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OIA-2023-4841

8 November 2023

[REDACTED]
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Dear [REDACTED]

I refer to your letter of 11 October 2023 requesting, under the Official Information Act 1982 (OIA), the following:

1. *A copy of the Royal New Zealand Navy Administration Manual (NZBR 1),*
2. *Health Directives of the Royal New Zealand Navy (RNZN) regarding the entry criteria of an ex-member of the New Zealand Defence Force (NZDF) into the Naval Reserves,*
3. *All relevant information regarding the scope of discretion the Commander Naval Rating Management (CNRCM) has for ratings in their assessment of an ex-member of the NZDF entry into the Naval Reserves,*
4. *All relevant information, including RNZN Health Directives regarding the procedure for assessing the medical history of an ex-member of the NZDF regarding entry into the Naval Reserves.*

A copy of NZBR 1 - Royal New Zealand Navy (RNZN) Administration Manual is enclosed. There is no longer a single service 'Health Directive' that refers to Reserve/Territorial Force personnel. The New Zealand Defence Force (NZDF) Defence Health unit is the technical authority for all three Services (Navy, Army and Air force). In policy, the term Territorial Force (TF) covers all TF personnel, including Reserve Force personnel. TF is the overarching term used in the Defence Act 1990 and is referenced in Defence Force Order (DFO) 3 - NZDF Human Resource Manual.

DFO 3 refers to the Health Directives of the RNZN in relation to the entry criteria of an ex-member of the NZDF into the Naval Reserves. The DFO references the enclosed Defence Health Directive – Naval Volunteer Reserve Grading (enclosure 2), which defines the process for maintaining command visibility of medical fitness to deploy for RNZN Volunteer Reserve personnel.

In addition, NZBR 1 defines Recruitment and Enlistment criteria, detailing the three streams of entry into the Naval Reserves. Refer to section 1.11.18 of RNZN BR 1.

Defence Health Rule (DHR) 11 – Recruit Standards and Processes Chapters 1 and 5 describe the health standards and processes for assessing the suitability of applicants with previous military experience (NZDF Regular Force/Territorial Force and/or a foreign defence force) for reenlistment or recruitment respectively into the NZDF. Relevant excerpts from DHR 11 are provided at enclosure 3.

The position of Commander Naval Ratings Career Management (CNRCM) was disestablished as part of the Career and Talent Management Realignment, with effect from 24 July 2023. Delegations now held by Career Talent Management (CTM) Commanders, who are the successors of the CNRCM position, have no scope of discretion to deviate from accepted medical advice provided by medical professionals based on their professional judgement. Other criteria and assessments (including consideration of waivers, potential security risks, and previous service history) are also taken into consideration for the suitability of ex-NZDF members' entry into the Naval Reserves.

While these circumstances do allow CTM Commanders the ability to exercise some discretion, this is not done over pervading medical advice. Command Medical Waivers that are recommended by CTM Commanders are to be approved by the Principal Medical Officer (PMO). Only the Deputy Chief of Navy can override the PMO decision.

Personnel requiring entry into the Naval Reserves are checked in accordance with recruit guidelines using the enclosed flowchart process (enclosure 4), and in accordance with NZBR 1 and the DHR 11 guidelines described above.

You have the right, under section 28(3) of the OIA, to ask an Ombudsman to review this response to your request. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

Yours sincerely

AJ WOODS

Air Commodore

Chief of Staff HQNZDF

Enclosures:

1. NZBR 1 Administration Manual
2. Defence Health Directive Naval Volunteer Reserve Grading
3. Excerpts from DHR 11 NZDF Personnel: Health Provisions
4. DHR 11 flowchart medical process

Authority Order

NZBR 1 - Royal New Zealand Navy Administration Manual

Issued by the Chief of Navy, Headquarters New Zealand Defence Force

Authority

1. *NZBR 1 - Royal New Zealand Navy Administration Manual*, is issued and promulgated under the delegated authority of the Chief of Defence Force to the Chief of Navy, Headquarters New Zealand Defence Force, pursuant to the *Chief of Defence Force's General Orders*.

Conflict

2. Nothing in this publication is to be construed as prevailing over any relevant Act of Parliament or regulations made under it, or Defence Force Orders and Directives issued and promulgated by the Chief of Defence Force.
3. Any conflict between the mandatory requirements stated in this publication and any other policy, order, rule or procedure issued within the New Zealand Defence Force is to be reported to the Custodian without delay.

Custodian

4. The Custodian of NZBR 1 is the Director of Coordination (Navy).

Approving Officer

5. The Approving Officer for NZBR 1 is the Director of Coordination (Navy).

Amendments

6. Proposed amendments or improvements to NZBR 1 are to be forwarded through the normal command chain to the Custodian.
7. Typographical errors are to be brought to the attention of the:
RNZN Publications Team
HMNZS PHILOMEL
Auckland
Email: @Navy.Publications

Approved to publish

R.M. SAYNOR
Commander, RNZN
Director Coordination (Navy)

15 June 2023

Record of Amendment

Amendments to this publication are annotated with a 'blue side bar' revision mark in the left hand margin, as shown in this paragraph.

Version		Amendment Effect
No.	Date	
1	24 Jul 20	Amendment No. restart at 1 and new NZDF templates and styles applied to this publication. Part 0 - "Chapter 2 - Naval Capability Board" - updated "Annex 2-A. Information Flow Diagram for NCB" - updated Part 3 - "Chapter 2 - Naval Casualty Instructions" Article "3.2.13 Reports of Casualties" - amended to include NAVOSH as signal addressees
2	27 Aug 20	Part 1 - "Chapter 5 - Workplace Environment" Insert new Articles: "1.5.24 Anti Hazing Guidance" "1.5.25 RNZN Position on Hazing" "1.5.26 Accountability and Enforcement" "1.5.27 Looking After our Sailors" "1.5.28 Accessing Assistance" "1.5.29 What Does Success Look Like?" "1.5.30 Distribution" Renumber sequential article numbers.
3	28 Aug 20	Part 0 - "Chapter 2 - Naval Capability Board" Amend Article: "0.2.06 Composition of the NCB" Insert new sub para a(3) and para c.
4	24 Sep 20	Insert new: Part 5 - "Chapter 2 - Navy Instruction for Financial Management" "Annex 2-A. RNZN Internal Financial Management Structure" "Annex 2-B. Navy Budget and Accountability Structure" "Annex 2-C. Financial Management, Budget Tool and Templates" "Annex 2-D. Financial Management Reporting Matrix"
5	14 Oct 20	Part 3 - "Chapter 1 - Safety, Health and Environmental" Amend Articles: "3.1.73 Grey Water" "3.1.74 Sewage" "3.1.75 Garbage" Articles updated to have NZBR 2001, Chap 3 as the reference.
6	30 Oct 20	Part 3 - "Chapter 2 - Naval Casualty Instructions" Insert new Article: "3.2.79 Recognition of Service"
7	15 Sep 21	Approving Officer updated to: A.S. HOWIESON Commander, RNZN Director Coordination (Navy) Part 1 - "Chapter 11 - The RNZNR and RNZNVR" Amend Article "1.11.24 Transfer of Regular Force Personnel to the Naval Reserve" Update para c. to remove text that states the need for Warrant Officers to submit a request to CN to retain their rank on transfer to Naval Reserves.

Version		Amendment Effect
No.	Date	
8	29 Sep 21	Part 4 - "Chapter 3 - Personnel Establishment Management" "Annex 3-A. Glossary of Acronyms and Abbreviated Terms" - update table Insert new: Part 5 - "Chapter 1 - RNZN Strategic Planning and Management Process" "Annex 1-A. RNZN Strategic Planning and Management Overview" "Annex 1-B. RNZN Strategic Planning and Management Timeline"
9	30 Sep 21	Part 0 - "Chapter 2 - Naval Capability Board" Amend Article: "0.2.06 Composition of the NCB" Article updated to include extra members and responsibilities.
10	22 Nov 21	Part 1 - "Chapter 4 - Position Descriptions" "Section 21 - The Naval Police" Amend Articles: "1.4.247 Naval Police Duties: Responsibility and Authority" "1.4.248 Naval Police Posted to Ships" "1.4.251 Responsibilities with Regard to Customs" "1.4.252 Responsibilities with Regard to Patrols and Escorts" "1.4.253 Responsibilities with Regard to Visits and Rounds" "1.4.258 Books and Records to be Kept" Updated to reflect name change of Military Police Unit (MPU) to Joint Military Police Unit (JMPU) and other minor updates.
11	26 Jan 22	Part 1 - "Chapter 4 - Position Descriptions" "Section 2 - Engineer Officer" - originally <i>Engineering Officer</i> Update References. Amend Articles: "1.4.14 Professional Expectations" "1.4.15 Head of Fleet Element (FE) Engineering Department" "1.4.16 Engineer Officer - General Duties and Responsibilities" "1.4.17 Engineering Qualification Requirements by Ship Class" Updated due to the removal of the STCW qualification.
12	3 Feb 22	Part 3 - "Chapter 2 - Naval Casualty Instructions" Amend Article "3.2.11 Nominal Lists" Updated to have a more accurate list of personnel borne on RNZN Ships on sailing from DNB.
13	3 May 22	Part 0 - "Chapter 3 - RNZN Armament Certification Board" - insert new Establishment of the ACB and to provide government direction
14	5 May 22	Part 1 - "Chapter 5 - Workplace Environment" Remove <i>Section 2 - Gender Diversity Support to the Fleet</i> - now obsolete
15	29 Jun 22	Part 1 - "Chapter 3 - Workforce Governance" (previously known as Chapter 3 - Branch Leadership Boards) Entire chapter updated. Insert new Annexes: "Annex 3-A. RNZN Workforce Governance - Structure" "Annex 3-B. RNZN Strategic and Operational Workforce Governance Roles and Responsibilities Matrix" "Annex 3-C. Category Captain Terms of Reference" "Annex 3-D. Branch Head/Capability Commander Terms of Reference" "Annex 3-E. Head of Trade Terms of Reference" "Annex 3-F. Generic Terms of Reference for Branch Leadership Boards" "Annex 3-G. Generic Branch Leadership Board Charter"

Version		Amendment Effect
No.	Date	
16	10 Aug 22	<p>Approving Officer updated to: R.M. SAYNOR Commander, RNZN Director Coordination (Navy)</p> <p>Part 0 - “Chapter 3 - RNZN Armament Certification Board” Amend Article “0.3.04 Policy Guidance” - replace NZBR 862 with MI 45.381</p> <p>Part 1 - “Chapter 4 - Position Descriptions” Amend Articles: “1.4.03 Administrative Organisation” “1.4.16 Engineer Officer - General Duties and Responsibilities” <i>Section 17 - Officers with Responsibilities for Explosives renamed</i> “Section 17 - Responsibility for the Management of Explosives and Small Arms” “1.4.205 The Executive Officer” “1.4.206 The Explosives Responsible Officer” “1.4.207 Other Positions with Explosive Responsibilities” - instances of NZBR 862 amended to MI 45.381</p> <p>Withdraw Articles: <i>1.4.208 Officer of the Quarter</i> <i>1.4.209 The Operations Officer</i> <i>1.4.210 The Explosives Accountant</i> “1.4.221 Radio Hazards Safety Precautions” - remove incorrect information “Annex 2-A. List of Returns” 326. amend BR 862(79) to MI 45.381</p> <p>Part 3 - “Chapter 1 - Safety, Health and Environmental” Update References to include: B. DFI 41.1 - Safe Management of Hazardous Substances: Class 1 A&E C. MI 45.381 - Naval Ammunition and Explosives Instructions</p> <p>Withdraw References: <i>B. DFO 41 - Safe Management of Hazardous Substances</i> <i>C. NZBR 2924 - RF Hazards in the RNZN Service</i> <i>D. NZBR 862 - RNZN Magazine and Explosive Regulations</i></p> <p>Amend Articles: “3.1.53 Explosives Safety” “3.1.58 Return of Fired Brass”</p> <p>Withdraw Articles: <i>3.1.53 Explosive Anchorages</i> <i>3.1.55 Radiation Precautions</i> <i>3.1.56 Dry Docking with Ammunition Embarked</i> <i>3.1.58 Dumping of Explosive Stores</i></p>
17	15 Aug 22	<p>Part 1 - “Chapter 3 - Workforce Governance” Amend Articles: “1.3.25 Commander Naval Specialist Training” “1.3.26 Commander Leadership Development” - to clarify responsibility delegation to meet DMoL requirements</p>
18	24 Aug 22	<p>Part 1 - “Chapter 4 - Position Descriptions” Amend Article “1.4.200 Fire Control Officer”</p>
19	29 Aug 22	<p>Part 3 - “Chapter 1 - Safety, Health and Environmental” Add new Article “3.1.52 Batteries” and renumber subsequent articles</p>

Version		Amendment Effect
No.	Date	
20	4 Oct 22	Part 1 - "Chapter 7 - Conditions of Service and Obligations" Entire update to "Section 3 - Variance of Service and Engagement" Insert new: "Annex 7-A. Extension of Service Boards - Business Rules" "Annex 7-B. Extension of Service Lengths"
21	1 Nov 22	Part 1 - "Chapter 7 - Conditions of Service and Obligations" Amend Article "1.7.26 Notification and Acceptance of Offers" - to clearly define the requirements of being medically and physically in date Amend "Annex 7-A. Extension of Service Boards - Business Rules" - to update Board name and remove extraneous information
22	30 Nov 22	Part 4 - "Chapter 3 - Personnel Establishment Management" Amend Article "4.3.82 Management of CPLs" Insert new: "Annex 3-K. CPL Scenarios and List for ANZAC Class" "Annex 3-L. CPL Scenarios and List for HMNZS AOTEAROA" "Annex 3-M. CPL Scenarios and List for HMNZS CANTERBURY" "Annex 3-N. CPL Scenarios and List for HMNZS MANAWANUI" "Annex 3-O. CPL Scenarios and List for OPV Class" "Annex 3-P. CPL Scenarios and List for IPV Class"
23	19 Jan 23	Part 1 - "Chapter 3 - Workforce Governance" Amend Articles: "1.3.13 Category Captain" "1.3.14 Capability Commander" Amend: "Annex 3-C. Category Captain Terms of Reference" "Annex 3-D. Branch Head/Capability Commander Terms of Reference" Part 1 - "Chapter 7 - Conditions of Service and Obligations" Amend Article "1.7.26 Notification and Acceptance of Offers"
24	1 Mar 23	Part 1 - "Chapter 4 - Position Descriptions" Update "References:" Amend Articles: "1.4.14 Professional Expectations" "1.4.15 Head of Fleet Element (FE) Engineering Department" "1.4.16 Engineer Officer - General Duties and Responsibilities" "1.4.17 Engineering Qualification Requirements by Ship Class"
25	13 Jun 23	Part 4 - "Chapter 1 - Personal Records" Amend Article "4.1.03 Divisional Officers' Records", para k.
26	15 Jun 23	Part 4 - "Annex 2-A. List of Returns" 18. <i>Weightrep</i> return withdrawn as no longer required

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PART 0 - COMMAND AND GOVERNANCE

Chapter 1 - Navy Governance

Reference:

- A. Naval Forces General Orders - Part 0, Chapter 4

0.1.01 Introduction

- a. The NZDF is structured in a functionally oriented operating model with functions previously performed by single Services being undertaken by centralised NZDF functions. The new operating model has had a consequent effect on the way Navy is governed and managed. The role and accountability of the Chief of Navy; however, remains the same.
- b. The Naval Leadership Board (NLB) is to be cognisant of the requirement to set and monitor standards both within the Navy command but also across the 'Navy system'. Governance sets and maintains the Navy strategic direction, while overseeing the performance of the management functions of Navy to deliver current output requirements and building capability for the future.
- c. A significant challenge to this arrangement is that the same group of people are responsible for Navy governance and management. This can, in part, be overcome by robust governance procedures that set the NLB as a seat of challenge and inquiry that adds value to the Navy vision, without delving into the matters of management or tribalism.
- d. The NLB are the stewards of Navy strategy and lead the organisation on a continuum of capability and performance improvement. Managing a well developed, robust strategic plan ensures Navy strategy management is characterised by coherency and consistency.

0.1.02 Navy Governance

- a. Navy governance is defined as the NLB oversight and authority to provide leadership and strategic direction, control and accountability through:
 - (1) determining strategies, policies, plans and priorities to achieve Navy policy and outcomes;
 - (2) the provision of resources to achieve outcomes;
 - (3) the monitoring of progress against outcomes; and
 - (4) addressing variances between planned and actual outcomes.
- b. In exercising their leadership responsibilities the NLB will adopt a 'debate', 'decide' then 'direct' mantra.

0.1.03 Navy Management

Navy management is the processes that coordinate people and resources (including finance) to achieve the organisational outputs and outcomes. It is concerned with achieving actual delivery and includes monitoring and reporting.

0.1.04 Purpose of the Navy Leadership Board

- a. The NLB is the strategic decision making body for the Navy. It is a collective forum for the CN and her/his senior leadership team to provide leadership on significant issues affecting Navy.
- b. The NLB will establish and promote the Navy's vision, mission, values and strategy through the Strategic Plan which is then implemented by management practice and the Annual Plan. All key strategic decisions that affect the strategy are collectively discussed by the NLB.
- c. The NLB brings together individuals from across the Navy and NZDF with a responsibility, collectively to achieve outcomes in the 'Navy' domain.

0.1.05 Subordinate Navy Leadership Board Committees

- a. Three subordinate NLB committees exist to deal with specific aspects of NLB business. These include the:
 - (1) **Naval Capability Board** - to provide governance over the generation and sustainment of Navy Capability Baselines, see Part 0, "[Chapter 2 - Naval Capability Board](#)";
 - (2) **Navy Health and Safety Committee** - to provide governance over Navy Health and Safety systems and performance; and
 - (3) **Navy Command Management Committee** - management structure charged with leading the RNZN in executing the mission and ensuring that the Navy's outputs are delivered to the required standard within the allocated budget.
- b. These sub-committees are chaired by DCN as appropriate and provide governance to relevant aspects. Decisions made and actions taken are to be reported to NLB.

0.1.06 Naval Leadership Board Administration and Support Matters

- a. The Assistant Chief of Navy (Strategy & Engagement) (ACN(S&E)) is responsible for the administration of, and support provided to the NLB.
- b. ACN(S&E) is to maintain the NLB Rules of Procedure, which is to provide guidance on the following matters:
 - (1) the conduct of the NLB;
 - (2) requirements for the NLB agenda, papers and oral items; and
 - (3) arrangements for the administration of, and support to the NLB.

Navy Leadership Board Accountability Framework

0.1.07 Individual Accountability

- a. The CN has ultimate accountability for all aspects of the Navy and therefore NLB business. With that in mind, NLB members have both individual and collective accountability. As individuals, NLB members have responsibility for approved change initiatives and business output delivery.
- b. This is particularly important in the matrix environment that makes up the Navy system and it is expected that senior Navy personnel in organisations outside the RNZN will represent the Navy's interests as key stakeholder representatives at the NLB.

0.1.08 Navy Leadership Board Governance Responsibilities

- a. Practising good governance can enhance the Navy's effectiveness. A failure to practise good governance can lead to a loss of confidence and credibility in the eyes of stakeholders. There are many examples where inadequate governance has affected an organisation's ability to carry out its functions which occasionally results in its failure.
- b. The NLB must shape its own governance system to suit its own needs and values; which may change over time. The Navy's particular 'desired results' are informed by its statutory functions and objectives, the NZDF current Statement of Intent, and its Output Plan. Meeting the responsibilities of NLB can be influenced by members' individual and collective statutory duties which require them to act in the best interests of the Navy in a manner based on integrity, transparency and accountability.
- c. The responsibility of the NLB is to promote the Navy through three broad principles of 'Representation, Accountability, and Decision-making and Leadership.
- d. **Representation:**
 - (1) Bring to the NLB the perspective of the area from which the member is appointed, whilst always acting in the best interests of the Navy and NZDF.
 - (2) Represent the view of the NLB in forums both external (to Navy) and internal.

- (3) Carry the stakeholders trust.
 - (4) Represent potential outcome of Navy risks.
- e. **Decision-making and Leadership.**
- (1) Prepare for, and fully participate in meetings.
 - (2) Establish or affirm Navy vision, mission and values.
 - (3) Provide vision for the future; develop and implement the strategic plan; Set and approve the general direction and development of the Navy; ensure that the Navy mission remains responsive to changes in the environmental context.
 - (4) Provide an accountability structure for management; direct and advise management and command; maintain lower level accountabilities.
 - (5) Trusteeship of financial resources to ensure that funds are expended for the purposes intended.
 - (6) Human resources stewardship framework of HR policies.
 - (7) Risk management. Manage risks.
- f. Managing transitional phases and critical events: act as organisational safety net.
- g. **Accountability:**
- (1) Disclose potential conflicts of interest.
 - (2) Ensure transparency of process.
 - (3) Promote fairness in processes and decision-making.
 - (4) Monitor and evaluate performance.
 - (5) Take responsibility for communication with stakeholders.
 - (6) Act as the ultimate source of accountability for the performance and actions of the Navy.
 - (7) Impartially review all courses of action.
 - (8) Take responsibility for managing unintended consequences.

0.1.09 Composition of the NLB

- a. The NLB composition is detailed in Ref A.
- b. There is also merit in exposing personnel to the workings of the NLB as part of ongoing development. Other personnel may be invited to attend with the prior approval of the CN.
- c. **Decision Quorum.** A decision quorum is achieved in the NLB when at least two or three members of the CLE are present.

0.1.10 Naval Leadership Board Decision Framework

A table defining the decisions taken by the NLB is in [“Annex 1-A. Naval Leadership Board Decision Framework”](#).

0.1.11 - 0.1.99 Not Allocated

Annex 1-A. Naval Leadership Board Decision Framework

The following table defines potential NLB actions and should be used in support of papers coming forward to the NLB.

NLB Action (Recommended Action)	Definition of NLB Action	Post Action Required as a Result of the NLB Action
Approved (Approve)	NLB has the authority to make the decisions required by the sponsor.	Recorded in the minutes of the NLB. The Defence Force leadership may be advised by the CN of the actions taken by the NLB.
Endorsed (Endorse)	NLB does not have the authority to make the decisions required by the sponsor. NLB 'approves in principle' to the actions/decisions presented by the sponsor but the executive decision to proceed with the necessary actions will be referred to the NZDF DFLB.	Recorded in the minutes of the NLB, including any recommendations or amendments made by the NLB. Presentation will be required at the meeting of the Defence Force leadership.
Directed (Direct)	NLB requires immediate action against a point/issue identified during the presentation.	Recorded in the minutes of the NLB, noting: <ul style="list-style-type: none"> • directed actions/decisions to be undertaken; and • the POC who is to be held accountable for the outcomes of the action.
Noted (Note)	NLB is made aware of point/issue being presented by the sponsor.	Recorded in the minutes of the NLB.

Chapter 2 - Naval Capability Board

0.2.01 Introduction

The Naval Capability Board (NCB) is established to govern the development and sustainment of naval capability to meet the RNZN's and NZDF's strategic goals. It is the primary decision-making body that acts on behalf of the Chief of Navy (CN) as the Senior User for the management of naval capability. For the purposes of clarity the NCB's purview spans the entire capability life-cycle (*Capability Definition to Disposal*) and encompasses all aspects of the Fundamental Inputs to Capability (F-i-Cs¹).

0.2.02 Authority of the NCB

The authority of the NCB stems from the delegated authority of the Chairperson to manage capability on behalf of the CN.

0.2.03 Accountability

The NCB is accountable to the CN.

0.2.04 Role

- a. The primary role of the NCB is to govern the development and sustainment of a coherent and effective naval capability on behalf of the CN. This coherent and effective naval capability on behalf of the CN is to:
 - (1) Align with Naval Doctrine;
 - (2) Align with NZDF and RNZN strategic goals;
 - (3) Conform to naval capability limitations and constraints; and
 - (4) Interact and conform to the frame work set within the capability Management System.
- b. The NCB is also the governing body for all Naval Capability matters on behalf of the senior user. A list of secondary roles is provided at Article "0.2.08 Specific Tasks" to provide stakeholders guidance on the NCB's functions.

0.2.05 Reporting

- a. The NCB Chairperson reports to the CN on behalf of the NCB.
- b. Any significant issues or outcomes that require support or awareness above capability of the NCB are to be addressed to the NLB. The Chair will direct a suitable spokesperson to represent the issue at the next appropriate NLB.

0.2.06 Composition of the NCB

- a. NCB quorum requires eight of the nine of the below permanent members (or their nominated representative) to be present:
 - (1) Deputy Chief of Navy - Chairperson;
 - (2) Assistant Chief of Navy (Personnel & Training);
 - (3) Assistant Chief of Navy (Strategy and Engagement);
 - (4) Logistics Commander (Maritime);
 - (5) Captain Fleet Operational Readiness;
 - (6) Director Maritime Domain, Capability Branch;
 - (7) Chief Naval Engineer;
 - (8) Deputy Naval Engineer; and

1. The components that make up the PRICIE construct which is used to determine the fundamental inputs to capability.

- (9) Naval Staff Performance and Risk Manager.
- b. Continuity of membership is expected. If quorum members cannot attend, it is the responsibility of the member to nominate a suitable substitute and ensure that the substitute is fully briefed and understands their responsibilities. The member is also to advise the NCB secretary of their substitution.
- c. DCN's permission is to be sought, in the situation where a quorum member cannot attend and a representative cannot be found. Members not attending are encouraged to submit a written position for the papers presented for the board to consider.
- d. DCN may nominate a substitute chair. The substitute chair should not be a permanent member of the board. If the nominated substitute chair is a permanent member of the board, then that board member must in turn find a suitable replacement for their position. A board member may not represent two board positions simultaneously. DCN must advise the substitute of the level of authority being delegated. This will be either to run the board with DCN confirming decisions afterwards or a full delegation to approve/endorse as required without further verification.
- e. The NCB will achieve CN's intent for 30% gender balance. Careful consideration of substitute members and the inclusion of additional members will be options. Chair will amend quorum to include other members as required.
- f. Supporting members of the NCB include:
- (1) Maritime Regulator²;
 - (2) Inspector General (Maritime);
 - (3) Director Maritime Domain, Ministry of Defence; and
 - (4) Deputy Director Maritime Delivery.
- g. Subject matter experts may be invited to speak to specific agenda items.
- h. Other parties are not invited to attend, unless a particular individual is required as a relevant specialist. Additional attendees will be invited at the discretion of the Chairperson.
- i. The Staff Officer for Navy Governance within Naval Staff is responsible for the following secretariat duties:
- (1) The preparation of the meeting agenda;
 - (2) Drafting Minutes;
 - (3) Maintenance of the NCB DDMS site;
 - (4) Upkeep of the NCB Terms of Reference;
 - (5) Establishing the meeting schedule on behalf of the Chairperson; and
 - (6) Booking the meeting rooms and VTC facilities.

0.2.07 NCB Conduct

- a. The NCB Secretariat will call for agenda items approximately two weeks prior to the NCB Meeting date. The agenda will be finalised and a reading pack distributed one week prior to the meeting. No further items will be entertained without express permission of the Chair.
- b. The NCB is not a forum for stakeholder engagement and all documents are to be socialised with stakeholders prior to submission to the NCB. All issues are to be tabled as either a standalone dot-point-brief or a dot point brief covering pertinent artefacts.
- c. Stakeholders are to provide agenda items to the NCB Secretariat with as much notice as

2. Within their tolerances of independence noted in DFI 8.3M Part 1, Chapter 1, NZDF Seaworthiness System Process Overview.

possible to give an indication of expected deliverables and to enable de-confliction of the provision of governance by the NCB. This action will prevent delays to project timelines and enable the NCB visibility of projected workflows.

0.2.08 Specific Tasks

In support to the primary role outlined at Article “0.2.04 Role”, the NCB undertakes a range of specific tasks³. The following outlines a range of these tasks to enable stakeholders and those submitting items to understand what actions the NCB can take and the correct requests. The list is not exhaustive and is provided to assist both stakeholders and board members alike. These tasks include:

- (1) **Endorse** to CN the approval of, or amendments to the capability baseline and major project outputs which support or define the baselines. This includes, but is not limited to:
 - (a) Capability Definition (CD),
 - (b) Capability Management Plans (CMP),
 - (c) User requirements,
 - (d) Interim/Full Operational Capability Statements (IOCS/OCS),
 - (e) The removal/disposal of naval capability if not included in approved CMPs, and
 - (f) Requests for Stage-Gate approvals.
- (2) **Approve** for CN the following:
 - (a) Minor Maritime Project User Requirements or changes to URs on behalf of the RNZN⁴,
 - (b) Project Product Descriptions⁵ for naval capability that support capability development and management throughout the capability life-cycle,
 - (c) Annual Naval Experimentation Programme, and
 - (d) Major Project Benefits Realisation Plans.
- (3) **Arbitrate** decisions when trade-offs between cost, operational need and long term asset life management are required.
- (4) **Advise** CN, AC CAP, COMLOG and other key NZDF Stakeholders on Naval Capability.
- (5) **Manage** the:
 - (a) Naval benefits realisation supported by the Portfolio Manager (Navy), who shall provide a biannual progress report to the NCB in March and September each year.
 - (b) Naval experimentation portfolio supported by the Experimentation Manager (Navy), who shall provide annual experimentation plans, quarterly progress reports and ad-hoc requests/reports to the NCB as required.
- (6) **Prioritise and promulgate** Navy’s capability expectations to parts of the NZDF not within its command chain.
- (7) **Govern Safety Cases** as in the Service Safety Case Committee⁶.
- (8) Consider all other issues affecting naval capabilities, and either:

3. All documentation requiring approval of the NCB is to conform to the frame work set within the Capability Management System and/or Engineering Change Process IAW BRM 3440.

4. System Requirements should be socialised and agreed with requirement owners vice the NCB.

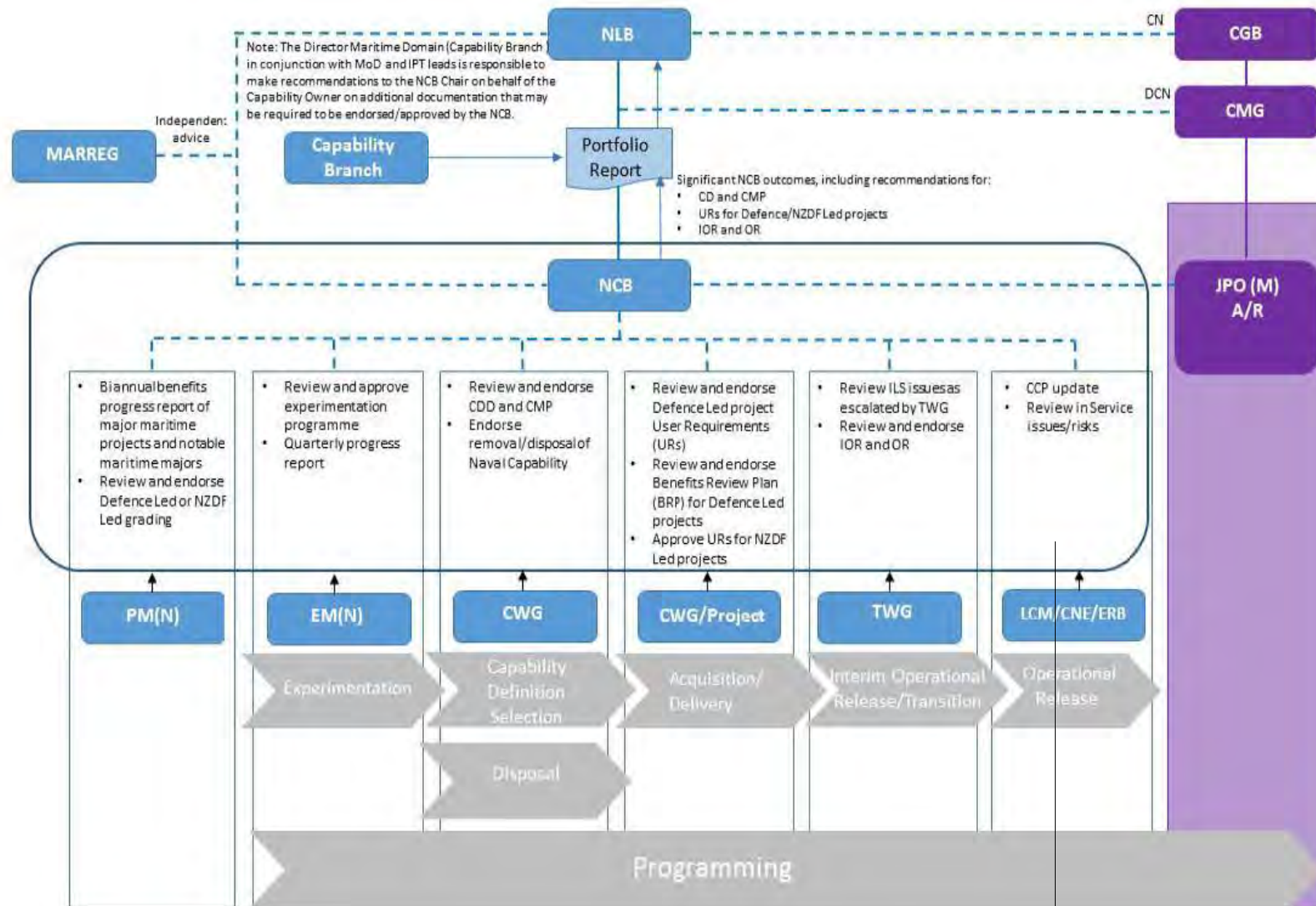
5. A Project Product Description is a specification used to gain agreement from the user on the project’s scope and requirements. Project Product Description in this context is based on the PRINCE2 term.

