

## CHAPTER 1

### PEOPLE MANAGEMENT ORGANISATION AND STRATEGY

Sponsor: Hd NPS COS

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## CHAPTER 1

## PERSONNEL MANAGEMENT ORGANISATION AND STRATEGY



**Note.** *The contents of this chapter will be revised once the Navy Transformation initiative has achieved Full Operational Capability, which is expected to take place on 1 Apr 22.*

## SECTION 1 - HIGH LEVEL ORGANISATION

## 0101. Introduction

a. **Naval Personnel Policy.** The detailed Regulations, policies and doctrine that govern the management of Naval Service Personnel are issued in official publications, including Joint Service Publications (JSPs) and Naval Books of Reference (BRs). These are subject to regular formal amendment and, in the shorter term, to update through a variety of Notices and Temporary Memoranda, including Defence Information Notices (DINs) and Royal Naval Temporary Memoranda (RNTMs).



**Note.** *Throughout this publication, “Naval” refers to the Naval Service, comprising the Royal Navy (including QARNNS and Chaplains), Royal Marines, Maritime Reserves and the Naval Careers Service.*

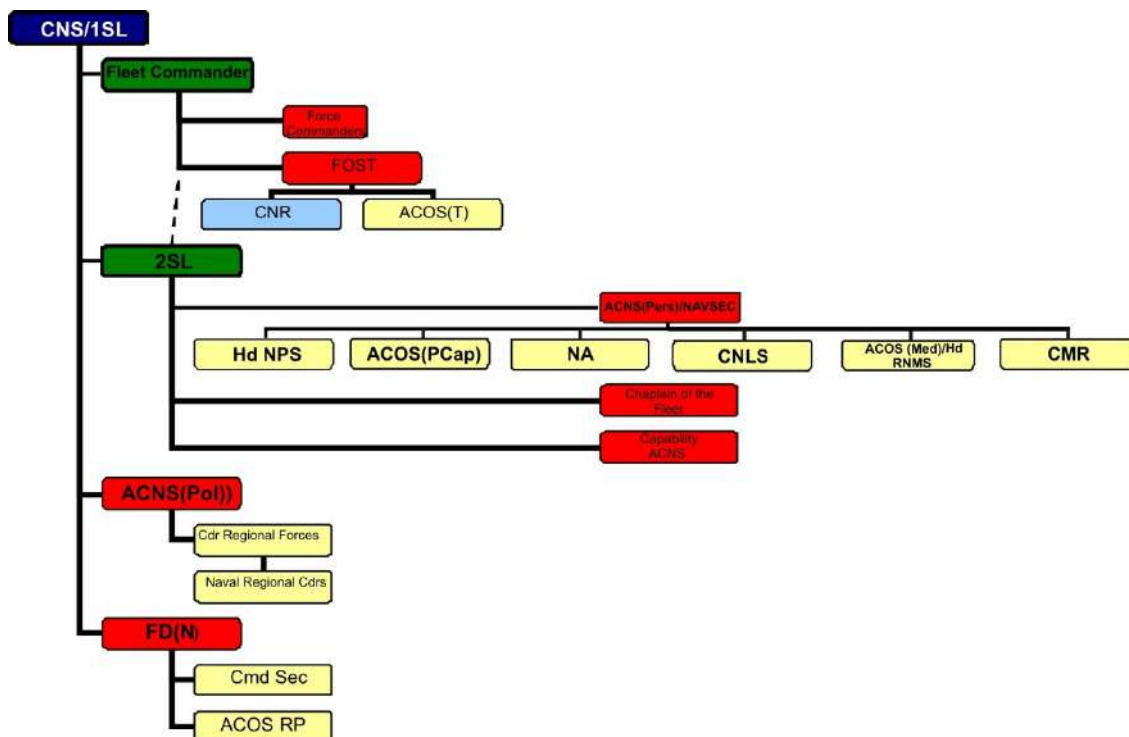
- b. **Naval Personnel BRs.** This publication – Naval Personnel Management (BRd 3) – is the key single Service source of reference for current Naval personnel strategy, policy and doctrine. It replaced a number of previous BRs and associated publications. It refers to other extant prime sources of information as appropriate.
- c. **Data and JPA.** Information on Freedom of Information is at [Para 0108](#), on Data Protection is at [Para 0109](#) and on JPA is at [Para 0110](#).
- d. **Armed Forces Covenant.** Information on the Armed Forces Covenant is at [Para 0111](#).
- e. **Change.** Regulations, policies and processes are subject to continuous improvement. As the Naval Service changes to meet new operational challenges (through the changing world environment and through acquisition of new classes of ships, submarines and aircraft and supporting capability), and re-organises shore support (through organisational and estate rationalisation and new training requirements), there is a need to ensure that personnel policies remain coherent with these changes.
- f. **Organisation and Processes.** This Chapter explains firstly the organisation by which policy for the management of Naval personnel is delivered and developed. It then outlines the processes by which this organisation achieves its purposes.

**0102. Personnel Management Organisation**

a. **Ministry of Defence (MoD).** The Chief of Defence People (CDP) organisation, encompassing management of Service personnel, Civil Servants and contractors, is replacing previous stovepiped structures that included Deputy Chief of the Defence Staff (Personnel and Training) (DCDS(Pers and Trg)). CDP, as the Service personnel process owner, is the MoD authority dedicated to leading the Service Personnel organisation.

b. **Organisational Structure.** The principal areas conducting personnel management business in the Naval Service are shown in the organisational chart at [Figure 1-1](#). Other areas of the overall structure have been omitted. More detail is available in the Navy Command Operating Model (NCOM) v.3 and is briefly summarised in the subsequent paragraphs.

**Figure 1-1. Naval Personnel Management Organisation**



c. **First Sea Lord (1SL).** 1SL, who is also Chief of the Naval Staff (CNS), is head of the Naval Service and the Naval Top Level Budget (TLB) holder.

d. **Fleet Commander.** Responsible for the Generate and Operate functions under the new DOM. The Fleet Commander exercises Full Command (delegated by 1SL) of all Fleet Units, Battlestuffs, the Royal Fleet Auxiliary, Fleet Air Arm (including aviation Force Elements (Fes)) and Royal Marines with the aim of ensuring the generation of RN units for task in accordance with the Command Plan, and for the operational effectiveness and efficiency of the RN. As Deputy Chief of Naval Staff (DCNS), Fleet Commander also supports 1SL in the delivery of his intent, the Navy Board Headmark and Future Navy Vision.

- e. **Second Sea Lord (2SL)**. Responsible for the Develop and Deliver functions under the new DOM and the totality of Capability Management, 2SL is in charge of all aspects of RN capability covering all Programmes, ICSM and DLODS. 2SL leads the Strategic Headquarters of the Royal Navy. 2SL is also the Royal Navy's Principal Personnel Officer (PPO), responsible for maintaining the Moral Component of the Service now and in the future.
- f. **Heads of Branch, Specialisation and Fighting Arm**. Details of these specialist positions are at Para 6025 and Para 6026.
- g. **Assistant Chief of Naval Staff (Personnel)/Naval Secretary (ACNS(Pers)/NavSec)**. ACNS(Pers)/NavSec is Deputy PPO and responsible for shaping and directing policy for generating Naval personnel, the Navy Command People Sub-Portfolio, and for personnel provision. NavSec oversees the career management of all Naval personnel and is responsible to 1SL for all matters relating to Flag Officers' assignments. ACNS(Pers) is responsible for helping meet the Fleet's priorities for the personnel component of operational capability and directs the management of the Maritime Reserves. Under ACNS(Pers), the following positions are key:
- (1) **Head of Naval People Strategy (Hd NPS)**. Hd NPS is responsible for defining personnel strategy, setting the supporting policy and directing the associated research and concept development. Hd NPS oversees the Naval Strategy for People (NSP), manages the Navy Command People Sub-Portfolio on behalf of NavSec and is responsible for people policy and strategy and its delivery, including People Programmes, Pay, Allowances, Pensions, Job Evaluation, People Support (including specialist welfare and PDev), Employment Policy, Management of personnel Information, Diversity and Inclusion, and people-related Research.
  - (2) **ACOS People Capability (ACOS(PCap))**. ACOS(PCap) is responsible for the full gamut of people planning and delivery. People planning incorporates Establishments' Administration (see Chapter 2), Strategic Workforce Planning (see Chapter 3) and Branch Management (see Chapter 62). People delivery includes Career Management, assignment, promotion, selection for further service and specialist welfare of all Naval Service Officers below Captain RN/ Colonel RM, and all Royal Naval Ratings and Royal Marines Other Ranks. These duties are discharged by the Naval Personnel Teams which are organised by branch (Warfare, Engineering, Logistics/Medical, Royal Marines, RFA and Reserves), headed by DACOS Career Management at OF5 rank. Delivery also involves personnel deployment issues concerning the Naval Reserves, Force Generation, Augmentation and Crisis Management (see [Para 0113](#)).

- (3) **Captain Naval Legal Services (CNLS)**. CNLS is responsible for the development, co-ordination and organisation of legal services within the Naval Service to ensure the provision of timely, accurate and appropriate legal advice. CNLS's core tasks are: the strategic direction of the Legal sub-specialisation; legal advice and input to the development of Naval and tri-Service policy; support to current operations and to exercises through the provision of deployable legal advisers on request from Fleet Legal Ops; legal advice to individual service personnel; and the oversight and quality assurance validation of training of RN personnel in the law. See [Para 0115](#).
- (4) **Assistant Chief of Staff Medical (ACOS Med)/Head Royal Navy Medical Service (Hd RNMS)**. ACOS Med/Hd RNMS is responsible to NavSec for the provision of the medical component of Royal Naval Operational Capability and for the promotion, protection and restoration of the health of the Royal Naval Service.
- (5) **Commander Maritime Reserves (CMR)**. CMR commands the Maritime Reserve Training Units - and the Volunteer Reserve and Regular Service personnel attached to them - and is responsible for providing a reservist personnel capability to meet Navy Command contingency requirements. See [Para 0117](#).
- (6) **Naval Assistant (NA)**. NA is responsible to NavSec for the Career Management of all Naval Service Officers at OF5 (Captain RN/Colonel RM) and OF6 (Commodore RN/Brigadier RM) levels. NA is also an adviser to the OF5 Sea Appointments Selection Board (SASB), for sea, air and major OC related shore commands and the Military Command Board (MCB) for Colonels RM.
- h. **Assistant Chief of Naval Staff (Policy) (ACNS(Pol))**. ACNS(Pol) exercises a number of key delegated functions, including management of Commander Regional Forces and some tri-Service personnel-related business.
- i. **Finance Director (Navy) (FD(N))**. FD(N) delivers Navy Command resource management, business development, corporate governance, strategic civilian HR, corporate communications, heritage and Department of State business. This includes setting planning requirements, for assessing personnel costs and affordability and for administering information control. See [Para 0114](#).
- j. **Flag Officer Sea Training (FOST)**. FOST is responsible to Fleet Commander for recruiting and the governance and delivery of all individual training for Naval Personnel and platform collective training across the Naval Service responding to command pull from ACNS(Cap), COMOPS and ACNS(Pers)/NAVSEC. See [Para 0115](#).

**0103. Processes**

- a. Key elements of the Naval PPO's outputs are:
  - (1) Deployment of Naval Service personnel in support of current and contingent operations;
  - (2) Maintenance of manning balance and full manning;
  - (3) Delivery of the Navy People Strategy, policies and conditions;
  - (4) Delivery of individual training output.
  
- b. This publication covers all the aims and aspirations in the preceding paragraphs related to Naval personnel, except that it does not cover detail of training delivery. In order to deploy personnel in support of operations, 2SL aims to provide the Naval personnel needed by Fleet Commander and other TLBs to deliver their outputs. To do so, while trying to maintain manning balance, 2SL must provide Naval personnel policies and conditions which sustain the availability of Naval personnel. Each of these activities stimulates tension with the other.
  
- c. There are 6 broad, interacting processes that, together, comprise Naval Personnel Management:
  - (1) Personnel Strategic Policy management;
  - (2) Personnel Planning (including Establishments' Administration);
  - (3) Recruiting;
  - (4) Life Management;
  - (5) Career Management and Branch Management;
  - (6) Individual Training, Education and Resettlement (delivery of training is not covered by BRd 3);
  
- d. These Personnel Management processes can be considered within 3 broad areas:
  - (1) Strategic Policy Management;
  - (2) Management of Positions (the posts that Naval personnel may fill); and,
  - (3) Management of People.
  
- e. An outline explanation of the processes follows, while detail on the management of people and positions is in the specified Parts of this BR.

