposes a need for standards of social behaviour that are more demanding than those required by society at large. Such demands are equally necessary during peacetime and on operations. Examples of behaviour that can undermine such trust and cohesion, and therefore damage the morale or discipline of a unit (and hence its operational effectiveness) include:

(a) Unwelcome sexual attention in the form of physical or verbal conduct.

(b) Misuse of rank and taking advantage of subordinates.

(c) Probing into a person's private life and relationships.

(2) It is important to acknowledge that, in the tightly knit military community, there is a need for mutual respect and a requirement to avoid conduct which offends or causes distress to others. Each case will be judged on an individual basis".

(3) **Para 3.** “It is not practicable to list every type of conduct that may constitute social misbehaviour. The seriousness with which misconduct will be regarded will depend on the individual circumstances and the potential for adversely affecting operational effectiveness and team cohesion”.

(4) **Para 4.** “Unacceptable social conduct requires prompt and positive action to prevent damage. Timely advice and informal action can often prevent a situation developing to the point where it could:

(a) Impact adversely on third parties; and/or

(b) Impair the effectiveness of a Service individual or unit;

(c) Result in damage to corporate image or reputation”.

(5) **Para 5 - The Service Test.** “When considering possible cases of social misconduct, and in determining whether the Service has a duty to intervene in the personal lives of its personnel, Commanding Officers at every level must consider each case against the following Service Test:

(a) "Have the actions or behaviour of an individual adversely impacted or are they likely to impact on the efficiency or operational effectiveness of the Service?”

(b) This Service Test lies at the heart of the Armed Forces’ Code of Social Conduct; it is equally applicable to all forms of conduct, including behaviour while not on duty”.

(6) **Para 7.** “We place additional responsibilities on every one of our leaders and managers, whether uniformed or civilian, at every level to set an example through their actions, behaviour and language of respecting and valuing the diversity of others in every aspect of life”.

b. **NCHQ Interpretation of the Service Test**. Misuse of social media would certainly impact upon the efficiency or operational effectiveness of an individual’s unit if, as a result, they succumbed or inadvertently contributed to a terrorist threat (or similar). Likewise, any tarnishing of reputation on social media fails the Service Test by having impacted on the efficiency of the Service.

c. **Minor Administrative Action**. Minor Administrative Action (MAA) will normally be the most appropriate means for dealing with inappropriate use of social media (but see sub para d below). When considering MAA, COs should remember that the assessment is to be made ‘on the balance of probabilities’ and not the more demanding criteria of ‘beyond reasonable doubt’ required for disciplinary action. MAA investigations need not be protracted and can be conducted by unit staff. For example, a printout of a screen-shot is likely to be admissible as evidence of a communication via social media for such administrative action. MAA would be predicated upon behaviour contravening the Code of Social Conduct or undermining Service Ethos.

d. **Divisional Warnings**. Even where MAA may be deemed inappropriate, Commands still retain the Divisional System at their disposal and may place individuals on professional warnings for conduct which fails to uphold Service Ethos and Values or conduct unbecoming and unacceptable of a particular rank or rate.

(1) **Values and Standards.** Service personnel are expected to adhere to the same high standards of conduct and behaviour online as they would in any other aspect of their professional or personal lives.

(2) Individuals are responsible for what they post on social media. When an individual posts a comment on social media, that individual is responsible for the content of that comment. If an individual passes on communications posted initially by another person then they are republishing them and become responsible for the content as well. Clicking 'Like' (or equivalent accepting action) to another person's post or comment attaches an individual's name to that post and implies that individual's support for its content.

(3) Talking on social media is the same as speaking face-to-face. Expectations of behaviour when communicating via social media are no different from expectations of behaviour when dealing with other methods of communication, such as face-to-face or on the telephone.

(4) **Offensive Material.** Disciplinary, administrative, or divisional warning action may be taken against Service personnel who post or republish offensive, indecent, obscene, false, abusive, racist or discriminatory images or literature on social media.

(5) **Respect for Others.** Service personnel should never use social media to bully, attack or abuse colleagues, or to create a hostile or intimidating environment at work. Information about third parties (for example, pictures of someone from a social event) should not be posted without first obtaining their permission.

(6) **Security - Personal.** Individuals are to be aware of the dangers to themselves and others in sharing information online. Control must always be maintained over personal information and operational security.

(7) **Security - MOD.** Individuals are required to seek authorisation before publishing any information relating to their work which: reflects on wider Defence and Armed Forces activity; attempts to speak, or which could be interpreted as speaking on behalf of the Service or the MOD; or relates to classified, operational, controversial, or political matters.

(8) **Advice.** If individuals are at all unsure, they should always seek advice via the Chain of Command prior to, rather than after, taking action that may cause offence or compromise personal or unit security.

10. Legal And Disciplinary Matters

a. **Criminal Offences.** Under Section 1 of the Malicious Communications Act 1988, it is a criminal offence to send an electronic communication which is indecent, grossly offensive, threatening, or false with the intention of causing distress or anxiety to the recipient. It is also a criminal offence under Section 127 Communications Act 2003 to send a message via a public electronic communications network which is grossly offensive or of an indecent, obscene, or menacing character. Such provisions have been used in many social media prosecutions. For example, a man was sentenced to 12 weeks' imprisonment for posting offensive 'jokes' and sexually explicit comments about a missing girl; another was given 240 hours community service for posting a message on Facebook about the deaths of six British soldiers which said: 'All soldiers should die and go to hell'.

b. **Other Offences.** There are other offences which can be committed via social media. For example, posts involving a threat of violence may constitute an assault or a public order offence; posts targeting a particular individual may constitute a course of harassment under the Protection from Harassment Act 1997; naming the victim of a sexual crime is illegal under the Sexual Offences (Amendment) Act 1992; and the deliberate publication of information in breach of a court order may amount to a contempt of court.

c. **Legal Policy.** If a Commanding Officer becomes aware of an allegation that a communication has been sent via social media which may amount to a criminal conduct offence, they should make an initial assessment of the content of the communication, consulting Legal Advisors as part of this process. If the assessment is that a communication falls into one or more of the categories described below, then it must be reported to the Service Police as soon as reasonably practicable. This is for two reasons: first, in view of the complexities in obtaining and securing evidence that is admissible to the standard required in criminal law, a Service Police investigation (or civil police investigation if the matter is passed to them) is likely to be more appropriate than a unit investigation; and, second, the Service Police is the most appropriate body to apply the CPS Guidelines and decide whether to recommend direct trial or otherwise to the independent Director of Service Prosecutions. Activities which typically merit investigation by Service Police include the following:

(1) Communications which may constitute credible threats of violence to a person or damage to property.

(2) Communications which specifically target an individual or individuals and which may constitute harassment or stalking within the meaning of the Protection from Harassment Act 1997 (noting that an allegation or circumstances which indicate an offence under Section 4 of that act has been committed by a person subject to Service law will be Prescribed Circumstances). This provision is proscribed in Section 114 of the Armed Forces Act 2006 and The Armed Forces (Part 5 of the Armed Forces Act 2006) Regulations 2009, Regulation 3.