6. IAW NZBR 2015, Part B, Section 12.

- (a) **Direct** resources to effect resolution where within control of NCB Chair, or
- (b) **Elevate** to appropriate authority for resolution

0.2.09 - 0.2.99 Not Allocated

Annex 2-A. Information Flow Diagram for NCB



Chapter 3 - RNZN Armament Certification Board

0.3.01 Role of the RNZN Armament Certification Board (ACB)

The RNZN Armament Certification Board (ACB) is established to ensure the safe introduction into service of all new or modified Ammunition and Explosives (A&E) and Weapon Systems¹ that will be used in the maritime domain².

0.3.02 Authority

The authority of the RNZN ACB stems from the delegated authority of the Chairperson to ensure the safe introduction of maritime armament on behalf of the CN.

0.3.03 Accountability

- a. The ACB is accountable to the CN for ensuring that new or modified armament systems are Safe and Suitable for Service (S3) prior to use within the maritime domain.
- b. The ACB is responsible to:
 - (1) NZDF Directorate of Safety for hazard management;
 - (2) Naval Capability Board for introduction into service management; and
 - (3) NZDF Maritime Regulator for regulatory compliance.

0.3.04 Policy Guidance

The RNZN ACB is guided by policy from the NZDF Explosives Safety Committee, DFI 41.1, DM 40.1-5, NZBR 7 and MI 45.381. The board also integrates with wider policy and procedures via the Capability Management Framework, Configuration Change Proposal process and the technical regulatory authority covered under NZDF Seaworthiness.

0.3.05 Role

- a. The role of the RNZN ACB is ensure the safe introduction into service of all new or modified armament that will be used in the maritime domain by providing a forum for the RNZN ACB Chairperson to review and control the introduction into service of armament. This is achieved by review and examination of documentation covering all aspects of new or modified armament systems in order to:
 - (1) certify A&E as Safe and Suitable for Service (S3) as the single service authority in accordance with DM 40.1-5; and
 - (2) provide staged approvals for the design, installation, trials and use of weapon systems.
- b. If necessary the RNZN ACB may:
 - (1) suspend installations on RNZN ships and limit the operational use of armament systems; and
 - (2) direct project managers to provide information as required by this chapter and DM 40.1-5 to demonstrate that armament is safe and effective in those areas for which the RNZN ACB has responsibility.
- c. To undertake its role, the RNZN ACB will conduct the following tasks:
 - (1) **Review of Safety and Suitability for Service (S3) of Ammunition and Explosives (A&E).** Prior to the use (including embarkation in NZDF maritime vessels) of any new or modified A&E in the maritime domain it must be certified by the RNZN ACB as S3. The RNZN ACB will certify A&E as S3 following the review of:

1. A&E and Weapons Systems are collectively known as armament and will be referred to as such throughout this chapter where it applies to both.
2. This includes RNZN training ashore but notes that there will be an overlap with Landworthiness and range certification processes.

- (a) An S3 document provided by the project manager. This is to include a comprehensive review of the life cycle of the A&E in accordance with the principles of AOP-15. Where A&E is in service with allied forces and equivalent foreign documentation is available, e.g. ADF EO Safety Case Report, this may be presented with a covering minute detailing its applicability to NZDF service.
 - (b) A completed Item Management Plan including Technical Integrity Plan.
- (2) **Review of Safety and Effectiveness of Weapons Systems.** The introduction of weapon systems will progress through various stages to ensure that they are about to be utilised in a safe and effective manner. At each release stage (defined in NZBR 7) the ACB will review project artefacts and provide approve to proceed if these are deemed acceptable.

0.3.06 Meetings

- a. RNZN ACB meetings shall be held at least every three months as scheduled by the Chairperson, or as required. The Secretary shall call for agenda items at least three weeks prior to the planned meeting and distribute the agenda. The information that is available for each system or subject shall be distributed at least one week prior to each meeting. Generally, the agenda will consist of a review of the information sent to board members.
- b. The RNZN ACB is to work by consensus. The Chairperson is to seek a consensus through options available, however, if a consensus is unable to be made the issue is to be elevated to CNE for guidance.
- c. The order of business for RNZN ACB meetings is to include the following:
 - (1) Introductory remarks by the Chairperson.
 - (2) Business arising from the previous minutes.
 - (3) Discussion of agenda items.
 - (4) New business.
 - (5) Closing remarks from the Chairperson.
 - (6) Adjournment.
- d. **Reports.** Under the direction of the Chairperson, the Secretary shall take the minutes of RNZN ACB meetings. After the minutes are drafted by the Secretary, they shall be forwarded to the Chairperson and meeting members for comment. After the comments have been reviewed, the updated minutes are to be signed by the Chairperson and Secretary, and distributed to all board members and other interested parties.
- e. **Travelling Boards.** In exceptional circumstances, if a decision is required by the RNZN ACB outside of the normal meeting schedule, it may be considered by a travelling board. This can be facilitated by the Secretary by email and requires the consideration of a quorum of the board. The outcome is to be reported at the next full meeting.

0.3.07 Composition

- a. The RNZN ACB shall consist of a Chairperson, a permanent Secretary and subject matter experts as required. Membership of the RNZN ACB is as follows:
 - (1) RNZN Prime Delegate as Chairperson;
 - (2) Fleet Engineer Officer (FEO) or deputy;
 - (3) Technical Combat Systems Regulator;
 - (4) Deputy Chief Naval Engineer (DCNE);
 - (5) Director, Directorate of Sea Power and Warfare (DDSPW) or warfare specialist representative;

- (6) officer or senior rating having completed an MSc in Explosives Ordnance Engineering (appointed by Chairperson)³;
 - (7) CPO/WO Weapon Technician (appointed by Chairperson); and
 - (8) Senior Combat Systems Engineer (SCSE) as permanent Secretary.
- b. All members, or a delegated representative, must be present to achieve a quorum.
- c. The following positions have a vested interest in the outcomes of the ACB and should be invited to all meetings; however, they do not hold voting privileges:
- (1) Inspector General (Maritime);
 - (2) Commander Maritime Training Group (CDR MTG) or warfare specialist representative (Fleet Warfare Officer (FWO));
 - (3) Naval Systems Engineer (NSE), Capability Branch;
 - (4) Strategic Asset Manager (Combat, Support or Patrol as applicable);
 - (5) Inspector (Weapons Systems) (INS(W));
 - (6) Defence Munitions Management Group (DMMG) representative;
 - (7) Assistant Chief of Navy (Personnel and Training) ACN(P&T) representative; and
 - (8) Defence Technology Agency (DTA) representative.

0.3.08 Detailed Responsibilities of the ACB

Further information on the responsibilities of the ACB and interactions with projects can be found in MI 45.1.

0.3.09 - 0.3.99 Not Allocated

3. This member is not required if the Chairperson has a MSc in Explosives Ordnance Engineering.

PART ONE - PERSONNEL MATTERS

Chapter 1 - Personnel and Administration Delegations

Reference:

A. Naval Forces General Orders - Part 1, Chapter 1 - Personnel Administration and Delegations

1.1.01 Personnel and Administration Delegations

- a. Personnel and Administration Delegations are in accordance with Ref A, and superior order contained therein.
- b. Personnel and Administration Delegations can be found at Part 1, Chapter 1, Annex 1A. of Ref A. Link is attached: <http://ffnec/NTP/NFGOs.pdf>

1.1.02 - 1.1.99 Not Allocated

Chapter 2 - Workplace Planning and Succession Planning

References:

- A. DFO 3 - New Zealand Defence Force Human Resource Manual
- B. Naval Forces General Orders - Part 1, Chapter 2

1.2.01 Workforce Planning

The policy for HR Workplace Planning in Part 4 of Ref A is currently under development.

1.2.02 Succession Planning

- a. The NZDF policy on succession planning in Part 4 of Ref A is currently under development.
- b. The Assistant Chief of Navy (Personnel and Training) (ACN(P&T)) is to promulgate any specific succession planning instruction into this book of reference.

1.2.03 - 1.2.99 Not Allocated

Chapter 3 - Workforce Governance

Section 1 - Introduction

References:

- A. NZBR 48 - RNZN Strategic Plan
- B. NZBR 49 - RNZN Annual Plan

1.3.01 Chapter Purpose

This chapter outlines the structure, foundational documentation, and positions (roles and responsibilities) that combine to provide governance to the RNZN's workforce.

1.3.02 Definitions

- a. **Workforce.** RNZN uniformed personnel and civilian staff.
- b. **Governance.** The systems and processes for leading and guiding an organisation. It is about the arrangements and practices that allow an entity to set its direction and manage its operations to achieve its outcomes and fulfil its accountability obligations¹.
- c. **RNZN Workforce Governance** entails the setting of strategic vision and direction, formulation of high-level goals and policies, the directing and overseeing of management, and the monitoring of organisational performance to ensure outputs as defined in Refs A and B are achieved.

1.3.03 Structure

- a. A diagram outlining the structure of RNZN Workforce Governance is in "[Annex 3-A. RNZN Workforce Governance - Structure](#)".
Note: The diagram is for guidance only. Content is expanded upon throughout this chapter.
- b. In addition to the structure outlined in "[Annex 3-A. RNZN Workforce Governance - Structure](#)", the following are examples of bodies that discuss, plan, direct and/or provide guidance on a range of personnel matters, including those which may pertain to RNZN workforce governance and management.
 - (1) Naval Leadership Board (NLB) and associated subordinate committees².
 - (2) Naval System Management Group (NSMG).
 - (3) Naval Establishment Board (NEB).
 - (4) People Capability Portfolio (PCP).
 - (5) Executive Committee (EXCO).

1.3.04 Documentation

- a. There are a number of foundational documents which govern each trade within the RNZN and, thereby, the size and shape of the workforce. These documents are outlined below.
- b. **Employment Profile.** The Employment Profile (EP) establishes alignment between the outputs of the trade to the RNZN Mission. The Head of Trade (HOT) is responsible for the development and maintenance of EPs. Each trade's EP is to be approved by the associated Category Captain with endorsement from ACN (P&T). The EP is the strategic level source document for each trade to inform decision making around, but not limited to, the following areas:
 - (1) trade structure;

1. Controller and Auditor-General NZ, <https://oag.parliament.nz/2016/reflections/part1.htm>, accessed 19 Apr 21.

2. For detailed information refer to *Naval Forces General Orders*, Part 0, 0.4.01- 0.4.06 and *NZBR 1 - RNZN Administration Manual*, Part 0, 0.1.01- 0.1.10.

- (2) current and future training needs;
 - (3) impact of the introduction of new equipment;
 - (4) sustainability requirements, redundancy and/or outsourcing reviews;
 - (5) market-based remuneration reviews; and
 - (6) doctrine development.
- c. EPs are available on the Navy intranet page at: <http://org/m-fpto/Lists/NEP/AllItems.aspx>
- d. **Strategic Demand Profile.** Strategic Demand Profiles outline the overall personnel demand for each trade in terms of effective positions and non-effective requirements. This is generated by Workforce Planning and Analytics using modelling tools embedded in the Integrated Workforce Planning and Management Framework, and are supported by the RNZN Suitably Qualified and Experienced Personnel (SQEP) Generation Schematic. Strategic Demand Profiles are available from the Navy Strategic Personnel Planning (NSPP) cell.
- e. **SQEP Generation Pipeline.** The SQEP Generation Pipeline identifies 'ideal' progression of an individual's career. It articulates the minimum courses, postings and durations required to develop competency and experience in rank and trade. This document is developed and maintained for every trade by the NSPP cell in partnership with the HOT.
- f. **RASCI Matrix.** The RASCI Matrix is used for determining the responsibilities of each role within a given process. The five key responsibilities are identified as:
- (1) R (Responsible) - responsible for doing the work to complete an activity/activity step;
 - (2) A (Accountable) - accountable/owning (with authority) for completeness of an activity/activity step;
 - (3) S (Supports) - supports the Responsible role to complete an activity/activity step;
 - (4) C (Consulted) - provide SME input or advice; and
 - (5) I (Informed) - receive informational outputs from an activity/activity step.
- g. The RASCI Matrix defining the key responsibilities of RNZN workforce governance, management and development roles is in "[Annex 3-B. RNZN Strategic and Operational Workforce Governance Roles and Responsibilities Matrix](#)".
- h. **Learning Analysis.** The Job Analysis and Task Analysis stages of Learning Analysis identifies the duties and tasks to be performed at each rank level within a trade. This is the authoritative statement (previously referred to as a 'Job Scalar') of the requirements of that rank and is the basis upon which training is developed.
- (1) 'Job Analysis' is the source job information that enables the review and deconstruction of the occupation, job or role into duties, tasks and sub-tasks; with emphasis on the overarching mission and outputs; and
 - (2) 'Task Analysis' de-constructs job tasks, sub-tasks and task elements identified for learning into the required performance, conditions, standards and knowledge, skills and attitudes.

1.3.05 - 1.3.09 Not Allocated

Section 2 - Strategic Workforce Governance Positions

Reference:

- A. Naval Forces General Orders, Part 0, Chapter 4 - Navy Governance

1.3.10 Role Definitions

The following definitions identify RNZN strategic workforce governance positions and their roles and responsibilities.

1.3.11 Assistant Chief of Navy (Strategy & Engagement)

- a. The Assistant Chief of Navy (Strategy & Engagement) (ACN (S&E)) is responsible to the Deputy Chief of Navy (DCN) and the Chief of Navy (CN) for the delivery of Navy's strategic direction, including development and oversight of Navy's People Strategy.
- b. **Key Responsibilities.** In respect to workforce governance, the following are key responsibilities of the ACN(S&E):
- (1) lead and provide oversight of Navy's People Strategy, including associated executive reporting, policy and change management;
 - (2) manage provision of support to Command, governance, policy development and guidance including coordination/implementation of RNZN governance decisions; and
 - (3) develop and monitor appropriate key high level Navy performance indicators, including workforce risk assessment.

1.3.12 Assistant Chief of Navy (Personnel & Training)

- a. The Assistant Chief of Navy (Personnel & Training) (ACN (P&T)) is responsible to the Deputy Chief of Navy (DCN) and the Chief of Navy (CN) for leadership and delivery of the Navy's workforce functions.
- b. **Key Responsibilities.** In respect to workforce governance, the following are key responsibilities of the ACN (P&T):
- (1) leadership and delivery of the Navy's workforce functions with a focus on delivering a sustainable work force and development of each branch and their respective training continuum;
 - (2) define the people capability required to achieve NZDF outputs and the RNZN's mission;
 - (3) engage with Branch Category Captains on governance of their respective branch; and
 - (4) lead and direct the Fleet Personnel and Training Organisation (FPTO) functional area, comprising:
 - (a) rating and officer career management,
 - (b) initial training,
 - (c) specialist training,
 - (d) leadership development,
 - (e) personnel planning, and
 - (f) executive support and co-ordination.

1.3.13 Category Captain³

- a. The RNZN has three Category Captains, one each for the Operations, Support and Engineering Branches, who are appointed by DCN on a supernumerary basis.
- b. **Key Responsibilities.** The following is the key responsibility of the Category Captain:

3. Also known as 'Branch Director' within a RNZN Branch/Trade Employment Profile.

- (1) Responsible to DCN for the governance, stewardship, professional development and professional standards of their respective branch, through their Branch Leadership Board, in partnership with ACN (P&T).
- c. The Terms of Reference (ToR) for the Category Captain are at [“Annex 3-C. Category Captain Terms of Reference”](#).

1.3.14 Capability Commander⁴

- a. The Capability Commander is appointed by their respective Category Captain and is a supernumerary role at CDR level. The primary role of the Capability Commander is to support their Category Captain in delivery of strategic leadership including aspects of training, control and future development of their trade(s).
- b. **Key Responsibilities.** The following are key responsibilities of the Capability Commander:
 - (1) represent trade matters at appropriate NZDF meetings and forums;
 - (2) liaise with key stakeholders to set and oversee the long-term direction and ‘health’ of the branch; and
 - (3) in partnership with the Navy Strategic Personnel Planning (NSPP) cell, oversee and support strategic workforce change.
- c. The ToR for the Capability Commander is at [“Annex 3-D. Branch Head/Capability Commander Terms of Reference”](#).

1.3.15 Head of Trade

- a. The Head of Trade (HoT) is appointed by their respective Capability Commander⁵ and will generally be a supernumerary appointment at the WO/CPO level. In the case of Officers, the HoT will generally be at the Commander level and will be appointed by the Category Captain.
- b. **Key Responsibilities.** The following are key responsibilities of the HoT:
 - (1) support their Capability Commander in the delivery of strategic leadership across the trade;
 - (2) provide strategic guidance on all aspects of training, control and future development of the trade;
 - (3) alongside Career Managers, support individual trade members to develop within a trade or specialisation;
 - (4) support the Career Managers in selection and appointment decisions; and
 - (5) engage with the Branch Strategy Manager, NSPP cell, regarding trade specific planning and development activities.
- c. The ToR for the Head of Trade is at [“Annex 3-E. Head of Trade Terms of Reference”](#).

1.3.16 Navy Strategic Personnel Planning Cell

- a. The Navy Strategic Personnel Planning (NSPP) cell is responsible to ACN (S&E) for the development and delivery of integrated personnel planning processes and the leadership of Navy’s people strategy.
- b. **Key Responsibilities.** The following are key responsibilities of the NSPP cell:
 - (1) develop and manage delivery of Navy’s people strategy;
 - (2) oversee and facilitate integrated personnel planning processes over a 3-4 year horizon;
 - (3) examine how Navy’s workforce needs to redevelop/reshape over the long term and

4. Also known as ‘Branch Director’ within a RNZN Branch/Trade Employment Profile.

5. In the event of a Trade not having a Capability Commander, the HoT is to be appointed by the applicable Category Captain.

- manage an associated workforce change programme; and
- (4) support improved conditions of service, people management and system performance through policy.

1.3.17 People Capability Portfolio Business Partner (Maritime)

- a. The People Capability Portfolio Business Partner (Maritime) (PCPBP(M)) is a trusted advisor to Navy's executive(s) and senior managers/commanders and is responsible for shaping workforce and HR strategies and plans for the Navy portfolio and the NZDF. The PCPBP(M) is influential within the Chief People Officer (CPO) portfolio and their service.
- b. **Key Responsibilities.** The following are key responsibilities of the PCPBP(M):
 - (1) act as a catalyst for change and organisational development in support of Navy and overall NZDF strategy;
 - (2) problem solve strategically, to assimilate an enterprise/system wide view of the workforce and business environments to help identify initiatives and solutions that support the portfolio and NZDF;
 - (3) support the integration of workforce and HR strategies for NZDF, leveraging plans and initiatives from outside and across NZDF for their portfolio's benefit; and
 - (4) support workforce and HR strategy development and delivery, understand and uses effective customer engagement and HR services to execute on strategy.

1.3.18 - 1.3.19 Not Allocated

*Section 3 - Workforce Management and Development Positions***1.3.20 Role Definitions**

The following definitions identify the RNZN workforce management and development positions and their roles and responsibilities.

1.3.21 Commander Naval Officer Career Manager

- a. The Commander Naval Officer Career Manager (CNOCM) is responsible for the day to day management of RNZN officer (inclusive of RNZNVR and RNZNR) careers, promotion and individual training. Additionally, CNOCM is responsible for the development, maintenance and implementation of RNZN personnel management doctrine and the adherence to NZDF personnel policy.
- b. **Key Responsibilities.** The following are key responsibilities of the CNOCM:
 - (1) act as the HR policy advisor for Navy officer career management;
 - (2) manage fleet personnel requirements (officers);
 - (3) manage the Naval Officer Career Management (NOCM) team;
 - (4) lead change;
 - (5) HR services; and
 - (6) officer career management administration and finance.

1.3.22 Commander Naval Ratings Career Management

- a. The Commander Naval Ratings Career Management (CNRCM) contributes directly to the Fleet Personnel and Training Organisation by leading, staffing and being accountable for delivering career management of all RNZN ratings.
- b. **Key Responsibilities.** The following are key responsibilities of the CNRCM:
 - (1) act as the fleet personnel officer responsible for maintaining Force Element (FE) staffing and providing advice to the Maritime Component Commander (MCC);
 - (2) manage fleet personnel requirements (ratings);
 - (3) manage Naval Ratings Career Management (NRCM) team;
 - (4) lead change;
 - (5) HR services; and
 - (6) ratings career management administration and finance.

1.3.23 Branch Personnel Officer

- a. Branch Personnel Officers are responsible for maintaining an operational focus on personnel planning, and career and talent management across their respective branches.
- b. **Key Responsibilities.** The following are key responsibilities of the Branch Personnel Officer, to:
 - (1) build and maintain the people capability so that it has fully trained, supported and effective personnel to achieve RNZN outputs;
 - (2) apply effective career management; and
 - (3) achieve the right balance between the needs of the RNZN and the needs of its members on an individual and collective level.

1.3.24 Career Manager

- a. Career Managers are responsible for the identification, selection and appointment of personnel within assigned trades.
- b. **Key Responsibilities.** The following are key responsibilities of a Career Manager:

- (1) contribute to the career development plans of their personnel;
- (2) partner with their respective Heads of Trade to ensure the right people with the right knowledge and skills are in the right place at the right time;
- (3) encourage, challenge and support members in their career planning;
- (4) focus on matching individual skills and development needs to organisation demands;
- (5) advertise and communicate opportunities for postings and professional and personal development;
- (6) facilitate organisational views across groups to inform planning and decisions; and
- (7) action the administration and communication of decisions made by Career Boards.

1.3.25 Commander Naval Specialist Training

- a. The Commander Naval Specialist Training (CNST) ensures that Naval Specialist Training Group (NSTG) initiatives are supported, developed, managed and controlled in order to meet the organisational strategic objectives and enhance the overall effectiveness and efficiency of the core functions of the RNZN.
- b. **Key Responsibilities.** The following are key responsibilities of the CNST:
 - (1) provision of advice to ACN(P&T) and Naval Staff on all NST matters;
 - (2) lead the NSTG;
 - (3) ensure a customer focus for all NSTG outputs;
 - (4) NSTG divisional leadership/management; and
 - (5) oversee the management of NSTG finances.
- c. Individual Learning Governance Board (ILGB)⁶ responsibilities, with regard to Naval Specialist Training outputs, are delegated by ACN(P&T) to CNST.

1.3.26 Commander Leadership Development

- a. The Commander Leadership Development (CLD) provides leadership of the Leadership Development Group (LDG) for the delivery of core military and mariner skills training, and leadership development of ratings and officers within the RNZN.
- b. The CLD is a shore-based Commanding Officer (CO) position.
- c. **Key Responsibilities.** The following are key responsibilities of the CLD:
 - (1) provide advice to ACN(P&T) and Naval Staff on all LDG matters;
 - (2) lead the LDG;
 - (3) ensure a customer focus for all LDG outputs;
 - (4) lead culture and values inculcation for the RNZN;
 - (5) lead induction training;
 - (6) lead core mariner skills training;
 - (7) lead Navy command, management and leadership training;
 - (8) lead Junior Officer career management and Basic Branch personnel divisional leadership; and
 - (9) oversee the management of LDG finances.
- d. ILGB responsibilities, with regard to LDG outputs, are delegated by ACN(P&T) to CLD.

6. ACN(P&T) is identified as Navy's ILGB within the Defence Manual of Learning (DMoL); the same publication also sets out many of the responsibilities assigned to ILGBs.

1.3.27 Naval Specialist Training Officers

- a. Naval Specialist Training Officers are primarily responsible for the delivery of all Specialist Training courses for officers and ratings.
- b. **Key Responsibilities.** The following are key responsibilities of the Naval Specialist Training Officers:
 - (1) delivery of all specialist courses for ratings and officers; and
 - (2) delivery of professional career courses for officers and ratings to the levels directed to fulfil the staffing requirements of the Service.
- c. Specific ToRs for each Naval Specialist Training Officer are in Naval Specialist Training Standing Orders (NSTOs) Chapter 1, Section 1.

1.3.28 Head of School

- a. The Head of School manages, maintains and implements training delivery and review within their respective school.
- b. **Key Responsibilities.** The following are key responsibilities of the Head of School:
 - (1) responsible for preparing members of a trade to carry out their duties;
 - (2) oversee the management of their respective school;
 - (3) oversee the conduct of professional training;
 - (4) oversee allocation of instructional resources;
 - (5) monitor the maintenance of course content and documentation;
 - (6) monitor the standards set by the respective trade training school staff; and
 - (7) ensure that annual goals set by training school staff, CNST and ACN (P&T) are met.
- c. Roles involved in the delivery of individual learning are to ensure their functional areas adhere to relevant policy within the Defence Manual of Learning (DMoL) and the RNZN Training Manual (NZBR 37).

1.3.29 Not Allocated

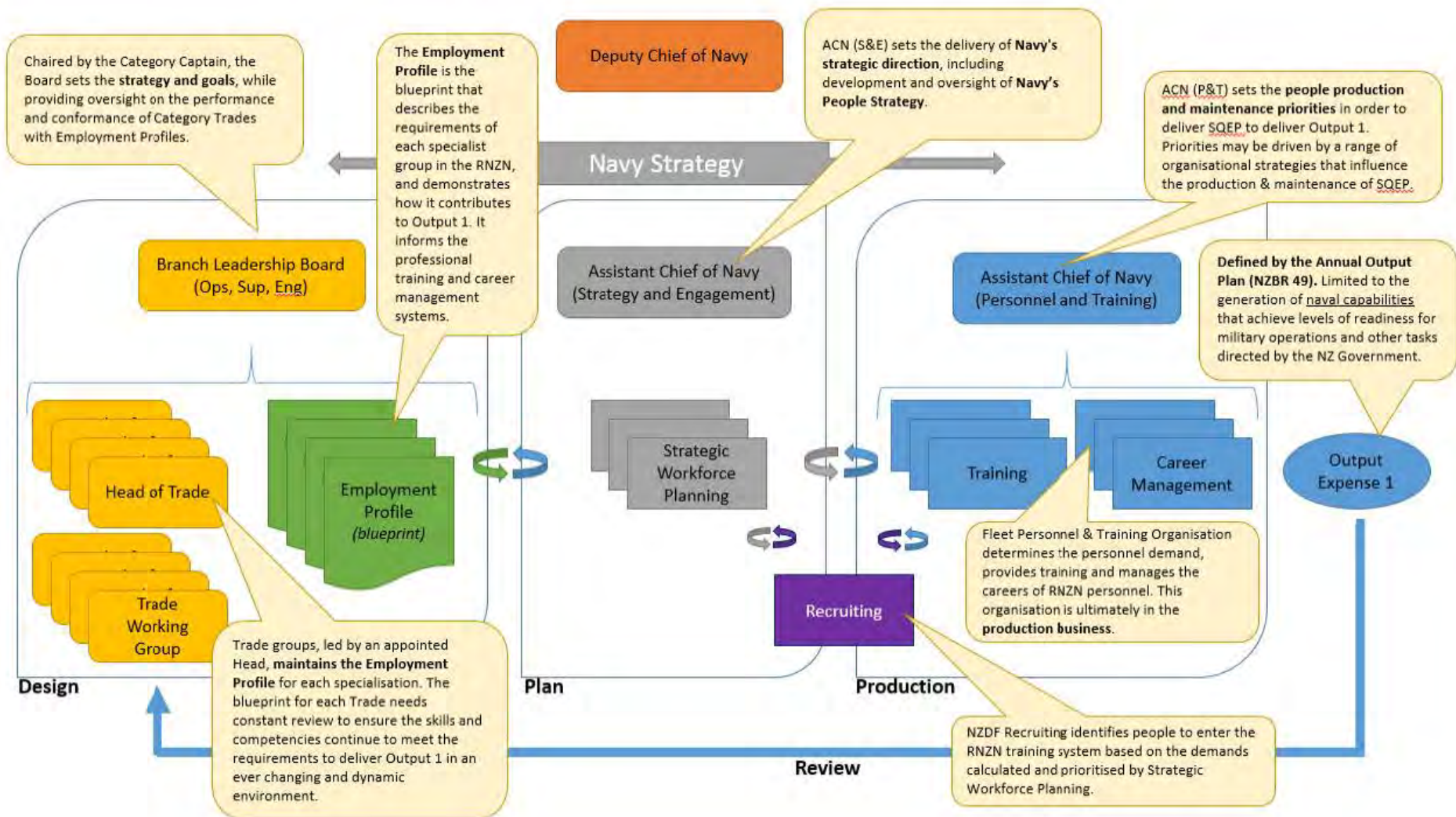
*Section 4 - Branch Leadership Boards***1.3.30 Role Definition**

- a. The RNZN has three Branch Leadership Boards (Operations, Support and Engineering). The Branch Leadership Boards are established under the authority of DCN, chaired by a Category Captain and supported by Capability Commanders and Heads of Trade.
- b. **Key Responsibilities.** The following are key responsibilities of the Branch Leadership Boards:
 - (1) act as a governance body to deliver organisational leadership across the branch in support of NZDF and RNZN strategic plans; and
 - (2) make decisions to research, endorse and/or approve initiatives to:
 - (a) enhance the operational performance of the branch,
 - (b) enhance the future of the branch, and
 - (c) reduce risk⁷;
 - (3) provide oversight to branch initiatives and contribute to future operating concepts;
 - (4) lead the development of the respective branch in support of NZDF and RNZN strategic plans;
 - (5) provide advice to DCN on raising, training and sustaining the branch;
 - (6) provide branch capability advice across the NZDF;
 - (7) maintain key stakeholder relationships, to set and oversee the long-term direction and 'health' of the branch; and
 - (8) throughout all Board, associated Working Group/Committee proceedings, and subsequent action, maintain transparency and ensure accountability.
- c. **Terms of Reference.** A generic ToR for each Branch Leadership Board is in "[Annex 3-F. Generic Terms of Reference for Branch Leadership Boards](#)".
- d. **Charters.**
 - (1) Each Branch Leadership Board is to draw up a Charter, to include objectives as agreed by DCN and the Category Captain.
 - (2) The Charter is to be reviewed annually, with any new objectives agreed by DCN and the Category Captain.
 - (3) A generic charter for amendment by each respective Branch Leadership Board is in "[Annex 3-G. Generic Branch Leadership Board Charter](#)".