## SECTION 2 - STRATEGIC POLICY MANAGEMENT

### 0104. Vision, Intent, Guidance and Change

a. **Vision, Intent and Guidance.** Regular issues of Defence and Naval vision, intent and guidance documents provide strategic views of the current and anticipated future position, while also giving top-level indicators of how efforts should be focussed and directed. The Vision for Defence People 2016 states that “Defence Outputs are delivered by the right mix of sufficient, capable and motivated people that appropriately represent the breadth of society we exist to defend, now and in the future.” 1SL, Fleet Commander and 2SL issue their own vision, intent, or guidance documents. The Maritime Strategy 2035 ‘A Return to warfighting at scale’ states “Our people are a pivotal component of Maritime Strategy 2035; the ability to attract and retain the right balance in our workforce is self-evident and remains a near-term challenge. In the longer-term, the Royal Navy must restructure its workforce to meet its operational demand, particularly around warfighting ...”

b. **Defence People Strategy (DPS).** The DPS sets out how the single Services and TLBs will deliver the right mix of capable and motivated people across the Whole Force of Regular and Reserve Service personnel, civil servants, MOD civilians and contractors. It is owned by CDP, who is the Process Owner for Service Personnel and Chairman of the Defence People and Training Board (DPTB). An associated Defence People Plan (DPP), published annually, provides the detailed execution of the strategy, setting out the DPTB’s priorities for action in the succeeding year.

c. **Naval Strategy.** The Maritime Strategy 2035 provides a policy framework and coherent direction to the Royal Navy for development of plans and programmes out to 2035 in order to develop a Navy as part of the Joint Force 2025 that is capable of winning when warfighting at scale and articulates a headmark for 2030 and beyond. The Royal Navy Strategy sits within the Command Plan (CP Pt2) and directs the delivery of the long term aspirations of Defence Policy and Future Navy Vision (FNV) through workforce and financial strategies to be delivered through the NC portfolio.

d. **Navy People Strategy.** Set against the landscape of SDSR15, and the direction given in the National Security Strategy, the purpose of the Navy People Strategy is to develop and deliver a people component of the Joint Force 2025 that is capable of winning when warfighting at scale, set against a headmark for SDSR 2030. Fully compliant with Maritime Strategy 2035, this strategy will ensure the Naval Service is fully equipped with a Whole Force ready to deliver and maintain the fighting edge.

### 0105. Management of Risk

All identified risks are held within the Navy Command Risk Register which allows comparisons to be made between risks in different areas. The way that risks are identified, analysed, planned and managed is in accordance with JSP 525 (Corporate Governance and Risk Management). All risks are reviewed monthly at DACOS level and every 3 months by more senior officers. The risks are taken account of in regular reports to the Navy Board as well as the ABC Round that allocates PPO resources.



**0106. External Relationships**

- a. The Naval PPO contributes to the provision of advice and support to Ministers as required in relation to achievement of Public Service Agreement objectives.
- b. Close links are maintained in meeting the Naval personnel requirements of non-Naval authorities, including other TLBs, Other Government Departments (OGDs), NATO and other nations.
- c. Much effort is put into maintaining and enhancing the reputation of the Naval Service and improving its visibility across the UK; this work embraces links with many sectors of UK society and much of it is focussed through the Naval Regional Commanders under FOSNNI.
- d. In partnership with Defence Equipment and Support (DE&S) and the Equipment Capability Customer (ECC), and exercised through Chief of Materiel (Fleet), a Navy Command objective is to optimise the provision and coherence of support to in-Service and future units and equipment, including their manning requirements; this also involves a close relationship with key suppliers and industry.

**0107. Contact with the Media and Communicating in Public**

The rules governing contacts between all MoD personnel - military and civilian - and the media, and for writing or speaking in public, are currently contained in DIN 2014DIN03-024.

**0108. Freedom of Information (FOI)**

Naval PPO staff officers manage information with careful attention to the balance that needs to be struck between the duty of disclosure, imposed by the Freedom of Information Act (FOIA) 2000, and the overriding need to maintain operational effectiveness through appropriate security measures, the control of personal information and an individual's personal privacy. The policy and guidance for the disclosure of information is contained in JSP 400 which is to be regarded as authoritative in these matters. FOI and Data Protection are administered by the RN Disclosure Cell - see Para 0114 [sub para a](#). Advice on FOI is at Chapter 1 [Annex 1D](#).

**0109. Data Protection**

It is Naval policy that all business is conducted in accordance with the Data Protection Act 1998. Advice and guidance in ensuring that personal information is managed in accordance with the Act is provided by the RN Disclosure Cell - see Para 0114 [sub para a](#). Guidance on Data Protection is at Chapter 1 [Annex 1C](#).

**0110. JPA**

- a. Much of the key data supporting delivery of the Naval PPO's outputs is held and managed in the Joint Personnel Administration (JPA) system, introduced into the Naval Service in 2006.



- b. JPA is not simply an IT system but a human resource management system which embraces people, processes, structures, training, supporting documentation as well as the enabling IT systems. JPA is accessible to all service personnel via the Defence Intranet and individuals can view their own information and information applicable to their current assignment.
- c. There are a number of JPA processes that provide direct interaction between Career Managers and assignees, detailed at Part 7 of this BR. For details on relevant JPA processes, personnel should refer to the Self Service User Guides that can be found from the JPA Portal.
- d. It is mandatory for all personnel to maintain their own personal information (see Para 2121 for details).

**0111. Armed Forces Covenant (Including the Community Covenant and the Corporate Covenant)**

- a. The Armed Forces Covenant is an enduring covenant between the people of the United Kingdom, Her Majesty's Government and those who serve or who have served in the Armed Forces of the Crown, and their families.
- b. The NCHQ lead for all Covenant matters is DACOS People Support. Advice and information on all Covenant matters is available from NAVY NPS-PFCS AFC SO2.

**SECTION 3 - PEOPLE POLICY MANAGEMENT****0112. Hd NPS Organisation**

- a. **Immediate Staff.** Hd NPS has a PS and a Lt Coord. They act as the focal point for the management and co-ordination of information flow in and out of Hd NPS.
- b. **Strategy and Policy (Strat Pol).** The Strat Pol area sets, influences, develops and assures policy conditions for the sustainable delivery of personnel to the Naval Service, ensuring coherence with other force development areas. It provides the focal point for people policy programmes, including tri-service programmes led centrally by CDP, and employment policy including PFS (see Chapter 22), maternity, paternity and adoption (see Chapter 35). DACOS Strat Pol also oversees the following sub-teams:
- (1) **Navy Command Executive Team (NCXT).** The primary roles of the NCXT, together with the Command Warrant Officers (CWO), are: the provision of command and executive advice and support; the conduct of unit and establishment visits; and to be the SMEs for the Divisional System, the Code of Social Conduct and Substance Misuse. It advises CNLS on discipline policy matters and sponsors the Personnel Support Briefs, Ship's General Orders, FLAGOs and PMIS. The NCXT also provides line management of the Compulsory Drug Testing (CDT) team.
  - (2) **Diversity and Inclusion Team.** See Chapter 30.
  - (3) **Terms of Service Team.** See Part 7 of this BR.
- c. **Pay, Pensions and Allowances (PPA).** The PPA area delivers the RN case in the formulation and adjustment of policy for Pay, Pensions and Allowances (including Compensation), whilst ensuring that policy direction is consistent with the RN Personnel Strategy, the New Employment Model and The Navy Plan. The PPA area is in MOD Main Building, co-located with Army, RAF and Centre PPA staffs in order to ensure that the requirements of the Naval Service are considered fully in joint PPA policy development. See Chapter 27.
- d. **Job Evaluation Judge (JEJ).** The RN JEJ sits with Army and RAF counterparts on the Joint Service JE Team to conduct JE in the various employment categories of other ranks across all three services to determine Whole Trade Score supplement pay recommendations, in support of the New Employment Model pay structure. JE of officers is undertaken on an opportunity basis. The results of both officer and OR JE also provide the Office of Manpower Economics (OME) with information to allow them to undertake pay comparability studies between Service jobs and those in civilian life, on behalf of the Armed Forces' Pay Review Body (AFPRB).
- e. **Research.** The HR Research Cell is made up of research specialists who undertake 3 main research activities: review of theory and literature (military and non-military); primary data collection (eg. surveys and focus groups); and secondary data analysis.

f. **People Support.** People support encompasses two broad areas of PFCS and PDev:

(1) The PFCS Organisation incorporates Welfare (Policy and Delivery – see Chapter 24), Community Development; Casualty Notification, Management and Tracking (CNMT); Trauma Risk Management (TRiM) and Operational Stress Management (OSM – see Chapter 34); Wounded, Injured and Sick (WIS) recovery - see Chapter 33; the Armed Forces Covenant (AFC); and accommodation policy and casework (see Chapter 25).

(2) The PDev staff, based at HMS TEMERAIRE, are responsible for the direction of Sport, Physical Education, embedding the PDev culture and promoting Adventurous Training in the Naval Service, including management of Naval Outdoor Centre (Germany), Joint Services Adventurous Sail Training Centre and the Joint Services Sub Aqua Diving Centre. See Chapter 29.

### 0113. ACOS(PCap) Organisation

a. **Immediate Staff.** ACOS(PCap)'s immediate staff consists of a PA and a Co-ord. They act as the focal point for the management and co-ordination of information flow in and out of ACOS(PCap).

b. In addition to the outer office staff, ACOS(PCap) has a Business Manager's Section who is responsible for all aspects of financial and resource management within the PCap budget and, on behalf of DACOS Commitments, for the Deployed Welfare Package (DWP).

c. The rest of the PCap Division is divided into 5 areas, each headed up by an OF5 DACOS:

(1) Career Management.

(2) Ops and Plans.

(3) People Capability Plans.

(4) Branch Management.

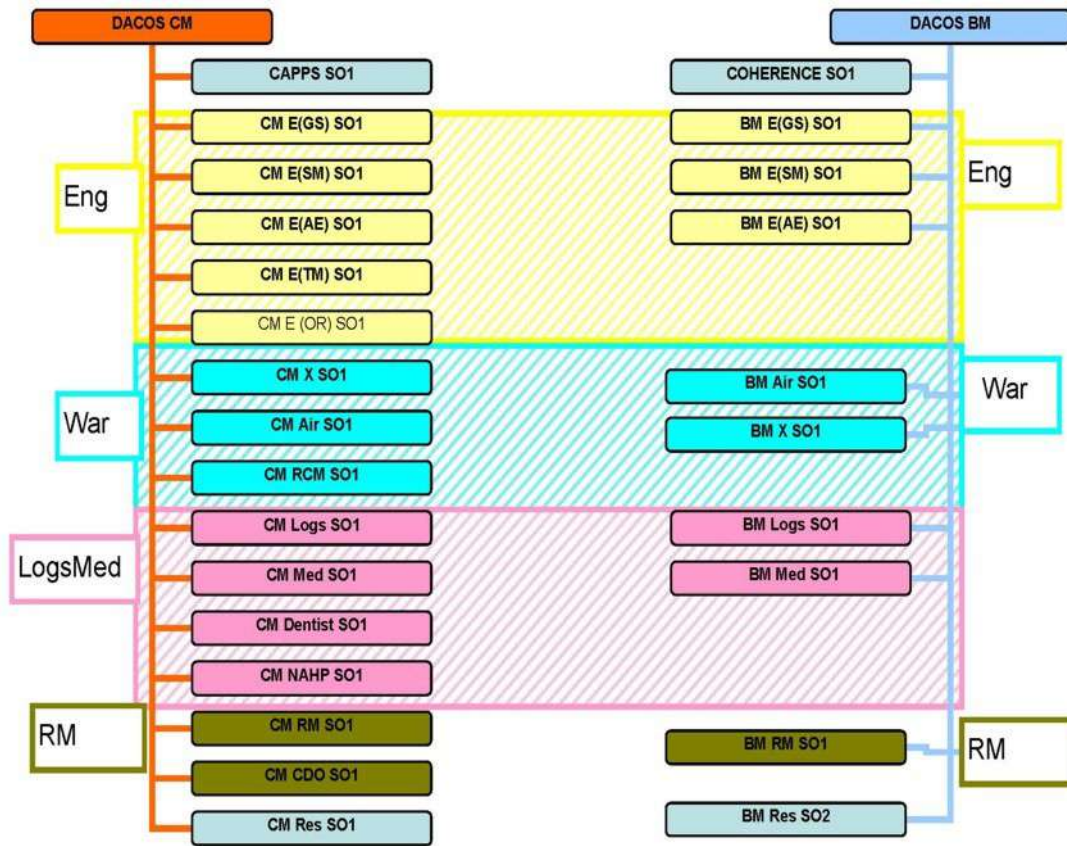
(5) Promotions.

d. **Career Management.** Career management covers the assignment of individuals in accordance with endorsed current and future Service requirements, exploiting skills, career development needs and, whenever possible, personal preferences, whilst providing advice on future career paths.

(1) Career structures are governed by methods of entry into and transfers within the Service, Commissions and Careers, the method for advancement up the rank structure and how the career of each individual Service Person is managed throughout their careers. See Part 7 of this BR for details.