(3) Communications which may amount to a breach of a Court Order. This could include offences under the Contempt of Court Act 1981 or Section 5 of the Sexual Offences (Amendment) Act 1992, breaches of a restraining order or breaches of bail.

d. Communications which do not fall into any of the above categories, but which may be considered grossly offensive, indecent, obscene or false (i.e. more than (in legal terms): “Satirical, or iconoclastic, or rude comment, the expression of unpopular or unfashionable opinion about serious or trivial matters, banter or humour, even if distasteful to some or painful to those subjected to it”) should be discussed with appropriate Legal Advisor with a view to subsequent Service Police involvement.

e. Where the Commanding Officer’s assessment is that a communication does not fall into one of the categories in sub para c above, but nevertheless represents a Service Offence (for instance, where there is a rank difference between sender and recipient), they may continue to refer the case to the Service Police for investigation.

f. **Legal Advice.** Whenever a Commanding Officer is considering whether to invoke a Unit or Service Police investigation in a case involving communications via social media, they should seek legal advice.

PART 3 – DIRECTION FOR USE OF OFFICIAL SOCIAL MEDIA

11. Introduction

a. Social media allows the RN, RM, and RFA to engage directly and closely with our stakeholders by providing channels to deliver our messages directly to our invested audiences and influence non-traditional audiences. Royal Navy Communications and Influence (RN Comms) administers the official social media accounts of the Royal Navy and Royal Marines (currently Twitter, Facebook, Instagram, YouTube and LinkedIn but this may increase in the future) and has overall responsibility for all social media accounts run by RN and RM units.

b. Use of social media must be authentic and represent the voice of the channel owner but must, above all, be consistent with the Royal Navy message and brand – RN Comms can provide guidance and direction.

12. Authorisation of Official Social Media Accounts

a. Units, establishments, networks and sports clubs, and other teams or groups within the Service may consider establishing social media accounts, subject to approval. In addition, holders of key posts and/or certain individuals including senior officers may wish to set up social media accounts. All such accounts will also be considered official social media accounts and must be endorsed and approved by RN Comms; this aligns with DDC direction. An application form for authorisation such accounts is at Annex A.

b. Where units, networks and teams have set up social media accounts that are classed as official but have not had the appropriate approval, they must engage directly with RN Comms and seek retrospective approval. RN Comms will review the content and suitability before approving and providing appropriate training for users. RN Comms must retain access to passwords to accounts so they can be retrieved in case of, for example, hacking and **any accounts that are seen to contradict our rules and policies will be shut down.** Furthermore, if a request is denied, units and teams must refrain from establishing unofficial accounts.

13. Uses of Official Social Media

Official social media channels can be used in these main ways:

a. **Passive.** Following discussions, keeping track of news and building networks as part of day-to-day work. If using social media for this, you may also wish to consider using digital tools that aggregate real-time news trends from social and mainstream media. If you need further guidance on this, please speak to RN Comms. Examples of free tools include Tweetdeck, Amplify, or Hootsuite

b. **Semi-Active.** Low-key, work-related activity, such as following Service influencers to highlight or amplify key messages, public information, or relevant Royal Navy activity.

c. **Active.** Active engagement and communication. Creating and disseminating content to inform and pass on unit and service messages.

14. How to use social media in an official capacity

a. Official accounts must be authorised, registered, monitored, and reviewed to ensure effectiveness and must be clearly and branded consistently iaw the direction given in BRd 9374.

b. There will be certain occasions that require publishers to follow the strict direction and guidance given by RN Comms, e.g. Op BRIDGE. Those responsible for official accounts are to respond to direction from RN Comms promptly to delete or edit content, or to go quiet on any account when so ordered.

c. All official social media accounts are, in effect, government communications channels which can and will be used by the media as official sources of information. As such all such accounts must comply with Government Communication Service guidance[5]. Accounts should be treated as official government channels and therefore must be rigorous in ensuring the veracity of all information posted. Official channels are not permitted to and must never post misleading or untruthful information.

d. Official accounts must not contradict HMG policy, be politically partial, bring the Royal Navy into disrepute, divulge classified information, or take part or be seen to take part in illegal or inappropriate behaviour in any other way.

e. Social media should not be used for policy announcements except when authorised by RN Comms and/or DDC.

f. Death in service must never be announced on any social media channels. It may be used to express condolences if deemed appropriate, however, all posts need to tasteful and should be made cognisant of family wishes and their privacy. Where deaths are subject to Coroner's Inquests or other investigations, personnel must not speculate on causes of death and should avoid posting information that has not previously been released from official sources or confirm or comment on information on which others have speculated. If in any doubt, contact the RN Comms Reactive Team Leader for guidance.

g. Official accounts should exert extreme caution before rebutting comments or engaging with other accounts that are either trolling or disagreeing with the nature and tone of our messages. It is not wise to engage in arguments on social media and it is often easier to ignore the trolls or simply respond to aggressive/offensive posts with accurate, light, and positive information. Seek guidance and support from RN Comms Digital Team and Reactive Team Leaders before rebutting or engaging with other users.

h. Further guidance is set out in the DDC Guide for Personnel Using Social Media[6].

i. A framework on when to seek clearance before publishing content on official channels is given in Table 1 below.

[5] Digital communication - GCS (civilservice.gov.uk)
[6] https://modgovuk.sharepoint.com/sites/IntranetHeadOffice/SitePages/Defence-Communications.aspx

Table 21N-1 - When to Seek Clearance Before Publishing Content on Official Channels

Go ahead	Content from within your area of responsibility.
Seek guidance from RN Comms/ PJHQ/DDC	Breaking news within your area of responsibility where there is no press line. The interpretation of a change of policy where the line is being agreed Any operational activity Rebuttal VIP/ Ministerial movements.
Don't do it	Subjects not in your area of expertise or direct responsibility. Any classified data.

j. For activity within CJO's JOAs and/or units under CJO OPCOM must seek should seek guidance from PJHQ J9 Media[7] before release on any social media channel.

k. Accounts should never be used for directed surveillance of an individual or group, without correct authorisation under the MOD Policy on Open Source Intelligence (OSINT). MIXG (as part of the Operational Advantage Centre) has the capability to conduct Regulation of Investigatory Powers Act 2000 (RIPA) authorised investigations if necessary. Seek advice from the Integrated Mission Support Cell (see 2021DIN03-017) if unsure on the correct and lawful use of these channels.

l. General points for running social media accounts:

(1) Update social media accounts regularly, otherwise do not request a separate account from the main Royal Navy accounts – tailor frequency, length and type of updates to audience needs and expectations.

(2) When sharing images, you must always consider OPSEC and PERSEC. Consider the cumulative impact of posts; individually they may not breach security but when taken with other messages they could divulge classified information. Where an image is of an individual you must ensure they have agreed for their image to go online if they are identifiable in the photo. Be particularly careful of any images of children and parental/caregiver agreement to use.

[7] UKStratCom-PJHQ-J9-Media-GpMbx@mod.gov.uk

(3) Official accounts allow us to target key audiences, deliver our messages and information directly, engage and be open to challenge, opening access to our officials and Ministers. Official social media accounts should provide relevant, useful information on Royal Navy activity. It should have a clear purpose, audience and be evaluated against those criteria. RN Comms can provide guidance for you on your evaluation.

(4) You can share interesting third-party content, e.g. media articles, NGO blogs, foreign partner military information, etc but only if you are sure that it is appropriate, and it is politically impartial.

(5) Consider inclusive language and cultural sensitivities and avoid posting anything that could be considered offensive by anyone who may see the page (including audiences from other countries).