1.3.31 - 1.3.99 Not Allocated

7. Includes, but is not limited to, health and safety, wellbeing, sustainability and development.

Annex 3-A. RNZN Workforce Governance - Structure



Annex 3-B. RNZN Strategic and Operational Workforce Governance Roles and Responsibilities Matrix

RNZN STRATEGIC AND OPERATIONAL WORKFORCE GOVERNANCE ROLES AND RESPONSIBILITIES MATRIX																
RNZN Workforce Governance	DCN	ACN (S&E)	ACN (P&T)	Category Captain	Capability Commander	HoT	Leadership Boards	Strategic Personnel Planning Cell	PCP Business Partner	CNRCM/CNOCM	Career Manager	CNST	CLD	Training Officers	HoS	NZDC*
Branch Leadership		C	C	R/A	S	S	S	S	S	S	S	S	S		S	
Branch/Trade Structure		C	A	C	C	S	C	R		C	S	C			S	
Development of Navy's People Strategy	R	A	S	C	C	S	S	C	S/C	S	S	S	S	S	S	
Development of Pers Funding Plans	R	A	S	I	I		I	C	S/C	C		C	C			
Employment Profiles			C	A	S	R	S	S			S				S	
Learning Analysis & Design**			I			C						A	A	C	C	R/A
Learning Delivery			I			C						A	A	S	R	R/A
Learning Evaluation			I			I						I	I	C	C	R/A
Learning Material Development***			I			C						A	A	S	R	R/A/S/C
Nominate CAT CAPT/CAP CDR	R	I	I	I												
Policy - Personnel (NZDF Level 2 ie DFOs)	I	A	C	C		C		C	S/C	S	S	S	S	S	S	
Policy - Personnel (NZDF Level 3 ie NZBRs)		A	A	C	C	C	C	C	S/C	S/C	S/C	S/C	S/C	S	S	
Policy - Training		S	R/A	C	C	C	C	C	S/C	S	C	S/C	S/C	S/C	S/C	R/A/C
Postings and Appointments			S		S	S				A	R	C	C		S	
Promotions			A		S	S				R	R	C	C			
SQEP Generation Schematic			A	S	S	C	C	R		C		S		C	S	
Succession Planning			A		S	S				S	R	C	C		S	
Trade Strategic Leadership			C	A	R	S	S	S		S	S	S	S		S	
Training Management			A		C	S				C	C	R	R	S	S	R/A/S/C/I
<p>Responsible owns the activity Accountable approves the activity Supports support implementation of the activity Consulted consulted on the activity (SME advice) Informed informed of the activity</p> <p>Notes: * ACN(P&T), CNST & CLD have no direct Governance over the NZDC. NZDC/Single Service liaison occurs at many levels, with high level decisions made at COL(E) level within the Learning Management Group (LMG). The NZDC is responsible for the Command and Staff College, Institute for Leader Development, and the Defence Training Institute which delivers common training through the following Defence Schools: Catering, Health, Training Systems, Explosives Ordnance, and Physical Education & Recreation - CNST & CLD have no management of these schools. The RNZN provides staff to NZDC for leadership, management and ADDIE roles. Hence the RASCI mix in NZDC column. ** The Job Analysis and Task Analysis stages of Learning Analysis create what used to be known as the 'Job Scalar'. This task is the responsibility of NZDC, in consultation with SMEs/Stakeholders. *** Learning Material consists of resources used by learners or instructors during the implementation of a course. Examples include, but are not limited to: lesson plans, learning aides (including digital learning aids/simulator/VR), online courses, learner handbooks, handouts, and the such.</p>																

Annex 3-C. Category Captain Terms of Reference

1. The Category Captain¹ is appointed by DCN and is a supernumerary role for a period not exceeding three years.
2. The Category Captain is responsible to DCN for the governance, stewardship, professional development and professional standards of their respective branch, through their Branch Leadership Board, in partnership with ACN(P&T).
3. The purpose of the Category Captain's role is to:
 - a. deliver strategic leadership across the branch;
 - b. provide advice to DCN on raising, training and sustaining the trades and overall branch (ensuring maintenance of currency of professional training and education);
 - c. provide strategic branch and capability advice across the NZDF;
 - d. provide leadership of the development of the respective branch in support of NZDF and RNZN strategic plans;
 - e. lead continuous organisational improvement across the branch, being cognisant of the future requirements of the RNZN;
 - f. provide oversight to branch initiatives and contribute to future operating concepts;
 - g. act as Chair of their respective branch Leadership Board;
 - h. act as the culture guardian for their branch;
 - i. sit on the relevant promotion advisory boards as their branch representative;
 - j. report quarterly to DCN on developments within their respective branch and progress on any initiatives; and
 - k. identify and highlight branch risks to DCN through ACN(P&T).
4. Category Captains are to nominate an appropriate deputy who can act on their behalf in their absence.
5. Category Captains are to ensure that all Branch Leadership Board meetings have appropriate records kept.

1. Also known as 'Branch Director' within a RNZN Branch/Trade Employment Profile.

Annex 3-D. Branch Head/Capability Commander Terms of Reference

1. The Branch Heads/Capability Commanders¹ will be appointed by their respective Category Captain, and shall generally be a supernumerary appointment at CDR level for a period not exceeding three years.
2. The purpose of the Branch Head/Capability Commander is to:
 - a. support their respective Category Captain to deliver strategic leadership across the branch;
 - b. investigate and formulate strategic guidance on developing and sustaining the branch and its respective trades;
 - c. provide strategic branch and capability advice across the NZDF;
 - d. provide leadership of the development of the respective branch in support of NZDF and RNZN strategic plans;
 - e. support the Category Captain with oversight of branch initiatives and contribute to future operating concepts;
 - f. act as the 'Branch Champion' as a member of their respective Leadership Board and involvement within other NZDF and RNZN fora which require branch advocacy;
 - g. support the Category Captain in preparation for relevant promotion advisory boards as their branch representative;
 - h. support the Career Management function in accordance with NZBR 8 and NZBR 38;
 - i. support the Category Captain in developing and fostering a branch culture that is consistent with the NZDF values and ethos, and encourage innovation and excellence within their respective specialisation;
 - j. report regularly to their respective category Captain on developments within the branch and progress on any initiatives; and
 - k. identify and highlight branch risks to their respective Category Captain.
3. Branch Heads/Capability Commanders are to nominate an appropriate deputy who can act on their behalf in their absence.

1. Also known as 'Branch Director' within a RNZN Branch/Trade Employment Profile.

Annex 3-E. Head of Trade Terms of Reference

1. The Head of Trade (HoT) is appointed by their respective Capability Commander¹ and will generally be a supernumerary appointment at the WO/CPO level. In the case of Officers, the HoT will generally be at the Commander level and will be appointed by the Category Captain. Appointments are for a period not exceeding three years.
2. The purpose of a HoT is to:
 - a. support their respective Capability Commander to deliver strategic leadership across the trade;
 - b. provide strategic trade and capability advice across the NZDF;
 - c. champion the development of the respective trade in support of NZDF and RNZN strategic plans;
 - d. engage in branch initiatives and contribute to future operating concepts;
 - e. be the champion of their trade as a member of their respective Leadership Board and involvement within other NZDF activities which require trade advocacy;
 - f. support the Career Management function in accordance with NZBR 38;
 - g. conduct unit visits, engaging with personnel to ensure trade standards in the fleet are being met and that standards and issues are reviewed as required;
 - h. support the Capability Commander in developing and fostering a trade culture that is consistent with the NZDF values and ethos, and encourage innovation and excellence within their respective specialisation;
 - i. provide specialist advice on issues affecting the trade, to act as the trade 'Champion' elevating concerns through Command to the appropriate agency for resolution; and
 - j. maintain the currency of their respective trade Employment Profile document.
3. Capability Commanders are to nominate an appropriate deputy who can act on the behalf of the HoT in their absence.

1. In the event of a Trade not having a Capability Commander, the HoT is to be appointed by the applicable Category Captain.

Annex 3-F. Generic Terms of Reference for Branch Leadership Boards

1. The XX Branch Leadership Board is established by the authority of DCN.
2. The purpose of the XX Leadership Board (XXLB) is to:
 - a. act as a governance body to deliver organisational leadership across the branch in support of NZDF and RNZN strategic plans;
 - b. make decisions to research, endorse and/or approve initiatives to:
 - (1) enhance the operational performance of the branch,
 - (2) enhance the future of the branch, and
 - (3) reduce risk¹,
 - c. provide oversight to branch initiatives and contribute to future operating concepts;
 - d. lead the development of the respective branch in support of NZDF and RNZN strategic plans;
 - e. provide advice to DCN on raising, training and sustaining the branch;
 - f. provide branch capability advice across the NZDF;
 - g. maintain key stakeholder relationships, to set and oversee the long-term direction and 'health' of the branch; and
 - h. throughout all Board, associated Working Group/Committee proceedings, and subsequent action, maintain transparency and ensure accountability.
3. **Membership.** The XXLB membership includes all Branch Heads/Capability Commanders and Heads of Trades for the XX branch. The Board will be chaired by the Category Captain who is nominated by DCN. The Category Captain may nominate additional members as required to ensure the outcomes of the board are delivered. In addition, the XXLB may also invite additional participants or observers to attend meetings, including external representatives from business or industry.
4. A quorum is considered to be 50% of the permanent members being present with each trade having at least one representative at the meeting.
5. Subject to any limitations imposed by DCN, it is expected that members will hold a Branch Leadership Board appointment for three years.
6. **Responsibilities.** The responsibilities of the XXLB members are:
 - a. **Category Captain:**
 - (1) act as Chair of the respective leadership board;
 - (2) facilitate mutual agreement on any leadership board decision,
 - (3) represent the XX Branch at RNZN and NZDF leadership boards as appropriate,
 - (4) sign off XXLB documentation,
 - (5) provide guidance and advice to DCN on developing and sustaining the branch leadership capability,
 - (6) liaise with other RNZN, NZDF, defence coalition and/or external working groups as appropriate, and
 - (7) upon completion of a meeting, report to DCN on branch developments, risks and initiative progress.

1. Includes, but is not limited to, health and safety, wellbeing, sustainability and development.

- b. **Deputy Chair** (to be nominated by Category Captain):
 - (1) Carry out duties of the Chair in their absence.
 - c. **Secretary:**
 - (1) schedule meetings,
 - (2) provide agenda (in consultation with Chair) and distribute to XXLB members at least five working days prior to the meeting,
 - (3) write and distribute/publish meeting minutes within 10 working days of the meeting,
 - (4) coordinate action items as required, and
 - (5) facilitate the distribution of official outgoing correspondence from the XXLB as appropriate, in consultation with the Chair.
 - d. **All Members**²:
 - (1) use their best endeavours to attend meetings and to prepare thoroughly - participate fully, frankly and constructively in Board discussions and bring the benefit of their particular knowledge and skills,
 - (2) raise issues from within their trades or functional areas to the XXLB, and
 - (3) advise the Chair when unable to attend a meeting and confirm in writing to the secretary.
7. **Frequency of Meetings.** The XXLB will meet at least quarterly.
8. **Finance.** Travel expenses associated with the XXLB activities are to be met by member unit cost centres.

2. Any member is at liberty to accept other appointments so long as the appointment is not in conflict with the Board and does not detrimentally affect the performance of the member. Other appointments should be discussed with the Chair should there be any doubt.

Annex 3-G. Generic Branch Leadership Board Charter

Note: The generic Charter below is suggested example content only. Content may be amended as required to suit branch specifics.

1. **Charter Purpose.** To authorise the establishment of the XX Leadership Board (XXLB) under the conditions and scope prescribed within.
2. **Definitions:**
 - a. **Chair.** The Chair of the Board.
 - b. **Board.** The XX Leadership Board as authorised in NZBR 1 Part 1, “Chapter 3 - Workforce Governance”.
 - c. **Management.** Personnel in organisations across the NZDF that comprise the RNZN people system. Principally, this will refer to the Fleet Personnel and Training Organisation (FPTO), but will also refer to Defence Human Resources, the New Zealand Defence College and, in some cases, may extend to other Services.
 - d. **Members.** Members of the Board.
 - e. **Navy People System.** The functions delivered across the NZDF enterprise that give rise to the raising, training and sustaining of XX Branch people in order to deliver Output Expense 1.
 - f. **Secretary.** The Board secretary or the person normally exercising the functions of the Board secretary.
 - g. **XX Branch.** The officers of the XX List, XX, and the ratings’ trades specified in NZBR 1¹.
3. **Purpose of the XX Leadership Board.** The purpose of the XX Leadership Board (XXLB) is to:
 - a. act as a governance body to deliver organisational leadership across the branch in support of NZDF and RNZN strategic plans;
 - b. make decisions to research, endorse and/or approve initiatives to:
 - (1) enhance the operational performance of the branch,
 - (2) enhance the future of the branch, and
 - (3) reduce risk²,
 - c. provide oversight to branch initiatives and contribute to future operating concepts;
 - d. lead the development of the respective branch in support of NZDF and RNZN strategic plans;
 - e. provide advice to the Deputy Chief of Navy (DCN) on raising, training and sustaining the branch;
 - f. provide branch capability advice across the NZDF;
 - g. maintain key stakeholder relationships, to set and oversee the long-term direction and ‘health’ of the branch; and
 - h. throughout all Board, associated Working Group/Committee proceedings, and subsequent action, maintain transparency and ensure accountability.
4. **Objectives for Period XX to XX.** In addition to the outcomes associated with the general purpose of the XXLB, the Board is to undertake the following specific tasks within the period XXX XX to XXX XX³:

1. Add as relevant to the branch.

2. Includes, but is not limited to: health and safety, wellbeing, sustainability and development.

- a. develop XXLB Operating Procedures;
- b. develop and maintain a five year branch strategy that is aligned to NZDF and RNZN strategies; and
- c. set the theme for branch forums and conferences.

5. **Stakeholder Relationships.**

- a. The XX Board is to maintain key stakeholder relationships, to set and oversee the long-term direction and 'health' of the branch.
- b. In the normal course of events, day-to-day management of the Navy people system will be in the hands of management.

6. **Procedures.**

- a. The conduct of the members will be consistent with their duties and responsibilities to the RNZN and indirectly, to DCN.
- b. The Board will be disciplined in carrying out its role with emphasis on strategic issues and policy.
- c. Members will always act within any limitations imposed by the Board on its activities.
- d. Board discussions will be open and constructive, recognising that genuinely held differences of opinion can, in such circumstances, bring greater clarity and lead to better decisions. The Chair will nevertheless seek consensus in the Board but may, where considered necessary, call a vote. All discussions and their record will remain in-confidence unless there is a specific direction from the Board to the contrary, or disclosure is required by law.
- e. Subject to legal or regulatory requirements, the Board will decide the manner and timing of the publication of its decisions.
- f. Members who also have management responsibilities, attend meetings to discharge their Board responsibilities. At Board meetings, Board responsibilities supersede all management responsibilities.
- g. The Board has sole authority over its agenda and exercises this through the Chair. Any member may, through the Chair, request an addition of an item to the agenda. The agenda will be set by the Chair in consultation with the secretary.
- h. The Board will normally meet quarterly, and will hold additional meetings as occasion requires.
- i. At each normal meeting the Board will consider (to include, but not limited to):
 - (1) reports from relevant parts of the organisation,
 - (2) specific proposals for consideration by the Board, and
 - (3) issues or opportunities.
- j. On an annual basis, the Board will:
 - (1) review goals,
 - (2) review strategies and plans,
 - (3) approve the annual report,
 - (4) review the Board composition, structure and succession,
 - (5) review the performance, composition and necessity of any committees,

3. These are example objectives only. Objectives are to be developed for each Board in conjunction with DCN and the Category Captain.

- (6) undertake a Board evaluation and contribute to individual member Performance Development Review (PDR),
 - (7) review risks pertinent to the Board,
 - (8) review stakeholder relationships, and
 - (9) settle the following year's goals and work plan.
7. **Membership and administration** of the Board is IAW XXLB TOR.
8. **Committees.**
 - a. Board committees (also known as Working Groups) will be formed only when it is efficient or necessary in order to facilitate decision making. Board committees will observe the same rules of conduct and procedure as the Board unless the Board determines otherwise. Committees may only speak or act for the Board when authorised to do so.
 - b. The Board has [insert number] standing committees, namely [committee 1], [committee 2] and [committee 3]. Other committees will be formed for specific purposes and disbanded as required.
9. **Induction of New Members.** Potential members are encouraged to undertake due diligence on the Board prior to accepting an appointment. Upon appointment, members will undertake an induction programme aimed at deepening their understanding of the Navy personnel system, the business and the environment in which it operates. As part of the programme, members will receive essential Board information and will meet with key members.
10. **Board Evaluation and Accountability.**
 - a. The Board will, annually, critically evaluate its own performance, and its own processes and procedures to ensure that they are not unduly complex and are designed to assist the Board in fulfilling its role effectively.
 - b. Members are to request feedback on their performance from the Chair and/or the Deputy Chair for inclusion within their annual PDR.

Chapter 4 - Position Descriptions

Section 1 - The Executive Officer

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. DFO 50 - Standard Operating Procedures for Explosives Ordnance Disposal in Support of Civil Authorities
- C. DFO 41 - Defence Force Orders for Safe Management of Hazardous Substances
- D. MI 45.381 - Naval Ammunition and Explosives Instructions

1.4.01 General Responsibility

- a. The Executive Officer (XO) is the second in command. They are responsible to the Commanding Officer (CO) for the general organisation of the ship and for the discipline and welfare of the whole ship's company together with the co-ordination of their training both for war and in peace, at sea and in harbour.
- b. The XO is to be prepared to assume command if the CO becomes incapacitated for any reason, iaw Naval Forces General Orders, Part 0, Articles 0.3.25 Special Command and 0.3.26. Order of Command. The XO is also to be prepared for duties in a command watchbill opposite the CO; to which end they can be required to assume greater responsibility, and be delegated greater authority in certain circumstances as required by the CO.

1.4.02 Operational Organisation

- a. **Watch and Station Bill.** The XO is to superintend the preparation and completion of the watch and station bill by departmental officers.
- b. **CBRNDC.** The XO is responsible for the overall CBRNDC organisation and is to co-ordinate all CBRNDC activities; to this end they are to ensure that the watch and station bill provides personnel from all departments to meet the CBRNDC requirements at all states of readiness. The XO is to arrange to exercise the ship's CBRNDC organisation.
- c. **Departmental Co-ordination.** The XO is responsible for the overall organisation of other activities which involve the co-ordination of two or more departments, including daily user checks, replenishment at sea, ceremonial activities, measures for the protection of the ship from attack by underwater swimmers, and disaster relief. To this end the XO is to ensure that the watch and station bill provides personnel from all departments to meet these requirements.

1.4.03 Administrative Organisation

- a. **Ship Co-ordination.** The XO is to co-ordinate the programmes of all departments so as to meet the ship's objectives and to ensure the promulgation of the ship's programme. Where conflicting interests arise which cannot be resolved without prejudice to departmental objectives, the matter is to be represented to the CO.
- b. **Common Tasks.** The XO is to direct tasks and activities which are common to all departments. They are to apportion common tasks between departments so as to balance departmental workloads.
- c. **Divisional System.** The XO is to supervise the organisation and administration of the ship's divisional system (refer to Part 1, Chapter 6 - Divisional Matters, of Ref A).
- d. **Standing Orders.** The XO is to promulgate ship's standing orders covering:
 - (1) CBRNDC;
 - (2) security;
 - (3) safety precautions;

- (4) organisation: general, discipline, functional duties and welfare;
 - (5) routines;
 - (6) explosives safety organisation and responsibilities; and
 - (7) such other matters as may be required for the effective management of the ship and the ship's company.
- e. **The Safety of Explosives.** With respect to explosives, the XO is responsible:
- (1) to the CO for the co-ordination of whole ship activities affecting the safety of explosives iaw Refs B and C for establishments or Ref D for HMNZ Ships; and
 - (2) for ensuring that the ship organisation complies with Ref D and New Zealand supplements thereto.
- f. **Safety Precautions for Personnel.**
- (1) Before proceeding to sea, the XO is to ensure that:
 - (a) the ship is in the appropriate CBRNDC state and condition, and properly secured for sea; and
 - (b) sea lifebuoys are rigged and placed.
 - (2) At sea the XO is to ensure that:
 - (a) personnel are not normally ordered to a potentially dangerous position without previously ascertaining from the OOW that the upper deck is safe. If; however, an emergency that is beyond the control of the OOW does require personnel to venture into a dangerous position, the XO assumes full responsibility for their safety (see Section R, Article "[1.4.218 Responsibilities at Sea](#)" para 17); and
 - (b) a boat's distress signal box is kept in the sea boat and the ship's distress pyrotechnics are ready for immediate use. The correctness of these matters is to be checked and reported to the OOW at sunset.
 - (3) The XO is responsible for the safety of all persons embarking and disembarking the ship, and is to see that all persons who are not members of the ship's company are made aware of the ship's health and safety requirements. They are further to ensure that such persons are escorted, monitored or otherwise controlled whilst on board so that no harm comes to them.

1.4.04 Discipline and Routines

- a. The XO is to superintend the MAA in the execution of their duties (see "[Section 21 - The Naval Police](#)").
- b. **Joining and Leaving Routines.** The XO is to ensure that standing orders provide for a definite routine to be carried out by all personnel joining or leaving the ship. It is necessary to provide for adequate advance notice of postings to be given to all concerned, such as regulating, pay, stores offices and sick bay; and the routines should ensure that all stores on loan, are withdrawn from personnel before they leave.

1.4.05 Training

The XO is responsible for:

- (1) coordinating the training of the whole ship's company; and
- (2) arranging the instruction of officers borne for training.

1.4.06 Departmental Responsibilities

- a. **Replenishment at Sea.** The XO is responsible for the inboard organisation of replenishment at sea and the handling of gear which is not the responsibility of the MEO.

- b. **Inflatable Lifesaving Equipment.** The XO is to ensure that inflatable lifesaving equipment is correctly maintained.
- c. **Seamanship Data Book.** The XO is to supervise the compilation of the Seamanship Data Book. This book is to be produced for examination by the IO at the periodical inspection of the ship. When a ship is finally paid off from RNZN service, the book is to be forwarded to the CN for lodging in the archives.
- d. **Seamanship Evolutions.** The XO is responsible for the safe conduct of all seamanship evolutions. They are to see that officers and SRs supervising seamanship evolutions have the necessary knowledge and ability required for the task.
- e. **Seamanship Evolutions.** The XO is responsible for the safe conduct of all seamanship evolutions. They are to see that officers and SRs supervising seamanship evolutions have the necessary knowledge and ability required for the task.
- f. **Equipment.** The XO is to see that all rigging items and all seamanship equipment is in a serviceable condition and that periodic tests and inspections are carried out as prescribed or whenever deemed necessary.
- g. **Boatswain's Duties.** Should an officer be posted for boatswain's duties, that officer is to be responsible to the XO for the duties iaw paras 4 and 5 (see also "[Section 13 - Information Officers](#)"). These responsibilities can be delegated to another suitably qualified officer at the CO's discretion, when an officer is not specifically posted for boatswain's duties.

1.4.07 Officer in Medical Charge

Attention is drawn to NZBR 1, Part 1, Chapter 4, "[Section 5 - Health Services Officer](#)" (Sub-section (2)) which directs the requirement of the Executive Officer to act as the Officer in Medical Charge in the absence of a Health Services Officer (HSO). NZDF medics cannot act as a HSO due to the requirement for a HSO to be a registered medical practitioner. A medic cannot be appointed as the HSO in Charge.

- h. **Seamanship Evolutions.** The XO is responsible for the safe conduct of all seamanship evolutions. They are to see that officers and SRs supervising seamanship evolutions have the necessary knowledge and ability required for the task.
- i. **Equipment.** The XO is to see that all rigging items and all seamanship equipment is in a serviceable condition and that periodic tests and inspections are carried out as prescribed or whenever deemed necessary.
- j. **Boatswain's Duties.** Should an officer be posted for boatswain's duties, that officer is to be responsible to the XO for the duties iaw paras 4 and 5 (see also "[Section 13 - Information Officers](#)"). These responsibilities can be delegated to another suitably qualified officer at the CO's discretion, when an officer is not specifically posted for boatswain's duties.

1.4.07 Officer in Medical Charge

Attention is drawn to NZBR 1, Part 1, Chapter 4, "[Section 5 - Health Services Officer](#)" (Sub-section (2)) which directs the requirement of the Executive Officer to act as the Officer in Medical Charge in the absence of a Health Services Officer (HSO). NZDF medics cannot act as a HSO due to the requirement for a HSO to be a registered medical practitioner. A medic cannot be appointed as the HSO in Charge.

1.4.08 Lifejackets

- a. The XO is to ensure that lifejackets are carried by personnel during work-up programmes, upper deck evolutions, and at all other times deemed necessary.
- b. When not being carried by personnel, lifejackets are to be stowed in the special GRP lockers on the upper deck. In small craft, lifejackets are to be stowed in the wheelhouse. A locking device is fitted to the upper deck lockers and security precautions are to be taken to safeguard against misappropriation whilst the ship is in harbour. It is the XO's responsibility to

ensure that lockers are unlocked immediately the ship proceeds to sea.

- c. All lifejackets are to be inspected visually at intervals of not more than six months by a trained Life Saving Equipment (LSE) rating and landed for overhaul at annual intervals. If the ship is programmed to be away from New Zealand for any lengthy period, the XO is to ensure that any lifejackets that will reach the date of annual overhaul before the ship returns to New Zealand are overhauled or exchanged before deployment. On all occasions where lifejackets are being returned/exchanged, including ship's refitting or paying off into reserve, the outfit of lifejackets is to be returned to the MLO for return to the NSD.
- d. The XO is to ensure that whenever passengers are embarked, any necessary additional lifejackets are available on a scale of one per person.

1.4.09 - 1.4.13 Not Allocated

Section 2 - Engineer Officer

References:

- A. MI 45.7 - Engineering Department Operation
- B. MI 2170 - Ship's CBRNDC Manual
- C. NZBR 862 - RNZN Magazine and Explosives Regulations

1.4.14 Professional Expectations

- a. It is expected that as engineers within the naval domain, engineer officers will uphold their professional responsibility to conduct themselves in accordance with the technical, legal and ethical standards of the profession. This includes ongoing vigilance and adherence to safety, health and environmental-related legislation and procedures. Good professional conduct also includes practicing only within one's competence.
- b. Engineer Officers (EOs) are:
 - (1) expected to obtain competence, through disciplined academic education, training and experience, and maintain a level of skill and knowledge consistent with the demands of their area of practice;
 - (2) to ensure that professional standards and practices are adhered to; and
 - (3) expected to take responsibility and be accountable for their decision making and actions.

1.4.15 Head of Fleet Element (FE) Engineering Department

- a. The Engineering Department(s) of a seagoing ship is responsible to the command for the support, management and availability of the equipment and systems as detailed in Ref B. In general terms, the Marine Engineering (ME) Department is responsible for all equipment and systems that comprise the 'float' and 'move' functions, whilst the Weapon Engineering (WE) Department is responsible for all equipment and systems that comprise the 'fight' functions.
- b. For Fleet Elements (FEs) that operate both a Marine Engineering Department and a Weapon Engineering Department, these departments are autonomous and are headed by a Marine Engineer Officer (MEO) and Weapon Engineer Officer (WEO), respectively. Where the Marine and Weapon Engineering Departments are combined as one Engineering Department, the department is headed by an EO who assumes the duties and responsibilities of both departments.
- c. For FEs where no qualified EO is borne, a senior ME rating who holds the appropriate Engineering Charge Certificate may be appointed as the EO.
- d. For the purposes of the remainder of this sub-part and unless otherwise stated, the head of an Engineering Department is referred to as the 'EO'.
- e. In the absence of the EO, the following can assume EO responsibilities in the following order of precedence:
 - (1) the officer appointed as the Deputy EO;
 - (2) officers in order of seniority holding the appropriate Engineer Officer Charge Certificate and serving in the ship's Engineering Department; and
 - (3) senior ratings in order of seniority holding the appropriate Engineering Charge Certificate and serving in the ship's Engineering Department.

1.4.16 Engineer Officer - General Duties and Responsibilities

- a. The EO is accountable to the CO for:
 - (1) the organisation, administration, training and good order of the department, including the welfare of personnel;

- (2) the correct operation, maintenance and repair, performance, availability, security, custody and safety of all systems and equipment in their charge in accordance with Ref A, Class General Orders and Ship Standing Orders;
 - (3) the duties described in Ref A;
 - (4) the CBRNDC duties described in Refs B and C;
 - (5) the custody of drawings and publications associated with the systems and equipment for which they are responsible, and for the proper management of spares and stores which are not on the charge of the Maritime Logistics Officer (MLO);
 - (6) configuration management relating to the systems and equipment for which they are responsible; and
 - (7) watertight integrity of all hull openings in connection with the equipment for which they are responsible.
- b. In the performance of their duties, the EO is to comply with the instructions in Ref A and other appropriate manuals, which are considered supplementary to this chapter.

1.4.17 Engineering Qualification Requirements by Ship Class

Engineering Qualification Requirements by Ship Class are detailed in Ref A.

1.4.18 - 1.4.24 Not Allocated

Section 3 - The Maritime Logistics Officer or the Officer Carrying Out Supply Duties

References:

- A. Naval Forces General Orders
- B. NZDDP 4.0 - Defence Logistics
- C. DFO 3 - New Zealand Defence Force Human Resource Manual
- D. DFO 5 - Defence Force Orders for Entitlements, to Pay, Allowances and Expenses
- E. DFO 36(1) - Defence Force Orders for Movements (Volume 1)
- F. DFO 52(1) - Defence Force Orders for Materiel Management (Volume 1)
- G. DFO 52(2) - Defence Force Orders for Procurement (Volume 2)
- H. DFO 70 - Defence Force Orders for Official Information
- I. DFO 74 - Defence Force Orders for Accounts Payable Procedures
- J. DFO 77 - Defence Force Orders for Financial Management and Reporting
- K. DFO 79 - Defence Force Orders for Insurance
- L. DFO 81 - Defence Force Orders for Risk Management
- M. NZBR 3 - RNZN Clothing Instructions
- N. NZBR 7 - RNZN Technical Instructions
- O. NZBR 15 - RNZN Trophy Manual
- P. NZBR 24 - RNZN Non Public Funds Manual
- Q. NZBR 25 - RNZN Cash Accounting Instructions
- R. NZBR 26 - RNZN Materiel Management Instructions
- S. NZBR 29 - RNZN Catering Instructions
- T. NZBR 53 - Support Branch Logistics Operational Orders
- U. Public Finance Act 1993
- V. Privacy Act 1993

1.4.25 The Maritime Logistics Officer

- a. The Maritime Logistics Officer (MLO) is a professional military logistician well versed in planning and sustaining naval expeditionary operations. The MLO is a specialist in delivering a range of maritime logistic capabilities and is able to partner with Land and Air logisticians to deliver effective support to complex joint and combined operations. MLOs are operationally focused; they are the logistic experts within the maritime domain.
- b. The MLO, as the head of the Support Department is responsible to the CO for:
 - (1) the organisation and leadership of the department;
 - (2) the provision of logistic input into operational planning;
 - (3) effective delivery of the outputs of the department;
 - (4) the materiel state of the department including safe operation of its equipment; and
 - (5) the personnel state of the department including safety and continuation training of all personnel.
- c. The MLO is to have functional authority over all officers of the supply specialisation posted for supply duties and is to allocate them duties appropriate to their continuation training requirements.

- d. The MLO is to routinely have under their control all writers, logistics supply specialists, chefs and stewards serving in the ship.

1.4.26 Responsibilities

The detailed responsibilities of the MLO are contained in those publications governing the various aspects of the supply profession, including but not restricted to those listed in the references. The MLO's general responsibilities at sea are amplified in this chapter.

1.4.27 Employment of the Maritime Logistics Officer

- a. The employment of the MLO during whole ship activities is a command decision; however, in order to provide the appropriate level of specialist advice and to monitor their departmental responsibilities, employment must enable the MLO to fulfil operational departmental duties laid out at Ref T.
- b. A MLO posted into a ship as the MLO may be required by the CO to undertake certain extra departmental duties. COs are to exercise discretion in striking a proper balance between such duties and the MLO's primary function, that of HOD, and in so doing should ensure that the execution of their primary function is not jeopardised. An officer posted in as the MLO is not to be required to undertake secretarial or correspondence duties.

1.4.28 Cash and Supplies

- a. The MLO is responsible for all the public monies, and for all receipts and disbursements of public funds, and for the correct accounting of them. The MLO is to obtain the CO's prior authority for any purchase, payment or issue which is not within their financial and/or purchasing delegations, or within their authority as MLO to approve themselves.
- b. The MLO is responsible to the CO for obtaining such supplies of cash, provisions and other material in the MLO's areas of responsibility, as are needed to ensure that the ship is fully equipped for the service on which it is to be employed.
- c. The MLO is to recommend to the CO such sub-delegations of authority to pay and receive public money as are necessary and allowed iaw Ref Q.
- d. The MLO is specifically responsible for:
 - (1) ensuring the security of all public cash, and such documents which possess a cash exchange value;
 - (2) ensuring the care and preservation of all stores in their charge;
 - (3) the proper accounting for such stores iaw NZDF and naval instructions; and
 - (4) managing administrative, financial and storekeeping data systems installed in the ship and ensuring that proper precautions are taken and back-up records are maintained to enable essential information to be obtained in the event of system failure.