- (2) Career Managers (CM) are accountable to DACOS CM and are structured to reflect the equivalent Branch Management organisation who act as the primary link with the Strategic Manpower Planners. Common assignments, ie. those designated as being suitable for officers of more than one branch, are managed and administered by NAVY PCAP-CM WF CAPPS SO2.
- (3) Career Management Cells (CMCs) in Naval Bases and Air Stations deliver RN Junior Ratings' (JR) career management on behalf of the DACOS CM - details in CMC CONOPS ([Annex 1B](#)). A collocated cell within the RM Career Management area career manages all RM ORs.
- (4) An overview of the CM and BM organisations is at [Figure 1-2](#) below.
- e. **Ops and Plans.** Under DACOS Ops and Plans the team is divided into two areas:
- (1) **Ops Area.** The Ops Area is responsible for resolving short term gapping issues across all ranks and rates, for tackling the root causes of manpower gapping and acting as the current manpower issues focal point/liaison between NCHQ, West Battery, Northwood, the waterfront and the frontline.
- (2) **Plans Area.** Responsible for arranging the temporary redistribution of individuals (Regular or Reserve) to meet a liability for directed operational Military Tasks, exercises and extraneous events that cannot be otherwise met within peacetime liability. They also become the Navy HQ operations room for Military Aid to Civilian Authorities (MACA) activities.
- f. **People Capability Plans (PCAP PLAN).** The PCAP PLAN area delivers the Naval Service Personnel Line of Development for current and future capability management, including NS workforce planning and provision of workforce data and analysis (see Chapter 3) and Unit Establishment Lists administration (see Chapter 2). It also provides the Naval Service Focal Point for Business Information Systems (specifically JPA, see [Para 0110](#)).
- g. **Branch Management.** Branch Management (see Chapter 62) is the function of ensuring that the Naval Service has both sufficient and capable personnel in each of its branches. The Branch Managers (BMs) are responsible for ensuring that each Specialisation is carefully managed such that sufficient personnel are available to meet current and future commitments.
- h. **Promotions.** See Part 8 of this BR for detailed rules on promotions. The Promotions Section is responsible for proposing and implementing Naval Service transfer and promotions policy, operating the transfer and promotion systems for all RN/RM officers, RN ratings and RM other ranks up to 1\* rank and the staffing of completed appraisal reports.

Figure 1-2. CM and BM Structure



0114. Legal Services - CNLS

- a. Many of the functions of CNLS are covered at Chapter 20 (Discipline), Chapter 23 (Representations and Complaints) and widely throughout this BR.
- b. **Casework Cell.** Casework is defined as any administrative action which affects a named individual. In the usual context it refers to actions such as Discharges, Reversions, removals from assignment and other administrative actions – but not disciplinary action. The majority of casework for officers and ratings is staffed through the Navy Command Casework Cell (see [Annex 1E](#), which supplements guidance in JSP 831, JSP 763 and other specialist publications). Specific guidance on the RN’s arrangements for dealing with statutory Service Complaints, made under the Armed Forces Act 2006 (AFA 06), is given at Chapter 23.

**0115. Recruiting and Training - FOST**

From the GTS Targets set by ACOS(PCap), FOST calculates, publishes and reviews recruiting targets. From these, when combined with an understanding of career and other training requirements, FOST can judge the total future individual training load, from which training plans can be developed. Some of these plans are very long term, and have expensive solutions, so FOST must be involved in personnel planning as early in the process as possible.

a. The principles and processes for bringing people into the Naval Service are determined by Captain Naval Recruiting (CNR). Recruiting activity is centred on the work of the Naval Careers Service and the Recruiting Field Force under the Naval Regional Commanders. The task is to meet the recruiting targets set, for Regulars and Maritime Reserves, by FOST in qualitative and quantitative terms, not only for the current year but also as anticipated in future years. Details are at Part 4 Chapter 4 et seq.

b. DFOST is responsible for delivering individual training strategy and policy. Details of Individual Training policy are at Chapter 95, and Education, Lifelong Learning and Resettlement Policy is covered at Chapter 96. The Course Booking Cell provides a booking service for CMs and Flotillas for Phase 3 non-career course places and also provides a focal point for prioritisation of course places, waiting lists for a number of discrete courses and monitoring of course place wastage and cancellations.

**0116. Reserves Management**

Aspects on Maritime (volunteer) Reserves are covered separately in BRd 3 Vol 2. Under ACNS(Pers)/NavSec, CMR manages Maritime Reserves (RNR and RMR). Under ACOS(PCap), NPT(Res) manages Regular Reservists and full and part time Reserve Service commitments.

**0117. Defence Business Services (DBS)**

DBS (previously Service Personnel and Veterans Agency (SPVA)) provides a comprehensive range of through-life personnel support functions direct to Service personnel and the veterans' community, including: pay, allowances, pensions, compensation, records administration, medals and veterans' services. It is responsible to ACOS(PCap) for a number of discrete functions, including:

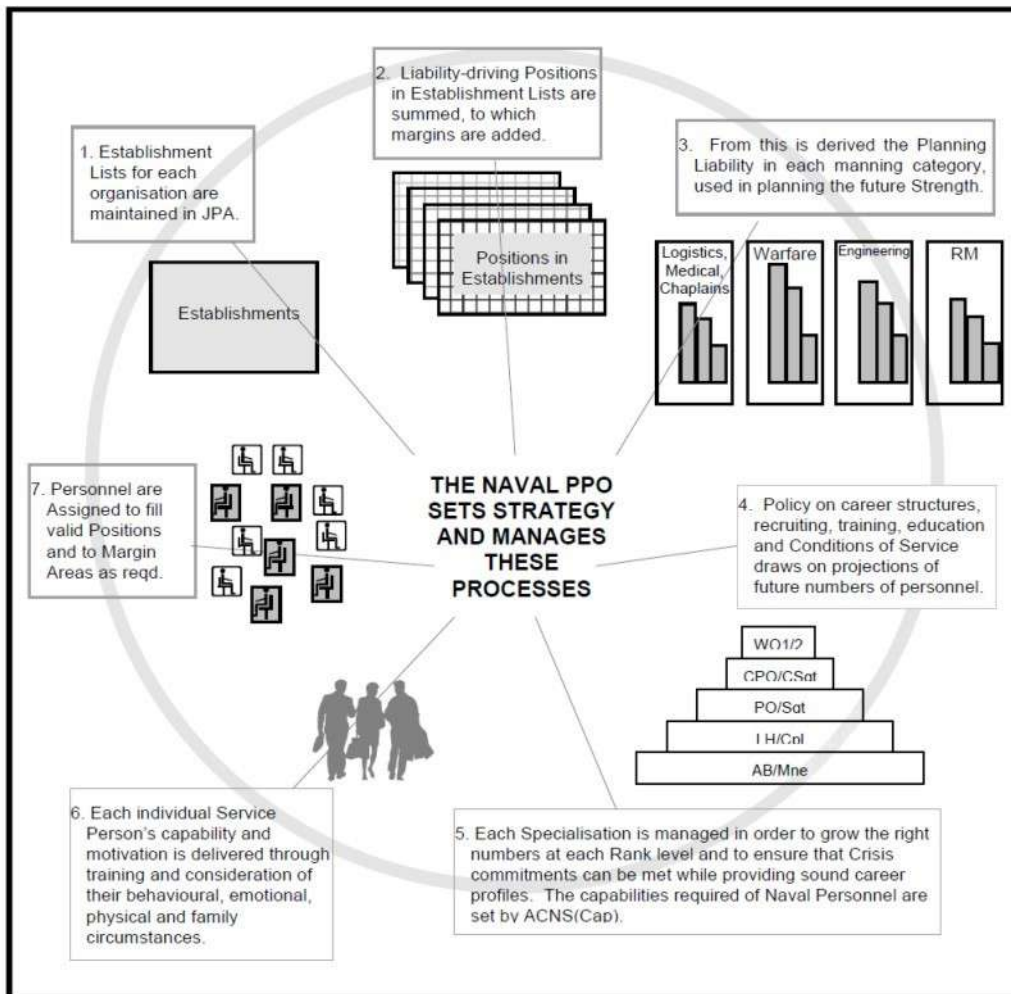
- a. The provision of Terminations/Leavers' packs.
- b. London Gazette Entries.
- c. Commissioning Parchments.

**0118. Setting and Meeting Requirements**

Employers within Navy Command and in the other TLBs are responsible for identifying their requirements for Naval personnel, in terms of numbers, ranks, branches and specialisations. Assistant Chief of Naval Staff (Capability) (ACNS(Cap)) is responsible for setting the overall and specific capabilities that Naval personnel are required to deliver. The Naval PPO is responsible for meeting those requirements as far as possible. The linkages between the various management functions are illustrated in [Figure 1-3](#).



Figure 1-3. The Personnel Management Process





## ANNEX 1A

### NAVAL PERSONNEL HIERARCHY

#### 1. Introduction

The Naval personnel hierarchy describes the categorisation of personnel by type. This categorisation is reflected in the way that both people and Positions are identified in JPA.

#### 2. Structure

At the highest level in the structure, the Naval Service comprises the Royal Navy, Royal Marines, Queen Alexandra's Royal Naval Nursing Service (QARNNS), Reserve Forces and Naval Careers Service.

#### 3. Sub-Divisions

Some of the main groupings can be further subdivided into:

a. **Branch.** This is a professional functional sub-division, with Arms (some or all of General Service, Fleet Air Arm and Submarine), which can be further divided into Specialisations. Examples in the Naval Service are Warfare, Engineering, Logistics and Royal Marines. All personnel, except for those in the Careers Service, belong to a Branch.

b. **Specialisation.** This is a professional sub-division of Branch likely to reflect a particular field of expertise. Some personnel will have more than one Specialisation and others may have none.

c. **Sub-Specialisation.** This is a division of Specialisation on professional grounds and is the lowest recognised level within the tri-Service structure.

4. A table showing these sub-divisions and their owning Branch Manager is at [Appendix 1](#) to this Annex.

#### 5. Reserve Forces

The Reserve Forces are made up of the Regular Reserves and the Maritime Reserves (Royal Naval Reserve (RNR) and the Royal Marines Reserve (RMR)). The Maritime Reserves have a range of Branches and Specialisations that closely mirror those of the Regulars. When activated, RNR personnel are managed by NPT(Res), with RMR personnel being managed by NPT(RM).

#### 6. Chaplaincy

The Chaplaincy does not contain sub-divisions and is managed within the Logistics NPT. The Chaplaincy is comprised of both Regulars and Reserves.

#### 7. The Naval Careers Service


The Naval Careers Service (NCS) is a special Service within the Naval Service and comprises former Regular Royal Navy and Royal Marines personnel. NCS personnel wear military rank and have the Specialisation 'Careers Advisor' (CA) embedded in their title. Currently all new-entrants to the Careers Service are employed on FTRS(NCS) commitments and are recruited at the Senior Rate level.

**8. Tri-Service Strength Categorisation**

A tri-Service categorisation of personnel Strength is contained within JSP 755 (JSP 755; Tri-Service Positions & Assignments – Instructions, Chapter 6 – Appendix). This categorisation shows a high level structure of the different personnel categories employed across Defence.

APPENDIX 1 TO ANNEX 1A


SUB-DIVISION OF NAVAL PERSONNEL BY BRANCH MANAGEMENT

Officer Specialisation															
Warfare			Engineering			Logistics & Medical				Royal Marines			Reserves (See <a href="#">Note.</a> )		
FAA	GS	SM	FAA	GS	SM	Logistics		Medical		GS	BS	SF	FAA	RNR GS	SM
						GS	SM	GS	SM	GS	BS	SF	FAA	RNR GS	SM
ATC	C		AE	ME	MESM	BAR		D	M	C	BS	SBS	AW		
AV	FC			TM	WESM	CMA		M		GS		SRR	CHAPLAINS		
	GSX			WE	TM(SM)			MS		HW			CIS		
O	HM							QARRNS		LC			DI		
P	INT									ML			FC		
	MCD/MW									RSO			HM		
	N									P			HUMINT		
	PWO												INFO OPS		
	RNP												LOGS		
													MEDIA OPS		
													MEDICAL		
													MTO A		
													MTO N		
													MW		
													OP INT		
													QARNNS		
													SEA		
		<p><b>Note.</b> Points specific to the Reserves</p> <ul style="list-style-type: none"> <li>Although not listed, most RM Specialisations are replicated in the Reserves eg. LC(R)</li> <li>All Reserve Specialisations have the suffix (RES).</li> <li>All Royal Marines Reserves are recorded as RMR(OF) on JPA</li> </ul>													

## SUB-DIVISION OF NAVAL PERSONNEL BY BRANCH MANAGEMENT (CONTINUED)

Warfare			Engineering			Logistics & Medical				Royal Marines			Reserves (See <a href="#">Note</a> )	
FAA	GS	SM	FAA	GS	SM	Logistics		Medical		GS	BS	SF	FAA	GS
AC	CT	WS(SSM)	AEA	ET(ME)	ET(MESM)	STD	STD(SM)	DN	MA	AE	B MAST	RM TPR	AC	CIS
ACMN	D	COXN SM	AEM	ET(WE)	ET(WESM)	CH	CH(SM)	DHY		ARM	BUGLER	SC	ADMN	CT
AH	HM	WS(TSM)	AET	MEM	MEM(SM)	CS	CS(SM)	MT		ARTV	MUSN	SRR	AEA	DI
METOC	PT		SE	WEM	WEM(SM)	WTR	WTR(SM)	MA		AS			AEM	DIVER
PHOT	RNP					SC	SC(SM)	QARNNS		AT			AET	HM
	SEA									C			AH	HUMINT
	SR									CI				INFO OPS
	TEL									D			PHOT	LOG(SC)
	WA									DL			SE	MTO
	WS									GD				MW
	WS(AWW)									HW(AD)				NEI
	WS(AWT)									HW(ATK)				OP INT
	WS(EW)									IS				QARNNS
										K				SEA
										LC				
										MESM				SM
										ML				SM(X)
										MP				
										P(H)				RMR
										PTI				GD(R)
										PW				
										RMAC				
										RMCT				
										RMMA				

**SUB-DIVISION OF NAVAL PERSONNEL BY BRANCH MANAGEMENT (CONTINUED)**

Warfare			Engineering			Logistics & Medical				Royal Marines			Reserves (See <a href="#">Note.</a> )			
FAA	GS	SM	FAA	GS	SM	Logistics		Medical		GS	BS	SF	FAA	GS		
						GS	SM	GS	SM	GS						
		<p><b>Note.</b> Points specific to the Reserves:</p> <p>a. Although not listed, most RM Specialisations are replicated in the Reserves eg. LC(R), PTI(R)</p> <p>b. All Reserve Specialisations have the suffix (RES).</p> <p>c. All Royal Marines Reserves are recorded as RMR on JPA</p>											S			
			SA													
			TT													
			VM													
			Yofs	FofIS												

## ANNEX 1B

### HUB AND SPOKES - ACOS(PCAP) NPT (HUB) AND CAREER MANAGEMENT CELLS (SPOKES) - CONCEPT OF OPERATIONS (CONOPS)

#### References:

- A. DNPS Manpower and Training Value Stream Concept of Operations dated Nov 06.
- B. DNCM Hub & Spokes Annex to M&T VS CONOPS dated 22 Mar 07.
- C. DNPers LM NAVSEC9/C dated 12 Oct 07 (Hub and Spokes C2 Arrangements).
- D. DNPers 20090922 Career Management CIE – Output.