(6) Debate is good; a protracted online argument is not. Take discussion best dealt with in private offline or into direct messaging, noting screengrabs may be made of instant or direct messages and could be posted by the other user.

(7) Do not post or share anything which breaches copyright or that could be construed as advertising or promoting a commercial company.

(8) Do not disclose information that is classified or privileged, or that may put you or your colleagues at risk, whether from crime, terrorism, or espionage.

(9) As with any form of communication, if in doubt, seek advice or do not post at all.

15. Summary

In summary, the right of individuals to make use of social media is completely respected as an individual choice and freedom. However, abuse of social media which threatens our and Core Values, personnel and/or operational security or the good name and reputation of the Royal Navy and Royal Marines is completely unacceptable and will not be tolerated.

APPENDIX 1 TO ANNEX 21N

SOCIAL MEDIA ACCOUNT REQUEST FORM

1. This form should be used to apply for all official Royal Navy social media accounts. This includes corporate accounts (e.g. a Facebook page for a unit) or an individual account (e.g. using your name/job title for a Twitter account).

2. If you have a PRO they must be made aware of this application.

3. More information is available via MOD social media guidance[1].

4. If you have any questions, please speak to your PRO or the RN Comms Digital Team about your application.

5. Your CO should approve the application before sending to the RN Comms Digital Team at NCHQ for consideration[2].

[1] Think before you share online - GOV.UK (www.gov.uk)
[2] NAVYDNS-COMMSDIGITALMAILBOX@mod.gov.uk

Applicant name	
Email address	
Establishment or unit	
Which social media tool is the application for?	
What would the name of the account be?	
What are your objectives for the account?	
Who is your target audience?	
What monitoring will you be doing?	
What conversations do you plan to engage in?	
Which strategic objective(s) does this support?	
Do you have the resource to make regular contributions?	
Please give an indication of how often you would post.	
How will you measure the success of this account?	
Are there are risks to opening this account?	
Is the management of this account included in your crisis handling plan?	
PRO or CO approval (and comment if appropriate)	
RN digital team comment & decision	

ANNEX 21O

FRAUD AND IRREGULARITY

1. The law against fraud and irregularity is shaped by two key pieces of legislation, the Fraud Act 2006 and the Bribery Act 2010.

a. **The Fraud Act 2006.** The Fraud Act 2006 created an offence of possession and making or supplying articles for the use of or connection with fraud and provides a statutory definition of the criminal offence of fraud, which is committed in three ways:

(1) Section 2 - Fraud by False Representation.

(2) Section 3 - Fraud by failing to disclose information.

(3) Section 4 - Fraud by abuse of a position of trust.

(4) It is no longer necessary to prove that the victim was deceived, but simply that the fraudster was dishonest by the standards of ordinary honest people and intended to cause loss to another or gain for themselves.

b. **The Bribery Act 2010.** The Bribery Act 2010 consolidates previous anti-corruption legislation and consists of four main offences:

(1) Offering, promising or giving a bribe in order to gain an advantage.

(2) Requesting, agreeing to receive or accepting a bribe.

(3) Bribing a foreign public official.

(4) Failure of a commercial organisation to prevent a bribe being paid or obtain or retain business or a business advantage.

c. Fraud and Irregularity have no place in the Royal Navy. DOs/Tp Cdrs are to ensure that their divisions/troops are aware of the Service's zero tolerance to fraudulent activity and irregularity. They are also to ensure that the tri-Service Hotline and online reporting website are known about, as follows:

(1) Fraud Incident and Irregularity Reporting Unit (FIIRU) Hotline - 0800 161 3665.

(2) Online Reporting - https://knowledge.chris.r.mil.uk/contact/fraud/index.php.

(3) Email - HOCSFD-FIIRUMailbox@mod.uk.

(4) Postal Service - Fraud Incident and Irregularity Reporting Unit, Room 209, Building 1071, MDP HQ Wethersfield, Braintree, Essex, CM7 4AZ.

2. Wrongdoing in the workplace is also taken seriously by the MOD. Individuals who witness wasteful or inefficient practices are encouraged to report them to line managers, or through the chain of command, or to make use of the MOD's suggestion scheme - GEMS[1]. If individuals are unable or unwilling to use these channels, they can report concerns to the MOD's Waste Hotline - contact details for which are as for the FIIRU as above.

[1] GEMS is the Defence-wide staff suggestion scheme that recognises and rewards implemented ideas which benefit the MOD, not just for savings but improvements across the Department.

ANNEX 21P

THE CALDICOTT PRINCIPLES

1. The Caldicott Principles comprise of seven principles subsumed into the NHS confidentiality code of practice. They are intended to protect the personal medical information of individuals and govern how such information can and cannot be used. This is relevant to DOs and all others in the chain of command who may on occasion be exposed to an individual's personal medical situation e.g. circumstances causing a medical downgrading or declaration of pregnancy. DOs are under the same obligations as the medical profession to respect the confidential nature of this information and ensure it is handled correctly.

2. A basic description of the principles is as follows:

a. **Justify the Purpose(s).** Every single proposed use or transfer of patient identifiable information within or from an organisation should be clearly defined and scrutinised, with continuing uses regularly reviewed, by an appropriate guardian.

b. **Don't Use Patient Identifiable Information Unless it is Necessary.** Patient identifiable information items should not be included unless it is essential for the specified purpose(s) of that flow. The need for patients to be identified should be considered at each stage of satisfying the purpose(s).

c. **Use the Minimum Necessary Patient Identifiable Information.** Where use of patient identifiable information is considered to be essential, the inclusion of each individual item of information should be considered and justified so that the minimum amount of identifiable information is transferred or accessible as is necessary for a given function to be carried out.

d. **Access to Patient Identifiable Information should be on a Strict Need-to-Know Basis.** Only those individuals who need access to patient identifiable information should have access to it, and they should only have access to the information items that they need to see. This may mean introducing access controls or splitting information flows where one information flow is used for several purposes.

e. **Everyone with Access to Patient Identifiable Information should be Aware of Their Responsibilities.** Action should be taken to ensure that those handling patient identifiable information (both clinical and non-clinical staff) are made fully aware of their responsibilities and obligations to respect patient confidentiality.

f. **Understand and Comply with the Law.** Every use of patient identifiable information must be lawful. Someone in each organisation handling patient information should be responsible for ensuring that the organisation complies with legal requirements (i.e. unit MO or senior medical rating).

g. **The Duty to Share Information can be as Important as the Duty to Protect Patient Confidentiality.** Professionals should, in the patient's interest, share information within this framework. Official policies should support them doing so (hence the need and right on occasion for Chain of Command/DO to be informed).

ANNEX 21Q

DIVISIONAL FINANCIAL COUNSELLING

1. It is of extreme importance that all Royal Navy personnel develop a responsible attitude to financial matters from early in their careers. (DOs/Tp Cdrs are not expected to have the financial knowledge acquired by professional training and experience (DOs/Tp Cdrs cannot, by law, provide financial or debt advice), but they should be able to discuss the options and signpost sources available to get that advice, a number of which are listed below. If more detailed guidance is required, it can be obtained via agencies and supporting organisations detailed in Chapter 24 or unit Logistics/Imprest Officers.