1.4.29 Reports to the Commanding Officer

- a. The MLO is to keep the CO fully informed of the state of the Support Department. In seagoing ships, and elsewhere if required, the MLO is to furnish the CO with a written report at least once weekly, and on sailing, The report is to include, as a minimum, details of:
 - (1) **Stock Holdings.** Stock holdings, in number of days to which the ship is stored for all categories of rations.
 - (2) **Replenishment.** Planned dates and location of the next replenishment.
 - (3) **Personnel.** Personnel state of the department.
 - (4) **Materiel State of the Department.** This is to include details of any deficiencies in equipment that affect the ship's operational efficiency, and the estimated repair date for the equipment.

- (5) **Cash.** Balance of all public and non-public monies held by the MLO.
 - (6) **Stores Demands.** Status of all outstanding stores demands that affect the ship's operational efficiency, together with known supply details.
 - (7) **Emergency Stores.** Details of when the following emergency stores were last checked and the status of the:
 - (a) emergency water;
 - (b) emergency rations;
 - (c) ration packs (if held); and
 - (d) alternative cooking equipment.
- b. In ships not carrying a MLO, the topics listed are to be reported on by the officers responsible for these duties.

1.4.30 Rationing and Catering

The MLO is responsible to the CO for the rationing and catering organisation iaw Part 4, Chapt 10 of Refs A and S.

1.4.31 Storekeeping and Accounting

The MLO is responsible to the CO for the storekeeping and stores accounting organisation of the ship, and for the compartments allocated for storerooms or stores offices, iaw Refs F, G and R.

1.4.32 Ship's Canteens

While the XO, as chairman of the welfare committee, is responsible for the affairs of the canteen in relation to the welfare and routine of the ship, the MLO is to assume the duties of the canteen officer iaw Part 1, Chapter 8, "[Section 3 - Welfare Committees, Canteen and Ship's Funds](#)").

1.4.33 Change of Maritime Logistics Officer

- a. On the transfer of charge from one MLO to another, the incoming officer, assisted by the outgoing officer, is to complete the checks listed on Form RNZN 292 - Supersession Certificate. Both officers are then to sign the Form RNZN 292.
- b. The responsibility of the outgoing officer does not cease until the officer assuming charge has signed the supersession certificate. The outgoing MLO will be required to furnish a full explanation of any significant stock take variance or other concerns arising from the checks undertaken on handover, and will be liable for administrative or disciplinary action if there are deficiencies in stock or cash due to their misconduct or negligence.
- c. Four copies of the supersession certificate are to be prepared and distributed as follows:
 - (1) copy 1 to the CO, then placed on the appropriate file;
 - (2) copy 2 to the LC(M) (attention: Fleet Maritime Logistics Officer (FMLO));
 - (3) copy 3 to be retained by the outgoing MLO; and
 - (4) copy 4 to be retained by the incoming MLO.
- d. The checks listed on RNZN 292 are to be regarded as the minimum to be completed on the supersession of MLO. Additional checks should be made as considered necessary by either the incoming or outgoing MLO.

1.4.34 Absence or Incapacity of the Maritime Logistics Officer

- a. In the absence of the MLO for any temporary cause, the charge of the Support Department is to be assumed by the deputy MLO (DMLO) (if one is posted).
- b. If a qualified officer of the supply specialist is not available, the CO is to appoint an officer of

another specialisation on the general list not below the rank of lieutenant to assume management of the Support Department. This officer is to oversee the work of the ratings in charge of each sub-department, but is not to interfere in the performance of their professional duties.

- c. The deputy imprestee (where one has been nominated and approved iaw Ref Q is to assume full responsibility for the accounting for the public money held.

1.4.35 Death or Removal of the Maritime Logistics Officer

If the MLO should die or be removed for any cause, the officer's accounts are to be completed and rendered by their successor iaw the instructions in the relevant publications, and verifications of cash and stores carried out. Where no MLO is posted, the CO is to arrange an immediate verification of any public money held.

1.4.36 Supply Staff

- a. To assist the MLO in discharging the foregoing responsibilities, the following officers may be posted to the ship.
- b. **Deputy Maritime Logistics Officer.** The officer posted as DMLO will be the second senior officer of the supply specialisation with a Supply Charge Certificate posted for supply duties. The DMLO is to assist the MLO in the supervision of the department and is to assume the duties of MLO in that officer's absence through sickness or other cause. The DMLO is normally to act as DO for the Support Department junior ratings.
- c. **Captain's Secretary.** The Captain's Secretary (CO SEC), under the control of the MLO, is responsible to the CO for the correspondence and personnel records of the ship and for such other duties as the CO may direct. They will be employed on such general duties in the Support Department as the MLO shall direct (with the CO's concurrence). Where the CO SEC is not of the supply specialisation, the individual detailed to perform the duties of CO SEC will be responsible to the MLO whilst carrying out those duties. The duties of the CO SEC may be filled by a senior writer, where posted.
- d. **Other officers.** Other officers posted for supply duties are to be employed as the MLO sees fit in the best interests of the department and the individual's ongoing professional development.

1.4.37 Cash Accounting Duties in Ships without an Officer in Supply Charge

- a. In ships rendering accounts through a parent ship or base, the CO is personally responsible for supply duties and for the public money. The CO may; however, detail another commissioned officer to be responsible under the CO for the custody of and accounting for the cash and for keeping the key of the money chest. Delegation of these duties will not by itself absolve the CO from ultimate responsibility for the custody and proper disbursement of the public money. In no circumstance are such duties to be delegated to a rating without the specific prior approval of the FMLO.
- b. The CO or the officers directed to perform cash duties should obtain guidance in the keeping and rendering of their accounts and in dealing with the results of periodical money counts from finance staff, the MLO of a parent ship or the Deputy Maritime Logistics Officer (or FMLO where the position of DMLO is not filled).
- c. The CO is to cause the officer to whom the responsibilities for cash is delegated to report to them no less than weekly on the status of the cash held on board. See Article "[1.4.29 Reports to the Commanding Officer](#)" for weekly reports to the CO.

1.4.38 Rationing Duties in Ships without an Officer in Supply Charge

- a. In ships which do not have a MLO or person posted for supply duties, the CO is personally responsible for catering duties. The CO may detail a commissioned officer, normally the XO, to assume the responsibilities as listed in DFI 4.406 - Defence Force Catering, but the CO remains personally responsible for ensuring that these duties are properly performed.

- b. The CO is to cause the officer to whom the responsibilities for rationing is delegated to report to them no less than weekly on the status of ration stores. See Article [“1.4.29 Reports to the Commanding Officer”](#) regarding weekly reports to the CO.

1.4.39 Stores Duties in Ships without an Officer in Supply Charge

- a. In ships where store accounts are kept but no MLO or person posted for supply duties, the CO should be guided by the following additional considerations in detailing an officer as storekeeping officer:
- (1) the officer should be one who can retain the responsibilities for an appreciable period, in view of the additional work necessary on supersession; and
 - (2) there is to be only one officer responsible for the work, the organisation of the stores staff, and the good order and cleanliness of storerooms. This officer is also to coordinate the storekeeping action which affects all classes of stores held, e.g. storing ship, stocktaking.
- b. The storekeeping officer is to be guided by Refs F, G and R, in consultation with technical and other departmental officers in the discharge of these duties. At the discretion of the CO; however, and subject to 1.b, other officers may be made specifically responsible for advice about distinct groups of stores on such matters as stocks to be carried, replenishment, reports and returns. In this event, and when appropriate, more than one officer may sign vouchers and other documents, signatures being endorsed to indicate the limit of responsibility of each. The CO is to see that the specific areas of responsibility are clearly defined in standing orders.
- c. Officers who are delegated the duties to approve the requisition or purchase of stores are to be furnished with the appropriate purchasing or financial delegation, but not normally both.
- d. The CO is to cause the officer to whom the responsibility for general stores is delegated to report to them no less than weekly on the status of general stores. See Article [“1.4.29 Reports to the Commanding Officer”](#) regarding weekly reports to the CO.

1.4.40 Acquaintance Training

Officers nominated for the first time for rationing, cash or storekeeping duties in ships with no officer posted in supply charge are to undergo the appropriate level of training at the Support Branch Training School.

1.4.41 Risk Management

The MLO is normally to be the risk and insurance officer with responsibility for advising the CO on risk management and insurance matters iaw Ref L and Ref K.

1.4.42 Official Information and Privacy

- a. The MLO is normally to be appointed as the Official Information Officer within ships and are to make themselves thoroughly familiar with the procedures, practices and information principles as detailed in Ref H.
- b. The MLO is responsible to the CO for ensuring duties are carried out in accordance with Ref V:
- (1) Ensuring that the ship's company are advised, on a regular basis being not less than every six months, through routine orders/civil staff newsletters of the following:
 - (a) 'The NZDF collects personal information for the purposes of command, administration, discipline, security, employment and training. This information will be provided to and used by staff members whose duties require them to have access to that information.'
 - (2) Ensuring that all forms, reports, files, manuals and other instructions covering the collection, use and retention of personal information reflect the privacy principles as set out in Ref V, and as amplified by separate instructions when issued.

1.4.43 - 1.4.49 Not Allocated

Section 4 - Aviation Officer

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. AVOs - General Orders for NZDF Military Aviation Operations
- C. NZBR 202 - RNZN Air Orders
- D. NZAP 201 - Manual of Air Force Safety and Health

1.4.50 Head of the Flight

- a. The Flight Commander (FLT CDR) is the head of the Flight and is responsible to the CO for the conduct of all flying and air matters. They will also advise the CO on all matters pertaining to the use of rotary wing aircraft.
- b. The FLT CDR is responsible for all matters concerning the Flight and in particular:
 - (1) during operational flights, achieving and maintaining a high standard of fighting efficiency;
 - (2) the safety of embarked aircraft and flight personnel;
 - (3) administration, discipline, morale, welfare, training and efficiency of the Flight;
 - (4) the custody of flight aircraft and such naval stores as may be issued to the Flight;
 - (5) closely liaison with the Ship Communications Officer (SCO) and the Operations Officer (OPSO), so that efficient communications are maintained;
 - (6) seeking advice as necessary from specialist RNZN or RNZAF officers on matters affecting the Flight and associated training;
 - (7) keeping a complete record of all accidents and handling them iaw the instructions iaw Ref D;
 - (8) keeping such other records and rendering reports as may be required; and
 - (9) acting as the DO for the SMR.
- c. The FLT CDR is to be fully conversant with Ref C and is to ensure that all members of the flight, and those of the ship's company of whom it affects, are familiar with its contents. The FLT CDR is also to ensure that all members of the flight are conversant with RNZAF and other air publications as are applicable to the aircraft and flying duties;

1.4.51 The Flight Commander

- a. The FLT CDR is responsible to:
 - (1) The CO for:
 - (a) the airworthiness and safe operation of the aircraft;
 - (b) the airworthiness of the aircraft when embarked; and
 - (c) the correct attachment of weapons to the aircraft, and final preparation of the weapon system within the aircraft.
 - (2) The Principal Warfare Officer (PWO) for:
 - (a) providing information on the aircraft's state of readiness;
 - (b) providing advice on the tactical use of the aircraft, its weapons and sensors; and
 - (c) operating the aircraft as directed, subject to the limitations implied in para 1.a(1).
 - (3) The OPSO for:
 - (a) the operational efficiency of airborne weapon systems, and of flight personnel;

- (b) information on the time and assistance required for the execution of paragraph 1.a(2);
 - (c) collaboration on exercises and practices involving air delivered weapons or airborne sensors; the safety measures, recording and analysis requirements; and
 - (d) aviation meteorology (see [“Section 9 - Meteorological Officer”](#)).
- b. When disembarked but still under the operational control of the ship, the FLT CDR remains generally responsible for the provisions of this chapter in as much as any particular provision is reasonably capable of being complied with.
- c. When the flight is disembarked to RNZAF Whenuapai and the aircraft is not under the operational control of the ship, the FLT CDR will, while remaining posted as a ship’s officer, continue to be responsible for the general duties of the head of the air department in Article [“1.4.50 Head of the Flight”](#).

1.4.52 The Flight Deck Officer

- a. The Flight Deck Officer (FDO) is responsible to the CO for the safe conduct of flight deck operations, the visual control of aircraft in the immediate vicinity of the ship, and other duties as set out iaw Ref C.
- b. **Flying Operations.** In ships with more than one officer or rating qualified as the FDO, the senior will be nominated by the CO as FDO with overall responsibility. During all weapon loadings, take-offs and landings a qualified FDO is to be present on the flight deck; that officer will be responsible for all matters directly concerning the aircraft, flight deck activities and safety while at flying stations.

1.4.53 Helicopter Controller

The responsibilities of the helicopter controller are laid down in [“Section 16 - Operations Personnel”](#).

1.4.54 - 1.4.59 Not Allocated

Section 5 - Health Services Officer
Sub-section (1) - Health Services Officer

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. Armed Forces Discipline Act 1971
- B. DFO 18 - Defence Force Orders for Medical Services
- C. DFO 52 - Defence Force Orders for Materiel Management
- D. NZBR 26 - RNZN Materiel Management Instructions
- E. NZBR 55 - RNZN Medical Manual

1.4.60 Health Services Officer

- a. The Health Services Officer (HSO) is responsible to the CO for the treatment of the sick or injured, the maintenance of health, the prevention of disease and the effectiveness of the medical organisation for action.
- b. **Disclosure of Information.** The responsibility of the CO and the mutual involvement of the HSO for the health and welfare of the ship as a whole can necessitate the disclosure, to the CO alone, of medical-in-confidence matters concerning individual cases. Such disclosure is permissible as the CO is equally obliged to respect the confidential nature and sources of the information. Information gained by the HSO that reveals evidence of any serious offence(s) under Ref B must be disclosed to the CO. If in doubt about disclosure, the HSO should consult the Fleet Health Services Officer (FHSO).

1.4.61 Registration as a Medical Practitioner

- a. All HSOs must be registered medical practitioners and it is the responsibility of individual officers to ensure that they are registered annually.
- b. Omission or erasure from the register for any reason is to be reported to the FHSO as soon as they are discovered.

1.4.62 Medical Documentation

- a. The HSO, or senior medic where no HSO is borne, is the only person authorised to be in possession of medical documents that are 'medical-in-confidence'. Medical staff may have access to these documents in the course of their duty.
- b. Instructions for HSOs on the completion and disposal of medical documents are contained in Ref C.

1.4.63 The Daily Sick List

The HSO is to keep a daily sick list which is to contain the names of the sick. In seagoing ships, this is to be submitted to the CO daily; in fleet establishments, it is to be submitted to the CO as is required by the CO.

1.4.64 Medical Stores

The HSO is responsible for the custody and control of all medical stores and other stores issued to the medical department. They are to ensure they meet the requirements of Refs C, D and E.

1.4.65 General Health of the Ship

The HSO is to be alert to any circumstances that are likely to affect the health of the ship. Should they suspect the presence of disease or indisposition in any person, the matter is to be dealt with at once. They are to report immediately to the CO any medical factor in living or working conditions that appears likely to reduce the efficiency of a part or whole of the ship's

company. All matters affecting the health or efficiency of numbers of personnel are to be discussed with the FHSO without delay.

1.4.66 Health Lectures

- a. Health lectures are to be given periodically to the ship's company. The subject matter of lectures is left to the discretion of the CO, as advised by the HSO. The prevention of sexually transmitted infections is to be included as a subject for lectures on a regular basis; particularly where a large percentage of the ship's company has changed.
- b. When it appears likely that the ship's company will be exposed to risk of malaria, dysentery or any communicable disease, special lectures on the prevention of these diseases, afloat and ashore, are to be given.

1.4.67 Consideration of Food

The HSO is to collaborate with the MLO, or officer with the responsibility for catering, to ensure that the food supplied on board meets the nutritional needs of the ship's company. Along with the MLO, they are to pay particular attention to food hygiene standards and in particular to perishable foods. If the HSO has reason to suspect food poisoning, the CO is to be informed so that an investigation can be initiated.

1.4.68 Water Supplies

In collaboration with the MEO, the HSO is to monitor the safety of potable water onboard.

1.4.69 Controlled Drugs

- a. Controlled drugs (as defined in the Misuse of Drugs Act) are to be obtained from the Defence Force Medical Store in the normal manner for demanding medical stores, save that the demand is to be clearly endorsed 'CONTROLLED DRUG'. It is to be signed by the HSO. Particular care is to be taken not to exceed any authorised scale of a particular drug.
- b. All controlled drugs are to be taken on charge in a controlled drugs register, which is to record the source, quantity and supply voucher on each occasion. A separate page is to be maintained for each description of drug. All expenditure, including destruction of time expired or faulty drugs, is to be recorded in the register. Where the drug has been administered to a patient, details showing the authority for use, patient's name, the quantity of drug expended and the initials of the HSO administering the drug are to be entered. When a drug has been destroyed the quantity and full reasons for destruction are to be recorded and the entry certified by the HSO.
- c. The controlled drugs register is to be maintained such that an accurate balance of the quantity of every controlled drug held in the ship can be determined at any time. The register is to be kept in a locked stowage when not in use.
- d. A physical stock-take of all controlled drugs is to be carried out monthly by the CO, or a qualified HSO when borne, and the actual quantity found entered in the register in red ink.
- e. Physical security of drugs. Controlled drugs are invariably to be kept in a locked stowage, which is to be firmly secured to the structure of the room or compartment.
- f. See Article "1.4.75 Medical Stores in Ships Not Carrying a Health Services Officer" for custody and charge in the absence of an HSO.

1.4.70 Quarterly Reports

Quarterly reports by the HSO are to be forwarded to the FHSO, within 10 days after the end of each quarter, commenting on the general living conditions and hygiene state of the ship and items of general or special medical interest. The report should include an account of lectures given by the HSO on health, hygiene and first aid.

1.4.71 - 1.4.73 Not Allocated

Sub-section (2) - Officer in Medical Charge**1.4.74 Ships With No Health Services Officer**

- a. In ships with a medic rating but no HSO, the XO is to be the Officer in Medical Charge (OIMC) and be responsible for medical arrangements in the ship.
- b. In ships in which an HSO is only borne for short periods, it is at the discretion of the CO whether the duties of OIMC should be transferred to the HSO.

1.4.75 Medical Stores in Ships Not Carrying a Health Services Officer

- a. In ships not carrying a HSO, the OIMC is to have charge of the medicines and medical stores, is to take care that medicines and stores are replenished as necessary, and is to see that accounts and returns are prepared as required by Ref C. In addition, the OIMC is to ensure that the instructions contained in Ref F are complied with.
- b. **Controlled Drugs.** The CO is to have personal custody of the controlled drugs (see Article "1.4.69 Controlled Drugs") and is to maintain the controlled drugs register. They may permit a small quantity of morphine (not exceeding two syrettes) to be held in the sick bay for emergency use; the senior medic rating is to be responsible for custody and security in a locked stowage. Any quantity of morphine not in the custody of CO is to be presented for visual check as part of monthly stock take.

1.4.76 Ships With No Medic Rating

- a. In ships with no medic rating, the OIMC may delegate responsibility for day-to day medical duties to the coxswain.
- b. An inventory account for medical stores is to be maintained iaw the scales contained in Ref F. All medical stores requirements are to be obtained through the Defence Health Centre (DHC, DNB).

1.4.77 - 1.4.80 Not Allocated

Section 6 - The Chaplain

References:

- A. DFO 65 - Defence Chaplaincy Manual
- B. Naval Forces General Orders - Part 1, Chapter 3

1.4.81 General

- a. Chaplains are commissioned into the navy to provide for the spiritual well-being of personnel, and their families. They are to be given every assistance to fulfil their ministry. They are not required to perform executive or operational duties, save those proper to their profession.
- b. See also Defence Forces General Orders, Part 0, Chapter 3, Article 0.3.3 Chaplains.

1.4.82 The Chaplain

- a. The chaplain is responsible to the NZDF Chaplaincy Directorate for the performance of their chaplaincy duties; they are also responsible to the CO, for the performance of their pastoral duties within a ship or shore establishment and have right of direct access to ecclesiastical superiors in the NZDF Chaplaincy Service. The chaplain is subject to the normal discipline of the Service.
- b. A chaplain (or the senior chaplain, if more than one is borne) has the status of a HoD in a ship or establishment so that at all times they can be informed of its administration and the needs of its ship's company.

1.4.83 Duties of the Chaplains

- a. Detailed instructions for the performance of their duties are contained in Ref A. The primary duties are to:
 - (1) conduct prayers, sacramental and other religious services;
 - (2) provide advice, guidance and teaching of a moral and religious nature;
 - (3) assist with the well-being and welfare of personnel and their dependants, and to attend to their pastoral needs;
 - (4) be a 'friend and adviser' to all on board; and
 - (5) function in armed conflict iaw military and international law.
- b. Chaplains are to ensure that their conduct and way of life reflect honourably their calling. They should at all times maintain the highest standard of professionalism, leadership and lead by example.

1.4.84 - 1.4.86 Not Allocated

Section 7 - Warfare Officer
Sub-section (1) - The Operations Officer

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. NZBR 45 - NZDF Diving Instructions
- C. BR 45 - Manual of Navigation

1.4.87 Operations Officer

The Operations Officer (OPSO) is the head of the Operations Department, and will normally be the senior officer posted for warfare officer duties.

1.4.88 General Duties

- a. The OPSO is responsible to the CO for:
 - (1) providing advice on the operational aspects of tactics and fleet work, on the operational use of weapon systems, emission and communications security policies, and on enemy capabilities;
 - (2) the efficient operation of those weapon systems or sub-systems for which they are responsible as laid down in the ship's standing orders; and
 - (3) the conduct and safety of practices.
- b. The OPSO is responsible to the XO for:
 - (1) the co-ordination of all weapon system training and the efficiency and collective training of the personnel who man the ship's operational equipment, e.g. action information organisation, electronic warfare, sensor and weapon systems and communications equipment;
 - (2) the training and drill of the Operations Department; and
 - (3) the application of safety rules during operations and exercises including RADHAZ (but see Section 4, Article "1.4.106 Purpose and Accountability" on the responsibilities of the OOW).
- c. The OPSO is responsible for bringing to the notice of the WEO any defects in weapon systems which may be affecting their operational performance.
- d. The responsibilities of the OPSO can, subject to the CO's discretion, be discharged through suitably qualified officers or ratings. The junior PWO, in particular, will normally have a considerable number of those responsibilities delegated to them. The OPSO is to retain the coordinating role.

1.4.89 Operational Aspects

- a. The OPSO is to remain informed of developments in:
 - (1) the operational capabilities of ships, aircraft, submarines, helicopters, weapons, tactics, sensors and communications equipment;
 - (2) the tactics likely to be employed by the enemy and the probable effectiveness of those measures; and
 - (3) the tactical measures advised in the RNZN and in the navies of allied forces.
- b. The OPSO is responsible to the CO for the collection, reporting and dissemination of intelligence information.
- c. The OPSO is responsible to the CO for assessing the ship's fighting operational effectiveness.
- d. The OPSO is to:

- (1) arrange briefings as required before operations, exercises and weapon practices;
- (2) ensure the provision of the appropriate tactical publications and supporting information for presentation to the CO and use in the operations room; and
- (3) ensure that there is an efficient organisation for the co-ordination and control of all electronic and sonic emission within the operational policy in force and the appropriate security instructions.

1.4.90 The Safety of Explosives

The OPSO is responsible for safe use of any weapon system that is transferred to their control, for operational or practice requirements.

1.4.91 Operations and Exercises

The OPSO is charged with:

- (1) assisting the XO in preparing and promulgating the ship's programme;
- (2) planning and arranging exercises, practices and assets, ship and aircraft movements, visits, logistic and replenishment at sea requirements to meet the approved ship's programme;
- (3) preparing movement, operations and exercise orders and signals as required;
- (4) acting upon movement, operations and exercise signals received as appropriate; and
- (5) coordinating the preparation of reports and analyses of weapon practices, exercises, operations and of key training carried out.

1.4.92 Liaison with the Weapon Engineering Officer or the Engineering Officer

- a. The OPSO is to liaise with the WEO or EO to ensure they always know the availability of the weapons, weapon systems and equipment. For those systems for which they are responsible, the OPSO is to ensure that system operator checks, routine performance checks and other necessary tests are carried out, and that they are carried out correctly. Operating and training programmes are to be co-ordinated with the requirements of the WEO for those tests and for routine maintenance and repair.
- b. The OPSO is responsible for coordinating system operator checks, routine performance checks and other necessary tests for all weapon systems so that an efficient material state of the operational systems overall is established and maintained.
- c. See also Section B, Article ["1.4.16 Engineer Officer - General Duties and Responsibilities"](#).

1.4.93 Training

The OPSO is responsible for the:

- (1) training of personnel in the operation of the action information organisation, electronic warfare, sensor and weapon systems, and communications equipment, except where this is the responsible of the WEO;
- (2) training of junior officers in operations and warfare;
- (3) training of aircrew in the ASW, surface and naval gunfire support roles, in conjunction with the flight commander; and
- (4) training of the ship's boarding and internal security teams.

1.4.94 Administration

- a. In conjunction with the other officers concerned with specific areas of responsibility, the OPSO is responsible to the XO for the completion and effectiveness of the watch and station bill.
- b. The OPSO is responsible to the XO for ensuring that the administration of operations room

personnel, and the associated documentation and recommendations, are properly conducted, compiled and rendered.

- c. The OPSO is to draft appropriate orders for the operations section of the ship's orders.
- d. The OPSO is to ensure that all operations department data books are properly maintained. These books are to be presented for the CO's signature when required (refer to Part 0, Chapter 1, Article 0.7.18 Inspection of Books and Records of Ref A) and produced for examination by an inspecting officer.

1.4.95 - 1.4.97 Not Allocated

Sub-section (2) - Principal Warfare Officer

Reference:

- A. Naval Forces General Orders Part 1, Chapter 3

1.4.98 Responsibility

- a. Suitably qualified and experienced officers will either be posted as, or are to be nominated by the CO as watch-keeping Principal Warfare Officers (PWOs).
- b. The PWO derives authority from delegation of the CO's personal responsibility for the operational conduct of the ship and units under their command. The limits of their authority are to be qualified or modified as the CO thinks fit.
- c. Within the limits in para b., the PWO is responsible to the CO for the correct reaction to the operational situation in the ship and its weapons, and by subordinate units.
- d. The PWO is responsible for:
 - (1) the safety of aircraft assigned to own ship for any form of control;
 - (2) the overall supervision of the RADHAZ emission control policy;
 - (3) the tactical employment of ASW aircraft under the ship's control; and
 - (4) supervising the calculation of ballistic settings.
- e. All the responsibilities and duties of the PWO referred to in this chapter remain, wherever the CO may physically be, unless the PWO is relieved of all or any of them, as directed by the CO at the time.

1.4.99 Duties

- a. The PWO on watch is to perform the duties of the OIC of the Operations Room.
- b. The PWO is the CO's watch-keeping adviser on tactics and on the general operational situation.
- c. The PWO is to ensure that personnel, weapons and communications are at the state of readiness appropriate to the operational situation and iaw the CO's instructions.
- d. The PWO is to ensure the correct employment of sensors, weapons and communication resources and the implementation of emission control and communication security plans.
- e. The PWO is to ensure that any failure of, or defect in equipment which may impair the efficient operational conduct of the ship or its weapons is reported immediately to the CO, the OOW and the specialist officers concerned.

1.4.100 Special Duties with Regard to Ship Safety

- a. The OIC of the operations room is to ensure that the OOW is provided with all available information, advice or intentions that may assist in avoiding collision, grounding or other navigational hazard.
- b. Whenever operational circumstances permit, the provision of information, advice or intentions in the interest of ship safety is to take precedence over other considerations.
- c. The relationship between the OIC of the operations room and the OOW is set out in Section R, Article "1.4.218 Responsibilities at Sea" para k.

1.4.102 - 1.4.104 Not Allocated

Sub-section (3) - Navigating Officer

Reference:

- A. Naval Forces General Orders Part 1, Chapter 3

1.4.105 Introduction

- a. All officers posted for seamanship duties are liable to be called upon to perform navigation duties in HMNZ Ships.
- b. There are three levels of navigational expertise relevant to the performance of such duties:
 - (1) Navigating Officers (NOs) of minor war vessels who may, or may not have completed a navigation course;
 - (2) NOs of larger ships are normally only to be selected from officers who have completed the 'Major Fleet Unit Navigating Officer' course; and
 - (3) specialist NOs who have completed 'Long N' or PWO(N) training.
- c. Where a specialist NO is posted, their experience and expertise enables a CO to place considerable responsibility on them for governing the movements of the ship and others under command, and for ensuring proper standards of professionalism are maintained by the OOW and the personnel on whom the OOW must depend for the safe conduct of the ship.
- d. An officer employed as the NO can be expected to participate in watch-keeping, divisional and general ship duties, which could include the task of OPSO. Whenever such duties are allocated to the NO, they must not be allowed to detract from the safe conduct of navigation.

1.4.106 Purpose and Accountability

- a. The CO is accountable for the safe conduct of the ship as directed in Naval Forces General Orders Part 0, Chapter 7 Article 0.7.3 Charge of the Ship para 1. In delegating the duty for the conduct of navigation the CO should take full account of the experience, qualifications, ability and availability of the officer nominated for navigating duties and the degree of supervision which may therefore be required. These factors must be addressed in written standing orders or memoranda.
- b. The NO's primary purpose is to plan and conduct the navigation of the ship for which they are directly accountable to the CO. The extent to which the execution of navigation may be delegated is described in "[Sub-section \(3\) - Navigating Officer](#)", Article "[1.4.109 Delegation of Navigating Tasks](#)".
- c. If the officer posted for navigating duties is a specialist, the CO will normally delegate the execution of pilotage to that officer, but a local pilot may be employed at the CO's discretion. Otherwise, the duty remains with the CO who may depute any ship's officer. 'Cold moves' within the DNB will be undertaken by the CO, who will remain accountable for the safe movement of the ship throughout. Assistance can be sought from the Fleet Navigating Officer (FNO) if required.

1.4.107 Tasks of the Navigating Officer

- a. The NO is to:
 - (1) conduct the navigation of the ship;
 - (2) plan the navigation of the ship to meet its operational requirements taking account of all dangers, including the pattern and density of shipping, in or near the planned movements of the ship;
 - (3) execute the navigation of the ship except when delegated to the OOW (see Article "[1.4.109 Delegation of Navigating Tasks](#)");
 - (4) advise the CO and OOW on the conduct and execution of navigation, including problems associated with manoeuvring and ship handling;

- (5) conduct the pilotage of the ship;
 - (6) monitor the conduct of any embarked pilot and if they have any doubts as to the pilot's ability or advice, to inform the CO accordingly; and
 - (7) supervise the conduct of bridge personnel with the aims of:
 - (a) maintaining professional standards; and
 - (b) training inexperienced or unqualified officers in navigation and watch-keeping duties.
- b. The NO is to ensure that navigation records are maintained properly so that accurate reconstruction of the ship's planned and actual tracks is possible, as guided by BR 45 - Manual of Navigation. As such, the NO is to ensure that all electronic and paper navigational charts and publications are amended promptly and correctly before their use.
- c. The NO is to ensure that all navigational equipment and aids are properly used; the related system operator checks are carried out and that any defects are promptly brought to the attention of the person responsible for equipment maintenance.
- d. The NO is to train and supervise bridge and gangway staff.
- e. The NO is responsible for the provision of the Chart Outfit, including ordering appropriate paper charts.
- f. The NO is directly accountable to the CO for the primary purpose of *conducting* the *navigation* of the ship. The NO is thus part of the 'Command Team' and it is of the highest importance that the NO has the CO's complete confidence. This confidence will be only be achieved by the NO's ready provision of accurate navigational information and complete honesty.

1.4.108 Authority

- a. In fulfilling the above tasks, the NO has functional authority over the OOW, bridge and gangway staff.
- b. Because the OOW is delegated charge of the ship by the CO, (see "[Section 1 - The Executive Officer](#)" Article "[1.4.03 Administrative Organisation](#)" para 1 and "[Section 18 - Officer of the Watch](#)" Article "[1.4.106 Purpose and Accountability](#)") they retain the authority to query, modify, veto or delay carrying out any instruction from the NO which the OOW considers likely to endanger the ship. In such circumstances, the CO must be consulted at once.