#### 1. Introduction

a. These revised CONOPS support Reference A, which states that the Value Stream will deliver a more agile response to 'Command Pull' in generating sufficient, capable and motivated personnel to meet the requirements of all employers of Naval Service manpower. Hub and Spoke is designed to meet this requirement and also deliver a better career management service to our Junior Ratings. This is a living document that has been and will continue to be fed by well considered and agreed continuous improvement. These CONOPS will be reviewed annually and will be reissued each April. The CONOPS are sponsored by ACOS(PCap) and all comments, recommendations for changes and additions should be passed to the ACOS(PCap) CM DACOS COS.

b. The Hub and Spoke concept is based on the principle of career management of main branch Junior Ratings being devolved from ACOS(PCap) centralised staff based in NCHQ (the Hub) to waterfront and Typed Air Stations ACOS(PCap) outstations - Career Management Cells - (the Spokes) for more effective and localised delivery of outputs. The Hub retains responsibility for delivery of all officer, Warrant Officer, Senior Rating (except HM) and smaller and specialist Junior Rating branches/ sub branches career management.

#### 2. Background

a. In Nov 06, the 'Hub and Spokes' concept received 3\* endorsement as the best available model for Junior Rating and Other Rank (JR/OR) Career Management. The concept was taken forward by DNPers as a Fleet Transformation project. Detailed clarification of how the Hub and Spokes model would meet the requirement for JR/OR careers and employment was confirmed during subsequent Fleet Transformation events in Jun 07, Sep 07 and Dec 08. Waterfront Management Office (WMO)<sup>1</sup> 2\* ownership was resolved, and WMO Career Manager training and JPA technical issues completed in Oct 07, leading to the declaration of Initial Operating Capability (IOC) on 22 Oct 07. The WMOs were rebranded Career Management Cells (CMCs) in Oct 10 to reflect better their primary output.

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1. The transfer of the existing Flotillas/TAS WMOs to DNPers Line Management was confirmed at IOC (declared 22 Oct 07).

b. There are currently five separate CMCs, each of which has a distinct identity related to the units associated with their geographical location and the nature of the legacy tasking from local Flotillas, Naval Base Commanders (NBC) and Typed Air Stations (TAS). The CMCs are a fully integrated part of the Navy Command manpower management structure; they are accountable for the Career Management of JRs and as such are fully 'owned', managed and responsible to ACOS(PCap) for their output.<sup>2</sup>

c. The primary function of the CMCs is the Career Management of JRs either through routine assignment procedures on behalf on the NPTs or using the principle of maintaining manpower OC of units in conjunction with ACOS(PCap) PERS OPS. Nevertheless, the legacy arrangements with Flotillas, NBCs and TASs must continue to be maintained. The CMCs often have functional responsibilities to Flotillas/FGAs or Force Cdrs and respond to Command Pull accordingly. Whilst these arrangements work well they must be formalised such that each group is conscious of the boundaries of the other and of the functional relationship between them. The nature and detail of the legacy relationships with these organisations will be agreed and formalised in Service Level Agreements established between the then DNPers and Flotillas, NBCs and TASs during 2010<sup>3</sup>.

### 3. Hub & Spokes Fundamentals

The founding principles of the Hub<sup>4</sup> and Spokes model are:

- a. Junior Ratings' DEPCOs, EWOs and Divisional Officers have local access to Career Managers.<sup>5</sup>
- b. Individual JRs have local access to Career Managers to discuss current and future assignments<sup>6</sup>.
- c. Regional employers of JRs pull on the local CMC for provision of JR Manpower.
- d. The Career Managers in CMCs know which JR positions they are responsible for.
- e. Waterfront CMCs directly assign JRs to/from all squadded and non-squadded GSP positions (except Hub owned JRs, eg. PTIs).
- f. JRs have local access to limited professional Career Advice<sup>7</sup> as part of the CMC Career Management function.

2. In this context CMCs are ultimately responsible to ACOS(PCap) for their output, however, in practice, accountability is exercised through CM SO1s, and PCAP OPS SO1.

3. A CIE in 2010 served to clarify the responsibilities of those organisations which comprise the generic "Waterfront Manning Organisation"

4. For Career Management purposes, the Hub should be considered to be the offices of the Career Management Teams in West Battery, Portsmouth. Line management and the reporting structure for the CMCs is detailed at Appendix 1B-2

5. JRs assigned to positions/locations which are remote from a CMC will have 'phone/email access to Career Managers at their CMC.

6. JRs assigned to positions/locations which are remote from a CMC will have 'phone/email access to Career Managers at their CMC.

7. The resources necessary to support this function were reviewed in Sep 07 and determined to be 1 x CPO in each WMO, responsible directly to the WMO Warrant Officer. However, this role has been largely discontinued due to the need for increased staff resources in CMCs to manage higher priority augmentation requirements.



g. With assistance from Flotillas, TAS and Hub CMs, CMCs will co-ordinate the tactical/short term management requirements (e-OPDEFs, e-PERREQS, endorsed augmentation etc.) for Officers, WOs, SRs and JRs of units within their geographical/allocated sphere of responsibility.

#### 4. Hub Responsibilities

a. The Hub will provide co-ordination, direction and guidance, including career management policy, arbitration, and personnel casework related to career management. Although the Hub must retain these responsibilities, the initial Single Point of Contact for all routine JR career management activities should be the Career Manager in the CMC. The following processes will remain the sole responsibility of the Hub but should be discussed and where appropriate co-ordinated with the CMC:

- (1) Position creation and deletion.
- (2) MEB recommendations.
- (3) AB to LH substantive promotions.
- (4) Extensions of Service (> 6 months).
- (5) Withdrawal of Notice approval.
- (6) FTRS approval.
- (7) Branch Transfers.

b. The Hub provides career management co-ordination, sets operational policy and gives direction and guidance to career managers.

c. The careers and assignments of Senior Ratings, Warrant Officers and Officers are managed by West Battery CMs (except HM Senior Ratings, delegated to CMC(D)).

d. West Battery Career Management retains responsibility for RM ORs and RN JR specialisations as specified at [Appendix 1 to Annex 1B](#) (with the exception of RM Chefs on amalgamation into the RN Logistics Branch in 2014).

e. The Hub based CM Coord and CM COS act as points of contact for pan-CMC issues and will engage pan-CM as required. For single branch issues, the CMC will continue to engage directly with West Battery which in turn will task CMCs with branch specific issues (in both cases the CM Coord/CM COS may not be involved).

#### 5. Role of CMCs as the 'Spokes'

The CMCs are the local Point of Contact for all aspects of JR career management, both for the employers and for individuals. They are the local focus for regional 'Command Pull' for JR manpower. They initiate, execute and co-ordinate career management activity at the tactical and operational levels, as follows:

a. Selection and assignment of JRs to the positions they control.

- b. Assignment of JRs to Career and Professional Courses including LH to POQCs (through consultation with Hub for POQC to consider operational constraints).
- c. Arranging PJTs/TEMs for JRs assigned to non-TMSS units via the ACOS(PCap) Course Booking Cell (CBC) based in MWS COLLINGWOOD, except CMCs(Air)<sup>8</sup> and CMC(F)<sup>9</sup> for FAST and SWS.
- d. Non-substantive promotions to LH and substantive promotion AB2 to AB1.
- e. e-PERREQ/e-OPDEF management in conjunction with PERS OPS, Hub Career managers, Flotillas and units and as directed by latest RNTMs.
- f. Initiation by PSyA Disclosure Cell of DV<sup>10</sup> and Disclosing and Barring Service (DBS) Clearance applications as required for ratings joining positions requiring relevant clearances.
- g. JR Career Terminations for personnel allocated to them.
- h. Nomination of Augmentees as directed by ACOS(PCAP) PLANS for endorsed requirements, including obtaining PSR statements from all employers (Flotilla, Battle Staff, other TLBs etc.), where appropriate.
- i. JR/OR inter-Spoke Assignments (CMC to CMC).
- j. Liaison with the local Recovery Cell to support the appropriate employment of JRs whilst assigned to MA7 MTM, and are returned to the trained strength at the earliest opportunity<sup>11</sup>.
- k. Collation of PFS and other Performance Indicators and submission of statistical reports as required by West Battery CMs, DACOS CM, ACOS(PCap) or higher authorities<sup>12</sup>.
- l. Support to the Divisional System in their region as required by employers<sup>13</sup>.
- m. Support to the Naval Personnel Families Service in their region as required by individual casework.
- n. Optional limited Career Advisory interviews by CMC Senior Rates for JRs to enable them to explore options for developing their career and prior to submitting Notice. The CMCs will also provide advice to Service-couples With Dependent Children (SWDC) including liaison with the counterpart RN career managers, or the Army/RAF equivalents responsible for the Service Spouse for whom they are responsible.

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8. The two Air CMCs will arrange the TEM Packages for the FAA JRs that they manage, prior to assignment to Front Line Positions.

9. CMC(F) only book TEMs for ratings being assigned from Shore to Sea and for MCM1 squad ratings.

10. DVA(Y) will alert NCHQ Disclosure Cell to the requirement for the lower-level Security Clearance (SC) reviews.

11. Detail subject to future Continuous Improvement development and events and different geographical arrangements.

12. As directed by the BM/CMs or, as is more likely, by the CM DACOS COORD SO2C.

13. By ACOS(PCap)'s agreement and subject to the SLA.

## 6. Allocation of JR positions to CMCs

JR positions are normally tied to a specific branch and specialisation<sup>14</sup>. Whilst West Battery CMs retain responsibility for RM ORs positions (except RM Chefs) and specified RN JR positions (see [Appendix 1](#)), all other JR positions are allocated to a nominated CMC according to the following principles:

a. Positions tied to General Service (GS) or Submarine Service (SM) Specialisations

(1) GS/SM positions on the Establishment Lists of sea-going units (both squaddied and non-squaddied) are allocated to the CMC where the unit is base-ported<sup>15</sup>.

(2) GS/SM shore positions in base port areas are generally allocated to the CMC in the vicinity of base port. However, some positions are allocated to other CMCs able to supply the required branch/specialisation. Therefore, JRs can be assigned to a different base port area for short periods up to and including normal assignment length without changing their Career Manager and may retain the same 'CM Person Tag'. This may be necessary to meet the needs of the Service, the individual's career development or their personal preferences. If it is anticipated that a JR will remain in the new base port area for more than a single assignment, then they will normally be assigned into a position belonging to the receiving CMC; in such cases, there would be a change of Career Manager, CM Position Tag and CM Person Tag.

(3) GS positions in Naval Air Squadrons (NAS) and Air Stations are allocated *pro-rata* to CMCs D and P in order to supply ratings of the required specialisation.

(4) GS/SM shore positions remote from Base Ports or Air Stations (including Local Foreign Service (LFS)) are allocated *pro-rata* to CMCs. All JRs have the opportunity to be assigned away from the port/station environment for short periods up to and including normal assignment length to meet the needs of the Service, career development requirements or personal preferences. JRs assigned to such positions may remain CM Person Tagged to the same Career Manager for the duration of the out-of-area assignment. Alternatively, upon agreement, they may fully transfer CM Position Tag and Person Tagged to the new positions Career Manager.

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14. An increasing number of officer/WO positions are designated Common Assignment Positions (CAPPs), and are open to officers from more than 1 branch.