2. Financial counselling is complicated by a number of factors:

a. DOs/Tp Cdrs have little or no financial training.

b. Financial problems are invariably unique to the individual concerned.

c. People with financial problems are usually reluctant to talk about them, or even admit to them.

d. The DO/Tp Cdr may feel that an individual's privacy is being invaded.

e. Agencies outside the Royal Navy are invariably involved.

3. Aim of Financial Counselling

It should be remembered that the vast majority of Royal Navy personnel handle their financial affairs efficiently. The aims of financial counselling should be:

a. To maintain the high success rate of personnel managing their financial affairs effectively.

b. To prevent those facing financial difficulties becoming a debt crisis.

c. Signposting personnel to professional regulated debt counselling organisations, whilst ensuring that they are fully aware of the Service implications.

4. The Divisional Officer should be able to give basic guidance on the following:

a. Basic budgeting.

b. Pay and Allowances.

5. The DO is also likely to be involved whenever someone in their division requests and has EPICs denied, is unable to pay their debts or has a maintenance order made against them.

6. It is a strong indication that a Service Person is in debt crisis if:

a. They are struggling to pay basic outgoings, e.g. mortgage, rent, energy bills and credit card minimum payments, and/or

b. Their debts (excluding their mortgage) exceeds a year's income after tax.

7. To help the DO there are various charities which are able to provide financial assistance to members of the Royal Navy on an individual merit basis (see Chapter 32). Further advice and information is available from the following:

a. **The Logistics/Imprest Officer.** In any case of debt/financial irresponsibility the Logistics/Imprest Officer should be informed; they will invariably be able to advise the DO/Tp Cdr and the individual on how best to proceed.

b. **RN Family and People Support (RN FPS).** Debt is not purely a financial issue. It can be a cause or consequence of many external factors such as health, employment, family or housing problems etc. Money worries can break up families, adversely affect confidence, damage morale, cause mental health issues and even lead to suicide. The RN FPS portal (Tel: 0800 145 6088) is able to advise confidentially on how best to cope with a debt crisis and also hold information on professional debt counselling organisations and Naval Charities which are able to assist (RN staff are not authorised to provide debt counselling/advice).

c. **StepChange Debt Charity.** StepChange is the UK's leading debt charity. Every year, StepChange helps thousands of people overcome their debt problems. Through a telephone debt helpline, and online Debt Remedy tool, StepChange provides free and effective debt advice, and practical solutions, to help those struggling with the stress and worry of problem debt. StepChange can be accessed on Tel: 0800 1381111 or www.stepchange.org.

d. **National Debtline.** National Debtline is an independent charity, dedicated to providing free debt advice by phone and online to people across the UK. They provide expert debt advisers who are supportive and trained to a high standard. They can be accessed on Tel: 0808 808 4000 or www.nationaldebtline.org.

e. **SAIL.** SAIL is the only Citizens Advice Bureau service for seafarers (including the Royal Navy) and their families. They provide specialist telephone advice to seafarers, their families and dependants on a wide range of issues including:

(1) Benefits.

(2) Charity grants.

(3) Debt.

(4) Employment.

(5) Housing.

(6) Pensions.

SAIL can be accessed on Tel: 0800 160 1842 or http://sailine.org.uk/

f. **The Consumer Financial Education Body (CFEB).** The CFEB was established as a result of The Financial Services Act 1997. The CFEB is an independent body which provides and delivers financial briefings on request, its primary remit being to enhance the public's understanding and knowledge of financial matters and to improve individual's ability to manage their financial affairs. For personal advice, the CFEB's services may be enlisted via its website www.cfebuk.org.uk

g. **The White Ensign Association.** The White Ensign Association is a charitable organisation, officially recognised by the Admiralty Board, which provides an impartial advisory service on financial matters to serving and retired officers and ratings. It offers one-to-one guidance and referrals in all matters of personal finance, second careers, business start-up, personal administration and any general welfare issue. Requests for advice should be made either in writing to the Secretary of the Association, The White Ensign Association, HMS BELFAST, Tooley St, LONDON SE1 2JH Tel: +44 738 4575 598 or email office@whiteensign.co.uk. Full information is available at www.whiteensign.co.uk.

h. **Divisional Meetings.** DOs/Tp Cdrs should consider introducing financial affairs as a topic for discussion at Divisional Meetings. Warnings about the dangers of payday loans, 'loan sharks', door-to-door insurance sales, easy credit and HP agreements and the safe use of credit cards and cash point machines should be emphasised.

8. Financial Irresponsibility

a. Although an individual's financial affairs are their own responsibility (BRd 2 (KRRN) Article 3616), allowance is made for concerned interest to be shown by Divisional Officers. At the initial joining interview, DOs/Tp Cdrs should attempt to establish whether an individual is in debt crisis (see para 6) or struggling to service their debts and, if so, the total debt sum involved and monthly repayment rate. When, on this or any other occasion, an individual's debts give cause for concern, the DO/Tp Cdr will find it useful to encourage them to prepare a list of commitments, using the proforma at Appendix 1 as a guide. When total debts, plus mortgage, etc. approach or exceed 50% of the individual's income, they should strongly be advised not to incur further loans or hire purchase commitments. DOs/Tp Cdrs should report serious financial problems to Navy PSyA before they get out of control or raise security issues. If an individual has recurring financial difficulties or demonstrates financial irresponsibility then these facts should be recorded on the Appraisal Report, together with recording their attitude to the debt and response to support offered.

b. Experience has shown that, through fear, shame, denial or ignorance, the worst debt offenders do not disclose the full extent of their borrowing. The genuinely financially irresponsible individual is a rare phenomenon; the more usual case is that they have only considered the sum of the monthly payments, not the total outstanding or the amount they are paying in interest. The first indication of a problem arising is often the arrival of a letter from a creditor stating an individual is in arrears with loan repayments. This method of chasing debtors is prescribed by the Consumer Credit Act 1974 and a letter should be sent to the creditor as set out in Appendix 2 to this Annex. Other indicators include the following:

(1) Withdrawal of banking facilities.

(2) Major purchases, e.g. new car, by someone with suspected financial problems.

(3) Requests for Emergency Payments/Advances of Pay without good cause.

(4) Regular borrowing of cash from peers.

c. Should an individual demonstrate an irresponsible or dishonest attitude to personal debts, a warning should be given by the Executive Officer or Commanding Officer that should the individual fail to put their finances in order, application will be made for their Discharge SHORE. In accordance with KRRN Article 3615, any such warning must be recorded on their SJAR to provide evidence to support discharge should this course subsequently become necessary. At this stage, the individual should be urged to seek help from a Professional Debt Adviser.

d. In cases where dishonest intent can be proved, disciplinary action should be taken and early warning for Discharge SHORE given in order that the individual is fully aware of the Service implications if their attitude towards the financial situation fails to improve.

e. The DO/Tp Cdr’s aim must be to educate their people not to overstretch their resources, be able to recognise the warning signs and report any individual who is suspected of financial irresponsibility. A word of caution and advice at the early stage of a problem may bring an individual back on the path of financial responsibility but, if warning signs are ignored an individual can, by extent of their debts, become a major burden to the DO/Tp Cdr and the unit’s administrative resource, and will risk discharge as a consequence.

f. Individuals who have been financially irresponsible must be briefed on the Service implications of their circumstances. There is ultimately the possibility of Discharge SHORE either because the individual is a security risk or they have become an intolerable administrative burden. Failure to resolve financial problems will also affect eligibility for particular assignments (LFS, small ships and retinues) and may result in the individual not being recommended for advancement or promotion. The overriding consideration in such cases is not the debt as such but the individual's attitude towards clearing it.