1.4.109 Delegation of Navigating Tasks

- a. The NO is authorised to, and will normally delegate the execution of the navigation plan to the OOW as part of that officer's accountability for the safety of the ship (see "[Section 18 - Officer of the Watch](#)" Article "[1.4.106 Purpose and Accountability](#)"). The NO retains the functional authority given in Article "[1.4.108 Authority](#)", and must make clear the circumstances under which the OOW should call them to the bridge. Such instructions must, in consultation with the CO take account of the relative experience of the officers concerned and the availability of the NO, who may also be watch-keeping.
- b. There will be times; however, when the NO should personally execute the navigation. These may arise under any one or combination of the following:
 - (1) approaching or operating in the vicinity of shoal waters;
 - (2) operating in restricted visibility;
 - (3) operating in a high density of shipping;
 - (4) making landfall;
 - (5) executing pilotage (but see Article "[1.4.106 Purpose and Accountability](#)" para 3);

- (6) navigating a group of ships in restricted waters;
 - (7) operating in a complex warfare situation; and
 - (8) when any change or modification to the navigation plan, particularly at short notice, impinges on the OOW's responsibility for the safety of the ship from collision.
- c. No list can be comprehensive; in every circumstance the decision must rest with the professional judgment of the CO and NO. The NO must; however, regularly assess the overall burden on the OOW in relation to the latter's experience, and should never hesitate to take over the execution of the navigation to ensure the safe conduct of the ship. When executing the navigation, the NO must always take account of the shipping situation when forming their advice to the OOW.
- d. The execution of navigation is to be turned over formally between the OOW and the NO by use of the words 'You/I have the navigation'. The CO is to be kept informed and the handover is to be noted in the navigational record book.

1.4.110 Navigation Manuals

BR 45 (Vols 1-9) is to be regarded as the standard work on navigation in the RNZN. The instructions and advice contained therein are to be studied and followed carefully, due allowance being made for any administrative variations that may exist.

1.4.111 Ship's Logs

- a. The NO is responsible for the proper completion of the ship's log iaw the instructions in BR 45 Vol 4 - 0123.
- b. Completed logs are to be signed by the CO and then retained onboard. At the end of every calendar year all logs for the previous year are to be forwarded iaw Part 4, "[Chapter 2 - RNZN List of Returns](#)". When a ship goes to extended notice for a long or special refit, or pays off, all completed logs remaining onboard up to that date are to be forwarded iaw Part 4, "[Chapter 2 - RNZN List of Returns](#)".

1.4.112 Supersession Requirements of a Navigating Officer

On supersession of the NO, the outgoing officer is to prepare a supersession minute iaw the guidance provided in BR 45 - Manual of Navigation. This is to be rendered to the CO and acknowledged by the incoming and outgoing NOs.

1.4.113 - 1.4.115 Not Allocated

Sub-section (4) - Mine Warfare and Clearance Diving Officer

References:

- A. Naval Forces General Orders Part 1, Chapter 3
- B. NZBR 45 - NZDF Diving Instructions
- C. MI 45.381 - Naval Ammunition and Explosives Instructions

1.4.116 Mine Warfare and Clearance Diving Officer

- a. The Mine Warfare and Clearance Diving Officer (MWCDO) is the qualified (MCD) officer posted.
- b. In ships with no MWCD qualified officer, the CO is to nominate the most suitable officer or officers to perform the duties iaw this chapter.

1.4.117 General Duties

- a. The MWCDO is responsible to the CO for:
 - (1) the proper employment of the ship's mine countermeasures or mine laying equipment and mine disposal weapons, and the efficiency and training in their operational roles of the personnel who operate them;
 - (2) the operational efficiency (except where this is the responsibility of the WEO), and the correct use of the mine countermeasures equipment, explosives and mine laying gear;
 - (3) diving as described in ["Section 11 - Personnel with Responsibilities for the Control of Diving"](#) and Ref B;
 - (4) the operational efficiency and correct use of demolition and explosive ordnance disposal equipment that has been issued to the MWCDO;
 - (5) the duties and responsibilities of the Specialist User Officer (SUO) for explosives issued to the MWCDO; and
 - (6) explosive ordnance disposal including providing advice and assistance to, the Explosive Responsible Officer (ERO).
- b. The MWCDO is to remain informed of the latest developments in mine warfare, diving and explosive ordnance disposal in all their aspects so as to be qualified, in conjunction with other officers concerned, to give advice on:
 - (1) The operation of all mine countermeasures forces;
 - (2) the tactics of mine countermeasures in all operational conditions and against all types of mine;
 - (3) the tactics of mine-laying, including the planning of minefields;
 - (4) defence, including self-protective measures against mines by ships other than mine countermeasures vessels; and
 - (5) all aspects of diving, demolitions explosive ordnance disposal techniques and anti-saboteur underwater techniques.
- c. In conjunction with other officers concerned, the MWCDO is responsible to the XO for the completion of the watch and station bill as concerns areas under their control.

1.4.118 Material

- a. The MWCDO is to act as adviser to the CO regarding the operational use of all explosives appertaining to their department. The MWCDO is to assume the duties and responsibilities of the SUO for the explosives issued to them iaw Section Q, Article ["1.4.207 Other Positions with Explosive Responsibilities"](#) and Ref C. The MWCDO is to ensure that any particular safety or other instructions for these stores are brought to the attention of the appropriate officers; in

the case of radio hazards, this may include adjacent ships.

- b. The MWCD is responsible for the safe and timely conduct of all firing or handling of explosive stores required to be carried out by their department.
- c. The MWCD is responsible to the XO, in consultation with the ERO, for ensuring that the organisation for explosive safety in their department complies with instructions in Ref C.
- d. The MWCD is responsible for ensuring that all mine warfare armament stores and spares issued to them are kept in an operative condition and in the quantities laid down.
- e. The MWCD is to have charge of all diving, clearance diving and non-explosives ordnance disposal equipment, and is responsible for ensuring that this equipment is kept in an operative condition and in the quantities laid down.
- f. The MWCD is to keep in close touch with the marine and the weapons officers to ensure they know the availability and efficiency of the weapon systems and equipment which are their tactical concern. They are to ensure that the requisite assistance is available for the specified routine performance check tests necessary to establish the required material state; coordinating operating and training programmes for conducting the necessary tests and for routine maintenance and repair.

1.4.119 Training

In addition to the training responsibilities laid down in Article “1.4.117 General Duties” para 1, the MWCD is responsible to the CO for the following:

- (1) the organisation and conduct of mine warfare and clearance diving exercises and practices, together with their records and analysis; in conjunction with other officers concerned, they are responsible for ensuring that they are conducted with due regard to safety precautions;
- (2) the training of junior officers in MWCD matters; and
- (3) the selection and preliminary training of candidates for diving branch promotion courses.

1.4.120 - 1.4.122 Not Allocated

Sub-section (5) - The Electronic Warfare Officer

Reference:

A. Naval Forces General Orders Part 1, Chapter 3

1.4.123 Operation of Electronic Warfare Equipment

The officer responsible for above water warfare is to be the Electronic Warfare Officer (EWO), and is to be responsible to the OPSO for tactical employment of electronic warfare equipment at sea.

1.4.124 Advice to the Commanding Officer

The EWO is the professional adviser to the CO on tactical electronic warfare matters. To fulfil this task they are to be aware of the capabilities of the electronic warfare equipment installed and are to instruct the senior EW rating on the tactical employment of electronic warfare sensors.

1.4.125 Training

The EWO is responsible to the XO through the OPSO, for the training of the operators of electronic warfare equipment.

1.4.126 - 1.4.127 Not Allocated

Sub-section (6) - Hydrographic Trade

References:

- A. Naval Forces General Orders Part 1, Chapter 3
- B. NZBR 8 - RNZN Officer Career Management Manual

1.4.128 Introduction

The Hydrographic Trade of the RNZN is directed to provide Military Hydrography outputs. The Meteorology and Oceanography (METOC) specialisation provides support and advice to the Fleet and the wider NZDF on all aspects of naval and military exploitation of the environment, from the seabed to the tropopause.

1.4.129 The Organisation and Structure of the Hydrographic Trade

- a. The majority of the Hydrographic Trade personnel are within the Littoral Warfare Support Force (LWSF) structure and formed into two units, the Detached Hydrographic Survey Unit (DHSU) and the Operational Survey Unit (OSU). These Units report through the CO Maritime Survey Team (CO MST) to the Commander LWSF. Additional Hydrographic parelines are contained within the Hydrographic School and the GEOINT New Zealand (GNZ).
- b. The LWSF organisation and structure is shown at [“Annex 4-B. Organisation and Structure of the Littoral Warfare Unit \(LWU\)”](#).

1.4.130 The Organisation and Structure of the METOC Specialisation

There are three nominated METOC posts within the RNZN. The first is based in Australia with the RAN or the UK with the RN for ab initio training and the development of a substantial experience base. On return to NZ the officer will be appointed the Staff METOC to the Naval Warfare Development Group with the primary responsibility for developing and delivering METOC support to the Fleet, most particularly as part of an afloat Amphibious Task Force organisation. The third post is that of Joint Force METOC based at Joint Force Headquarters, Trentham, charged with development and delivery of METOC support to all of NZDF.

1.4.131 The Hydrographer METOC RNZN

- a. The Hydrographer METOC RNZN (HM RNZN) is the titular professional head of the Hydrographic Survey Trade and the METOC specialisation. HM RNZN shall be an H0 officer or suitably qualified METOC appointed by the CN; normally the senior specialist hydrographer or METOC in trade.
- b. HM RNZN is responsible to the CN for specialist advice on military hydrography, meteorology, oceanography, environmental and mine counter-measures, and all related operational matters. HM RNZN shall remain informed of the latest developments in these specialisations.

1.4.132 Advancement of Hydrographic Surveying Officers

The CN is the approving authority for advancement of hydrographic surveying and METOC officers. The CN can make such approval on receipt of recommendations from the HM RNZN based on the guidance contained in Ref B.

1.4.133 - 1.4.136 Not Allocated

Section 8 - Ship's Communications Officer

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. DFO 51 - Defence Force Orders for Security
- C. NZCB 032 - RNZN Communications Orders
- D. NZBR 033 - RNZN Flag Ceremonial Manual
- E. NZBR 097 - Maritime Component Commander's Operational Orders

1.4.137 Ship's Communications Officer

- a. The CO is to detail an officer to perform the duties of the Ship's Communications Officer (SCO). Selection of the SCO should be based upon the following order of preference:
 - (1) a PWO(C);
 - (2) a GLX CIW officer; or
 - (3) a CFR officer with a communications or MIPN management background.
- b. In the absence of such an officer the duties shall be performed by the relevant departmental senior ratings.

1.4.138 Duties of the Ships' Communications Officer

- a. The SCO is responsible to the CO for:
 - (1) the organisation for managing the Maritime IP Network (MIPN);
 - (2) the organisation for the handling and internal distribution of messages;
 - (3) administering the ship's communication department;
 - (4) providing command advice on information management, communications security and network communication; and
 - (5) advising on flag ceremonial procedures when a Yeoman of Signals (YS) is not embarked.
- b. When a PWO(C) or GLX CIW Officer is not embarked departmental senior ratings are responsible for:
 - (1) MIPN and LAN Security - C/POET responsible to the Weapons Engineering Officer (WEO) and Unit Security Officer (USO) respectively;
 - (2) Message Handling - C/POYS or C/PORS responsible to the OPSO/CO;
 - (3) Communications Department Administration - Senior Communications Warfare Specialist (CWS) responsible to the OPSO;
 - (4) Communications Security - Operations department watch supervisors responsible to the PWO (On-watch)/Unit Comsec Officer (UCO); and
 - (5) Visual Signalling and Flag Ceremonial - C/POCWS or LCWS responsible to the NO/CO.

1.4.139 Co-ordination of the Allocation of Communication Equipment

The SCO (or C/POCWS) is responsible for coordinating the allocation of all equipment used for communications amongst users.

1.4.140 Management of Electronic Information

The SCO (or C/POET) is responsible for the management of all electronic information stored, carried or used by the MIPN. This includes:

- (1) setting on board policy for file size restrictions;
- (2) setting access permissions for the network;

- (3) coordinating the connection to various network communications systems via MIPN;
- (4) determining the ship's network information exchange requirements, and coordinating access to network communications bearers; and
- (5) establishing routines and procedures for policing file security, illegal software and unsavoury files.

1.4.141 Provision and Operation of Radio Communication Circuits

The SCO (or C/POCWS with a RS ADQUAL) is responsible for:

- (1) the provision and effective operation of all radio communication circuits being operated by CWS'; and
- (2) ensuring that the signal communication channels prescribed in defence, fleet and operation orders are staffed appropriately.

1.4.142 Provision of Radio Circuits for Other Users

- a. The SCO (or C/POCWS) is to ensure that communication channels are provided for 'user' departments as required by them.
- b. The responsibilities in para a. in no way affect those of other user officers for the timely staffing and correct operation of their respective communication channels and radio communication equipment, or for drawing up orders for the operation, use and control of the communication channels and radio communication equipment for which they are responsible.

1.4.143 Visual Signalling

The SCO (or C/POCWS with a YS ADQUAL) is responsible for the control, method and interpretation of visual signalling and for advising on the principal rules of manoeuvring.

1.4.144 Message Handling

- a. The SCO (or C/POCWS) is responsible for the internal message handling and distribution organisation, including the application of appropriate security measures; this includes the routing of all through and out messages.
- b. The SCO (or C/POCWS) is also responsible for advising all message originators on the correct precedence, security classification and other contents of messages, in order to ensure the efficient conduct of signalling.

1.4.145 Security of Communications

- a. The Operations Department watch supervisors are responsible for ensuring that radio communication circuits under their control are operated iaw current orders for the security of communications. The SCO (or Ops departmental senior ratings) is to provide advice on communication security matters to other users. This may include the use of call-sign systems, tactical and other codes, authentication systems and such other arrangements that may be ordered from time to time.
- b. The Custodian of Comsec Material (CCM) is responsible for the custody and use of cryptographic equipment and the Classified Books Officer (CBO) for publications. These duties will be separately delegated by the USO and are not a co-requisite responsibility of the SCO.

1.4.146 Administration of the Ship's Communication Department

- a. The SCO (or senior CWS) is responsible to the OPSO for:
 - (1) the organisation, professional training and supervision of all CWS personnel;
 - (2) the upkeep of allocated compartments; and
 - (3) ensuring that:
 - (a) the WEO is kept informed of any communication's equipment defects so that the

maximum availability and efficiency of the communications department is maintained;

- (b) assistance is given to WE department maintainers so that routine performance tests and routine maintenance can be carried out;
- (c) operating and training programmes are efficiently coordinated with the requirements of the WE department for equipment checks and maintenance;
- (d) all stores issued to the communications department are properly used and adequate precautions are taken for their safe custody;
- (e) the signal files are correctly kept;
- (f) communications personnel are supplied with, or have access to, the publications and other books or documents (including extracts from orders issued by external agencies) necessary for the performance of their duties;
- (g) the safe custody and handling of classified material is conducted iaw Ref B;
- (h) current instructions for the custody or destruction of plain and encrypted copies of classified messages are properly observed and that filed message-forms and tapes are destroyed or otherwise disposed of according to the appropriate instructions; and
- (i) all returns relating to these specialist responsibilities are rendered in a timely and accurate manner.

- b. The senior CWS is responsible to the XO for the communications section of the watch and station bill.

1.4.147 Flag Ceremonial

The SCO (or C/POCWS with a YS ADQUAL) is responsible for advice on matters of flag ceremonial and for the provision and display of the appropriate flags. The SCO or C/POCWS is to liaise with the personal staff of any senior officer entitled to fly a distinguishing flag or pennant, so that the 'flag move' is coordinated proficiently.

1.4.148 Communications Exercises with Merchant Ships

HMNZ Ships are to take any suitable opportunity of carrying out VHF(FM) and visual communications exercises with New Zealand and Commonwealth merchant ships iaw the procedures laid down iaw Ref C.

1.4.149 - 1.4.151 Not Allocated

Section 9 - Meteorological Officer

Reference:

A. Naval Forces General Orders - Part 1, Chapter 3

1.4.152 Meteorological Responsibilities

Meteorological duties are normally to be undertaken by the NO in so far as their training permits. In ships with a helicopter embarked, the FLT CDR is responsible for all aspects of aviation meteorology that affect helicopter operations.

1.4.153 Meteorological Duties

The officer nominated for meteorological duties is responsible to the CO for the meteorological organisation of the ship. Meteorological duties include:

- (1) disseminating such information or data on the present and predicted future weather as is available;
- (2) keeping weather forecasts and other information under constant review in relation to operational programmes and promptly advising those concerned of any changes likely to impact on such programmes;
- (3) ensuring OOW and others tasked with recording meteorological data are conversant with the requirements;
- (4) preparing weather reports;
- (5) promptly informing the CO and OOW of any forecast or predicted or likely change in weather or sea conditions that might affect the safety of personnel or equipment; and
- (6) making available such meteorological data as required by the PWO for ballistic or underwater sound calculations.

1.4.154 - 1.4.156 Not Allocated

Section 10 - Physical Training and Sports Officer

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. Naval Forces General Orders - Part 1, Chapter 8 (Section 9)

1.4.157 Sports Officer

- a. The CO is to nominate an officer to be responsible for providing advice to Command and coordinating all Physical Training (PT), sports and adventurous. The Sports Officer is also responsible for the administration duties associated with PT, recreational or adventurous training, including drafting signals and temporary memorandums. They should also have a good understanding of the ship's PT, sports and recreational activities, should the Physical Training Instructor (PTI) be unavailable.
- b. The Sports Officer will normally act as DO, and be responsible for the daily activities and organisation of the PTI posted to the ship.
- c. The Sports Officer is responsible for ensuring that PT and swimming instruction is arranged and supervised properly by a qualified PTI. They are to manage the material resources for sport and recreation in the ship or establishment and coordinate all the varied sports activities, with the assistance of divisional and other officers detailed for this purpose by the CO or XO.
- d. The Sports Officer is to be available to advise the CO and heads of departments on PT, sporting and recreational matters involving facilities, equipment, funds, grants and any liaison with outside local sports bodies.
- e. Whenever practicable the Sports Officer should attend a briefing by the Fleet Sports Officer prior to, or soon after taking up these duties.

1.4.158 - 1.4.160 Not Allocated

Section 11 - Personnel with Responsibilities for the Control of Diving

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. NZBR 45 - NZDF Diving Instructions

1.4.161 Diving Officer

- a. The CO is to nominate as a diving officer, an officer who is an qualified in date diver, chosen in the following order of preference:
 - (1) Mine Clearance Diving Officer (MCDO); and
 - (2) Defence Diver qualified officer.
- b. Where no officer qualified in diving is serving in the ship, the most suitable officer, normally the PWO(U) is to be detailed as the diving officer. The duties and responsibilities of the diving officer are iaw Ref B.

1.4.162 The Diving Supervisor

- a. The diving supervisor must be one of the officers or ratings authorised iaw Ref B. A diving supervisor is to be detailed for each particular task, and is to be in full charge of the diving team for that task. The supervisor is to be continuously present at the scene of the task, and is not to enter the water. The duties of the diving supervisor are iaw Ref B.
- b. Mine Clearance Diving Officer - see "[Section 7 - Warfare Officer](#)".

1.4.163 Supervision in an Emergency

- a. In an emergency, when no person qualified to supervise diving operations is present, the CO can authorise diving to be conducted under the supervision of a seaman branch officer of the rank of lieutenant or above, providing that a rating of the diver branch or an experience in-date defence diver is to be present as technical adviser. Under these circumstances, the nominated officer is to conform to the instructions iaw Ref B, and the rating must be continuously present at the scene of the task and is not to enter the water.
- b. It is highly recommended that if there is sufficient opportunity, the CO of the ships to conduct diving operations under the above situation should seek the advice of the CO ODT prior to commencing operations.

1.4.164 - 1.4.166 Not Allocated

Section 12 - Officer Responsible for Education and Resettlement Duties

References:

- A. Naval Forces General Orders - Part 1 Chapter 3
- B. DFO 3 - NZDF Human Resource Manual
- C. DMoL - Defence Manual of Learning

1.4.167 Officer Responsible for Education and Resettlement Duties

- a. In ships and establishments in which no instructor officer is posted for education and resettlement duties, an officer, to be known as the Education Officer (EDO), is to be detailed by the CO to organise and administer education and resettlement matters.
- b. The tasks of education and resettlement can be separated and conducted by different officers.
- c. The EDO is to be guided by the instructions in DMoL, and by Ref B in respect of entitlements for resettlement assistance. When necessary the officer is to seek guidance from the NZ Defence College on education matters, and the resettlement officer on resettlement matters.

1.4.168 Examinations

- a. The EDO is responsible to the CO for the conduct and administration of all examinations held on board, and that any special instructions pertaining to the examination are followed.
- b. They are to ensure the safe custody of examination papers and the return of worked papers for marking.
- c. They are to arrange the provision of suitable space and other facilities for examination purposes, consulting the XO as necessary. The EDO is also to advise the XO on the requirements for supervising officers.

1.4.169 Ships' Libraries

- a. The EDO is to have charge of the ship's recreational and reference libraries.
- b. **Recreational Library.** The EDO is to:
 - (1) arrange for the supply or return of books to the Devonport Base Library;
 - (2) supervise the ship's librarian;
 - (3) ensure that library books are accounted for properly and is to muster them no less than once every six months; and
 - (4) ensure that appropriate action is taken in respect of lost or damaged books.

1.4.170 - 1.4.172 Not Allocated

Section 13 - Information Officers

References:

- A. Naval Forces General Orders - Part 1, Part 3
- B. DFO 51 - Defence Force Orders for Security

1.4.173 General

While observing the need for security and the confidentiality of many service transactions, members of the NZDF have a responsibility for maintaining good relations with the public and the media.

1.4.174 Visits by Media Representatives

COs must ensure that instructions governing the admission of media representatives to HMNZ Ships and establishments, and the facilities that may be provided in connection with such visits, as laid down in Ref B and their ship's standing orders, are observed carefully.

1.4.175 Ship's Information Officer

COs of ships (other than minor vessels) and establishments are to detail an officer to be the Information Officer (IO). The IO will be responsible for:

- (1) liaising with the local news media;
- (2) answering inquires on non-policy matters, after consultation with the CO;
- (3) drawing the attention of the local news media to naval matters and events that have public interest and reflect credit on the service;
- (4) when visiting New Zealand ports, encouraging interest by arranging an exchange of visits with local groups and schools; and
- (5) attending to members of the news media when on board.

1.4.176 Defence Public Affairs (Navy)

- a. The Defence Public Affairs Manager (Navy) (DPAM(N)) is responsible to Director Defence Public Affairs (DPA) for the day-to-day liaison and management of assigned Defence public affairs activities, with a prime focus on naval activities, including the planning, preparation, coordination and execution of naval matters in accordance with DPA issue management plans and other DPA policy.
- b. Ship's information officers are to liaise with and seek advice from the DPAM(N) or DPA.

1.4.177 - 1.4.180 Not Allocated

Section 14 - Officer Responsible for Boatswain's Duties

Reference:

- A. Naval Forces General Orders - Part 1, Chapter 3

1.4.181 Boatswain's Duties

The CO can nominate an officer or SR of the Warfare branch to be responsible to the XO, for the boatswain's duties. If no such officer is nominated, these duties are to be undertaken by the XO.

1.4.182 Rigging

- a. The Officer Responsible for Boatswain's Duties (ORBD) is responsible for ensuring that the standing and running rigging, hawsers, boats' falls, derrick purchases and all stores and other equipment connected with the rigging of the ship are in a thoroughly serviceable condition, taking care that they are refitted as necessary. The ORBD is to monitor the state of this equipment by frequently examining it; reporting the result to the XO so that immediate steps may be taken to refit or replace any equipment and gear with which they have found fault.
- b. The ORBD is also responsible for the provision, stowage and maintenance of all gear used for replenishment at sea, except those items that are under the charge of the EO.

1.4.183 Anchors and Cables

- a. When the ship first commissions or completes an extended refit, the ORBD is to inspect all gear (except hull fittings) which is supplied for the working of anchors and cables to ensure that it is complete and correctly fitted. Thereafter they are to see that such gear is maintained in a safe and operational condition; ready for immediate use.
- b. When the ship proceeds to sea, they are to assist the officer detailed for cable duties in seeing that the anchors are secure, and again on returning to harbour, that the anchors and cables are ready for immediate use.

1.4.184 Weather Decks

Upon the ship proceeding to sea and throughout the period at sea, the ORBD is to ensure that all booms, derricks and gear on the weather decks are properly secured. Similarly, they are responsible for the security against wind and weather of any stores carried on the weather decks.

1.4.185 Canvas Gear

The ORBD is to examine all canvas gear (including synthetic equivalents) which is in their charge on receipt on board, and is to take the proper steps to keep such stores repaired and fit for use or replaced if necessary. They are responsible for ensuring that no canvas gear suffers from damp or damage by vermin, and that they are properly tallied and conveniently stowed in the appointed places so they are at hand when needed. The XO is to be kept informed of these particulars.

1.4.186 Periodical Examination and Testing of Rigging Gear

- a. The ORBD is to ensure that all gear under their charge is inspected periodically and tested iaw the relevant instructions.
- b. They are to keep an accurate account of all defects to the gear and fittings on their charge and ensure that they are repaired by ship's staff or included in the schedules of work to be undertaken when the ship is taken in hand for refit.
- c. The ORBD is to bring all defects in the hull fittings that may concern them to the notice of the EO and obtain the latter's assistance in maintaining the anchors and cables.

1.4.187 - 1.4.190 Not Allocated

Section 15 - Personnel with Responsibility for Chemical Biological Radiological Nuclear Damage Control

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. BRd 2170(1) - Ships' CBRNDC Manual
- C. NZ Supp to BRd 2170(1)

1.4.191 General Responsibilities

The general responsibilities of personnel for Chemical Biological Radiological Nuclear Damage Control are contained in NZ Supp to BRd 2170(1).

1.4.192 Chemical Biological Radiological Nuclear Damage Control Responsibilities of Designated Officers

- a. The XO is responsible to the CO for ensuring that:
 - (1) the ship's CBRNDC action organisation is efficient in all its aspects;
 - (2) that the billets on the CBRNDC section of the watch and station bill are suitably filled by the appropriate departments for action, cruising and harbour states; and
 - (3) sufficient training of all CBRNDC parties is being conducted.
- b. The XO is to make the necessary arrangements for exercising the ship's CBRNDC organisation, ensuring that the efforts put into CBRNDC by the ship's departments are directed to a common goal and properly coordinated. They are responsible for coordinating all action taken as a result of CBRNDC incidents. The XO is to issue suitable standing orders for the implementation of CBRNDC.
- c. The MEO is responsible for the custody, efficiency and maintenance of all material arrangements for collective protection against fire, damage and CBRNDC hazards.
- d. The WEO is responsible for the custody, efficiency and maintenance of CBRNDC communications systems and CBRNDC detection systems and associated equipment.
- e. The CBRNDC Protection Officer's (CBRNDCPO) responsibilities are:
 - (1) (in action) for advising the command and the action CBRNDCO on chemical, biological and nuclear hazards and countermeasures;
 - (2) for monitoring, decontamination and cleansing; and
 - (3) (to the MEO) for the distribution and efficiency of all CBRNDC protective clothing, decontamination equipment and detection and measuring devices.

1.4.193 Chemical Biological Radiological Nuclear Damage Control Duties of Personnel

- a. **The CBRNDC Officer.** In ships where no officer is specifically appointed for CBRNDC duties, these duties are to be carried out by the XO.
- b. **Action CBRNDC Officer (ACBRNDCO).** Unless otherwise appointed to another officer, the duties of the ACBRNDCO are to be carried out by the MEO.
- c. **Other Officers.** The tasks of the other members of the CBRNDC team are iaw BRd 2170 - Ship CBRNDC Manual and the NZ Supp to BRd 2170(1). In addition, a suitable officer is to be selected as assistant monitoring officer. Their action station will be HQ2 from whence they will supervise the local repair party besides carrying out monitoring duties.
- d. **CBRNDC Officer's Assistant.** An SR who has completed the advanced CBRNDC course is to be assigned the duties of CBRNDCO's assistant; the responsibilities of whom are set out in BRd 2170.

- e. Whilst the XO has overall responsibility to the CO for CBRNDC, the extremely wide variation of situations for which must be provided prevents a universal policy for the stationing of officers. In a 'closed-up state' the ABRNDCO would normally control propulsion, electrical power supplies and CBRNDC control facilities. The CO is; however, free to allocate duties among officers to form the most effective CBRNDC control team under the XO for the various situations that may arise.

1.4.194 - 1.4.197 Not Allocated

Section 16 - Operations Personnel

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. NZBR 202 - RNZN Air Orders

1.4.198 Operations Room Supervisor

- a. Suitably qualified and experienced personnel are to be nominated by the CO as watchkeeping Operations Room Supervisors (ORS).
- b. During their watch, the ORS is responsible to the Principal Warfare Officer (PWO) for:
 - (1) efficiently compiling and displaying the operational situation obtained from other units and from own sensor information;
 - (2) implementing the personnel and equipment requirements of the PWO; and
 - (3) providing the required services that will ensure the efficient conduct of the operations room, the effective flow of internal and external communications to and from the operations room.
- c. Whenever the operational situation does not require the operations room to be at a high state of readiness, the CO may decide that there is no requirement for the presence of a PWO. In such circumstances, the ORS assumes the duties of the 'officer in charge of the operations room' and consequently becomes responsible to the OOW as set out in Section R - Article "1.4.218 Responsibilities at Sea".

1.4.199 Helicopter/Anti-Submarine Aircraft Controller

- a. Helicopter Approach Controllers (HAC) and Anti-Submarine Aircraft Controllers (ASAC) are personnel suitably qualified to undertake, and be responsible for, the mission control and safety control of helicopters and fixed wing ASW/ASuW aircraft delegated to their own ship for control. The degree or type of control they may be called upon to exercise will depend upon their control grading.
- b. The HAC/ASAC is responsible to the PWO iaw Ref B.

1.4.200 Fire Control Officer

- a. The Fire Control Officer (FCO) is an individual suitably trained and qualified to undertake, and be responsible to, the ship's AIO organisation in compiling the tactical picture, and in the co-ordination of the ship's missile and gunnery defence system. The FCO is responsible to the Command for the safe control and operation of the Mark 45 5 inch gun and the point defence missile system.

Fire Control Officer Qualification (FCOQ)

- b. To gain FCOQ status ratings are to:
 - (1) have completed all courses listed.

Course Title	RNZN Course Number	Course Length
ANZAC Ship Fire Control Operator	N13631	40 days

- (2) successfully complete at least two of the following firings and recorded in Form RNZN 501- FCO Log:
 - (a) SU,
 - (b) NGS, and
 - (c) ADEX (live or simulated).
- (3) hold a security clearance of SV or higher;

- (4) be posted to a ANZAC Class ship; and
 - (5) demonstrate competency in the roles of a FCO. Once the candidate has, in the judgment of their CO, demonstrated competency and is considered safe to conduct the duties of an ANZAC Ship FCO unsupervised, the CO is to award the rating with a FCOQ Certificate (RNZN 500).
- c. On award of an RNZN 500 - ANZAC Fire Control Qualification, the rating's unit is to forward a copy to the ACN(P&T) for placement in the rating's Personal File (PF) and enter the award date in ATLAS, the NZDF HR information management system. The rating's unit is also to ensure the award details are entered in the rating's Form RNZN 501.
 - d. After attaining the ANZAC ship FCOQ ratings are to continue to log their FCO duties in their issued Form RNZN 501.

Removal of FCOQ

- e. The removal of a FCOQ should be considered if:
 - (1) a rating's security clearance is reduced to a level lower than SV; and, or
 - (2) the CO considers a FCO to be inefficient or ineffectual in the performance of their duties as a FCO.
 - (a) in this instance the rating is to firstly be interviewed by their CO, advised of their specific shortcomings, formally warned that removal of the FCOQ is being contemplated and given opportunity to improve. This formal warning is to be included in a written minute and a written acknowledgement obtained from the rating indicating that the warning is understood; and
 - (b) if, after a suitable specified period (a minimum of three months) insufficient improvement is observed, the CO can remove the rating's FCOQ.
- f. When a rating's FCOQ is removed, the date and reason for removal is to be annotated in the rating's Form RNZN 501 and the rating's unit is to amend the individual's record in the NZDF HR information management system to reflect the removal of the qualification.