15. For Engineering, Logistics and Warfare (with the exception of Warfare HM positions, all of whom are allocated to CMC(D)).

b. Positions Tied to Fleet Air Arm (FAA) Specialisations

(1) The CMCs at RNAS Culdrose and RNAS Yeovilton are nominated as the lead-CMC for particular FAA specialisations (see [Appendix 1](#)). All of the positions for a particular FAA specialisation are allocated to the nominated lead CMC, including all FAA positions remote from Naval Air Stations. For example, Portsmouth CMC would not assign to a position requiring a FAA rating in Portsmouth Naval Base. This would be the responsibility of whichever air station CMC controls assignments for the particular specialisation.

(2) Some LFS positions are tied to FAA. Depending upon specialisation, FAA ratings have the opportunity to be assigned to these overseas shore positions to meet the needs of the Service, career development or personal preferences.

## 7. Shortages of JR Manpower

Inter-spoke communication and co-operation will be a key enabling mechanism in minimising the effects of short-term JR manpower shortages. PERS OPS will co-ordinate the resolution of shortages in the CMCs, in consultation with the Hub SO2 CMs. The transfer of ratings between CMCs will be primarily driven by Service requirements or rating's preferences. Whilst there could be a tendency to retain ratings currently held within a spoke to protect local manning levels, it is vital that CMC Career Managers take into professional consideration to transfer ratings to another spoke with the view to achieving operational priorities, ratings' preferences or balance complements across Flotillas or Establishments. Inter-spoke assignment between the CMCs is essential to ensure the following:

- a. Sufficient manning levels to priority units across Flotillas and in support of regeneration.
- b. Balanced geographical gapping and complement strength across Flotillas and Establishments.
- c. Ratings' Base Port preferences are fulfilled where possible.
- d. Category 0 (zero) positions are maintained to required strength.
- e. Balanced professional and personal development opportunities for all ratings.
- f. Continuous back-to-back or extended assignments to non-preference area within the constraints of service and branch limitations/structure are avoided.
- g. SO2 CM Co-ord will be responsible for monitoring pan-branch trends and manning levels between CMCs and are the POC for establishments regarding this matter.

## 8. The Recovery Cell Function

To ensure that maximum effect is achieved from available JR Manpower, close co-ordination by CMCs with CM and Recovery Cells in the Base Ports and Air Stations is required<sup>16</sup>, together with regular monitoring by CMCs of specific individuals assigned to Recovery Cells with regards to progressing availability for assignment into sea or shore positions.

## 9. JR Retinue Assignments

CMCs will continue as CMs for Retinue positions, however, West Battery Logistics CMs will monitor, supervise and co-ordinate the selection process.

## 10. Branch Requirements and Career Management Co-ordination

As the Single Point of Accountability for their branch, SO1 Branch Managers, under DACOS Branch Management, control the overall number of JRs on the trained strength and in the training pipeline. Branch Managers manage the sustainability of ratings' branches/ specialisations and assist in the management of 'Critical Manpower Groups'. Branch-specific CMs and BMs work closely together to provide whole-branch co-ordination of the JR 'career management plots' and provide direction and guidance to CMC career manager desks for their respective branches.

## 11. Personnel Operations (PERS OPS)

Within the Naval Service Single TLB, Navy Command is by far the largest customer for JRs. Whilst CMs and BMs fulfil the Service-wide PPO function, PERS OPS provides a clear focus on the Navy Command and front line units as the priority customer for manpower. PERS OPS co-ordinates and manages the effect of 'Operational Pinch Points' and provides D&G to CMCs for short term manning requirements, both within and with less than normal assignment notice.

## 12. CMC Organisation/Reporting Chain

- a. The reporting line management of CMCs is a mixture of PERS OPS and TAS staff. Some routine business in the Waterfront CMC is related to resolving short-notice manning issues (short-term career management) which is exactly the remit of PERS OPS, the line management and certain staff reporting responsibilities lie with PERS OPS (see [Appendix 2](#)). In this respect the heads of the respective CMCs should consider themselves to be the local PERS OPS representative. However, PERS OPS does not have any responsibility for routine career management and the importance of the career management function for the CMC must be recognised in the line management chain. A summary of Line Management and 1 and 2RO responsibilities is at [Appendix 2](#).

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16. The Recovery Cell and Geographical Manpower Co-ordination function are subject to a future Continuous Improvement Event.

b. Notwithstanding the agreed definition of career management for JRs (and all other ranks/rates): *“The Assignment of individuals in accordance with endorsed current and future Service requirements, exploiting skills, career development needs and, whenever possible, personal preferences, whilst providing advice on future career paths”*<sup>17</sup> - there are tasks associated with the co-ordination, supervision of JR plots and the associated assignment process that must be overseen by the Hub. The Hub must be proactive in promoting an inclusive relationship with the CMCs to ensure that the JR Career Managers are perceived as an integral part of the manpower management system and, most importantly, as part of the overall assurance of career management through the Officer, Warrant Officer, Senior Rating and Junior Rating continuum. A list of Hub responsibilities is at [Appendix 4](#).

c. In order to optimise manpower deployment for the delivery of unit OC it is recognised that employers of JRs must provide clear and regular local guidance and prioritisation to CMCs, in order to facilitate local decision making and resolution of manning issues. Inter-CMC dialogue is pivotal; CMCs should only need to refer decisions to the Hub when confronted with issues that call for Navy Command or inter-TLB prioritisation.

### 13. PCAP OPS FWD SO2s

a. As lead manpower officers in Portsmouth and Devonport CMCs, PCAP OPS FWD SO2s are line-managed by ACOS(PCap) OPS. They work closely with their respective CMCs. In Faslane, the lead manpower officer is undertaken by PCAP-OPS SM SO2 who works in Navy Command HQ.

b. It is acknowledged that any future change of ‘ownership’ of the CMCs might result in a conflict of interest between legacy-local and potential-new wider tasking. Clearly the CMCs have an element of responsibility for understanding the overall manpower requirements of all employers of naval manpower in the respective geographical areas. This manpower customer community is considerably larger than the front-line commands in Portsmouth, Devonport and Faslane, although operational Fleet units will invariably be the highest priority manpower customers. In this respect, the PCAP OPS FWD SO2s and the WO1s (where they are heads of the CMC) must consider themselves as primarily responsible to ACOS(PCap), whilst acknowledging their responsibilities to Flotillas/FGAs, NBCs and the TAS. These secondary tasks have been agreed between ACOS(PCap), Flotillas, NBCs and the TAS and are recorded in respective Service Level Agreements.

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17. Career Management definition as agreed at Sep 09 CIE and promulgated in DNPERS 20090922 Career Management CIE - output.

#### 14. Governance

- a. CMC governance is required to enable best practice by CMCs and will ensure regular, relevant and decisive dialogue on all manning issues affecting OC and to allow COMOPS and his subordinate commanders, COS(CAP), Hd NPS, ACOS(PCap) and DACOS CM to be presented with a comprehensive and common picture of manning issues. The arrangements for the governance of the CMCs are based upon the requirement for the CMCs to deliver short notice career management in conjunction with (and on behalf of) PERS OPS and longer term career management on behalf of the Hub.
- b. Existing governance arrangements include daily dialogue and weekly VTC discussions between PERS OPS and the CMCs on the most pressing OC-related manning issues and procedural matters (short notice career management). These are backed up with regular visits by PERSOPS and CM staff to the CMCs.
- c. The governance of longer term career management is achieved through regular and routine liaison between the CMC and West Battery on specific branch and specialisation matters. Regular visits by staff of all levels to each CMC are encouraged. CM policy and co-ordination (non-branch specific guidance) will be delivered by the CM DACOS COORD SO2C. Based in the Hub, with a pan-CM responsibility for CM co-ordination issues, CM DACOS COORD SO2C is functionally responsible to DACOS CM. As such, governance and oversight for CM issues will be provided by DACOS CM by virtue of being responsible for the CMC routine career management output and through regular visits and liaison.
- d. The arrangements for collection of manning data in order to inform discussion between ACOS(PCap), Hd NPS and FGAs and front line commanders at the strategic level; and between PERS OPS/CMCs and the TAS/MOB, Flotilla and Battle Staffs at the operational and tactical levels, are detailed at [Appendix 3](#).



APPENDIX 1 TO ANNEX 1B

ALLOCATION OF JUNIOR RATINGS' SUB-SPECIALISATION BY CMC

Table App 1/1B-1. Allocation of Junior Ratings' Sub-Specialisations by CMC

Sub Spec	West Battery		CMC Devonport	CMC Faslane	CMC Portsm'th	CMC Culdrose	CMC Yeovilton
ACMN(ASW)	✓						
ACMN(CDO)	✓						
AET						✓	✓
CIS			✓	✓	✓		
CISSM			✓	✓			
CT	✓						
DHY	✓						
DIVER	✓						
DSA	✓						
ET(ME)			✓	✓	✓		
ET(MESM)			✓	✓			
ET(WE)			✓	✓	✓		
ET(WESM)			✓	✓			
HM (H and M)			✓				
LOG(STD)			✓	✓	✓		
LOG(STD)(SM)			✓	✓			
LOG(CH)			✓	✓	✓		
LOG(CH)(SM)			✓	✓			
LOG(SC)			✓	✓	✓		
LOG(SC)(SM)			✓	✓			
LOG(WTR)			✓	✓	✓		
LOG(WTR)(SM)			✓	✓			
MA	✓						
MASM	✓						
MT	✓						
MW				✓	✓		
NA(AC)	✓						
NA(AH)	✓						
NA(MET)			✓				
NA(PHOT)	✓						
NA(SE)	✓						
NN	✓						
PT	✓						
WS(SEA)			✓	✓	✓		
RN POLICE	✓						
WS			✓		✓		

Sub Spec	West Battery		CMC Devonport	CMC Faslane	CMC Portsm'th	CMC Culdrose	CMC Yeovilton
WS(MW)				✓	✓		
WS(AWT)			✓	✓	✓		
WS(AWW)			✓	✓	✓		
WS(EW)			✓		✓		
WS(SSM)			✓	✓			
WS(TSM)			✓	✓			
WS(UW)			✓		✓		
RM OR ( <a href="#">Note 1</a> )	✓						
FTRS ( <a href="#">Note 2</a> )							
SF ATTACHED							

**Notes:**

1. *Except RM Chefs who are assigned by CMC Devonport since integration into RN Logs Branch in Apr 14.*
2. *The process for dealing with FTRS varies across CMCs. Further work is required to formalise the delegated tasks.*

**1.** West Battery (WB) retains career management responsibility for Officers, WOs, SRs/ NCOs (except HM CPOs and POs which is delegated to CMC(D)) and for certain cadres of JR/ORs, mainly those sub-branches of a smaller size or with unusual deployment patterns, and including Royal Marine Other Ranks. Currently these JR/OR cadres are:

- a. **WB Warfare CM:** Aircrewman, Communications Technician, Diver, Naval Airman (Photographer), Physical Trainer, RN Police, and, since Mar 13, Naval Airman (Aircraft Controller) and Naval Airman (Aircraft Handler)
- b. **WB Royal Marines CM:** All Royal Marines Other Ranks (except RM Chefs since Apr 14 on amalgamation into RN Log Branch), RN Ratings attached to Special Forces (in liaison with source-branch)
- c. **WB Engineering CM:** Naval Airman (Survivalist Equipment), Lightning II Air Engineer Technicians
- d. **WB Medical CM:** Medical Assistant, Medical Technician, Naval Nurse, management and coordination of Retinue Billets
- e. **WB Reserve CM:** All Full Time Reserve Service Ratings

**2.** Though the Fleet Medical Division retains the career management responsibility for Dental Hygienists and Dental Surgery Assistants, this is carried out by West Battery Medical CM.