APPENDIX 1 TO ANNEX 21Q

BREAKDOWN OF MONTHLY FINANCES

1. Income

Basic pay for 30 days (inc. Split Pay and SFA rent)	£	
Child Benefit (calendar month)	£	
Partner's earnings	£	
Other (Maintenance, DSS Benefits, etc).	£	
Total monthly income	£	(A)

Essential Outgoings

Mortgage or Rent	£	
Endowment assurance on Mortgage (if applicable)	£	
Home Contents Insurance	£	
Council Tax	£	
Gas, Coal, Electricity, Water, etc	£	
Life Insurance	£	
Food and Household requirements	£	
Telephone	£	
Car expenses OR Fares to work	£	
Clothing allowance	£	
School dinners and/or Nursery/Child Minder Fees	£	
TV Licence and Rental	£	
Any Maintenance or Court Orders	£	
Miscellaneous: emergencies, cigarettes, etc.	£	
Total essential outgoings	£	(B)
Balance remaining for Creditors (A-B)	£	(C)

Creditor(s)	Balance Outstanding	Current Payment
1.	£	£
2.	£	£
3.	£	£
4.	£	£
5.	£	£
6.	£	£
7.	£	£
8.	£	£
9.	£	£
10.	£	£

Total balance outstanding £ _____

Total monthly payments £ _____(E)

Credit or Debit Balance (C-E) £ _____(F)

2. Declaration

I certify that this is a true and accurate statement of my finances as they stand to date.

..... Signed

..... Rank/Rate

..... Name

..... Date

Cigarettes and entertainment should be allowed for, or the family may spend the money allocated for something else.

If there is a Debit Balance (F) the services of an Independent Financial Adviser, or one of the agencies listed at Annex 21Q Para 7, should be sought without delay.

APPENDIX 2 TO ANNEX 21Q

RESPONSE TO CREDITORS WHO REQUEST ASSISTANCE FROM COMMANDING OFFICERS IN THE COLLECTION OF DEBTS

Dear [Name]

It is policy that an individual's personal debts remain their own responsibility and I am therefore unable to offer you assistance in recovering the alleged debt owing to you. I am content to forward a letter to [*name*] on your behalf. The letter should be sealed, marked with the addressees name, rank/rate and service number and forwarded to this office quoting this letter. Otherwise I am only able to provide the Service address of [*name*] to a solicitor acting on your behalf for service of process upon receipt of that solicitor's written undertaking that the address will be used solely for this purpose and will not be revealed to any third party, including their client.

Yours faithfully

Note. *With the individual's agreement, a copy of this letter and the request form from the creditor should be sent to the local Consumer Protection Officer. Information about this type of harassment is regularly passed to the Office of Fair Trading, which monitors the activities of all licensed credit companies.*

ANNEX 21R

STRUCTURED INTERVIEW FOR CHANGING PERSONAL STATUS CATEGORY FROM C1

References: BRd 3(1) Chapter 24, Para 2419 and JSP 752

You are seeking a change of Personal Status Category. In order for the CO to consider your request, there are a number of questions or points of clarification, which we need to go through. Your responses may indicate that further help or support from other agencies may be appropriate and this will be discussed with you. If you do not wish to consider these questions that is your right but many find this to be a helpful aid.

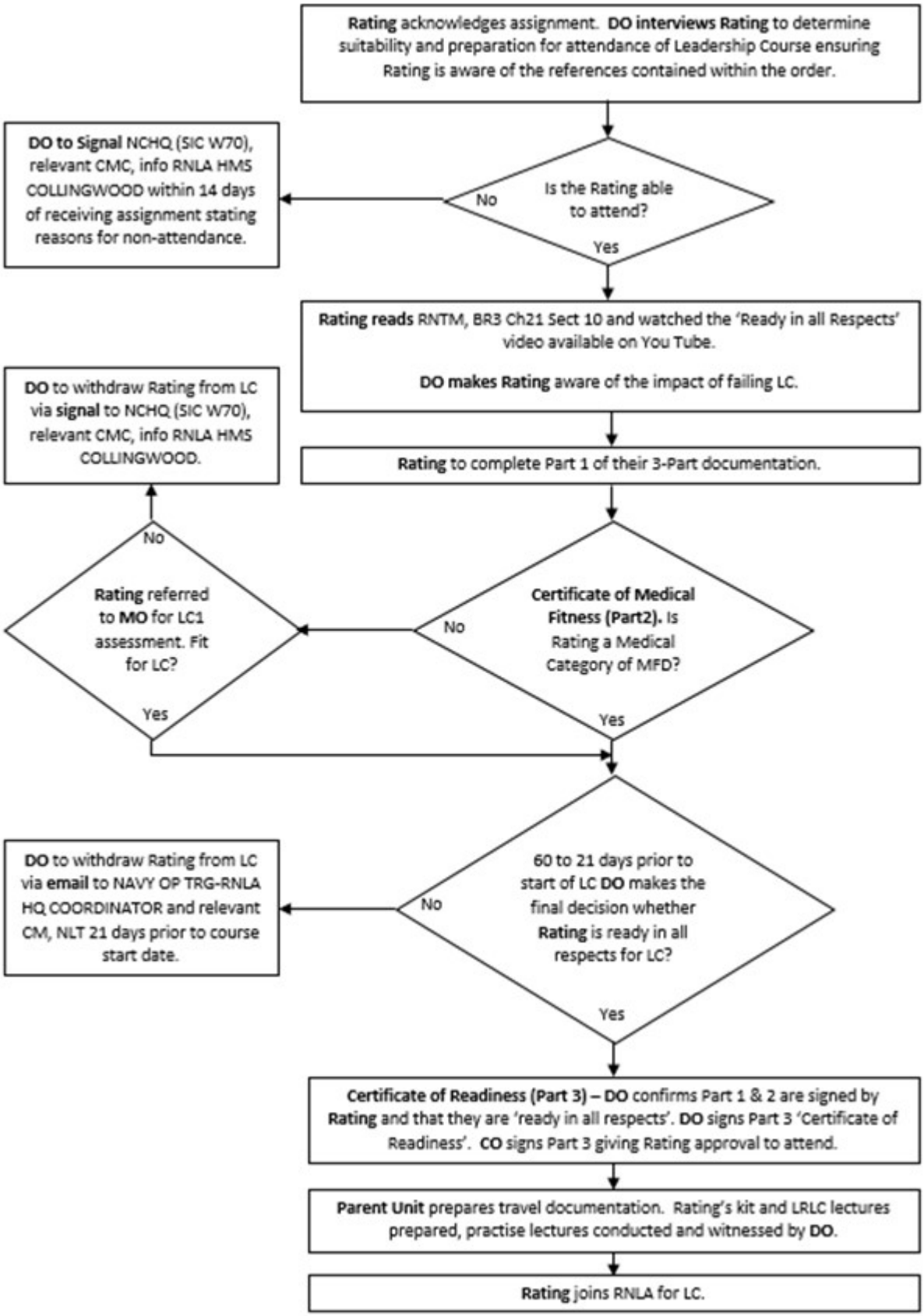
Question	Response
Q1. How long is it since you felt your marital relationship or civil partnership has significantly deteriorated to the extent you want to end it?	
Q2. Is that view shared by your spouse /civil partner?	
Q3. Have you or your spouse/civil partner (or both of you) singly or jointly sought any professional help or advice with the difficulties you have had living together (e.g. Relate, RNRMW or other support agency).	
Q4. If NO to Q3: Do you believe that with such help or support, you could reconcile your differences and make a fresh start even now? If YES: Make steps to refer to RN FPS.	
Q5. If YES to Q3: When was this and what was the outcome (i.e. did things improve at all)?	
Q6. Have you read the SSAFA booklet 'A guide to help Service families during Relationship Breakdown'? Has your spouse/civil partner read the booklet? (Available from RN FPS)	
Q7. Do you have any children from the relationship?	