Reinstatement of Qualification

- g. Ratings whose FCOQ has been removed due to the circumstances outlined at para 5b. may apply to have the qualification re-instated once they again meet all the requirements of para 2.
- h. Ratings whose FCOQ has lapsed due to the circumstances outlined at para b. can have the qualification re-instated if, in the opinion of a current ANZAC Class Ship CO, they still demonstrate competency in the roles of a FCO. When an ANZAC Class Ship CO decides to reinstate a rating's lapsed FCOQ, they are to update the NZDF HR information management system and annotate the rating's Form RNZN 501 to reflect reinstatement of the qualifications, but are not to award an additional FCOQ. Ratings seeking reinstatement of their FCOQ need to hold a security clearance of SV or higher, but do not need to be posted to an ANZAC Class Ship.

1.4.201 - 1.4.204 Not Allocated

Section 17 - Responsibility for the Management of Explosives and Small Arms

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. DFO 51 - Defence Force Orders for Security
- C. DFI 41.1 - Safe Management of Hazardous Substances Class: 1 A&E
- D. MI 45.381 - Naval Ammunition and Explosives Instructions
- E. NZBR 26 - RNZN Materiel Management Instructions

1.4.205 The Executive Officer

The Executive Officer (XO) is responsible to the CO for the overall co-ordination of whole ship activities affecting the safety of explosives in the ship or establishment (see Section A - Article "1.4.02 Operational Organisation". Responsibilities are specified in Ref C for shore establishments and Ref D for ships.

1.4.206 The Explosives Responsible Officer

- a. All HMNZ Ships and establishments are to have a designated and trained ERO as specified in Ref D. The ERO is to ensure that the instructions for the safety of explosives are enforced. They are specifically responsible for magazines and explosives storehouses, the competence in safety and handling of officers of quarters and for directing first-aid recovery actions in respect of own or enemy hazardous explosives onboard.
- b. The ERO is to take guidance from Ref C for shore establishments and Ref D for ships.

1.4.207 Other Positions with Explosive Responsibilities

- a. The following, ship based, positions have responsibilities with respect to the management, handling and use of explosives:
 - (1) Commanding Officer;
 - (2) Executive Officer;
 - (3) Explosives Responsible Officer;
 - (4) Operations Officer;
 - (5) Officer of the Day/Officer of the Watch;
 - (6) Officer of the Quarter;
 - (7) Specialist User Officer;
 - (8) Explosives Accountant;
 - (9) Heads of Department;
 - (10) Flight Deck Officer;
 - (11) Flight Armourer; and
 - (12) Embarked Military Force Authorised Representative.
- b. Personnel undertaking one of the positions detailed above are to be familiar with the regulations provided in Ref D.

1.4.208 - 1.4.210 Not Allocated**1.4.211 The Officer Responsible for the Custody of Small Arms**

- a. **Responsibilities.** The officer designated by the CO for:
 - (1) maintaining the custody of small arms is responsible for the safe custody of all small arms, including private firearms;

- (2) ensuring that, when not in use, all small arms are to be secured iaw instructions provided in Ref B;
 - (3) ensuring that the keys of all small arms stowages are kept on the important keyboard and that standing orders or a CO directive is issued prescribing to whom, and under what circumstances the keys may be issued;
 - (4) ensuring that ammunition or magazines for use with small arms are never stowed in the same compartment as the weapons, except when operational needs dictate, and then only with the express permission of the CO;
 - (5) ensuring that the greatest care is taken to prevent the improper removal of small arms from the designated stowage (temporary or otherwise) or ship, and is to see that each issue or return is properly recorded by serial number. In the case of pistols, issues are to be made only to those persons authorised by the CO, by name, in writing;
 - (6) ensuring that when small arms are removed from their stowages for maintenance they are correctly re-stowed on completion; and
 - (7) ensuring that small arms are mustered not less frequently than once per calendar month and that any discrepancy is immediately reported to the CO.
- b. Small arms are to be accounted for as 'accountable stores', and all losses reported, iaw Ref E.

1.4.212 - 1.4.215 Not Allocated

Section 18 - Officer of the Watch

References:

- A. Naval Forces General Orders - Part 1, Chapter 3
- B. BR 45(4) - RN Navigation Manual
- C. MI 45.381 - Naval Ammunition and Explosives Instructions
- D. BR 1754 - Safety Regulations for Storing and Handling Petroleum Oils and Lubricants and certain other Hazardous Stores in HM Ships

1.4.216 Purpose and Accountability

- a. The Officer of the Watch (OOW) is accountable to the CO for the safety of the ship in all its aspects. As the CO's representative, the primary purpose is to ensure that the safety of the ship, especially from risk of collision and grounding at sea is foremost at all times.
- b. The OOW retains charge of the ship as described in Naval Forces General Orders Part 0. Chapter 7 - Article 0.7.3 Charge of the Ship. Such charge shall not be relinquished unless so directed by the CO, XO or, in certain circumstances, the NO (see Naval Forces General Orders Part 0, Chapter 7 - Article 0.7.3 Charge of the Ship, para 3). Charge of the ship is to be turned over formally between the OOW with the words 'You/I have the ship'.
- c. The relationship between the OOW and NO is described in "Sub-section (3) - Navigating Officer" - Articles "1.4.108 Authority" and "1.4.109 Delegation of Navigating Tasks". Whether or not the NO has taken the execution of the navigation, the OOW never loses overall accountability for the safety of the ship. The OOW therefore retains the duty to remain informed of the position of the ship and navigation hazards at all times.
- d. If the NO wishes to pilot the ship by giving conning orders directly to the Quartermaster (QM), they must make arrangements to become the OOW. The former OOW then becomes the assistant OOW and deals with matters of internal safety, supervision of the routine and ceremonial as set out in the CO's standing orders; the assistant is to continue to keep a vigilant lookout.

1.4.217 Tasks

- a. **Supervision of the Watch.** The OOW is to see that all members of their watch are constantly at their posts, alert and attentive to their duties. They are to instruct them in their respective duties, pointing out any mistakes that may have been made, and how the mistakes should be avoided in future.
- b. **Night Rounds.** During the night, the OOW is to be careful that rounds are carried out as laid down in the ship's orders and that every part of the ship is visited to see that there are no irregularities or any signs of fire or flooding, and they are to see that the results of such rounds are reported iaw SSOs.
- c. **Safes.** When the OOW is required to hold money, other material or documents requiring secure stowage, the senior watch keeper is to assume full responsibility for them. A muster book is to be made listing the contents of the safe. In turning over the watch, the new OOW is to muster the contents of the safe and sign the muster book. It is this signature that transfers responsibility from the senior watch keeper. The CO is to sign the OOW's safe muster book weekly, where this paragraph applies.
- d. **Ship's Log.** The OOW is to see that the ship's log is written up correctly and that all entries required by the instructions printed inside the cover of the log are duly made iaw Ref B. At the end of the watch the OOW is to initial the log, and in doing so, certifies that all necessary entries have been made and are correct.
- e. **Steam Pipes and Machinery Exhausts.** The OOW is responsible for seeing that personnel are not employed aloft in the vicinity of waste steam pipes and machinery exhausts, until the MEO has confirmed that special orders have been given to guard against lifting safety valves

at atmospheric exhaust valves.

- f. **Watertight and Citadel Integrity.** The OOW is at all times responsible for ordering and controlling the correct CBRNDC state of readiness and condition. In the event of flooding or damage '*close all red openings*' is to be ordered. Control of the state and condition ordered may be exercised through the officer or rating in charge of CBRNDC HQ when this is staffed. This officer or rating is then to keep the OOW informed of the extent of any flooding, damage or other hazard.
- g. **Radio Hazards.** Before granting permission for any of the following operations to be undertaken, the OOW is to ensure that the necessary safety measures laid down in ship's orders have been taken, and during the restriction period is to keep in their charge the appropriate controlling devices:
- (1) man aloft;
 - (2) dressing ship;
 - (3) embarkation, disembarkation and handling of explosives;
 - (4) embarkation and disembarkation of all types of fuel and inflammable stores; and
 - (5) the OOW is also to ensure that appropriate safety measures are taken when the ship is operating helicopters or when other ships' helicopters are operating in the vicinity. Where two or more ships are in close proximity, for example, when replenishing or berthed alongside each other, the OOW is not to give permission for any of the operations listed in sub paras a. to d. to be undertaken until they have been assured that appropriate precautions have also been taken in the ship, or ships, close aboard.
- h. Safety precautions in connection with radio hazards are outlined in Article "[1.4.221 Radio Hazards Safety Precautions](#)".
- i. **Embarkation, disembarkation and handling of explosives, fuel and flammable stores.** The general responsibilities of officers and the precautions required for these operations are laid down in Refs C and D. The OOW is to pay particular attention to:
- (1) **Radio Transmissions in an Emergency.** If it is essential to carry out radio transmissions on normally restricted transmitters during the handling of explosives and/or flammables, work is to be suspended and all handling is to cease.
 - (2) **Lightning.** In view of the possibility of being struck by lightning or of induced discharge from metallic structures due to a close lightning discharge, strict precautions are to be taken in the event of a thunderstorm and all loading or unloading of explosives or handling of inflammable stores is to cease from the time the first thunderclap is heard until the storm has passed. Hoisting whips are to be removed at least two metres from explosives or flammable stores.
- j. **Rotating Aerials.** When damage to a rotating aerial might be caused by rotation into, for example, the jib of a crane, the '*Safe to rotate*' and/or '*Man aloft*' controlling devices are to be placed in the custody of the OOW. The OOW is not to release the controlling devices until they are to is satisfied that there is no danger of the aerial sweeping into any obstruction. The OOW is also to ensure that rotating aerials are trained as to obviate danger of damage by contact with obstructions alongside if the ship should develop a list.
- k. **Divers.** Before granting permission for diving operations to be carried out on the ship's hull the OOW is to ensure that all safety precautions relating to the ship's propellers, intakes and sonars are taken. The OOW is to check that similar precautions have been take in ships alongside, or in the vicinity in the case of high powered sonars.

1.4.218 Responsibilities at Sea

- a. **Taking Charge and Handing Over the Watch.** On every occasion before taking charge of a watch at sea, the OOW is to see that the ship is in the correct station or position.

- b. After taking charge of the watch the OOW is not, until properly relieved, to leave the primary conning position except when the CO directs that the watch may be kept at another position. The OOW is to see that every necessary precaution is taken to prevent accident and, in war, that the ship is as prepared for battle as circumstances permit (but see “[Sub-section \(2\) - Principal Warfare Officer](#)” - Articles “[1.4.98 Responsibility](#)” and “[1.4.99 Duties](#)” when a PWO is closed up and the ship is controlled from the operations room).
- c. On giving up charge of the watch the OOW is to be careful to inform their relief of all the orders, whether conveyed by signal or otherwise that remain unexecuted. If in company with other ships, the OOW is to point out the position of the officer in tactical command and of officers exercising subordinate tactical command in the unit, of the guide or guides, and the position of other ships generally. The incoming OOW is to be informed of the power available and given all information that may serve to enable the ship to be kept in station and out of danger.
- d. Responsibilities in relation to the CO:
- (1) all the duties and responsibilities of the OOW at sea referred to in this section remain with the OOW wherever the CO may physically be, unless the OOW is relieved of all or any of them by specific order of the CO;
 - (2) the normal method of transfer of responsibility for handling the ship shall be by the CO using the formal phrase ‘I have the ship’; however, the CO will also be deemed to have relieved the OOW of their responsibility for charge of the ship on giving a direct wheel or telegraph order;
 - (3) in either of the circumstances in sub paras a. or b., the relieving of the OOW of their responsibility for charge of the ship shall be deemed to have relieved the OOW of responsibilities for safety from collision or grounding under Section R - Article “[1.4.216 Purpose and Accountability](#)”. The responsibilities of the OOW in other matters remain and they should continue to advise the CO on the safe navigation of the ship. The CO should also dictate the circumstances in which the NO may relieve the OOW and assume the latter responsibilities (see Naval Forces General Orders, Part 0, Chapter 7 - Article 0.7.3 Charge of the Ship para 3);
 - (4) when the CO has relieved the OOW of some or all of that officer’s duties and responsibilities under this section, the OOW is not to resume those duties and responsibilities unless or until the CO specifically orders. Before giving such an order, the CO is to be satisfied that the OOW is ready and able to resume those duties and responsibilities; and
 - (5) if at any time the OOW feels they have not received, or are likely to receive, sufficient information to discharge these duties fully, they must inform the CO immediately.
- e. **General Conduct of the Ship.** At all times when at sea, as far as is practicable, the OOW is to remain informed of the position of the ship. The OOW is to be careful that the ship is properly steered and that a complete account of movements is kept in the ship’s log or navigational record book by noting navigational information in sufficient detail so the track of the ship at any time can be reconstructed accurately. During periods of manoeuvring, when entering or leaving harbour, or at any time when a complete record cannot be kept in the navigation record book, the OOW is to see that a record of wheel and engine orders is made either in Form RNZN 245 - Wheel and Engine Order Book, or by using an audio recording device.
- f. When approaching land, or in pilotage waters, the OOW is to ascertain whether land, navigational marks or lights are in sight; if not, whether they are likely to be seen; and all other particulars which may be of use in keeping the ship out of danger. The OOW is to ascertain the CO’s instructions regarding the use of radar (consulting the PWO when the ship is controlled from the operations room) and other navigational aids, as well as the taking of soundings and the clearing away of anchors and cables. When soundings are being taken, the OOW is to see that they are obtained with sufficient frequency.

- g. The OOW is to be acquainted thoroughly with the international regulations for preventing collisions at sea, which are on all occasions, and particularly in fog, to be observed very carefully.
- h. The OOW is to alter course and speed as requisite to maintain station, to carry out the evasive steering plan in force, to act as the CO directs upon initial contact with the enemy, or as the PWO directs when the ship is controlled from the operations room, and to avoid immediate danger. On all other occasions, the CO's directions are to be obtained before altering course or speed.
- i. When in company, the OOW is to be extremely careful to keep station with other ships, and is to report at once to the CO if they unable to do so. They are to inform the CO of all changes of formation, course or speed, including changes of course and speed by the guide of the unit, or of an adjacent ship, but not including alterations of course iaw the evasive steering plan in force or small alterations made without signal for the purpose of keeping station (see para l.).
- j. The OOW is to inform, or cause to be informed, the CO of all strange vessels or objects seen; of all signals of which in their opinion or iaw the CO's orders, of which the CO should be made immediately aware and, in general, of all occurrences worthy of notice (see para l.).
- k. **Responsibilities in Relation to the Officer in Charge of the Operations Room.** In discharging their responsibilities for the safety of the ship, the OOW is to take account of the advice of the Officer in Charge of the Operations Room (OICOR), who may have better information available than the them. The OOW must not hesitate to seek information or clarification from the OICOR as necessary. The OOW must also appreciate that in a complex situation the OICOR will be involved in the tactical situation. Notwithstanding, all the duties and responsibilities of the OOW at sea remain applicable irrespective of the relative seniorities of the OOW and the OICOR. The OOW has, under the CO, final responsibility for the safety of the ship and can therefore accept or reject advice or instructions given by the OICOR. In the event of any difference of opinion as to the action to be taken, the CO must if time permits, be informed.
- l. **Responsibility of the OOW When the Ship is Controlled from the Operations Room.** In conducting operations from the operations room, the CO or, as delegated, the PWO, will control the ship by passing instructions to the OOW. The OOW has authority to query, modify or delay carrying out any instruction, which appears likely to lead to a dangerous situation. Additionally, the OOW should always report circumstances that may not be appreciated by those in the operations room, and should always be prepared to take any action that may be necessary. Should in exceptional circumstances the CO con the ship from the operations room, the OOW is responsible for informing the CO immediately if a potentially dangerous situation is seen to be arising. The ship is never to be conned by the PWO from the operations room unless directed to do so by the CO when at shelter stations. The reports required by paras 9 and 10 are, after the information has been exchanged between the PWO and the OOW when necessary, to be made by the PWO.
- m. **Routine Duties.** The OOW is to ensure that the necessary orders are given for carrying out the routine duties of the ship. In war the OOW can be relieved of this responsibility at the discretion of the CO.
- n. **Signals and Lights.** The OOW is to take care that a good look-out is kept for all signals;
- (1) that no unauthorised visual or sound signals are made; that between the hours of sunset and sunrise;
 - (2) the authorised navigation lights are displayed;
 - (3) that no lights are visible from outboard which might cause the authorised lights of the ship to be obscured or mistaken; and
 - (4) when the ship is darkened, that no unauthorised lights are visible from outboard.
- o. **Lookouts.** Both by day and by night, the OOW is to station lookouts iaw the CO's orders. The OOW are to ensure that they are at their proper stations and know their duties, and they are

- frequently to caution the lookouts to be on the alert. The OOW is to take care at all times to have lookouts relieved sufficiently frequently.
- p. **Sea-Boats.** When the OOW takes charge of the watch they are to check that the sea-boats are ready for lowering, and that they are correctly rigged and equipped. When taking charge at night and at any other time thought necessary, the OOW is to cause the watch and the sea-boat's crew to be mustered.
- q. **Safety of Personnel on Upper Deck.** The OOW is responsible for giving orders that prevent any person going on to the weather decks when sea conditions or alterations of course or speed are likely to make it dangerous. Should it be necessary for personnel to go on the weather decks in dangerous conditions, the OOW is to ensure that orders are given for them to wear lifejackets, which are to be inflated sufficiently to support the wearer in the water. (See also Naval Forces General Orders Part 0, Chapter 7 - Article 0.7.3. Charge of the Ship, para f.).
- r. **Helicopter Operations.** When instructions are given for the launching or recovery of helicopters, the OOW is to confirm that the aircraft departure or approach area is clear and that the ship's course and speed can be safely maintained for the duration of the take-off or landing, or while rotors are being engaged or stopped.

1.4.219 Responsibilities in Harbour

- a. **Taking Charge and Handing Over the Watch.** On every occasion before taking charge of a watch in harbour the OOW is to obtain the following information from the officer they are relieving:
- (1) the anchor bearings if the ship is at anchor;
 - (2) the anchor or anchors down if the ship is at anchor, and the amount of cable veered on each anchor;
 - (3) the number of boats lowered and any boats that are away from the ship;
 - (4) the routine in force;
 - (5) the positions of any flagship in company and of the ship of the senior officer of the unit to which the ship is attached;
 - (6) any orders, whether conveyed by signal or otherwise, which remain unexecuted;
 - (7) the machinery state; and
 - (8) the CBRNDC state and condition in force.
- b. After taking charge of the watch the OOW is to be constantly on deck until properly relieved. On giving up charge of the watch they are to be careful to turn over to the new OOW all relevant information in regard to the watch.
- c. **General Responsibilities.** The OOW is responsible for the outward appearance of the ship, the orderly conduct of all on board, the safety and appearance of all boats working under their orders, and ensuring that the proper marks of respect are paid to passing vessels and officers visiting the ship (see Naval Forces General Orders Part 0, Chapter 3 - Rank and Command and Naval Forces General Orders Part 4, Chapter 15, Section 3 - Article 4.15.27 Table of Marks of Respect). The OOW is to ensure, both in the course of their rounds and otherwise, that all possible steps are taken to minimise the risk of fire.
- d. The OOW is to see that the routine duties are carried out on deck and that the Naval Police (MPs) carry out the instructions laid down in "[Section 21 - The Naval Police](#)".
- e. The OOW is to keep a good lookout on the weather, and if the weather or the visibility deteriorates is to inform the CO or the senior officer on board, and is to take such precautions as may be necessary to ensure the safety of the ship, its boats and equipment.
- f. The OOW is responsible for ensuring that brows, gangways and ladders are kept rigged in a

way which permits their safe use in all states of weather and tide. The OOW is also to ensure that a lifebuoy, complete with light and lifeline, is provided near the QM position in case of accident.

- g. **Signals and Lights.** The OOW is to take care that:
- (1) a good lookout is kept for all signals;
 - (2) no unauthorised signals are made;
 - (3) between the hours of sunset and sunrise, the authorised anchor lights are displayed;
 - (4) when the ship is darkened, that no unauthorised light are visible from outboard; and
 - (5) when Colours are lowered before or after sunset the anchor lights are switched on at sunset. Unless specifically ordered by the senior officer present, masthead obstruction lights are to be burned only when it is clear that the ship's masts constitute a hazard to aircraft operating in the vicinity.
- h. **Lifesaving Precautions in Boats.** The OOW is to ensure that:
- (1) all power boats are equipped at all times in harbour with a becketed life buoy; all other boats are to carry such a life buoy when engaged on duties involving more than the ordinary degree of hazard;
 - (2) a life jacket is provided for every power boat and sea-boat crew members, and one spare;
 - (3) all member of a boat's crew wear a life jacket at all times in the boat, and also when boarding and disembarking; and
 - (4) particular care is taken that the number of persons carried in a boat never exceeds the authorised carrying capacity of the boat and that large numbers do not stand on deck, sit on cabins or superstructures. If the weather deteriorates, the OOW is to see that the maximum number of persons carried in any ship's boat is reduced, having regard to the task to be undertaken, the experience of the officer or rating in charge of the boat and the weather likely to prevail while the boat is away.
- i. **Inspection of Firearms.** The OOW is to inspect all small arms, sporting guns and other weapons brought over the gangway to ensure that they are not loaded (see also Naval Forces General Orders Part 1, Chapter 7 - Article 1.7.70 Private Firearms).
- j. **Foul Hawse.** If the hawse becomes fouled when the ship is moored, the OOW is immediately to report to the CO and inform the NO.

1.4.220 Authority

- a. The authority of the OOW is laid down in Naval Forces General Orders Part 0, Chapter 3, Section 3 - Article 0.3.28 Authority of Commanding Officer and Executive Officer. In ships in harbour and in fleet establishments, the duties and authority of the OOW may be delegated to an OOD at the CO's discretion.
- b. The OOW has functional authority over all personnel as described in Naval Forces General Orders Part 0, Chapter 3, Section 3 - Article 0.3.28 Authority of Commanding Officer and Executive Officer in fulfilling their tasks.

1.4.221 Radio Hazards Safety Precautions

The Hazard Management System is to be used to control RADHAZ in all instances, including dress ship. NZBR 2924 - RF Hazards in the RNZN Service Chapter 9 for detailed guidance.

1.4.222 - 1.4.224 Not Allocated

Section 19 - Warrant Officer of the Navy

Reference:

- A. Naval Forces General Orders - Part 1, Chapter 3

1.4.225 Introduction

- a. The Warrant Officer of the Navy (WON) is a member of the personal staff of the CN and will operate principally from the Naval Staff. In view of the WON's whole of Navy responsibilities; however, an office will be maintained in HMNZS PHILOMEL to support visits to the Naval Support Command (NSC). The incumbent will also be required to travel within New Zealand and overseas on duty, and visits to ships at sea will be a regular activity.
- b. The CN appoints the WON, generally for a term equivalent to their own. The selection will be made from substantive warrant officers of any branch.

1.4.226 Power of Command and Equivalence

- a. The incumbent, by virtue of his or her appointment, is entitled to exercise special command over all other warrant officers and is the most senior non commissioned officer in the RNZN and RNZNVR (see Naval Forces General Orders Part 0, Chapter 3, Section 3 - Article 0.3.25 Special Command).
- b. The position of WON is equivalent to the Sergeant Major of the Army and the Warrant Officer of the Air Force.

1.4.227 Function and Role of the Warrant Officer of the Navy

- a. The function and role of the WON is principally that of an adviser to the CN. The WON is to render advice, either as the CN directs, or as the WON deems appropriate, on any matters affecting the command and management of the RNZN and RNZNVR.
- b. The WON must have extensive personal knowledge of day-to-day functions in the RNZN. The WON must be able to offer advice and guidance, without necessarily being directly involved in the process, to the following committees and boards:
- (1) the Naval Leadership Board;
 - (2) the Warrant Officer Selection Board;
 - (3) the Ratings' Extension of Service Board;
 - (4) the RNZN Benevolent Fund Committee;
 - (5) the RNZN Central Fund Committee;
 - (6) the Navy Canteen Advisory Committee;
 - (7) the EEO Executive Committee;
 - (8) the Editorial Board of 'Navy Today';
 - (9) the Sailor of the Year Selection Committee; and
 - (10) any other Boards or Committees as deemed appropriate by the CN.

1.4.228 Duties and Responsibilities of the Warrant Officer of the Navy

- a. In advising the CN, it is particularly important that the WON, in representing views on matters that affect the Navy as a whole, incorporates the perspectives of ratings. The WON has a particular responsibility to render advice to the CN on any matters affecting the management and welfare of the ratings of the RNZN and the RNZNVR. This; however, does not preclude the WON being available to advise other authorities within the command chain, when it is appropriate to do so.
- b. The WON shall visit RNZN and RNZNVR units, ashore and at sea, to observe morale, talk with groups and individuals and to monitor the Divisional System to ensure they are well informed.

At the conclusion of each visit, the WON is to provide the CO of the ship or establishment being visited with a verbal, or if required, a written brief on the aims and observations of the visit. If deemed necessary, the report is to be forwarded to other relevant authorities, keeping the CO informed as is appropriate.

- c. The WON shall concentrate on personnel issues and not on issues or problems of individuals. These are to remain the responsibility of the divisional system.
- d. Any issue that the WON becomes aware of is to be discussed fully at source, with further representation made up the command chain where necessary. This will ensure that appropriate weight and consideration is given to all relevant issues, at all steps in the management process.
- e. From time to time it may be appropriate, and effective for the WON to establish ad hoc reviews to advance solutions on personnel specific problems that may be identified by the command structure. The CN's prior approval must be sought before such ad hoc reviews are initiated.
- f. The WON shall hold an annual seminar, with a representative group of ratings, to identify their perspective on issues relevant to the RNZN and RNZNVR and thus provide the command chain with information and recommendations for improvement.
- g. The WON is to in particular, cultivate and facilitate the development and education of senior ratings. Special attention is to be paid to identifying potential WON candidates both for the long and short term and ensuring that they are provided with opportunities for education and personal development beyond those made available to other senior ratings. In which case, these opportunities should include both civilian and military options that will grow the individual and add value to the Service.
- h. The WON shall work as directed by the CN. The duties will include, but not be limited to the following:
 - (1) 'Living' the Navy's Core Values and assisting in maintaining the high standards of discipline and morale of RNZN and RNZNVR ratings - in particular by working to achieve an alignment of their behaviour with the Navy's Core Values.
 - (2) Representing a rating's perspective in the development of Navy policy and in managing issues specifically to:
 - (a) the CN;
 - (b) the Deputy Chief of Navy;
 - (c) the Maritime Component Commander, New Zealand;
 - (d) the Assistant Chief of Navy (Personnel and Training); and
 - (e) generally to all other levels of command and management.
 - (3) Accompanying the CN on Fleet and Support Command visits, parade and ceremonial occasions, and formal visits overseas as directed. This may also extend to accompanying the DCN and MCC on similar occasions.
 - (4) Supporting the Navy's Vision by maintaining engagement with equivalents in other navies; exchanging ideas on 'best practice'.
- i. The WON has particular responsibilities for:
 - (1) advising on:
 - (a) policies and practices associated with the individual training of senior or junior ratings;
 - (b) policies relating to the promotion of senior or junior ratings;
 - (c) policies affecting the conditions of service and welfare of RNZN ratings;

- (d) the career planning and development of civilian qualifications for ratings in all branches;
 - (e) the employment of warrant officers;
 - (f) ratings on any such matters that fall outside the orbit of command or divisional chains; and
 - (g) matters of dress;
 - (2) providing mentoring and guidance to potential WONs;
 - (3) acting as the point of contact on tri-Service ceremonial matters; and
 - (4) setting guidelines relating to protocol and mess etiquette within Senior and Junior Ratings' Messes and Clubs.
- j. The WON may be required to represent ratings at appropriate social, diplomatic and ceremonial occasions as encouraged by the CN. These should include, but are not limited to medal and award presentations, commendation ceremonies, promotions, and other such occasions.
- k. Of particular emphasis in the area of personnel development is leadership and management training. The WON has, by definition and selection, a wealth of experience and knowledge in practical leadership and management techniques. The incumbent shall, therefore, visit senior and junior ratings' management and divisional courses to provide practical assistance and guidance. The WON's experience can also be called to give assistance at junior officer divisional and management courses.

1.4.229 Reporting

- a. The WON shall in addition to other reports, provide a briefing at the monthly Naval Leadership Board meeting summarising activities and issues of the previous month and outlining the intentions for the upcoming month.
- b. A personal report will be completed on the WON at least annually by the CN.

1.4.230 Personal Attributes

In the performance of the aforementioned duties, the WON will demonstrate the following skills and personal attributes.

(1) Skills:

- (a) proven leadership skills, including leading through the Navy's Vision and Values;
- (b) well-developed and proven oral and written communication skills;
- (c) the ability to plan and chair meetings;
- (d) the ability to work independently or in a team environment;
- (e) good problem solving skills;
- (f) the ability to effectively engage cross-functionally with all levels of the Navy and NZDF;
- (g) a good understanding of HR, including cultural; matters, and
- (h) above average staff skills.

(2) Personal Qualities:

- (a) the fortitude to provide CN with honest and forthright feedback and advice;
- (b) be self-motivated, proactive, resilient and determined;
- (c) able to undertake research and analytical tasks;
- (d) be able to relate to a wide range of people at a variety of levels;

- (e) have high personal standards;
- (f) the ability to exercise tact and diplomacy as the occasion demands;
- (g) a willingness to accept responsibility;
- (h) able to work without supervision;
- (i) the ability to think laterally and displays sound judgment;
- (j) ability to take the initiative; and
- (k) the ability to represent the Navy in both New Zealand and overseas as the most 'senior' rating.

1.4.231 Conditions of Service

- a. Prior to accepting the position, the prospective WON will be advised that:
 - (1) they will not serve as a WO in the RNZN on completion of their tenure as WON; and
 - (2) either one of the following will occur:
 - (a) an offer of commission from the ranks (CFR) will be made for an initial engagement of five years; or
 - (b) they will request to be discharged from the RNZN on completion of their tenure as the WON.
- b. WON incumbents selected for CFR will, during their tenure, have attained the professional/ educational requirements for CFR through individualised and targeted training and education. Accordingly, they will, on completion of their tenure:
 - (1) be promoted to the rank of Lieutenant in the Branch List Specialisation (Administration) with two years seniority; and
 - (2) conditional on having passed the divisional officers' course, not be required to undertake JOCT.
- c. Their initial posting will normally be for a minimum of two years duration within New Zealand as agreed by the CN. Further career management beyond this posting will be managed by Naval Officer Career Manager (Process and Compliance).

1.4.232 - 1.4.235 Not Allocated

*Section 20 - Māori Cultural Advisor to the Chief of Navy***1.4.236 Introduction**

- a. In recognition of the unique cultural composition and dynamics within contemporary New Zealand society, the RNZN has adopted elements of Māori culture and practices (tikanga) in combination with long standing naval traditions and protocols. The adoption of elements of tikanga has included, but not been restricted to: introduction of Māori language (Te Reo) courses, the establishment of Te Taua Moana Marae for the conduct of pōwhiri (welcome ceremonies), tangihanga (funeral ceremonies) and poroporoaki (farewell ceremonies) on a regular basis and the incorporation of Māori elements in change of command and commissioning ceremonies.
- b. The CN, senior leadership (SL) and Command are routinely required to participate in and/or support high profile events in New Zealand and abroad, at which it is important that the RNZN's unique cultural identity be competently expressed. The position of the Māori Cultural Advisor (MCA) is to provide the CN, SL and the Command with guidance on cultural issues as they relate to the RNZN. This is consistent with the principles of the RNZN bi-cultural partnership policy.

1.4.237 Responsibilities

- a. The principal role of the MCA is to provide specialist Māori cultural advice to the Chief of Navy from a serving sailor. However, the position will also be available to SL and the Command on all Māori issues and how they relate to the unique military needs of the RNZN recognising:
 - (1) long standing traditions and unique cultural identity of the RNZN;
 - (2) the Navy's bi-cultural policy;
 - (3) the wider interests of the NZDF;
 - (4) the relationship between Māori personnel, their culture, traditions and values, both within New Zealand and within the Navy; and
 - (5) the CN responsibilities in relation to Key Government Goals.
- b. The position of MCA is not that of a Kaumātua or Kuia; however, the MCA will be able to arrange for a Kaumātua or Kuia to be available in support of the CN, SL or the Command if required.
- c. The MCA is responsible for:
 - (1) providing cultural advice on matters relating to the implementation of Māori cultural practices in appropriate RNZN activities;
 - (2) providing a strategic overview in support of CN on issues facing the RNZN in relation to Maori interests;
 - (3) providing specialist cultural advice to CN in the development of RNZN and NZDF cultural policies;
 - (4) facilitating the provision of kaumatua and kuia in support of CN;
 - (5) liaising with other single Service Māori Cultural Advisors or Māori Coordination Officers; and
 - (6) liaising with local iwi and hapu in support of the Navy's relationship with Māori throughout New Zealand.