**APPENDIX 2 TO ANNEX 1B**

**ACOS(PCAP) MANOPS STAFF AND WATERFRONT MANNING OFFICE 1<sup>ST</sup> AND 2<sup>ND</sup>  
REPORTING OFFICERS**

<b>Position</b>	<b>1RO</b>	<b>2RO</b>
<b>PERS OPS Portsmouth (NCHQ)</b>		
PERS OPS SO1	DACOS (OPS & PLANS)	CNPERS
PERS OPS GS SO2	PERS OPS SO1	DACOS (OPS & PLANS)
PERS OPS SM SO2	PERS OPS SO1	DACOS (OPS & PLANS)
PERS OPS ESTAB SO2	PERS OPS SO1	DACOS (OPS & PLANS)
PERS OPS N1 LIAISON WO1	PERS OPS GS SO2	PERS OPS SO1
PERS OPS FWD PORTS SO2	PERS OPS SO1	DACOS (OPS & PLANS)
PERS OPS FWD D'PORT SO2	PERS OPS SO1	DACOS (OPS & PLANS)
PERS OPS FWD FASLANE WO1	PERS OPS SO1	DACOS (OPS & PLANS)
<b>CMC Portsmouth</b>		
CMC(P) WO1	CM OR WAR SO1	DACOS (CM)
CMC(P) CPO Supervisor	CMC(P) WO1	CM OR WAR SO1
CMC(P) Career Managers	CMC(P) CPO	CMC(P) WO1
<b>CMC Devonport</b>		
CMC(D) WO1	CM OR WAR SO1	DACOS (CM)
CMC(D) CPO Supervisor	CMC(D) WO1	CM OR WAR SO1
CMC(D) Career Managers	CMC(D) CPO Supervisor	CMC(D) WO1
<b>CMC Faslane</b>		
CMC(F) WO1	CM OR WAR SO1	DACOS (CM)
CMC(F) CPO Supervisor	CMC(F) WO1	CM OR WAR SO1
CMC(F) Career Managers	CMC(F) CPO Supervisor	CMC(F) WO1
CMC(F) SPF Manager	CMC(F) WO1	MANOPS SM SO2
<b>CMC Culdrose</b>		
CMC(C) WO1	CM OR ENG AESO2	CM OR ENG SO1
Culdrose CMC CMs	CMC(C) WO1	CM OR ENG AESO2
Culdrose CMC LWtr	CMC(C) WO1	CM OR ENG AESO2
Culdrose CMC POMA	CMC(C) WO1	Culdrose DPMO
<b>CMC Yeovilton</b>		
CMC(Y) WO1	CM OR ENG AESO2	CM OR ENG SO1
Yeovilton CMC CMs	CMC(Y) WO1	CM OR ENG AESO2
Yeovilton CMC POMA	CMC(Y) WO1	Yeovilton PMO
Yeovilton MACCO Staff	CMC(Y) WO1)	Yeovilton DLSC
<b>CMC Marham</b>		
CMC(M) WO1	CM OR ENG AESO2	CM OR ENG SO1

## APPENDIX 3 TO ANNEX 1B

### STRATEGIC, OPERATIONAL AND TACTICAL GOVERNANCE OF THE JR MANPOWER PILLAR OF OC

#### 1. Strategic Governance

This will be ensured through routine dialogue between COMOPS, COS(CAP), ACNS(P), FOST and between ACOS(PCap), Hd NPS, Flotilla Cdrs/FGAs, Battle Staffs and TAS Cdrs. This dialogue will be supported by formal review of common data sets provided termly by CMCs (see [Appendix 4](#) to Annex 1B). Ideally, this termly review will be linked to DCINC's Termly Flotilla Cdrs' Mtg and will cover:

- a. Strategic manning issues – Fleet and environment wide.
- b. Fleet Manpower Prioritisation and Future Programmes.
- c. Longer-term issues.

#### 2. Operational Governance

CMCs are under the line authority of SO1 MANOPS for the delivery of OC/tactical (e-OPDEF and e-PERREQ) outputs, and for day-to-day administrative aspects (including OJAR/SJAR reporting). For branch specific Career Management outputs, CMCs are functionally accountable to separate NPT CM SO1s, and for augmentation tasking/delivery to ACMP SO1. Governance will be further assured through formal processes, including:

- a. **Termly**
  - (1) **CMC Steering Group.** CMC SO2/WO1s/SO2 CM/NPT Meetings (minuted). These should be arranged by each CMC WO1 and take place at West Battery or the CMC as convenient to the NPT SO1s' programme.
    - (a) D&G from SO2/NPT CM and BM SO1s.
    - (b) Feedback from CMC WO1s.
  - (2) **CMC Working Group.** ACOS(PCap)/ManOps-convened co-chaired by CNPers ManOps and a CM representative (from West Battery)
    - (a) OC priorities, issues, trends and new operational requirements.
    - (b) OC and pan-branch policy and process.
    - (c) FGA and Scheduling perspectives.
    - (d) Augmentation policy, processes and scheduling
    - (e) MANOPS SO1 to visit all CMCs to collate best practice that will be issued by the CNPers CM Coord Team.
    - (f) CMC SO2s and/or WO1s invited to termly NPT 1\* reviews.

(g) Visits to CMCs by all NPT CM SO1s/and RCM SO2s, and DACOS CM COS

b. **Monthly.** Local CMC formal discussion with Flot/FGAs and TAS Cdrs, for Stats, trends, OPP, CMC and OPDEF data.

### 3. Tactical Level Governance

This will be ensured through formal and informal processes, accountable through MANOPS (OC delivery/tactical management of e-OPDEFs and e\_PERREQs), NPTs (for Career Management outputs) and ACMP (for augmentation including Op Tours) as follows:

#### a. Responsibilities

(1) On a day-to-day basis, CMC Managers (SO2/WO1) are responsible for managing issues and optimising manning delivery based on (see [Appendix 4](#) to Annex 1B):

(a) Service need – OC delivery and tactical management of manning deficiencies (e-OPDEFs and e-PERREQs).

(b) Meeting COMOPS Task priorities, FGA Force Generation plans and Fleet Manning Priorities.

(c) Optimised Pipeline flow and pull through to Petty Officer

(2) MANOPS will lead a weekly VTC meeting covering:

(a) OC and emergent related CM issues.

(b) Weekly ManOps Rolling Issues brief to ACOS(PCap).

(3) Additionally, the following data, which is not exhaustive, should be compiled and monitored by CMCs and be available by request to NPTs as required:

(a) Gapping and predicted gapping

(b) VO rates

(c) Medically downgraded (SOS, MND, MLD, including personnel assigned MA7 MTM)

(d) Overbearings

(e) Augmentation and Op Tour commitments

- (f) Strength by specialisation and rate
- (g) Churn/personal turbulence
- (h) Personnel that are assigned to MA1, MA2, MA4, MA5, MA6, MA7 and MA10 MTMs

APPENDIX 4 TO ANNEX 1B

CMC FUNCTIONS, DEPENDENCIES AND RESPONSIBILITIES



**Note.** Although these CONOPS have not yet been reissued, all references to WMOs should now refer to Career Management Cells (CMCs).

Functions	Responsible to	Requirements
<b>CMCs</b>		
Managing the short term JR requirement at less than normal assignment notice (3 – 5 months).	PERS OPS, PERS PLANS, Flotilla, Force Cdrs (COMOPS)	Hub D&G, Approvals, assurance & oversight.
Resolvable within the CMC Irresolvable within the CMC Resolvable outside FLEET Irresolvable outside FLEET	CMC Inter-CMC / PERS OPS  CMC CM/BM	Priority and P&G. Transparency between CMC and common tools.
Unit sustainability	CMC/Unit (Flotilla), Force Cdrs	D&G, priorities.
Augmentation:		
Enduring FLEET Operational Decorational	PERS PLANS	Fair apportionment.
Local events/exercises	Flotilla/NBC/TAS	Prioritisation, realistic bids, clarity. All requirements passed to for Events Diary.
Career advice to JRs and SRs (manage expectations) (Ratings Career Advisor).	CNPers, CMs, CMC CMs.	Training, regular updates, empowerment of OIC CMC. Hub D&G on advice to SR.
PERREQ/OPDEF of Officer, SR and JR.	Unit, PERS OPS, Flotilla, Force Cdrs, CMs.	Policy involvement. See Flotilla responsibilities for OPDEF / PERREQ.
Support to NPFS (CMs).	Rating/Unit/CM/BM	Early disclosure, consultation and liaison.
Long term Career Management of JRs (including oversight and action of AB2 – AB1 process).	Individual (where possible), CM and BM, Units, FCIG (as the PLoD lead).	Priorities, apportionment of promotions and GTS, common CM tool, accurate and transparent data, FLEET operational and maintenance programme notification, visibility of augmentation liability, priority system of DV, faster DV process, clear termination policy.

Functions	Responsible to	Requirements
Coordination and supervision of JR CM plots:	BM/CM	Close consultation between JR and SR CM
Promotion to PO (push & pull)	BM/CM	Push/pull communication
Acting Local PO (push) Sideways Transfer Inter-service transfer	BM/CM//Unit/Rating	Liaison with Branch Mgr
Regional Temporary Employment Cell / MACCO function (Geographical, some CMC only)	NBC/Flotilla/TAS	To be included in future RIE and SLA.
Divisional Support  CMC staff MCM Squads & Survey squads	PERS OPS/  AWO/TDA/Ship's Mgr CMC/COMPORFLOT	Ownership clarification Recovery Cell formalised Formal lines of authority
Identifying PLoD risks	PERS OPS / Flotillas / FCIGs and CMs	SPOC for pan-branch, D&G on reporting lines to CMC information flow.
AB2 Pull	CMs/CNPS	Distribute AB2 reports to Flotilla units, hasten any rating overdue or recorded authorised extensions.

## Functions of associated organisations:

Function	Needed to complete	Comment
<b>PERS PLANS</b>		
Promulgate apportionment.		
Compile and maintain an Exercise and Events diary to feed Hub apportionment process.	Input from Flotillas, units managed by the CMCs.	
Provide clarity wrt job and training requirements		
Fair and proportional apportionment for non-operational centrally driven requirements.		
Provide rationale for apportionment of the HRC.		
<b>PERS OPS</b>		
Provide D&G to CMCs for short term manning within assignment notice (normally 3 – 5 months)	Weekly VTC	PERS OPS will chair the weekly VTC as the primary means of providing D&G to CMCs.
Develop and implement a standard P&G format.		
Authorise ERP activation		
Promulgate the OPDEF/PERREQ/Manning process following consultation with all stakeholders.		
<b>The HUB</b>		
Provide D&G to CMCs for long term manning out with the minimum assignment notice (>5 months).		
Provide solutions to support resolution of manpower OPDEFs	Hub Career Managers	



Function	Needed to complete	Comment
Provide advice to CMCs and PERS OPS on short term issues affecting long term sustainability.		
Direct, based on CMC bids, the apportionment of phase 2 & 3 GTS Ratings to the CMCs.		
Provide oversight of Ratings overdue advancement from AB2 to AB1.		
Direct, after liaison with CMC CMs, to pull LHs to attend POQC.		CMCs to take assignment action in all cases.
Provide early indication of Branch/Inter service transfers.		
Direct the level of Careers Advice provided by CMC staff to Senior Ratings.		
Direction on landed squad management.	Desk Instructions / BR3.	
Provide apportionment, via PERS PLANS, for operational augmentation within single branch and pan-branch.		
Provide access via the CM Coord for pan-branch issues.		
Deliver training to all CMs and identify an appropriate training solution.		
Identify and direct a formal handover process and timescale for CMs.		
At all times identify best practice and apply appropriate policy and standards.		
<b>OTHERS</b>		
Provide solutions to support resolution of manpower OPDEFs	Flotilla / Force Cdrs	
Provide an events diary to CMC with a 6 month look ahead.	Flotillas / NBC / TAS	
Flotilla / NBCs and TAS to agree SLA for non Career Management roles of CMC	Flotillas / NBC / TAS	NoK Informing
Overview of the executive manpower function, including SSPT.	Flotilla / TAS	
Conform to SLA for secondary function of Recovery Cell and Temporary Employment Cell functionality.	Flotillas / NBC / TAS	
Accountability for M&T information in JPA casualty notification required for accurate JPA data	Unit CO	
Early disclosure / liaison and recommendation before final outcome decided.	NPFS	
Planned and accurate training requests	Units	
Propose solutions for the resolution of manpower OPDEFs and implement them from within Flotilla resources where specifically authorised to do so.	Flotilla / Force Cdrs	
For PERREQS: Flotillas are to propose solutions and discuss them with Career Managers and PERS OPS (Forward) implementing the action where specifically authorised to do so from within Flotilla resources.	Flotilla / Force Cdrs	

## ANNEX 1C

### DATA PROTECTION ACT 1998

#### 1. Summary

a. The Data Protection Act 1998 (DPA98) is designed to protect an individual's privacy and to safeguard them from any harm or embarrassment that could be caused by the loss or unauthorised disclosure of their personal data, and sets out both the responsibilities of organisations (Data Controllers) and the rights of individuals (Data Subjects) for the handling of personal data.

b. Individuals may suffer harm if personal data stored and processed about them is:

- inaccurate, insufficient or out of date;
- excessive or irrelevant;
- kept for too long;
- disclosed to those who ought not to have it;
- used for inappropriate purposes; and
- not stored securely.

c. Such harm can present itself in different ways. Sometimes it will be tangible and quantifiable, for example the loss of a job. At other times it will be less well defined. For example, damage to professional and/or personal relationships and social standing arising from illicit disclosure of personal data. There is also harm which goes beyond the immediate impact on individuals. The harm arising from improper use of personal data may, at least initially, be imperceptible or inconsequential to individuals, but cumulative and substantial in its impact on the Royal Navy and the MOD as a whole.

d. The Naval Service and the MOD are legally bound by the provisions of DPA98, and it is the **personal responsibility** of all Service and Civilian staff to store and process the personal data within their care in accordance with the eight DPA98 principles described below.

#### 2. What is Personal Data?

a. DPA98 uses the term personal data to describe any information relating to a living individual (the Data Subject) who can be identified from that information in the possession of the Data Controller – in this case the Naval Service.

- b. Some common examples of where personal data is to be found are:
- Service and Civilian Personnel Files, Staff Performance Appraisals and Training Records;
  - contact details;
  - pay slips and pay and pension records;
  - job applications;
  - Medical, Welfare and Equality & Diversity records;
  - legal records and criminal investigations;
  - disciplinary records; and
  - security vetting records.