Question	Response
Q8. If YES: Have you considered the impact of your total separation on them? If YES: What steps have you considered for them?	
Q9. Services exist to help parents that intend to separate, with issues relating to the children (e.g. Mediation). Are you aware of them or would you like details? (Available via RN FPS/SAFAB/CAB)	
Q10. What legal and financial advice have you taken?	
What do you believe are your continuing financial responsibilities for your family?	
What is your knowledge of the CSA, who might take action if necessary?	
Q11. Is your spouse/civil partner in SFA or your own accommodation?	
Q12. If SFA: The UPO will advise DE of your change of circumstances. Are you aware of the timeframes (93 days) for being an Irregular Occupant and is your spouse/civil partner aware of the implications?	
What plans do they have?	
Q13. Would you (or your spouse/civil partner) like an appointment to see or talk to RN FPS prior to this final change of your marital category?	

Any other issues not covered above:

ANNEX 21S

ATTENDANCE ON LEADERSHIP COURSE - FLOW CHART FOR DIVISIONAL OFFICERS



ANNEX 21T

THE KOLB LEARNING CYCLE

1. Professor David Kolb's model of experiential learning[1] describes the stages of an individual's learning as a cycle. In Kolb's model, learning happens within the learner, and:

a. is an unending process, not a result.

b. involves re-learning, again and again.

c. requires resolving conflicts of ideas.

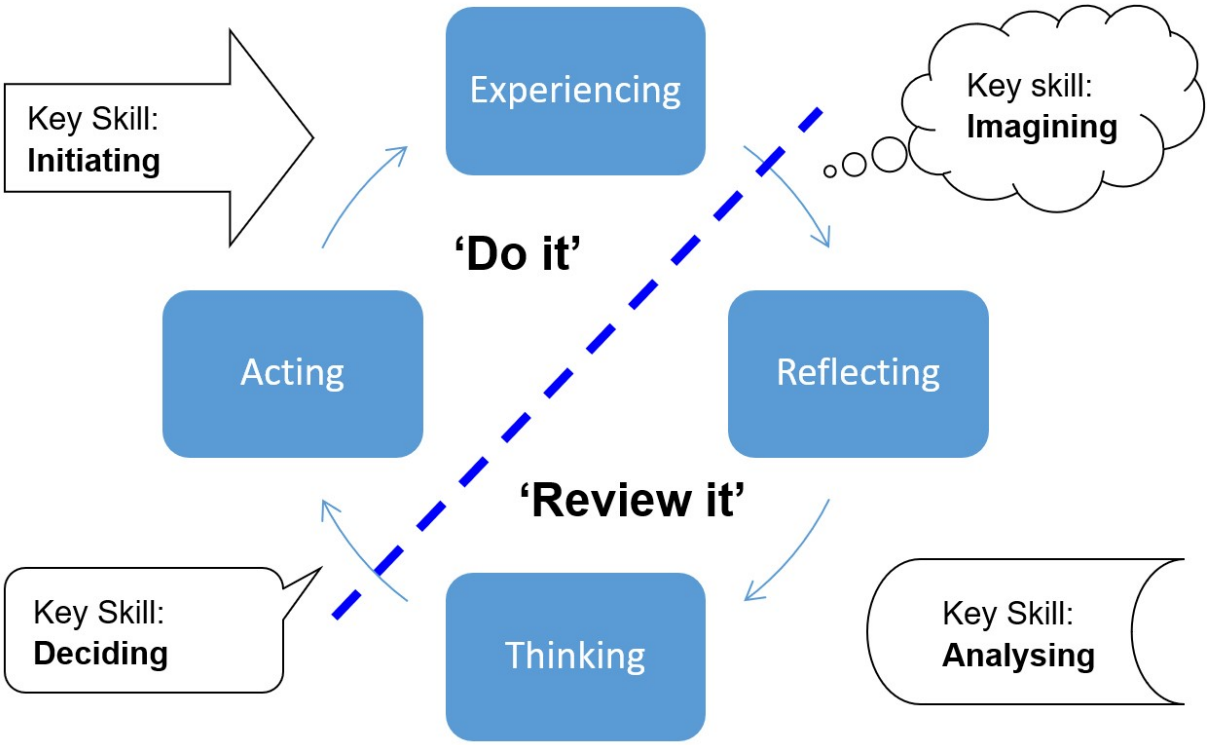
d. is adaptation to the world.

e. results from interactions between the person and the environment.

f. is the process of creating knowledge.

2. The learning cycle is outlined in the diagram below:

Figure 21T-1. KOLB Learning Cycle



3. To learn, a person must progress around the cycle. To learn deeply, to develop expertise, and to become a proficient and consistent performer, many cycles are necessary.

[1] Kolb, A. Kolb, D. Passarelli, A. Sharma, G. (2014) *On becoming an Experiential Educator: The Educator Role Profile.* Simulation and Gaming, 45(2), p. 204-234.

4. Preferred Learning Styles

Individuals tend to prefer one, or sometimes two, of the stages of the cycle and this tends to determine how they approach learning (and often any teaching they do too); some people like to dive straight in, others prefer to consider and plan first. However, for learning to occur, all stages of the cycle are important; it is therefore worthwhile for individuals to develop and practice all the key skills to improve their capacity to learn.

5. Helping Others to Learn

As learning happens within the learner, the most common pitfall for a well-intentioned person helping someone else to learn is to do too much for them: let the learner learn. It can be difficult and sometimes very frustrating for an expert to watch a novice struggle with something they know how to do with ease. However, the struggle is part of the learning: mistakes can be valuable learning events.

6. Impatience with a Learner

Impatience with a learner makes their learning more difficult as they must deal with both their own difficulties with the knowledge or skill as they progress around the learning cycle, and also the helper's well-meant interference. A learner will usually be concentrating hard so giving a series of instructions will tend to distract or confuse them. Taking over or getting involved in what they are doing can be highly de-motivating so should be avoided unless they are unsafe or are likely to cause intolerable damage. As a guiding principle, do the minimum possible to help the learner notice and figure out where they are going wrong, and change what they are doing to be more effective. It will take patience in the short term but the total time for the learner to become proficient will be less.

7. To really give valuable help, aim to guide, support and, if necessary, challenge the learner so that they progress around the learning cycle: create conditions that support learning and let the learner put in the necessary efforts.

8. When someone is struggling to learn, it is very easy to assume they are not trying hard enough; often (although not always) trying too hard can be the cause of the problem for a learner. There will be a reason behind any prolonged difficulty, but appropriate help can only be given if that reason is accurately established: find out. The simplest approach is to ask the learner about what they are doing, and how they are approaching it.