1.4.238 Relationships and Reporting

- a. The MCA will primarily report to the CN, with secondary reporting responsibilities to naval SL.
- b. The MCA is to develop a number of 'relationships' in order to maintain an overall view of the Māori culture as it applies to the Navy. Consequently, the MCA will have membership, and/or

observer status on the following committees:

- (1) membership of Te Runanga o Te Taua Moana o Aotearoa; and
 - (2) Navy representative on the NZDF Māori Cultural Advisory Board.
- c. The MCA is authorised to liaise directly with CDF's Cultural Advisor and other single Service Cultural Advisors or Māori Coordination Officers for the purpose of developing and implementing NZDF policy and providing specialist cultural advice.

1.4.239 Recognition of MCA

- a. The position will be officially recognised and promulgated by the CN and recorded in the NZDF HR information management system as an established paraline.
- b. Visual recognition in the form of a Manaia¹ will be worn on all ceremonial occasions in support of the CN. On completion of the appointment as MCA the recipient will retain their Manaia and another Manaia is to be purchased for the new MCA (the CN's cost centre).

1.4.240 Māori Cultural Advisor Criteria

The proposed criteria in order of priority for the appointment of a MCA to the CN is:

- (1) be fluent in Te Reo;
- (2) have an in depth knowledge and understanding of tikanga;
- (3) have mana within the Navy;
- (4) demonstrate a commitment to the Navy's Core Values;
- (5) have mana within the community; and
- (6) have a knowledge of the principles of the Treaty of Waitangi.

1.4.241 Selection Process

A three-step process is implemented for the appointment of the MCA as follows:

- (1) **Step 1** - The Runanga calls for nominations to the position of MCA to the CN from all possible Navy candidates that meet the selection criteria for MCA. All nominations are to be considered by the Runanga;
- (2) **Step 2** - The Runanga will forward all nominations to the CN with recommendations; and
- (3) **Step 3** - the CN selects and appoints the MCA to the CN.

1.4.242 Appointment

The CN will approve the appointment of the MCA; that is the MCA is a personal appointment by the incumbent CN.

1.4.243 - 1.4.246 Not Allocated

1. Ornamental carved pendant.

Section 21 - The Naval Police

References:

- A Naval Forces General Orders - Part 1, Chapter 3
- B. DM69 (2 ed) Volume 1 - Commanders' Handbook on Military Law
- C. Armed Forces Discipline Act 1971

1.4.247 Naval Police Duties: Responsibility and Authority

- a. The Joint Military Police Unit (JMPU) Command Warrant Officer (JMPU CWO) is the professional head of the New Zealand Defence Force Military Police (NZDF MP). The JMPU CWO is responsible for the administration, professional and training standards of the JMPU.
- b. The Naval Police Head of Trade (NP HoT) is to be consulted with on any matters pertaining to Naval Police (NP) personnel in relation to postings, welfare and any other matters considered relevant.
- c. The Senior Naval Police Instructor (SNPI) is the lead NP trade instructor for Navy specific training. The SNPI is responsible to the ACN(P&T) for providing professional Navy specific training to the NP trade, the Leadership Development Group (LDG) and to the coxswains of units who do not have a member of the NP trade onboard.
- d. The senior NP rating who is posted to a seagoing unit is responsible to the CO of that unit for all aspects of their duties onboard. This responsibility is normally to be exercised through the XO for routine matters and daily employment. A NP, whether they are posted to a ship or shore establishment also has a line of communication to the JMPU for professional matters, which they may utilise at their discretion.
- e. Investigative duties in ships without NP ratings borne are to normally be carried out by the ship's coxswain, assisted by other senior ratings as detailed by the ship's CO. Instructions in this chapter and elsewhere in this publication to the Master-At-Arms (MAA) and ratings of the NP trade apply equally to the coxswain and ratings nominated to assist in NP duties.
- f. **Investigative Support.** If a ship's CO feels that a complaint or alleged offence requiring disciplinary investigation is of a particularly serious nature or the matter to be investigated is categorised in accordance with DM69, Volume 1, Chapter 3, Section 1A or, for whatever reason is unable or reluctant to have the matter investigated by their ship's staff, then they should request investigative support from the JMPU through CO JMPU. If JMPU is tasked to assist, then the team will brief the CO of that ship or establishment concerned. The JMPU has investigative independence and report through the JMPU chain of command. The JMPU Northern Regional Commander will be *normally*² responsible for maintaining communication with the CO of the ship or establishment throughout the investigation process.
- g. **Responsibility.** The XO onboard a ship is to ensure that the NPs and ratings carrying out investigative duties are to abide by the instructions in this chapter.
- h. The customary naval term 'Master-at-Arms' describes the SNCOs in the NP trade at CPO(E) rank or above. The term 'NP ratings' includes NCOs of PO(E) rank and below of the NP trade, and others performing or assisting in the performance of NP duties.
- i. Ratings of any branch may be required to assist NPs, being detailed for this duty in turn as part of their normal duties. When considering the employment for this purpose of ratings of the medical branch, due regard should be had of the nature of the duties involved and any possible ethical objections to such employment.
- j. **Authority.** Ratings employed on NP patrol or on sentry duties or as QM in harbour are authorised, in the execution of those duties, to give lawful orders to other ratings, including those senior to them in rank. They are to wear a patrol armband when so employed.

2. Investigative support will normally be provided from HQ JMPU Northern, but the responsibility for communication with the CO of the ship lies with the regional commander of whichever JMPU unit is providing support.

1.4.248 Naval Police Posted to Ships

The senior NP posted to the ship is responsible to the CO through the XO for the following:

- (1) the efficient performance of all aspects of NP duties;
- (2) the general discipline and good order of the ship's company, and for investigating and reporting any incidents, any cause of dissatisfaction or ill-feeling that may arise;
- (3) ensuring that the NP ratings carry out their duties with firmness and appropriate temperament, and that all altercations with excited or drunken ratings are avoided;
- (4) ensuring that NP ratings take special care to check all bad language, quarrelling, gambling, trafficking, and disorderly behaviour among the ship's company;
- (5) the movement of all personnel in and out of the ship, whether on leave, posting or other duties, and the maintenance of contact addresses of personnel on long leave;
- (6) maintaining correct records of the ship's company including the relationship and address of Next-Of-Kin (NOK);
- (7) maintaining a complete record of all lost and found property and its ultimate disposal.
- (8) maintaining the Property Pass Book;
- (9) maintaining the Urinalysis Register;
- (10) maintaining a complete record of all offence reports;
- (11) maintaining a complete record of all MD 601 Charge Reports;
- (12) maintaining a complete EBA record;
- (13) maintaining a complete record of travel movements for ship's company; and
- (14) any other tasks applicable.

1.4.249 Responsibilities with Regard to Ratings Under Punishment

- a. The NP is to be conversant with the rules for carrying out summary punishment (see DM69 (2 ed) Chapt 8 Sect 3) and is to ensure that the punishments awarded are carried out correctly.
- b. The NP is to brief the XO every morning with a list of all ratings under punishment and of incidents that are under investigation.
- c. The NP is to have the general charge of all persons under or awaiting punishment, until released to duty or disposed of otherwise.
- d. The NP, or one of the NP staff responsible for the wellbeing of the detainee, is to ensure that an officer visits all ratings held under close arrest in unit detention quarters at least once in every 24 hour period (see DM69 (2 ed) Vol 1 Chapt 3 Sect 2 Art 3.2.10).
- e. In the absence of the NP staff, the OOD/OOW is responsible for the release from custody of all persons if there is a fire or any other such emergency that in any way may endanger the individual in custody.

1.4.250 Responsibilities with Regard to Short Leave

- a. The NP on duty is to ensure that a system, e.g. pegboard on ships, is in place to monitor ratings proceeding ashore on short leave. On expiry of an authorised leave period, the XO/OOW/OOD is to be informed of any absentees.
- b. When considered necessary, the NP is to search ratings returning from short leave, boats' crews and boats when leaving and returning to the ship, to ensure that:
 - (1) Customs regulations are complied with;
 - (2) that no public or Service property is being taken off the ship unlawfully; and
 - (3) that no prohibited items of alcohol are brought onboard the ship.

1.4.251 Responsibilities with Regard to Customs

- a. The senior NP rating posted to the ship is to be familiar with customs legislation and is to ensure that notices on the landing of duty free goods are promulgated.
- b. The senior NP rating posted to the ship, upon departure from New Zealand, is to send the customs outward report with associated documentation. On return to New Zealand from overseas, they are to distribute customs declaration forms and passenger arrival cards to the ship's company. They are to ensure that each person on board has made a declaration. In addition, the Senior NP is also responsible for inward reports and associated documentation.

1.4.252 Responsibilities with Regard to Patrols and Escorts

- a. The officer or rating in charge of a patrol or escort is to take particular care to prevent, as far as is practicable, a rating from striking a member of the patrol which is a chargeable offence under Ref C.
- b. The person in charge of a patrol or escort should not themselves arrest a refractory rating, except when their assistance has actually become necessary.
- c. Patrol armllets are to be worn on the left cuff as follows:
 - (1) **On board:** by ratings temporarily employed on NP or patrol duties while actually on duty; and
 - (2) **On shore:** by all ratings employed on NP or patrol duties while actually on duty.
- d. **Authority.** Naval patrols exercise the general powers under s.88 of Ref C.
- e. Refer to Chapt 3 Sect 2 and Chapt 9 Sect 2 of Ref B for guidance on arrest and escorts. Practical guidance relating to appropriate rank of escorts, dress and use of force may be sought from JMPU.

Shore Patrol

- f. The CO of ships out of Auckland can order shore patrols to be landed after taking into consideration the local port's orders, upon receiving advice from the officer in charge or senior officer present, or as otherwise as they deem necessary.
- g. Shore patrol duties in Auckland are on a case-by-case basis and are normally performed by duty personnel from HMNZS PHILOMEL. A LH/PO and an AB are to be nominated and be available for these duties when required. Should there be a requirement for additional personnel, then CO PHL will request through the command chain for supplementation from ships alongside.
- h. Auckland based shore patrol requirements are to be coordinated by CO PHL in consultation with NZDF MP. Ratings detailed for shore patrol duties are to report to the Naval Base OOD (PHILOMEL) for briefing at the same time as the normal duty watch. In addition to this, personnel detailed for Auckland shore patrol duties will be required to receive a brief and uplift their equipment from the Devonport Naval Police Station. One member of shore patrol is to have a current full Class 1 NZ driver's license.
- i. While the shore patrol normally consists of at least one LH and one AB, COs can order officers or SRs to supplement shore patrols should this be deemed necessary. While not essential, it is recommended that shore patrols landed outside of Auckland accompany the local police forces; they have the local knowledge, and the civilian jurisdiction and communication support to respond rapidly to incidents ashore.
- j. **Authority.** Ratings in charge of a shore patrol, by virtue of special command, can give lawful orders to any rating (including those superior in rank to them) whilst performing their duty. While ratings in charge of a shore patrol have no authority to give lawful orders to officers, they can still give tactful directions and instructions to officers for the purpose of their duty. Any officer found deliberately undermining a member of shore patrol from carrying out their duty could find him or herself investigated for conduct prejudicial to Service discipline. Naval shore patrols exercise the general powers under s.88 of Ref C.

- k. Prevention or de-escalation of incidents ashore is always to be the aim. Wherever possible the option of using lawful commands should be used, prior to the arrest option.
- l. Shore patrols are to be dressed as for duty personnel with the addition of white webbing belts, anklets and naval patrol armlets. The naval patrol armlet is to be worn on the left wrist in a manner so that it can be seen at all times. Shore patrols landed in the Auckland area are to carry, and are authorised to use MD4 warrant cards, subject to the legislation printed on them.
- m. Visiting ships may be required to provide a shore patrol in certain circumstances. The CO PHL (or his/her delegate) will advise when this is required.

1.4.253 Responsibilities with Regard to Visits and Rounds

- a. **General.** An important part of the NP staff duties is the prevention of irregularities on board. The senior NP posted to the ship (in rotation with other NP Staff as their duties permit) is frequently to visit the various parts of the ship to see that order prevails and that standing orders and routines are being complied with. The senior NP posted to the ship, or the NP ratings on duty, is to investigate and report to the XO/OOW/OOD all alleged offences and irregularities in the ship, or concerning the ship's company that come to their knowledge. Out of working hours, the duty NP rating is to carry out similar rounds and duties.
- b. **Clear-Lower-Deck.** When the order is given to 'clear-lower-deck', the senior NP posted to the ship is to see that it is obeyed and that no one remains below unless authorised. When the decks are clear, they are to report this fact to the XO.
- c. **Rounds.** The senior NP posted to the ship is to accompany the XO, or the officer conducting rounds, on evening rounds at sea when they are responsible for handing over the night rounds report. In harbour when leave has been piped, the duty NP or Petty Officer of the Day (POOD) rating will accompany the officer doing rounds.

1.4.254 Responsibilities with Regard to Musters and Reports

- a. The senior NP rating posted to the ship is to attend all general musters and account for absentees.
- b. The senior NP rating posted to the ship is to obtain daily the names of ratings discharged to duty from the sick list, and is to inform the SR(s) of the respective part(s) of the ship.
- c. When a patient, other than an officer, goes to hospital, the senior NP rating posted to the ship is to ensure that a list of that rating's clothes and effects accompanies them.
- d. The senior NP rating posted to the ship is to collect and deliver to the SO the effects of deceased ratings, and is to collect and take into safe custody the effects of absentees and deserters.

1.4.255 Responsibilities with Regard to Postings

The senior NP rating posted to the ship is responsible for ensuring that all personnel joining the ship carry out the joining routine, ensuring that ratings are turned over to their departments as soon as possible. Similarly, all personnel for whom posting orders are received are to be informed as soon as possible and the information passed to their departments. All personnel leaving the ship are to complete a posting out routine.

1.4.256 Responsibilities with Regard to Record of Numbers Rationed

The senior NP rating posted to the ship is to maintain the records of persons being rationed on board.

1.4.257 Responsibilities with Regard to the Prevention of Trafficking

The senior NP rating posted to the ship and the NP ratings are to take appropriate action to prevent the trafficking of Service property, or dutiable goods or alcohol taking place on board.

1.4.258 Books and Records to be Kept

The senior NP rating posted to the ship is responsible for the following records:

- (1) Property Pass Book;
- (2) Joining and Departure Routines;
- (3) Urinalysis Ledger;
- (4) MD 601 Ledger;
- (5) Offence Report Log;
- (6) NOK /Nominal/Recall List;
- (7) Accommodation Plan;
- (8) Temporary ID Cards;
- (9) Lost and Found Property Register; and
- (10) Travel Register.

1.4.259 General Guidance to Naval Police

- a. NP personnel are to be fully conversant with this chapter, Refs B and C, and routine port and ship standing orders. They are also to be familiar with the Crimes Act, Privacy Act, Arms Act, Human Rights Act, NZ Bill of Rights Act Customs legislation and other legislation required for the professional conduct of their NP duties.
- b. NP personnel are to carry out their duties with firmness and good temper, and to avoid, if possible, direct altercations with personnel.

1.4.260 - 1.4.264 Not Allocated

Section 22 - Visit Liaison Officer Duties

References:

- A. NZBR 46 - RNZN Port Guide
- B. NZBR 96(1) - ANZAC SSOs

1.4.265 Visit Liaison Officer

- a. The Visit Liaison Officer (VLO) plays an important role in the preparation for, and post visit follow-up responsibilities of a ship visit to a port outside of the Devonport Naval Base (DNB). The benefits of having a professionally conducted port visit liaison cannot be understated, as it sets the tone of a visit from the outset, quickly overcomes any problems that may arise, builds the foundation base upon which RNZN units will conduct diplomatic activities in the port, and ultimately can establish how the RNZN will be judged on completion of any visit.
- b. To this end, the VLO role is a time consuming and demanding task and it is the responsibility of commanding officers (CO) to ensure that the right people are selected for VLO duties in order to assure a successful visit. The VLO should be seen as the ship's main point of contact (POC) for liaison when in a port, and will also lead a Visit Liaison Team (VLT). The VLO is accountable to the Executive Officer (XO) for visit arrangements.
- c. The VLO is to ensure that both the CO and XO are kept apprised and informed of key planning events, tasks and activities affecting the visit at all times. The VLO should also provide regular briefs and updates to the ship's command team at HoD's/co-ord meetings, to ensure that relevant and meaningful information is provided, acknowledged and considered well before a ship arrives in a port.

1.4.266 Visit Liaison Teams

- a. A VLO can be supported by an assistant VLO and can include both a visit liaison S/R and J/R respectively within the make up of the VLT. The team can be made up of any number of personnel, with numbers reflecting complexity and scale of work needed within a visit location.
- b. The VLO team are to remain cognisant of their responsibilities at all times during the port visit.

1.4.267 Duties

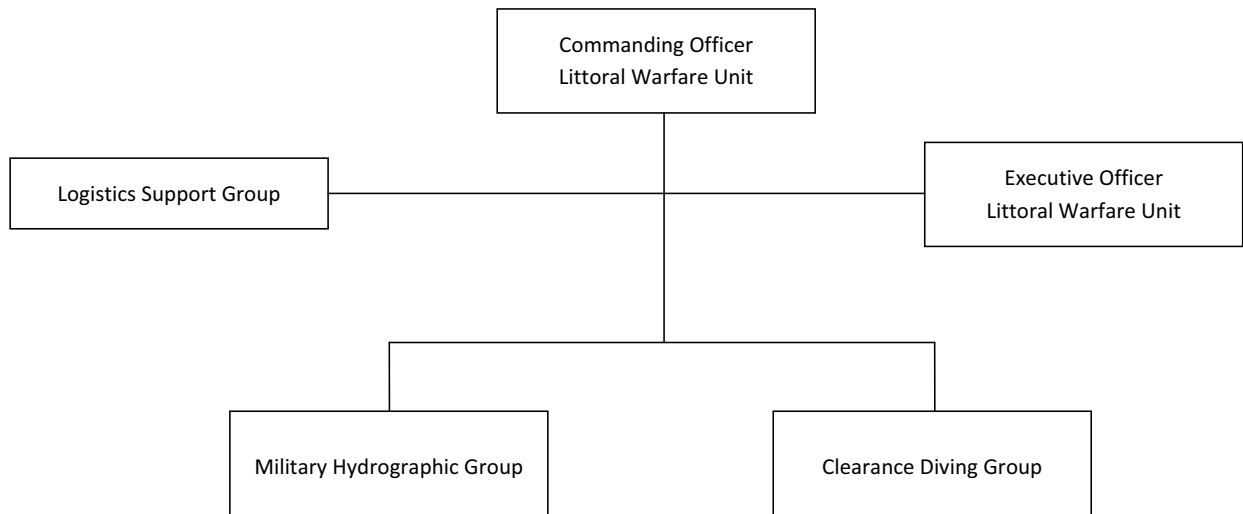
- a. The VLO is to coordinate all of the ship's requirements; including drafting the port visit letter and any other necessary correspondence relevant to the port visit. The VLO is ultimately responsible for all planning and liaison activity associated with a port visit, and is to be readily available at all times to the CO/HoDs and OOD.
- b. The VLT is to research and provide details to the ship's company with respect to geography, local customs and history, driving laws, tourist attractions, local business hours of opening, currency/exchange rates, drinking age, and recreation, along with any other important local information that would add value to ship's company (e.g. religious sensitivities).
- c. At no time is the VLO or VLT be used as tourist coordinators or for booking visits to attractions or tours.
- d. The VLO is to provide information to ship's company in a manner that is suitable to maximising the spread of local facts and relevant details which will be of interest and appeal to ship's company.
- e. Throughout the visit, the VLO is to ensure that the visit runs smoothly, and all programmed functions/activities/events are adequately attended.
- f. On completion of the visit the VLO is to ensure that all post activity reports and thank you letters are drafted, and visit guides are updated.

1.4.268 - 1.4.999 Not Allocated

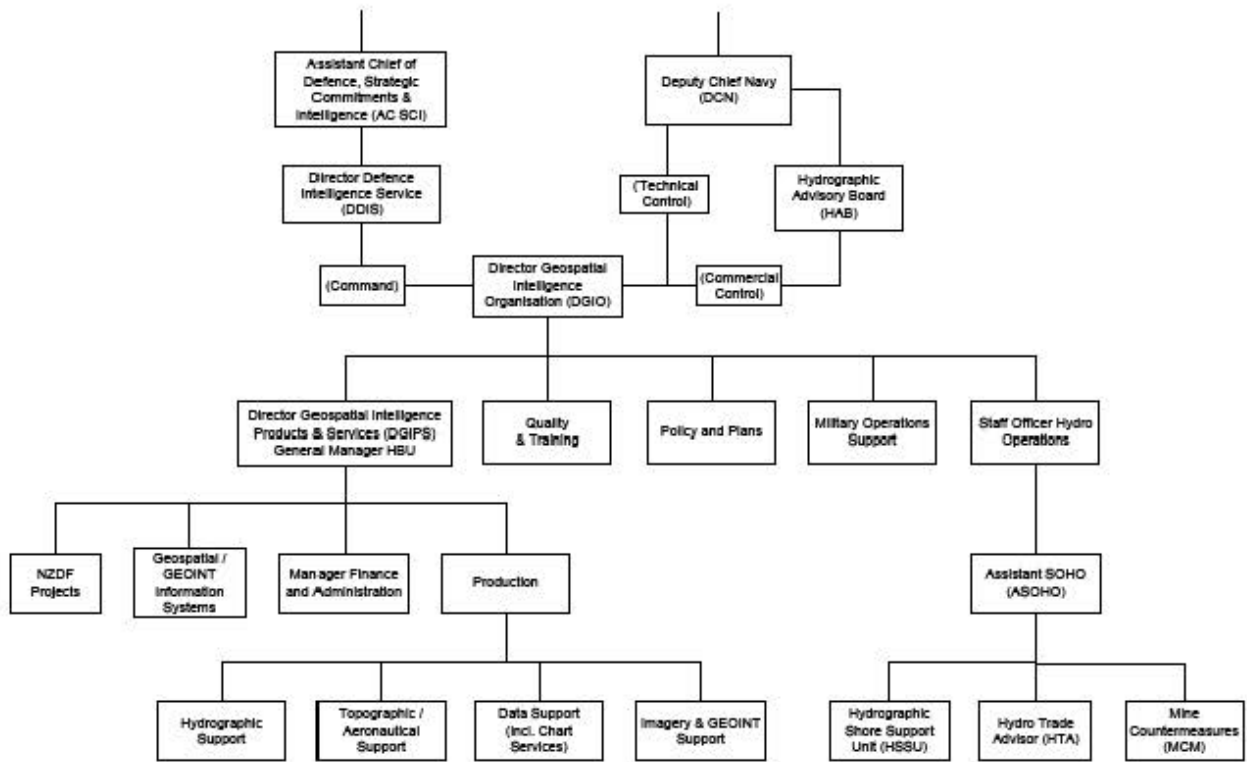
Annex 4-A. Not Allocated

(Previously the MEO Supersession Certificate, this can now be found in NZBR 7, Annex 7J)

Annex 4-B. Organisation and Structure of the Littoral Warfare Unit (LWU)



Annex 4-C. Organisation and Structure of Geospatial Intelligence New Zealand (GNZ)



Chapter 5 - Workplace Environment

Section 1 - Psychology Support

1.5.01 Navy Psychology

Psychology services are provided by a tri-Service unit within the Defence Organisational Development Department (DOD). Navy Psychology (NP) makes up part of Defence Psychology (DP), responsible to the Director Defence Psychology (DPP). NZDF Psychologists are employed primarily in an organisational role that encompasses a range of activities, including the provision of psychological services for, or advice and research on:

- (1) recruitment and selection;
- (2) training and performance;
- (3) deployments; and
- (4) individual readiness.

1.5.02 Procedure for Obtaining Assistance from Navy Psychology

- a. Any member of Navy or Defence staff is welcome to contact any member of the NP team to discuss a situation or request support. Individuals can do so by contacting the Psychology Co-ordinator (Northern) (PC(N)), or a specific psychologist directly, by telephone or email.
- b. Any commander, manager, or Divisional Officer (DO) wishing to make a referral to a psychologist can do so by contacting the PC(N), or a specific psychologist directly, by telephone or email. In most instances a Form RNZN 23A - Psychological Referral will be required. The form helps clarify what the person is being referred for and contains useful information to ensure the referral can occur quickly and meets all the referrer's requirements. The RNZN23A can be obtained by email from the PC(N). Note, if unsure, a Commander or DO may ring the Senior Psychologist Navy (SPN) or other psychologist to discuss whether a referral or psychologist involvement would be beneficial or appropriate.
- c. It should be noted that despite being uniformed members of the RNZN, Navy Psychologists operate an open-door policy and can be directly contacted by personnel for any reason.

1.5.03 Psychological Referrals: Bounds of Confidentiality

Commanders and managers need to be aware that NZDF psychologists are bound by the Health Practitioners Competency Assurance Act (HPCAA) 2003 and the New Zealand Psychology Society (NZPsP) Code of Ethics for Psychologists Working in Aotearoa/New Zealand. The HPCAA and the NZPsP Code of Ethics determine the legal and ethical requirements for NZDF Psychologists to gain an individual's consent prior to the disclosure of any information, written or verbal, gathered in the course of their duties. NZDF Psychologists are permitted to disclose information to third parties without the informed consent of the individual only under certain circumstances. These circumstances are to be clearly identified to individuals at the time of gaining informed consent (DFO 3, Part 14 Chapter 4 refers).

1.5.04 Psychological Reports: Handling and Disposal

- a. On completion of a command referral a Form RNZN 23 - Psychological Report is normally sent under cover of a Form MD121 to the referrer. All psychological reports are 'staff-in-confidence' documents and are to be handled on a 'consented personnel-only' basis. A report cover sheet will detail what personnel in addition to the referrer, if any, are consented to have access to the report *and information in the report (i.e. including verbal discussion of that content)*. Should personnel not consented require access to the included information for case management reasons, then the authoring psychologist or SPN *must* be contacted. If appropriate, they will obtain the necessary consent prior to the disclosure of the information to that 3rd party.
- b. Psychological reports are not to be copied or electronically distributed and will be stamped

accordingly in red with 'Not To Be Copied'. When psychological reports are no longer required they are to be returned to DPC(A) or the authoring psychologist under cover of a Form MD121. Reports are not to be passed to another ship or establishment, and are in no circumstances to be retained with an individual's Service documents.

- c. To allow appropriate information to be retrievable, each Form RNZN 23 has an attached record sheet (Form RNZN 23B). The record sheet is intended to provide future commanders and DOs with an indication of when and for what broad reason a Serviceperson was referred to a psychologist as this may be relevant to any subsequent decisions made about that person. No content of the psychological report will be included with the RNZN 23B, nor are any details of the content of the report to be recorded elsewhere in Service documents. Should an issue arise where the content may be of use in future, commanders or DOs should contact SPN to discuss. Information will only be shared if relevant and if within the bounds of initial consent and confidentiality constraints. For ratings the RNZN 23B is to be attached to an individual's RNZN 264 between the history sheet and the last page of the 264. A separate RNZN 23B will also be sent to the FPTO to be attached to the individual's Personal File (PF). For officers the record sheet will be attached to the individual's PF held by CNOCM.
- d. If any entry has been made in the serviceperson's Form RNZN 264 regarding the reason for the referral, the entry is to refer the psychological report number. No content of the psychological report is to be included in the 264.

1.5.05 - 1.5.09 Not Allocated

Section 2 - Not Allocated

1.5.10 - 1.5.14 Not Allocated

Section 3 - The Prevention of Discrimination, Harassment and Bullying

References:

- A. Human Rights Act 1993
- B. DFO 3 - NZDF Human Resource Manual

1.5.15 Background

The Human Rights Act 1993 (HRA) prescribes societal norms with regard to Diversity and Inclusion (D&I); discrimination and harassment in particular. Other than where the Act states exceptions for the NZDF, it is a legal requirement for the NZDF and its members to abide by the principles of the HRA.

1.5.16 Responsibilities of Commanders and Managers

It is essential that commanders and managers are familiar with the policies in Ref B. Implementation must have a 'top down' focus and the principles of D&I are to be applied in all areas of HR management within their command. Any suggestion that 'management' is not supportive will undermine the effectiveness of the policy and reduce the confidence of subordinates. D&I is about getting the best out of people, of ensuring that they have opportunities to reach their potential, and are treated with the consideration and respect that is at the core of our service ethos and core values. Guidance can be provided by the contents of this and other publications but leading by example will always be an important first step. Other ways to draw attention to the policy will include:

- (1) Notices in routine orders to inform and educate RNZN personnel on D&I.
- (2) D&I posters displayed in all common areas in ships and establishments.
- (3) D&I leaflets distributed and displayed (in common areas) in ships and units within the RNZN.
- (4) DNB resources utilised to conduct D&I briefings, particularly pre-deployment.
- (5) D&I briefings included at divisional and branch meetings.
- (6) Network contacts and information provided in the D&I and anti-harassment sections of the HR Toolkit utilised.

1.5.17 The Executive Officer

- a. The Executive Officer (XO) has a pivotal role in the implementation of the disciplinary policies of command and therefore, the NZDF. Part 5 Chapter 2 Article 5.2.22 of Ref B, establishes a need for Equity Advisory Officers (EAOs) and describes their duties. In the RNZN XOs will normally carry out this role unless good reasons exist for an alternative nominee. A list of the responsibilities of EAOs is at "[Annex 5-A. Responsibilities of Equity Advisory Officers](#)".
- b. Training will be provided on CO/XO design and tailored courses. Nevertheless, XOs are to attend, where possible, an Equity Advisory Officers course, or as an alternative an Anti Harassment Advisor (AHA) course, though they should not act in that role.
- c. An important role of the XO is to provide 'feedback' to the CO. It is also vital that an organisational link exists between the AHA and the Command. The XO will either need to provide that link personally or ensure that a suitable AHA collates activities and has direct access to the CO.

1.5.18 Anti-harassment Advisors

- a. The role of the AHA is stated at Part 5 Chapter 3 of Ref B and the importance of this position cannot be overstated. Skilled AHAs can advise individuals on the options available to resolve issues and it is NZDF policy that at least 2% of the workforce must be AHAs. Ships and establishments with an AHA level below 2% must nominate suitable candidates for courses, when these are promulgated, in order to raise numbers to the required level. Shortfalls are to

be reported to ACN(P&T).

- b. Promulgating the names of AHAs is important, posters are available which can be used for this purpose. In addition leaflets explaining the role of the AHA can be obtained.
- c. Under some circumstances AHAs will require direct access to the CO. Whilst internal procedures may favour access being through the XO, or EAO, this is not always desirable for privacy reasons. In cognisance of the junior status of many AHAs, COs must ensure that AHAs feel able to approach them when circumstances dictate. Prior discussion needs to take place in order to clarify the conditions when this must occur and to reinforce the CO's support for the role of the AHA. In any case internal procedures need to be established to ensure that the CO receives regular feedback as to the level of complaints being received. This is to be achieved by establishing regular meetings of AHAs at no more than monthly intervals. At these a general indication of the level of activity is to be established and this information passed back to the CO. The EAO will call these meetings but this can be delegated to a senior AHA if appropriate. In either case non-identifying levels of activity must be passed to the CO.

1.5.19 AHA Process and the Divisional System

The introduction of AHAs must not be seen as undermining the divisional system. AHAs offer an alternative source of information and support for those who, for whatever reason, choose not to use the divisional structure when dealing with harassment or discrimination matters. Nevertheless, many people will use the divisional organisation to address their concerns. Divisional staff must be aware of the course of action open to those who have matters of harassment or discrimination to resolve. They may refer individuals to an AHA or, if this is more appropriate, seek counsel themselves from an AHA so as to be able to advise fully. The procedures in Part 5 Chapters 2 and 3 of Ref B are designed to support the divisional system and work alongside the established means for resolving issues.

1.5.20 Other Avenues for Advice

In addition to AHAs and the divisional system there are a number of people in other well-established agencies able to provide advice and assistance on harassment or discrimination complaints. Many are trained AHAs as an adjunct to their core function. They include the Northern Regional Diversity and Inclusion Advisor (NRDIA), Sexual Assault Prevention and Response Advisors (SAPRAs), psychologists, chaplains, social workers and medical staff. It is also important not to exclude the role of good managers and supervisors. Competent people in positions of responsibility can often provide an opportunity for the resolution of problems at an early stage, possibly preventing a more serious situation from arising.