### 3. DPA98 – A brief Guide

- a. In order to comply with the provisions of DPA98 the Naval Service must adhere to the eight Principles set out in the Act. In summary, these Principles are as follows:
- b. Personal data shall be;
- (1) Obtained and processed fairly and lawfully;
  - (2) Obtained and processed for a specific and lawful purpose;
  - (3) Adequate, relevant and not excessive for the purpose it is intended for;
  - (4) Accurate and kept up to date;
  - (5) Kept for no longer than is necessary;
  - (6) Processed in accordance with the individual's rights;
  - (7) Kept safe from unauthorised access, accidental loss or destruction;
  - (8) Not transferred to a country outside the European Economic Area (EEA), unless that country has equivalent levels of protection for personal data.
- c. DPA98 creates two categories of personal data known as 'Sensitive Personal Data' and 'Protected Personal Data'.

(1) **Sensitive Personal Data.** This is personal data that might incite harassment, discrimination or persecution if released. It includes:

- racial or ethnic origin;
- political opinions;
- religious beliefs;
- membership of Trades Unions;
- physical or mental health or condition;
- sexual life; and
- allegations of or convictions for criminal offences.

The sensitive nature of this personal data is such that its unauthorised disclosure may cause particular harm or distress to individuals, and consequently, DPA98 stipulates additional processing criteria.

(2) **Protected Personal Data.** This is personal data that does not meet the narrow DPA98 definition of Sensitive personal data, but would cause particular damage and distress to individuals if it were lost, misused or inappropriately disclosed. For example, it may be used for fraudulent purposes such as identity theft. It includes:

- National Insurance numbers;
- bank account details;
- credit card details;
- personal telephone numbers; and
- dates of birth.

#### 4. **Storing and Processing Personal Data**

a. All personnel must comply with the following rules and guidelines for storing personal data:

- where computer shared areas (Team Sites) are used, personal data must be only be stored within areas that have appropriate access restrictions to limit access to authorised personnel only. Personal data must not be stored in unprotected shared areas that can potentially be accessed by unauthorised personnel;
- all computer files containing personal data must be password protected;

- care should be taken when naming computer files containing personal data so that the nature and content of those files are not revealed by the file name. For example, a file named 'Notes from John Smith Disciplinary Hearing' may be appropriately filed so that unauthorised personnel cannot read its contents, but it could still cause harm to that individual if unauthorised personnel are able to view the title of the document;
  - within MOD it is a mandatory requirement that removable memory devices and laptop hard disks holding personal data must be encrypted;
  - users of laptops or other portable electronic devices which have full hard disk encryption installed must ensure that when the laptop is not in use, the laptop and any security token (such as BeCrypt) and password are kept separate so that in the event that either is lost or stolen, data on the laptop is not compromised;
  - a laptop that does not have its hard disk encrypted must not be taken off MOD sites regardless of whether it contains personal data;
  - the amount of personal data held on laptops and portable storage devices should be the minimum necessary to carry out the task;
  - all personal data must be deleted from laptops and portable storage devices once it is no longer required;
  - personal data must not be sent over the internet unencrypted. In individual cases some personal data, provided it is at a level no higher than UNCLASSIFIED, may be sent over the internet to the data subject if the data subject has provided their explicit written consent;
  - personal data should not be viewed, whether on a laptop or in paper form, in a public place (for example on a train);
  - personal data should not be discussed where a third party may overhear the discussion. This applies to both public places and MOD sites; and
  - the identity of people seeking access to personal data (whether about themselves or others) must be verified and their legal entitlement to receive such information established.
- b. All personnel must observe the following rules and guidelines for processing personal data:
- **processed fairly and lawfully.** Personnel should question why the personal data exists and what it is used for, and ask whether the data subject knows what the data is used for. Navy Command must have legal grounds for processing the personal data. Where there is neither implicit nor explicit consent from the Data Subject to do so, personnel should seek advice on whether they can lawfully process the data;

- **obtained for a specific and lawful purpose.** Personnel should take care that they do not process personal data for a purpose for which it was not originally intended and should ensure that the data subjects have given their prior consent where the basis for processing that data has changed. For example, a list of addresses held for emergency recall purposes cannot also be used as a target list for advertising or mailing information;
- **adequate, relevant and not excessive for the purpose it is intended for.** There must be just enough personal data upon which to base decisions to meet the purpose, and no more. Personnel should not collect additional personal data on the basis that it might be useful, and should ensure there is an appropriate business need for any processing of personal data;
- **accurate and kept up to date.** Personnel should make sure that the personal data is accurate to begin with, and that there is a procedure in place, and utilised, for keeping personal data up to date. Periodic data cleansing should be carried out to ensure any errors are detected and rectified;
- **kept for no longer than necessary.** Personnel should ensure that procedures are in place, and followed, for disposing of personal data promptly and routinely when there is no longer a business need to keep it;
- **processed in accordance with the individual's rights.** Personnel must not disclose personal data outside MOD unless there is a lawful reason to do so. Personnel should be aware that individuals have the right to see any personal data that is held on them and to have it corrected if necessary; and
- **kept safe from unauthorised access, accidental loss or destruction.** Personnel should ensure that only the persons authorised to process the personal data have access to it, and that the personal data is sufficiently protected both physically and digitally with encryption and password protection.

## 5. The consequences of breaching DPA98

- a. The Information Commissioner's Office (ICO) may serve an enforcement notice where it is satisfied that an organisation has failed (or is failing) to comply with any of the eight DPA98 Principles. An enforcement notice may require an organisation to take specified steps to comply with the Principle(s), or not to process any personal data, either at all, or for a specified purpose, or in a specified manner. Failure to comply with an enforcement notice is a criminal offence.
- b. The ICO has statutory powers to impose a financial penalty on an organisation if it is satisfied that there has been a serious breach of one or more of the DPA98 Principles, and the breach is/was likely to cause substantial damage or distress.

## 6. Subject Access Requests

a. A Subject Access Request (SAR) is a request by an individual for access to, or information about the personal data an organisation is storing and processing about them. Under DPA98 organisations are obliged to disclose personal data to the individual within 40 calendar days from receipt of a valid written request. Within the MOD, individuals submitting a SAR are encouraged to do so using MOD Form 1694 (see [Figure 1C-1](#)). Whilst the applicant can expect to receive the majority of information held about them, some exemptions to disclosure may apply. Exemptions that may be claimed are:

- confidential references;
- management forecasts;
- during negotiations with the data subject;
- to protect combat effectiveness of the Armed Forces;
- for Judicial, Crown and Ministerial appointments, honours or awards;
- self incriminations in respect of a criminal offence; and
- prior to the release of data such as exam results.

b. SARs should always be complied with at the lowest possible level, and a formal submission should not in most cases be either necessary or appropriate. For example, someone wishing to check the accuracy of their contact details should not need to complete a MOD Form 1694 to do so. However, in such cases the person granting access to the personal data must always ensure that the individual making the request is the data subject. This is particularly important when requests are made by telephone or email.

c. A degree of common sense is required when considering whether a SAR can be answered in full by the unit, or whether it needs to be referred to the FLEET Disclosure Cell (for Naval personnel), or RFA Pers Ops (for RFA personnel) or the PPPA (for Civilian personnel) for further investigation. Contact details for each of these are as follows;

Naval personnel	RFA personnel	Civilian personnel
RN Disclosure Cell Mail Point G.2 Room 48 West Battery Whale Island Portsmouth Hampshire PO2 8DX	RFA Pers Ops Mail Point G.1 Room 13 West Battery Whale Island Portsmouth Hampshire PO2 8DX	PPPA People Services
MoD email: NAVY PERS-SEC DISC CELL SO2C	MoD Email: NAVY PERS-RFA CMTTL SO3	

## 7. Where to Seek Further Advice

- a. In the first instance, all DPA98 queries and requests for advice should be referred to the unit Data Protection Officer (unit DPO) who acts as the focal point within the unit, either providing advice as required, or referring specialist and complex queries to the Command Data Protection Officer (NAVY SEC-2 CDPO).
- b. The websites below provide more detailed guidance and advice:

**Navy Command Data Protection Act Project Support Team Intranet Website;**

<http://defenceintranet.diiweb.r.mil.uk/DefenceIntranet/Teams/BrowseTeamCategories/Orgbased/royal+navy/NavyCommandDataProtectionActProjectASupportTeam.htm>

**MOD CIO Data Protection Act Intranet Website;**

<http://defenceintranet.diiweb.r.mil.uk/DefenceIntranet/Admin/RespondToRequestsForInformation/ComplywiththeDataProtectionAct/ComplyWithTheDataProtectionAct.htm>

**JSP440 The Manual of Defence Security;**

<http://defenceintranet.diiweb.r.mil.uk/DefenceIntranet/Library/CivilianAndJointService/BrowseDocumentCategories/SecurityAndIntelligence/jsp440.htm>

**Information Commissioner's Office.**

<http://www.ico.gov.uk>



## 8. Freedom of Information (FOI)

Information on FOI is at [Annex 1D](#).

### Figure 1C-1. - SAR Form


See following pages

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Ministry of Defence		Data Protection Act 1998 Subject Access Request (SAR) Form		MoD Form 1694 – Jul 12	
<p>Please write in <b>BLACK</b> in <b>BLOCK CAPITAL LETTERS</b> inside the boxes.</p> <p>I am the Data Subject (The person the information is about): <input type="checkbox"/></p> <p>I am acting on behalf of the Data Subject: <input type="checkbox"/> Please complete Parts 1, 3 and 4 plus Part 6 if necessary.</p> <p>If you are seeking information on behalf of someone who is unable to act for themselves, you must explain your relationship, what information you require and why it is required. Please note that information relating to someone else will not be disclosed without the data subject's written consent or an appropriate Court Order or Power of Attorney. Accordingly I enclose:</p> <p>The Data Subject's written consent to disclosure of the information requested at Part 3: <input type="checkbox"/></p> <p>A Court Order (e.g. Power of Attorney) permitting release of the information requested at Part 3: <input type="checkbox"/></p> <p>My relationship to the data subject is: (Please specify e.g. Doctor/Solicitor/Spouse/Civil Partner/Father/Mother/Brother/Sister)</p>					
<b>Part 1 – Data Subject Personal Details</b>					
Surname:		Full Forename(s):		Title:	
Service/Staff No:		Rank/Grade:		Date of Birth:	
National Insurance Number:		Contact Tel. No:		E-mail address:	
MoD Service		Date(s) of Joining:		Date(s) of Leaving:	
Civilian: <input type="checkbox"/> Army: <input type="checkbox"/> Home Guard (HG): <input type="checkbox"/>		Royal Navy: <input type="checkbox"/> Royal Air Force: <input type="checkbox"/> County served in (HG):			
<p>Please provide the address that you want the information sent to plus your daytime telephone number (if different from above, in case we need to speak to you to discuss your request). If seeking information on behalf of someone else please provide your full name.</p>					
Surname:		Full Forename(s):		Title:	
Address Line 1:		Daytime Telephone:			
Address Line 2:		County:			
Address Line 3:		Postcode:			
Town:		Country:			
<b>Part 2 - What to do next</b>					
<p>Please complete Parts 3 and 4 plus Part 6, if necessary, and forward the form (plus written consent and/or court order if acting on behalf of the data subject) to the appropriate address below:</p>					
Royal Navy:	RN Disclosure Cell, Mail Point G.2 Room 48, West Battery, Whale Island, Portsmouth, PO2 8DX	DSG:	Data Protection Adviser, DSG Personnel Centre, DSG Sealand, Deeside, Flintshire, CH5 2LS		
Army & HG	APC Secretariat, Disclosures 2, Mail point 515, Kentigern House, 65 Brown Street, Glasgow, G2 8EX	Hydrographic Office:	DPA Focal Point, UK Hydrographic Office, Admiralty Way, Taunton, Somerset, TA1 2DN		
Royal Air Force:	RAF Disclosures Room 220, Trenchard Hall, RAF Cranwell, Sleaford, Lincolnshire, NG34 0HB	MoD Civilians:	People Services, APIS, J Block, Foxhill, Bath, BA1 5AB		
RFA Seafarers:	RFA Pers Ops, Room 13, Mail Point G1, West Battery, Whale Island, Portsmouth, PO2 8DX	Others e.g. the Public:	Main Building, G.M.13 Horse Guards Avenue, Whitehall, London SW1A 2HB		
DSTL:	DSTL SDPO, Room 5, Bldg 247, Porton Down, Salisbury, Wilts, SP4 0JQ	SPVA:	SPVA, Data Protection Team, Room 6303, Norcross, Blackpool, FY5 3WP		

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Data Protection Act 1998 - MOD Subject Access Request - MOD Form 1694

<b>Part 3 – Information Requested</b>			
State clearly the information you require, with dates where known <i>e.g. my medical records while serving at HMS Centurion 1990-1993</i>			
<p><i>Please provide as much information as possible to assist us in locating your data</i></p> <p><i>Continue using Part 6, if necessary</i></p>			
Please enter the number of Continuation Sheets used:			
 The MoD will use the information provided to locate the data sought. Your request will be processed in accordance with Departmental personnel policies under the Data Protection Act 1998.			
<b>Part 4 – Declaration by Requestor</b>			
<b>Verification of identity is required before your request can be processed:</b>			
I enclose as verification of identity a photocopy of my:		Passport: <input type="checkbox"/>	Driving Licence: <input type="checkbox"/>
		Utility Bill: <input type="checkbox"/>	Other: <input type="checkbox"/>
I declare that, to the best of my knowledge, the information I have provided on this form is correct.			
Signature:		Name in Capitals:	
		Date:	
<b>Part 5 – MoD Use Only</b>			
Actioned By: <i>(Name in Capitals)</i>		Date Received:	SAR Reference No:
Signature:		Date Responded:	