9. Learning in Royal Navy Training

Royal Navy personnel must be prepared to operate in very challenging, time pressured, often dangerous circumstances. The practical aspects ('Do it') of learning within training are therefore often deliberately made very challenging to prepare personnel accordingly. Some 'reflection-in-action' (thinking 'on one's feet') is possible in such circumstances. However, there is also the need to design in sufficient periods of deliberate 'reflection-on-action' so learners can adequately fulfil the 'Review it' aspects of the learning cycle necessary for learning to result from the training activities.

ANNEX 21U

FOUNDATION SKILLS AND BEHAVIOURS FOR COACHING

1. Coaching is defined by the Royal Navy as:

"Unlocking a person's, team's or organisation's potential to maximise their own performance".

Effective coaching causes learning; an essential component of performance improvement.

2. Royal Navy personnel are strongly encouraged to seek regular coaching, as well as developing their ability to coach others; receiving coaching allows a broader perspective on coaching to develop, including having direct experience of the subtle yet important factors that determine how well coaching supports learning.

3. Fundamental Principles of Performance Coaching[1]

Performance coaching should always aim to enable learning. In doing so, it must:

a. Increase learners' level of **awareness** about their situation.

b. Maintain, or increase, learners' sense of **responsibility** for their own learning and performance.

4. Foundation Coaching Skills

a. Four critical foundational skills are necessary for coaching:

(1) Listening.

(2) Observing.

(3) Asking Effective Questions.

(4) Providing Feedback.

b. These skills must be consistently put in to practise, as behaviours, for coaching to have beneficial effects. When used frequently they will become deeply integrated into the service person's character and the leadership approach.

5. Listening

a. A skilled coach will listen far more than they speak.

b. Superficial listening, where a listener hears what is being said but has other thoughts and questions in their mind at the same time, is not sufficient for effective coaching.

[1] Whitmore (2002) *Coaching for Performance: GROWing People, Performance and Purpose*. (3rd Ed) London: Nicholas Brealey Publishing.

c. Active listening, when the listener is engaged in the conversation and giving non-verbal cues to the speaker that they are paying attention. This is better; however if the coach's mind is forming questions, suggestions or recalling their own similar experiences then this will detract from the experience for the other person.

d. Deep listening, with the listener fully engaged while putting aside other thoughts, judgements and suggestions. This allows the other person the best environment to think and find solutions for themselves. The listener will have enough time to think about their next turn to speak when the other person has finished speaking; they will usually find that the details in what the other person has said (and what they have not said) which they have noticed as a result of listening deeply will make their own responses relatively easy and natural. Deep listening is a powerful way to quickly build rapport between people.

6. Observing

Observing may be split into two types:

a. Observing others' performance **in action** ('*Do it'* phase of the learning cycle):

(1) Make notes/records as appropriate.

(2) Focus on facts and details (what happened, when, how).

(3) Acknowledge that 'I am not able to observe everything'.

b. Observing others as they reflect, analyse, think and decide **after action** ('*Review it'* phase of the learning cycle).

(1) Give enough time and space for the learner to think.

(2) Watch the learner carefully for any physiological changes or reactions.

(3) Notice the words and types of language used when the learner speaks.

7. Asking Effective Questions

"A question works because, unlike a statement which requires you to obey, a question requires you to think. The mind seems to prefer to think, not to obey. In true emergencies like fires, shipwrecks and haemorrhages, the human mind obeys happily enough. But in ordinary life the mind wants to think for itself. It resists commands. It responds to questions." (Nancy Kline[2])

a. **Structuring Questions.**

(1) Ask only one question at a time.

(2) Begin with the 'question word' (i.e. What/How/Why/Where/Who…).

[2] Kline, N. (1999) *Time to Think: Listening to ignite the human mind*. London: Octopus Publishing Group.

(3) Keep the question as simple and clear as possible.

(4) Give time for the other person to think before they respond.

b. **Sequencing Questions.** The order and sequence of questions matters; using an appropriate order of question words helps to build rapport between coach and learner. The order of questioning can be aligned with the stages of the learning cycle, as shown in the table below.

c. Sample questions use 'X' or 'Y' for topic information; where the learner has spoken about the topic it is usually most effective to use the same form of words as the learner did.

d. Do not ask a question unless you are willing to give a learner sufficient time to think and to then listen to their answer.

Table 21U-1. Sequencing Questions

Stage of Learning Cycle	Useful Question	Elicits from Learner	Purpose
Reflecting (Imagining)	What happened? …What else? …Then what…?	Sequence of events.	Recalls the experience; begins to place events and actions in an order.
	Tell me more about X.	Details about a specific event or action.	Focuses attention on a specific event or action.
	Where were you when X happened? …Where was person X? …Where was object X?	Details about locations of people or objects.	Focuses attention on locations of people and objects.
	Who did X? …Who else was available?	Details about what people did.	Focuses attention on roles and actions of people.

Stage of Learning Cycle	Useful Question	Elicits from Learner	Purpose
Thinking (Analysing)	How did X happen?	Description of sequence of events. Some cause and effect.	Focuses attention on cause and effect.
	How did X cause Y?	Details of cause and effect between specified events.	Encourages analysis of cause and effect in the experience.
	How should X happen?	Theory of desirable process / actions / causes and effects.	Focuses attention on theory relevant to the experience.
	How is X related to Y?	Theory of cause and effect between specified events or entities.	Focuses attention on underlying theory or relationships relevant to the experience.
	Why does X result in Y?	Underlying theory of relationship between entities.	Focuses attention on underlying theory relevant to the experience.
	Why is X important?	Identifies role of an event or entity.	Focuses attention on consequences of a relevant event or entity and encourages learner to relate it to the experience.
	Why did you decide to do X in the way you did?	Explanation of thought process and specific decision.	Encourages learner to examine their own thinking and decisions.
	What could you do differently that would lead to a better result?	Alternative options for the future.	Encourages learner to consider alternative ways to think, decide or act.
	What changes would have the most significant effect on the result?	Comparison of effects of different options.	Encourages learner to consider priorities for developing their thinking, decisions or actions.

Stage of Learning Cycle	Useful Question	Elicits from Learner	Purpose
Acting (Deciding)	What will you do in the same way next time?	Commitment to continue to apply effective actions/behaviours.	Learner explains their plan for improved performance and takes responsibility for carrying it out.
	What will you do differently next time?	Commitment to apply different actions/behaviours to improve future outcomes.	Learner explains their plan for improved performance and takes responsibility for carrying it out.
	What else are you going to do that will improve the result next time?	Commitment to take broader actions or adopt new behaviours to improve future outcomes.	Learner explains their plan for improved performance and takes responsibility for carrying it out.
	What support or help will you need? ...from whom? ...how will you arrange that?	Consideration of resources, support and help that may be needed. Consideration of how to get access to them.	Learner makes sure their plan is realistic and workable.
Experiencing (Initiating)	How will you let me know what happens?	Commitment to update coach on the outcomes.	Increases learner's responsibility to carry out their plan. Gives coach feedback on results of their coaching.
	How committed to this plan are you? ...what would increase that commitment?	Assessment of their own commitment level. Explanation of how to increase it (if needed).	Opportunity to remove or reduce learner's own barriers. Increases learner's responsibility to carry out their plan.
	How will you ensure you carry out your plan?	Explanation of what the learner will do to ensure the plan is carried out.	Clarifies any necessary steps the learner may need to take. Increases learner's responsibility to carry out their plan.