PRIVATE (When completed)

**PRIVATE** (When completed)  
Data Protection Act 1998 - MOD Subject Access Request - MOD Form 1694

Part 6 – Information Requested Continuation Sheet			
Only use this sheet where you have been unable to detail all of the information you are requesting at Part 3.			
Name in Capitals:		Service/Staff No:	Date:
<i>Please provide as much information as possible to assist us in locating your data</i>			
<i>Continue using another Part 6 sheet, if necessary</i>			
			Continuation Sheet No:

**PRIVATE** (When completed)

## ANNEX 1D

### FREEDOM OF INFORMATION ACT 2000 AND ENVIRONMENTAL INFORMATION REGULATIONS 2004

#### 1. Summary

a. The Freedom of Information Act 2000 (FOIA) and Environmental Information Regulations 2004 (EIRs) came into force on 1 January 2005. They provide members of the public with a statutory right of access to information held by public authorities ranging from Government Departments, through Parliament, to Local Government.

b. The FOI Act confers a general (and world-wide) right of access by members of the public to information held by public authorities and requires a response in writing within 20 working days from the date when the request is received in the MOD. In any case where it is necessary to contact the applicant to clarify what information is being sought, the 20 working day deadline will commence from the date on which sufficient clarification is received. In handling requests, units must be mindful that the timeframe will be eroded where elements of the requested information are held in different areas of MOD, or if the Request for Information (RFI) is first received in a part of the MOD which does not lead on the subject and therefore needs to be transferred.

c. Whilst on duty, or acting in an official capacity and whether in the UK or deployed, any member of the Naval Service or civilian official, may in principle receive a RFI directly from the public.

d. RFIs may be in electronic or paper form, and may be posted, faxed or e-mailed, or indeed handed in at the gangway of a ship or the main gate of an establishment. If the RFI contains the applicant's name, address (e-mail addresses are acceptable) and details of the information requested then, for the purposes of the Act, the MOD is in receipt of a valid request and the 20 day clock for a response has started. Consequently, speed of handling will be essential. Individuals receiving a RFI are legally responsible for ensuring this process is set in train. Accordingly, on no account is a RFI to be ignored or destroyed.

e. RFIs which request personal data about the applicant are subject to the Data Protection Act 1998 (DPA 98) and, as different processes apply, should continue to be handled in accordance with current guidelines as explained in the DPA part of this Annex.

f. Questions with an environmental aspect may come under the auspices of EIR and can (if necessary) be accepted verbally. However, applicants should be encouraged to contact directly the Navy Command HQ FOI Coordination Cell (referred to in this Annex and on the website as the Naval Service FOI Coordination Cell (NSFOICC), but the question should in any case be transcribed by the original recipient and forwarded to the Cell for immediate action as if it were an RFI.

## 2. Right to Information

- a. Any person making a request for information to a public authority is entitled:
  - to be informed in writing by the public authority whether it holds information of the description specified in the request; and
  - to have that information communicated to them.
- b. All recorded information falls within the scope of the Act not just that recorded within official files but also e-mails, notebooks, photographs, wallcharts, etc.
- c. The Act provides a right to “information”, rather than documents or records. However, the most practical means of providing any information is likely to be in the form of copies of particular records or documents. Of course there are good reasons why some information cannot be made freely available to members of the public. The Act and Regulations recognise this but nonetheless require us to be as open as we can and to justify any refusal to share the information we hold.
- d. The above does not apply if the information is covered by:
  - an absolute exemption; or
  - public Interest Tested (PIT) exemption (qualified), and the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
- e. There are 23 exemptions in total. Some are absolute and include personal information, data relating to Special Forces and information which is already available through other means. The majority are, however, qualified exemptions which require a PIT and can apply to (for example) Defence, National Security and information intended to be published in the future.
- f. Being the single authority for logging, tracking, collating and responding to RFIs in the Navy Command HQ, the NSFOICC is responsible for communicating directly with the applicant, tracking the progress of the RFI and agreeing the content of releasable information with information holders and Subject Matter Experts (SMEs). On receipt of an RFI, either directly from the applicant, via MOD Chief Information Office (CIO) or a receiving unit, the NSFOICC will identify the relevant FOI Focal Point or SME likely to “own” the requested information and will forward the RFI asking them to provide the data and also their views on its potential release. If the information is to be withheld, robust specific arguments must be provided.
- g. Information cannot be withheld simply because disclosure will be embarrassing to MOD. The disclosure of information must cause real harm, not merely embarrassment.

h. There is no automatic exemption for classified information. If the information requested carries protective markings, it will be for the document owner to explain the sensitivities, to the satisfaction of the 1\*. A protective marking on a document will not automatically exempt the information within it. All cases are dealt with on their merits.

i. If data is to be withheld, MOD policy requires that this decision be authorised at 1\* level - Deputy Command Secretary (DCS) - and its justification under the Act be fully documented in case of an appeal by an applicant to the Information Commissioner.

j. If requests for information are refused under the permitted exemptions within the Act or Regulations, the requestor has recourse to a specified appeals process. This can eventually be heard by the Information Commissioner (who can be thought of as the independent ombudsman for FOI) whose decision is final and legally binding. Details of how to appeal are sent out with every response from the Cell.

### 3. Key Principles in Responding to RFIs

Ensuring that the Department answers requests for information promptly is a shared responsibility.

- make sure that individuals within your unit know who is responsible for FOI/EIR.
- pass on without delay any request which is not your responsibility. The 20 day clock starts as soon as the request is received within the organisation;
- practise good records management as laid down in JSP 441 "Defence Records Management Manual". This should ensure information can be quickly identified and retrieved. If you have to spend the 20 days just locating and retrieving the information requested, it won't leave any time at all for consulting and deciding on the recommendations for its potential release/non-disclosure; and
- remember that the 20 working days limit begins as soon as a request is received by a public authority. Within this timescale a public authority must either provide the information or explain, as fully as possible, why it is not going to do so.

### 4. Key Principles to Remember

a. Do not wilfully destroy or alter any original documents that are the subject of a RFI. Under the legislation this is a criminal offence for the individual official responsible (not the authority), carrying a potential fine of up to £5,000. Any document for destruction must be handled in accordance with your unit's record management arrangements.

b. Embarrassment is not a legitimate reason for refusing to disclose information.



## 5. Contacts/Useful Links

a. If FOI requests, queries and requests for advice should be referred to the NSFOICC which is located in Navy Command HQ. The Cell handles questions which fall within the Naval Service's area of responsibility and acts as the point of entry and exit for such correspondence with the public. Their contact details are as follows:

### Postal Address:

Navy Command HQ  
NSFOICC  
Leach Building  
Whale Island  
Portsmouth  
PO2 8BY

**Tel:** Civ: 023 92 625190  
Mil: 93832 5190

**Fax:** Civ: 023 92 625279  
Mil: 93832 5279

**Email:** NAVYSEC-FOIMAILBOX@MOD.UK

b. The websites below provide more detailed guidance and advice:

### NSFOICC Intranet Website:

<http://defenceintranet.diif.r.mil.uk/Organisations/Orgs/Navy/Organisations/Orgs/DRes/HdCOMMS/Pages/NCHQFOI.aspx>

### MOD Freedom of Information Intranet Website:

<http://defenceintranet.diif.r.mil.uk/POLICY/INFO/FOI/Pages/FOIHome.aspx>

### Ministry of Justice Website – FOI:

<http://www.justice.gov.uk/guidance/freedom-of-information.htm>

### Information Commissioner's Internet Website:

<http://www.ico.gov.uk/>

### Defra Website – EIR:

<http://www.defra.gov.uk/corporate/policy/index.htm>

## 6. Data Protection

Information on Data Protection, and a copy of the Subject Access Request (SAR) form is at [Annex 1C](#).

## ANNEX 1E

### REGIONAL LEGAL OFFICE CASEWORK

#### 1. Purpose and Organisation

The Regional Legal Offices (RLOs) sit within the Naval Legal Service organisation and exist to deliver a consistent approach to the handling of personnel casework at higher authority level. RLOs provide advice to units on both disciplinary and non-disciplinary administrative sanctions. Contact details are at [Para 5](#). Advice should be sought from the appropriate RLO or Staff Legal Adviser (3 Cdo Bde, MOC, CSF).

#### 2. Authority

The delegated authority for deciding administrative applications is set out at Annex 54A. When personnel casework is forwarded by a Commanding Officer to NCHQ as the higher authority it will be considered by an officer of OF5 or above, exercising the delegated powers of NavSec.

#### 3. Responsibilities

The RLOs are responsible to Dir P&T/NavSec for oversight and legal staffing of the following casework (all actions refer to Officers and Ratings/Other Ranks where they are applicable to both):

- a. Administrative Discharge (Shore and SNLR for Ratings and Other Ranks) (see Chapter 54).
- b. Application to remove or suspend an individual from their assignment, including Command Assignment (see Chapter 60).
- c. Applications for withholding of promotion or re-promotion following withholding of promotion (see Chapter 67).
- d. Application for disrating or reversion or re-promotion following disrating or reversion (see Chapter 70).
- e. Application for Censure (see Chapter 20 and BR 2).

#### 4. Administrative Applications (See Chapter 54, Chapter 57 and Chapter 60)

Where a CO wishes to take an administrative action in relation to an individual under their command, the guidance at Annex 54F should be followed. Where action cannot be approved locally, a written application should be made, by name, to Dir P&TNAVSEC c/o Regional Legal Office and, as a minimum, should contain the following:

- a. **Title.** The title is to indicate exactly what the Application is for and to whom it relates eg. 'APPLICATION FOR DISCHARGE SHORE TU(I) – ET(ME)1 J F SMITH, 30234567'.
- b. **Introduction.** The introduction should detail the policy references and articulate exactly what action is being applied for by the CO, and on what basis.



- c. **Background.** An outline history of the case should be provided including a brief summary of the individual's service, any relevant matters such as periods of warnings, MPARs, significant failures in professional performance, and any administrative or unspent disciplinary action taken against the individual.
- d. **Considerations.** The CO should outline their thought process and explain to the Deciding Officer why the application is considered appropriate, and (where relevant) why they have discounted other possible courses of action. This should include a discussion of why the CO thinks the case fits within the relevant policy, or why that policy should be departed from. It is not possible to cover every eventuality, but the published policy provides helpful guidance to help the CO articulate the reasons why they are applying for the most suitable measure.
- e. **Representation.** Individuals who are the subject of applications must be given full disclosure. This means that subjects should be given a hard copy of the draft application letter and ALL supporting evidence or enclosures, including the policy references, but not legal advice. The CO must ensure that the individual is afforded the services of an Assisting Officer and given at least 24 hours to decide whether to make a representation against the application. Should the individual decide to make representation, they should be given at least a further 48 hours to prepare that representation or such longer time as is reasonable in the circumstances. Where a representation is submitted, the CO must take this into account before finalising the application to the RLO, acknowledging this formally in the application letter. Those who choose to not make a representation must sign a waiver to this effect (an example is at Annex 54J) and this must accompany the application. There may be exceptional circumstances where this is not possible; these circumstances should be discussed with the RLO and must be explained in the application letter.
- f. **Recommendation.** The CO should conclude the application by summarising why and on what basis the application is being made.
- g. **Enclosures.** An application for most forms of administrative action must be accompanied by a copy of a Special (SPEC) SJAR/OJAR, a signed Representation or Waiver of the Right to make Representation (an example is at Annex 54J), and any relevant evidence such as warning proformas, unspent disciplinary records or police investigations (a guide is at Annex 54E). Signed copies are required, although a scanned signed copy may be used in order to expedite the process. All enclosures must be disclosed to the individual prior to application being made.

**5. Contact Details**

The addresses and contact details of the Regional Legal Offices are as follows:

**Table 1E-1. Regional Legal Offices**

Regional Legal Office (East) MP 2.2 West Battery Whale Island PORTSMOUTH Hampshire PO2 8DX	NAVY LEGAL-RLO MAILBOX (MULTIUSER)	93832 8718 02392 628718
Regional Legal Office (North) Command Building HMNB CLYDE HELENSBURGH Argyll and Bute G84 8HL	NAVY LEGAL-RLO MAILBOX (MULTIUSER)	9375 67182 01752 557183
Regional Legal Office (West) Room G43 Grenville Block HMS DRAKE HMNB DEVONPORT PLYMOUTH Devon PL2 2BG	NAVY LEGAL-RLO MAILBOX (MULTIUSER)	93255 3736 01436 677222
Northwood Legal Adviser Commander Operations Maritime Operations Centre Northwood HQ Sandy Lane NORTHWOOD Middlesex HA6 3HP	NAVY LEGAL-LEGAD NORTHWOOD	9360 56101 01923 956101
3CDO BDE HQ 3 Commando Brigade RM RMB Stonehouse Durnford Street PLYMOUTH Devon PL1 3QS	3CDOX-HQ LEGAD	9375 36281 01752 836281