8. Providing Feedback

Feedback may be split into two types:

a. Feedback on others' performance in action ('Do it' phase of the learning cycle):

(1) Make feedback short and precise.

(2) Draw the learner's attention to the one most important detail of the situation they are in.

(3) Give the learner the chance to react to the feedback before giving any more.

b. Feedback to others as they reflect, analyse, think and decide after action ('Review it' phase of the learning cycle).

Use the Effective Debrief/Feedback model.

ANNEX 21V

COACHING USING THE GROW MODEL

1. Background

GROW is a well-known coaching model that has been adopted by the Royal Navy in order to empower personnel to achieve their potential. It works by providing a structure to help a coach guide a coachee around the learning cycle and can be used just as effectively with individuals and teams alike; as with any coaching intervention, it relies on the coach asking effective questions and listening, with the coachee doing the majority of the talking. It is a useful tool in any situation where there is a need for development of the coachee, including during training, formal opportunities such as MPAR, and informal opportunities, such as a quick chat as the opportunity arises. GROW is an acronym for Goal, Reality, Options, Will. The example of preparing a rating for Leading Rates Leadership Course is used in the following guide.

2. Grow Model

a. **Goal.** The aim of this part is to establish what the requirement is. This may be a goal that has been set by the coach or by the coachee(s). It is essential that the goal is SMART:

(1) **Specific.** Both parties know exactly what needs to be achieved;

(2) **Measurable.** It is clear when it has been achieved;

(3) **Achievable.** It has to be achievable or the individual/team can become demoralised[1];

(4) **Relevant.** Both to the organisation and for the individual's development;

(5) **Time-bound.** Both parties are clear as to when the goal should be achieved by.

b. Setting the goal may take time; however, it is a worthwhile investment as it clarifies and focuses the intent. Without a clear goal, progress will be very difficult for the coachee. Setting a goal can be done through a series of questions, such as those shown below:

(1) **What do you want to achieve?** *I want to fully prepare for my forthcoming LRLC, which is in three months' time*.

(2) **What do you think you need to do?** *I need to prepare physically as I will need to pass my RNPES on Day One.*

(3) **How will you go about that?** *I could start lunch time circuits and I could approach the LPT to ask about a training programme.*

[1] This may require a goal being split into smaller goals to make it achievable. Initially preparing a 7 min presentation is less daunting than preparing both the 7min and 15 min presentations.

c. Ensure there is sufficient reason and motivation by asking questions that will affirm the importance of the goal to the individual:

(1) **What will this do for you?** *I keep to the programme that is provided as I need to pass LRLC for promotion.*

(2) **What will happen when you have achieved your goal?** *I will be ready in all respects for promotion.*

3. Reality

Reality establishes the current situation, and is necessary because the options will be dependent on where the coachee starts from. Having established the reality, it might be necessary to revisit and modify the goal. The reality is stated mostly by the individual, the coach may also need to point out some facts using questions such as the following:

a. **What are you doing that's helping you at the moment?** *I have begun to work on my presentations. I have two subjects and I am now preparing the Power Point slides.*

b. **What are you doing that's not helping you at the moment?** Answering this question takes a lot of trust because it's difficult for people to admit their faults and failings, but for progress to be made, the truth needs to come out, whatever it is. For LRLC there are possible issues such as fitness, uniform, a lack of confidence in speaking in public and lacking confidence in taking charge of a small team.

4. Options

This part explores all the options to move from the current situation (**Reality**) to achieve the Goal. The options should come from the individual, however, the coach may have more experience in the area, and therefore may also be able to offer further options. Questions used may include the following:

a. What could you do?

b. What else?

c. Have you thought of X as an option?

5. Will

This is where the coachee decides what they will do. It is very important, especially if they decide to take an option suggested by the coach, that they are empowered to choose the option that is the best for them. The following questions can be used to elicit the information:

a. **What are you going to do?**

b. **What will happen if you do this?**

c. **How are you going to stick to this plan?**

d. **What help will you need to achieve it?**

e. **When will you do this? (date/time bound)**

At this point, if it will help, a contract can be signed, or a note made, either formally or informally, as a record of what has been agreed.

6. Summary

Coaching with GROW may take longer than employing the traditional ‘tell’ style, however, the marked increase in ownership of the goal by the individual increases motivation and ensures that it is far more likely to result in success, and for such success to be achieved more efficiently than when the ‘tell’ style is employed. This is not, of course, to say that we should not tell people what to do; on the contrary, and especially in a disciplined force such as the Royal Navy, obeying orders is a primary requirement. It is, however, the case that telling is not always the most effective way to get the job done.

ANNEX 21W

EFFECTIVE DEBRIEF/FEEDBACK

1. The most effective way to learn is by progressing through the learning cycle. The Royal Navy gives personnel experience in real workplaces and also routinely carries out practical exercises which give personnel relevant experience and opportunities to practise skills (*'Do it'*). To ensure lessons are learned, an effective debrief should take place at every learning opportunity (*'Review it'*). This includes activities in training, and other levels of activity where there is room for improvement e.g. conducting an MPAR, organising an event, leading a working party, or producing a piece of project work. This is just as effective for individuals as it is for teams.

2. For the debrief to be effective, the person giving it must always adopt a coaching role, which means allowing the individual (or the team, focussed through a chosen individual), to do the vast majority of the talking. This process may initially take longer than a directive or 'tell' style of debrief, however, once the coach and the coachee are used to it, it can happen very quickly. Even if it does take longer than a 'tell' debrief, the far superior effectiveness makes it is much more efficient overall as people are being given the opportunity to learn.

3. Effective debrief is achieved by asking the following questions.

a. **How do you think that went?** Beginning with an open question that has no positive or negative terminology within the phrasing allows the individual to self-reflect on the whole situation in the first instance.

b. **What went well?** Allow sufficient time to reflect, think and analyse and encourage the coachee(s) to take credit for what they did well.

(1) Acknowledge their successes if you agree with them.

(2) If you believe they've missed something, prompt with a question such as: **How do you think X went?**

(3) If you disagree with their judgment of what went well, prompt them to reconsider, with a question such as: **You say X went well, what about when Y happened?**

(4) **As a last resort**, tell them, however, this is by far the least effective way to learn so should be avoided if it is possible to draw out the answer with effective questions.

c. **What didn't go as well as you'd have liked[1]?** Again, allow time to reflect, think and analyse. Allow and encourage the coachee(s) to answer you honestly, as the most valuable lessons can be learned with this question.

(1) Acknowledge if you agree.

(2) If you believe they've missed something, prompt with a question such as: **How do you think X went?** This will:

(3) Either remind them of another area that didn't go well, in which case, let them discuss it.

(4) Or be met with a blank look! If this happens, it is likely that they really didn't know this part of the activity hadn't gone well, in which case the coach needs to explain what didn't go well.

d. **If you were to do X again, or, better still, Next time you do X, what will you do differently to ensure it goes better?** This allows for mental rehearsal to ensure that mistakes are rectified and for decisions to be made about how to act in the future; it is the most important part of the debrief. Ensure the coachee(s) state exactly how they are going to ensure success for every part of the task that was mentioned in the second question.

[1] Do not limit this to the top three mistakes!. The brain is very powerful and can deal with all the mistakes if given the chance.