1.5.21 Reporting Procedures

- a. In order to monitor the effectiveness of D&I policies, statistical information is required on discrimination and harassment incidents from every person who is consulted about incidences of such behaviours. The Discrimination and Harassment Report (Form MD1037) link can be found in the online version of Part 5, Chapter 3 of Ref B or in the E&D and anti-harassment sections of the HR Toolkit. A separate form is required for each issue addressed and it is important that the reporting forms contain non-identifying information.
- b. AHAs, or others, who assist in resolving harassment or discrimination issues, are to forward a completed MD 1037 to the ship's EAO, or nominated representative, who is to provide the necessary feedback to command or management. MD1037 reports for the six months ending 31 Dec and 30 Jun are to be forwarded to the NRDIA by 25 Jan and 25 Jul each year, under a covering 'Staff in Confidence' letter, for inclusion in the RNZN bi-annual report to CDF.

1.5.22 Training

- a. D&I training is a major commitment that is reinforced by the requirements of the reference. Training modules that meet the NZDF requirements are to be provided at initial training and on all promotion courses. This will ensure that all members of the RNZN (uniformed and civilian) are made aware of their rights and responsibilities. In addition, ongoing education

requirements will be provided for and COs are encouraged to request assistance in providing this when required.

- b. Training will be provided for those required to promote D&I policies. These will include AHAs, investigators, EAOs and trainers. When notification of courses is received, ships are to call for volunteers from suitable candidates, and must also advise where shortages of trained people are carried. This will require a proactive role in ensuring that the staffing requirements are maintained.

1.5.23 Internal Auditing Procedures

Compliance with D&I procedures and practices will be audited during formal inspections but it is expected that ships and establishments adopt a regular regime of internal audit. The ship's EAO is to conduct a six monthly internal audit of procedures using the format at "[Annex 5-B. Checklist of EAO Functions](#)". The internal audit is to be signed by the CO and forwarded to the NRDIA by 25 Jan and 25 Jul each year.

1.5.24 Anti Hazing Guidance

Sailors are our most valuable resource. Naval leadership has a responsibility to create and maintain a safe environment free from hazing.

Definition

- (1) Hazing is conduct where a member of the New Zealand Defence Force intentionally forces, or attempts to force, another member of the New Zealand Defence Force to perform unreasonably strenuous, humiliating or dangerous tasks. Hazing does not have to be physical and can be verbal or psychological in nature. Consent to hazing by the subject of the hazing does not legitimise it, or make it acceptable conduct.
- (2) Hazing can include, but is not limited to, the following: playing abusive or ridiculous tricks; threatening or offering violence or bodily harm to another; striking; branding; taping; tattooing; shaving; greasing; painting; requiring excessive physical exercise beyond what is required to meet standards; or forcing or requiring the consumption of food, alcohol, drugs or any other substance.
- (3) Hazing does not include the following where they are conducted appropriately and in accordance with orders: command-authorized or operational activities; the requisite training to prepare for such missions or operations; administrative corrective measures; extra military instruction; athletics events; command authorized physical training, contests or competitions and other similar activities that are authorized by the chain of command.
- (4) Military customs and traditions have long been an integral part of the Navy, in the past some hazing has occurred in conjunction with ceremonies, initiations or rites of passage. This has never been formally endorsed and has no place in a modern, professional Navy. The Navy of today prides itself in being a safe, respectful and inclusive organisation.
- (5) If these activities are properly supervised and conducted they can be effective leadership tools to instil esprit de corps, unit cohesion and respect for an accomplishment. They also commemorate significant events. These feats and events form the basis upon which our Core Values of Commitment, Courage, Comradeship and Integrity are built on. Graduations, "crossing the line" ceremonies, and other rituals are meant to celebrate and recognise achievements of individuals or those of entire units.
- (6) Service members must be able to work together, building up, encouraging, and supporting their shipmates. Hazing behaviour is unprofessional and illegal. Inappropriate and harmful behaviours like hazing hurts our people and weakens the cohesiveness that is required for the Navy to be operationally effective.
- (7) Commanders should be aware of all ceremonies and initiations conducted within their

organisation and take proactive steps to ensure these activities do not include hazing.

1.5.25 RNZN Position on Hazing

- a. Hazing is unacceptable and will not be tolerated. Conduct that constitutes hazing also constitutes offences under the AFDA. Members of the armed forces who engage in hazing may face disciplinary action. Members of the civil staff who engage in hazing may breach the Civil Staff Code of Conduct and may face disciplinary action.
- b. No service member may engage in hazing or consent to acts of hazing being committed upon them.
- c. Commanders and supervisors should be alert for hazing in their area of responsibility. If they observe hazing they should take immediate action. It is important that command does not condone hazing.
- d. It is the responsibility of every Sailor to ensure that hazing does not occur in any form at any level. Every New Zealand Defence Force member has the responsibility to make the appropriate authority¹ within their chain of command aware of any occurrence of hazing.
- e. Commanders or individuals in supervisory positions are responsible for ensuring that all ceremonies and initiations conducted within their organisation or commands comply with this guidance.
- f. Supervisory personnel shall ensure that service members participating in command authorised ceremonies, initiations and other activities are treated with dignity and respect during these events.
- g. Reprisal actions against any victim or witness of hazing incidents will not be tolerated and may result in disciplinary action.

1.5.26 Accountability and Enforcement

- a. Hazing contravenes the following:
 - (1) Health and Safety At Work Act 2015;
 - (2) NZDF People25 Strategy;
 - (3) Human Rights Act 1993;
 - (4) Privacy Act 1993;
 - (5) Crimes Act 1961;
 - (6) Armed Forces Discipline Act 1971; and
 - (7) the values of the NZDF:
 - (a) **COURAGE - TŪ KAHA** - Taking action despite your fears.
 - (b) **COMMITMENT - TŪ TIKA** - Giving your best.
 - (c) **COMRADESHIP - TŪ TIRA** - Respecting and looking out for each other.
 - (d) **INTEGRITY - TŪ MAIA** - Doing the right thing - always!
- b. Anyone who engages in hazing, attempts to engage in hazing, or who, while in a position of command, condones hazing may be subject to administrative or disciplinary action.
- c. Depending on its nature, hazing may constitute the following offences:
 - (1) ill-treating a person of lower rank;
 - (2) injuring or assaulting a person;

1. Anti Harassment Advisor, Naval Police, Divisional Officer, Any superior officer/non commissioned officer, Human Resource Advisor, SAPRA as applicable.

- (3) behaving in a cruel manner;
 - (4) behaving in a disgraceful and indecent manner;
 - (5) using threatening, insulting or provocative language;
 - (6) doing an act likely to prejudice service discipline; or
 - (7) doing an act likely to bring discredit on the service.
- d. Condoning hazing while in a position of command may amount to negligent failure to perform a duty or conduct prejudicial to service discipline.

1.5.27 Looking After our Sailors

The Commanding Officer must be informed immediately of any allegation of hazing. Anyone who has been hazed, or whose command believes may have been subjected to hazing, should be considered to be a victim or a witness. Every reported incident of hazing should be investigated to determine if the case requires disciplinary, administrative or other command action. Where an investigation establishes hazing has occurred, this should be reported to DCN. Hazing victims and witness assistance will be provided under the following guidelines:

- (1) Hazing victims/witnesses shall be provided divisional support, medical assistance, and counselling through Health Services, Navy Social Workers or the Employee Assistance Programme as necessary.
- (2) Extreme caution and sensitivity must be exercised throughout the course of the investigation to ensure the victims are not re-victimised. Any investigation should also focus on the system which allowed the victim to be hazed and the surrounding organisational climate with a view to determine how to change or improve the system, thus preventing further hazing incidents.

1.5.28 Accessing Assistance

Members of the Regular Force are encouraged to use internal NZDF health services and support system as their first port of call. However, if someone does not feel comfortable using the internal NZDF health services, the EAP/Counselling service is in place to ensure they get the support they need. Information regarding Victim and Witness assistance can be found on the Defence Intranet site NZDF4U Wellbeing support at http://orgs/imx/hr-toolkit/LP/ww_w_ws_nzdf4u.aspx. Counselling support services (up to six sessions) are accessible through this service.

1.5.29 What Does Success Look Like?

- a. We know we have been successful when:
- (1) Sailors across all levels of Navy know that hazing is in the category of harmful and inappropriate behaviour.
 - (2) Sailors know that successful modern militaries offer safe, respectful and inclusive workplace.
 - (3) Sailors do not do hazing.
 - (4) Imagery celebrating hazing (such as was identified by the Navy Cultural Audits) is not present in any Navy environment.
 - (5) Sailors know they have permission to celebrate events/milestones but that hazing or "initiations" that involve hazing do not constitute acceptable behaviour.
 - (6) Sailors speak up if other people are planning to haze others/ or are engaging in hazing.
 - (7) There is no pressure to participate in activities such as hazing that demean others and take away their dignity and mana.
 - (8) If a sailor has been hazed, they know where to get help they trust the help will be

useful.

- (9) There will be a consequence for those who have been involved in hazing others.
- b. All people leaders across all ranks openly talk about their expectations of their people in relation to hazing, and endorse celebrations and team activity that is positive, inclusive and safe.
 - c. The Commanding Officer must be informed immediately of any allegation of hazing. Anyone who has been hazed, or whose command believes may have been subjected to hazing, should be considered to be a victim or a witness. Every reported incident of hazing should be investigated to determine if the case requires disciplinary, administrative or other command action. Where an investigation establishes hazing has occurred, this should be reported to DCN. Hazing victims and witness assistance will be provided under the following guidelines:
 - d. Hazing victims/witnesses shall be provided divisional support, medical assistance, and counselling through Health Services, Navy Social Workers or the Employee Assistance Programme as necessary.
 - e. Extreme caution and sensitivity must be exercised throughout the course of the investigation to ensure the victims are not re-victimised. Any investigation should also focus on the system which allowed the victim to be hazed and the surrounding organisational climate with a view to determine how to change or improve the system, thus preventing further hazing incidents.

1.5.30 Distribution

This guidance is to be used as material for Divisional meetings and as part of an ongoing internal education programme addressing Harassment and Bullying.

1.5.31 - 1.5.35 Not Allocated

Section 4 - Sexual Assault Disclosure and Response

References:

- A. DFO 06/2016
- B. Commanders Guide to Responding to Sexual Violence

1.5.36 Background

Sexual assault is an offence under the Armed Forces Discipline Act (AFDA) 1971 and the Crimes Act 1961. It is criminal offending, and it is not to be tolerated within the NZDF. In addition, the NZDF has specific statutory duties under the Health and Safety at Work Act 2015 to secure the health and safety of its personnel while at work. These include a duty to take reasonably practicable steps to eliminate or minimise risks to health and safety, including those arising from the harmful and inappropriate sexual behaviour of other personnel.

1.5.37 Sexual Assault Response Team (SART)

- a. The SART are a single point of contact to coordinate the NZDF response for victims of sexual assault.
- b. The role of the Sexual Assault Prevention and Response Advisor (SAPRA) is stated in DFO 06/2016 and adds value to the NZDF response to sexual assault through their subject matter expertise in sexual violence. SAPRAs are responsible for:
 - (1) receiving disclosures of sexual assaults from victims;
 - (2) providing information to victims on reporting options and the investigation and discipline process;
 - (3) facilitating access to support services by victims; and
 - (4) providing advice and guidance to Command and NZDF Naval Police on responding to reports of sexual assault.
- c. Ideally, the SAPRA will coordinate a response to a sexual assault directly with the CO to ensure the privacy of the victim and the alleged offender is protected as much as possible. Otherwise, the CO may delegate these responsibilities to an appropriately qualified Officer or Senior Rating. The identified point of contact will receive regular updates on the NZDF response as required.
- d. The contact details of the appropriate regional SAPRA should be saved in all official ship's cellphones, including all duty watch phones, and should also be recorded in all important phone/recall phone lists.

1.5.38 Unrestricted and Restricted Disclosures

- a. Unrestricted Disclosures enable a victim of sexual assault to access support services, and will initiate a formal investigation with either the New Zealand Police or NZDF Naval Police in accordance with the AFDA 1971 and the Manual of Armed Forces Law (DM69).
- b. Any officer or NCO who becomes aware of an incident of sexual assault must report it as soon as possible within the chain of command for investigation in accordance with the AFDA 1971 and DM 69.
- c. Restricted Disclosures enable a victim of sexual assault to obtain confidential access to support services and to do so without notification to Command or the initiation of a formal investigation in to the incident and without a notification to the New Zealand Police or NZDF Naval Police.
 - (1) A Restricted Disclosure can only be made to a SAPRA.
 - (2) The identity of the alleged offender (if known) must not be disclosed or recorded in a Restricted Disclosure.

- (3) A victim cannot make a Restricted Disclosure to a friend or other personal confidante within the NZDF. All personnel are reminded that sexual assault is an offence under the AFDA 1971 and the Crimes Act 1961. Officers and NCOs remain under a duty to report such offences as soon as possible within the chain of command for investigation.

1.5.39 Responsibilities of Command and Managers

- a. It is essential that commanders and managers are familiar with the policies in Ref A. Any CO who becomes aware of an incident of sexual assault must treat it as a matter of priority and take action in accordance with s. 102 of the AFDA 1971 and DM 69.
- b. A CO or manager who receives an Unrestricted Disclosure must report that disclosure promptly to the SART to ensure appropriate support is provided for the victim. The SART may provide advice and guidance to command and managers on responding to an Unrestricted Disclosure.
- c. Information provided by the victim to the SAPRA or support providers in the context of obtaining support remains confidential and must not be disclosed without the consent of the victim. A SAPRA may discuss an individual victim's support needs in general terms for the purpose of advising command on how to best respond to their needs.
- d. In all cases, victims of sexual assault must be treated with courtesy, compassion and respect. Victims must be protected from any form of retaliation, ostracism or mistreatment for disclosing an incident of sexual assault.

1.5.40 0800 SART Helpline/Web Contact Form

- a. The SART provides a 24/7 response capability to victims of sexual assault.
- b. In the case of a Restricted Disclosure, the victim of a sexual assault may need to obtain confidential advice (without disclosing the identity of the alleged offender) while on deployment or out of normal working hours. The helpline provides a means to access the on-call SAPRA.
- c. The 0800 SART helpline is available on 0800 693 324, or from overseas on +64 4 496 0410.
- d. The Web Contact Form is available from the NZDF Intranet site at this link:
<http://www.nzdf.dixs.mil.nz/personnel-records/sart/default.htm>

1.5.41 - 1.5.45 Not Allocated

Section 5 - Sexually Explicit Material

Reference:

- A. Naval Forces General Orders - Part 1, Chapter 4

1.5.46 Introduction

- a. Sexually explicit material can be found in videos, posters, books, screen savers, photographs, electronic images and other mediums. No material of this nature is to be shown or displayed under any circumstances, at any time on board HMNZ Ships, within RNZN establishments or when engaged in any Service related activity.
- b. The availability of sexually explicit material to the general public is acknowledged and the law recognises the rights of adults in a free society to choose the types of material they view, cognisant of the fact that what is distasteful or harmful to some may not be for others. Adults have the right to make their own decisions as to what they read, hear and see in the privacy of their own homes, or authorised premises, provided that people are not exposed to unsolicited material that is offensive to them, and that children are not exposed to material that may be harmful. Entertainment within the confines of RNZN property must be enjoyable and acceptable to all Service audiences including mature adults of both sexes, those under the age of 18 and visitors. It must engender a sense of belonging and community for all.

1.5.47 Guidance

- a. Commanders, managers and mess presidents are to ensure that all material displayed within HMNZ Ships and establishments falls within the bounds of acceptable good taste. Notwithstanding that living areas are to some extent private, the open display of sexually explicit material is forbidden. Defining what constitutes sexually explicit material will require the discretion of COs, managers and mess presidents, but the following questions provide guidance:
- (1) Does the material being considered convey the values of the RNZN?
 - (2) Would it be acceptable if the display of this material were to be reported in the news media?
 - (3) Would this material be acceptable viewing in the average family household with mixed genders and young people included?
 - (4) Is the display of this material likely to alienate, isolate or exclude a specific group of people?
- b. If the answer to any of questions (1), (2), (3) and (4) above is 'no', or question d is 'yes', then the material should not be displayed or viewed.

1.5.48 Material Classification

It is acknowledged that some material available under the R18 classification would be considered sexually explicit using the criteria in Article "1.5.47 Guidance". The award of a classification does not automatically make that material acceptable for viewing in the RNZN and the criteria in Article "1.5.47 Guidance" applies. Additional guidance can be gained from the film leader, for example, where a leader states 'includes scenes that are sexually explicit', that film is likely to be unsuitable for display in a Service environment.

1.5.49 - 1.5.54 Not Allocated

Section 6 - Alcohol Testing in the Workplace

References:

- A. Naval Forces General Orders - Part 3, Chapter 4, Section 1
- B. Naval Forces General Orders - Part 1, Chapter 11, Section 5
- C. Naval Forces General Orders - Part 1, Chapter 8, Section 8
- D. DFO 3 - NZDF Human Resource Manual
- E. Armed Forces Discipline Act 1971
- F. DFO 10/2003 - The Privacy Act 1993 - NZDF Procedures and Practices

1.5.55 Objectives of Alcohol Screening

The objectives of alcohol screening in the RNZN are to:

- (1) prevent people with a breath alcohol level above a prescribed amount working in a Safety Critical Area, or taking part in potentially dangerous activities;
- (2) identify welfare and wellbeing issues relating to alcohol misuse in the RNZN (refer also to Ref B. "Substance Misuse"); and
- (3) record where alcohol misuse is occurring in order to focus programmes against alcohol misuse.

1.5.56 Definitions

For the purposes of this policy, the following definitions apply:

- (1) **Authorised Testing.** An authorised tester is any person trained by a member of the Naval Police (NP) (or other qualified trainer) in the operation of alcohol screening equipment and authorised by their CO in form "[Annex 5-C. Order to Submit to Alcohol Screening](#)", to perform alcohol screening of members of the NZ Naval Forces (NZNF) while on duty, and members of the Armed Forces, in or on any NZNF ship, aircraft, vehicle or establishment, in accordance with these orders.
- (2) **Blood Alcohol Level (BAL).** The BAL is defined as the level of alcohol in the blood expressed in terms of micrograms (μg) per litre (l) of breath. For example, a BAL of 400 equates to 400 μg in one litre of breath.
- (3) **Safety Critical Area (SCAr).** A SCAr is 'a working environment assessed as having a risk of likelihood of harm, or hazard to, members of the Armed Forces or members of the public'.
- (4) **Safety Critical Activity (SCA).** A SCA is an activity assessed as having a risk of likelihood of harm, or hazard to members of the Armed Forces or members of the public. SCA include, but are not limited to duty watches (shore and sea), standing sea emergency parties, ship's medical emergency teams and special sea duty men duties.
- (5) **Sample.** A sample of breath used to test for the presence of alcohol.
- (6) **Alcohol Misuse.** Alcohol misuse may manifest in physical and behavioural signs, unsafe behaviour, and unacceptable performance with Annex A of Part 12, Chapter 3 of Ref D. Alcohol misuse adversely impacts members of the Armed Forces physical and mental fitness for individual readiness, and adversely affects the maintenance of safe working environments.

1.5.57 Alcohol Screening Principles

The RNZN alcohol screening policy is based on the following principles:

- (1) **Command Responsibilities.** COs are to take all reasonable steps to maintain the health and safety, welfare and wellbeing of personnel under their command.

- (2) **Health Responsibilities.** The RNZN recognises that alcohol misuse has potentially adverse health consequences. Members of the Armed Forces identified as alcohol misusers, are to be afforded comprehensive substance misuses support in accordance with the welfare and wellbeing orders in Part 12, Chapter 7 of Ref D.
- (3) **Workplace Responsibilities.** The RNZN undertakes to take all practicable steps to maintain a safe working environment. Members of the Armed Forces are responsible for ensuring that they are fit to perform their duty, or a duty they may be required to perform. Fitness for duty includes being fit to perform duties safely.
- (4) **Deterrence.** Alcohol screening is undertaken to deter alcohol misuse.
- (5) **Privacy.** The results of all alcohol screening, including written reports, are to be handled in accordance with the Privacy Act 1993, and DFO 10/2003; 'in-confidence' provisions are to be used. Details of screening, released for statistical purposes, are not to include information that could be used to identify the Serviceperson. Any mandatory write up of rating's 264/note entered into officer's report is not to include the actual breath test reading but is to annotate a failure and any subsequent Command action taken.

1.5.58 Authority

- a. In accordance with Ref A all members of the Armed Forces (including any person in the Navy, the Army, and the Air Force subject to s. 6 of the AFDA on duty in or on any RNZN ship, aircraft, vehicle, or establishment) may be subject to alcohol screening.
- b. With the exception of the prescribed occasions for mandatory screening, the CO of the RNZN ship, aircraft, vehicle, or establishment, may order alcohol screening to take place at any time and have complete authority with regard to the:
 - (1) number of units to be subjected to screening during any specified period;
 - (2) number of members of the Armed Forces in or on the RNZN ship, aircraft, vehicle, or establishment to be tested; and
 - (3) frequency and type screening carried out.

1.5.59 Screening Equipment

As a minimum standard, screening equipment is to meet the Australian Screening Standard (AS/NZS 3547-1997: Breath Alcohol Screening Devices for Personal Use) and be maintained in accordance with the manufacturer's instructions and calibration requirements. The Draeger Alcotest 5510 Breath Alcohol Monitor is the RNZN standard screening device. COs are to have the screening device calibrated prior to the six monthly expiration due date. Purchase of the consumable screening device mouth pieces are the responsibility of individual units. Guidance for the process of calibration and purchase of mouthpieces can be provided by the NZDF NP Devonport Station.

1.5.60 RNZN Prescribed Breath Alcohol Level

For screening purposes, BAL readings of 100µg and above will be considered a positive result.

1.5.61 Requirement to Provide a Sample

- a. Members of the Armed Forces have a right to be treated with dignity, and in a way that does not amount to unlawful discrimination or an unnecessary intrusion into their privacy. Recognising the risks inherent in the nature of service in the Armed Forces, individual privacy must be balanced against the maintenance of a safe working environment. Alcohol screening has a Service purpose as a management tool to ensure that members of the Armed Forces operate in a safe working environment. This order gives effect to the provisions of the New Zealand Bill of Rights Act 1990, the Human Rights Act 1993 and the Privacy Act 1993.
- b. Members of the Armed Forces subject to the AFDA 1971 are to comply with orders expressed in mandatory language, where those orders are duly promulgated, where the order is within the authority of the issuer. Alcohol screening tests are orders, issued for a Service purpose, by

COs, to members of the Armed Forces under their command. Refusal to comply with an alcohol screening test order may result in disciplinary action under the AFDA.

1.5.62 Status of a Positive Test in Relation to the Armed Forces Discipline Act 1971

- a. An alcohol screening test in accordance with these orders may be used evidentially with the Disciplinary Officer's discretion. The result of an alcohol screening test may be included in the investigation of an incident and put forward by the Presenting and/or Defending Officer as evidence in any disciplinary proceedings. A positive result of an alcohol screening test may also have administrative consequences, as detailed in Article "1.5.63 Command Action in the Event of a Positive Test" and DFO 4, Chapter 16, para 16 135c.
- b. If a member of the Armed Forces is unfit to perform their duty, or a duty they may be required to perform, and the reason for unfitness is alcohol, disciplinary action may be appropriate. For an allegation of drunkenness contrary to AFDA s.51(1) to be proven, there must be relevant evidence to prove beyond reasonable doubt. Any person with a reasonable degree of experience of the effects of intoxication is entitled to give an opinion as to whether the suspect is intoxicated, based on the witnesses' perception of the suspect's behaviour and other characteristics typical of intoxication. An alcohol screening test is admissible in a disciplinary proceeding with the discretion of the Disciplinary Officer, and may still bear administrative consequences separate to and independent of, the military justice system.
- c. Results from alcohol testing may be used as evidence in a court of inquiry (COI). Legal advice from the Directorate of Legal Services should be sought by the president of a COI, on the admissibility of an alcohol screening test, in the proceedings of a COI.

1.5.63 Command Action in the Event of a Positive Test

- a. Screening procedures are detailed at "Annex 5-E. Screening Procedures". A positive test result is to be advised in writing to the member of the Armed Forces and to their CO through the DO ("Annex 5-G. RNZN Alcohol Screening Positive Result Notification").
- b. Subsequent action as a consequence of a positive test are:
 - (1) Disciplinary action under the military justice system where the positive test result is evidence in support of a charge of drunkenness, at the discretion of the Disciplinary Officer.
- c. Administrative action:
 - (1) First failure (under 400 micrograms per litre of breath):
 - (a) Mandatory write up of rating's 264/note entered into officer's report (mandatory).
 - (b) Individual meeting with CWOCSR.
 - (c) Individual divisional meeting to discuss alcohol use.
 - (d) Consideration to be placed on privileged leave list.
 - (2) Second failure within three months of the first (or first over 400 micrograms per litre of breath - counts here after as a second failure):
 - (a) Mandatory write up of rating's 264/note entered into officer's report but must omit actual breath test reading.
 - (b) Individual meeting with the Command Warrant Officer/Command Senior Rate (CWO/CSR).
 - (c) Follow up screening to be enforced for no less than three months.
 - (d) Consideration of NCO alcohol counselling/education.
 - (e) Consideration to be placed on privileged leave list.

- (f) Divisional officer's warning for conduct.
- (3) Third failure within six months of second:
 - (a) Mandatory write up of rating's 264/note entered into officer's report (mandatory).
 - (b) Application for Discharge (CAT DF).
- d. Any further failures will be dealt with on a case-by-case basis.

1.5.64 Recalled to Duty

If a Serviceperson has been consuming alcohol while off duty and is unexpectedly recalled to duty, the Serviceperson is to immediately inform their superior officer on return to duty that he or she has been consuming alcohol while off duty. The Serviceperson is not to assume duties until an alcohol screening test has been conducted; and if positive will not be subject to the administrative consequences of a positive result.

1.5.65 Screening Regimes

COs are responsible for determining the appropriate level and type of screening within their units, but are to ensure that mandatory screening by order of the CN is implemented through unit standing orders.

1.5.66 Mandatory Screening by Order of the Chief of Navy

Members of the New Zealand Naval Forces (NZNF) on duty, and all members of the Armed Forces (including any person in the Navy, the Army, and the Air Force subject to s. 6 of the AFDA Act in or on any NZNF ship, aircraft, vehicle, or establishment) are to submit to an alcohol screening test at the commencement of any of the following duties:

- (1) duty watch;
- (2) standing sea emergency party;
- (3) ship's medical emergency team; and
- (4) special sea duty men after shore leave has been granted.

1.5.67 Safety Critical Area Screening by Order of Commanding Officers

- a. Members of the NZNF on duty, and members of the Armed Forces in or on a SCAR, or performing a SCA, may be subject to an alcohol screening test ordered (form at ["Annex 5-C. Order to Submit to Alcohol Screening"](#)) by the CO of the New Zealand Naval Force ship, aircraft, vehicle, or establishment at any time during the period of their duty.
- b. COs are to promulgate in standing orders the areas designated SCARs and can also define temporary SCAR and promulgate such areas in routine orders etc. Guidance on potential areas that may be deemed SCARs are at ["Annex 5-D. Safety Critical Areas"](#).

1.5.68 Post Incident/Accident Screening by Order of Commanding Officers

A CO must consider ordering an alcohol screening test of any member of their unit involved in a work related incident or accident. Post incident/accident screening is to be ordered by the CO of the NZNF ship, aircraft, vehicle, or establishment using form at ["Annex 5-C. Order to Submit to Alcohol Screening"](#).

1.5.69 Elimination Screening by Order of Commanding Officers

- a. If a member of the Armed Forces subject to these orders exhibits symptoms that would be similar to substance misuse, a CO may order alcohol screening test to eliminate alcohol as the possible cause. The result of the test may provide guidance to the Command with regard to further testing i.e. medical or urinalysis in accordance with Part 12, Section 7 of Ref D.
- b. Elimination screening is to be ordered by the CO of the NZNF ship, aircraft, vehicle, or establishment using form at ["Annex 5-C. Order to Submit to Alcohol Screening"](#).

- c. An alcohol screening test is not admissible evidence in disciplinary proceedings.

1.5.70 Targeted Screening by Order of Commanding Officers

- a. Targeted screening is screening that specifically tests an individual, group or unit at a predetermined time and place. Members of the Armed Forces are to advise their CO through the chain of command if they believe anyone in their work area is affected by alcohol whilst on duty. The CO may then order targeted screening of the individual.
- b. Targeted screening is to be ordered by the CO of the NZNF ship, aircraft, vehicle, or establishment in form at [“Annex 5-C. Order to Submit to Alcohol Screening”](#).

1.5.71 Random Screening by Order of Commanding Officers

- a. Random screening is the process where members of the Armed Forces subject to the “Alcohol Screening in the Royal New Zealand Navy orders” are randomly selected for screening.
- b. Random screening is to be ordered by the CO of the NZNF ship, aircraft, vehicle, or establishment using form at [“Annex 5-C. Order to Submit to Alcohol Screening”](#).

1.5.72 Screening Procedures

All alcohol screening tests are to be conducted in accordance with screening procedures in [“Annex 5-E. Screening Procedures”](#).

1.5.73 Collation of Information

In order to establish trends occurring in the RNZN and to allow the compilation of statistical data, screening information is to be accurately captured and reported to the NZDF Military Police Criminal Intelligence Cell (MPCIC). [“Annex 5-F. Alcohol Screening Record”](#) pages are to be completed correctly, signed by the authorised tester, scanned and emailed to MPCIC on the first of each month (or as soon as practicable).

1.5.74 - 1.5.99 Not Allocated

Annex 5-A. Responsibilities of Equity Advisory Officers

1. Disseminate information on E&D, including harassment, discrimination and bullying issues.
2. Contribute matters for consideration at the RNZN E&D working group meetings. When appropriate, participate in that forum.
3. Ensure E&D practitioner numbers are at the required level.
4. Facilitate the communication of E&D matters to the CO.
5. Ensure that ship's company training in E&D matters has been carried out to the required levels.
6. Attend monthly AHA meetings.
7. Forward to the NREDA any information that could be included in the Naval Staff quarterly report on E&D.
8. Maintain statistics, including names, of all people attending E&D training or courses.
9. Collate the ship's six monthly discrimination, harassment and bullying monitoring report.
10. Collate the six monthly self audit checklist.
11. Liaise with the NREDA on E&D matters.
12. Act as the point of contact for any requests for information and advice on E&D matters.
13. Co-ordinate attendance of the ship's company at E&D seminars, training and presentations when these occur.
14. Demonstrate by personal example an awareness of, and a belief in, E&D philosophies.

Annex 5-B. Checklist of EAO Functions

Activity	Yes	No	Remarks
Who is the ship's Equity Advisory Officer (EAO)?	N/A	N/A	
Has the ship's EAO undergone appropriate E&D training?			
How many anti-harassment advisors (AHAs) are borne? Does this number meet the 2% minimum?			
How many harassment investigators are borne? Is this sufficient?			
How many people trained to undertake mediation are borne? Is this sufficient?			
Are E&D posters displayed on notice boards?			
Are posters showing the names of the ship's AHAs displayed?			
Are harassment leaflets readily available?			
Are bullying leaflets readily available?			
Are 0800 Helpline leaflets readily available?			
Are the AHA leaflets readily available?			
When were the last E&D briefings held?	N/A	N/A	
When are the next E&D briefings planned?	N/A	N/A	
Are AHA meetings held? If so how often?			
Is feedback on AHA activity given to the CO at least monthly?			
Is adherence to E&D principles noted in performance reporting of officers and senior ratings?			
Are uniform dress codes appropriate for both genders?			
Are civilian dress codes, for both genders, fair and appropriate?			
Are accommodation arrangements adequate?			
Does the ship have a 'mentoring' system for those at sea for the first time?			
Are records kept of all personnel attending E&D seminars, training and courses?			

Activity	Yes	No	Remarks
Are processes in place to render six monthly discrimination and harassment reports iaw DFO 3 Part 5 Chapter 2 Article 5.3.46 and forwarded to the NREDA by 25 January and 25 July each year?			
Will these reports include information from people other than AHAs who have assisted those with harassment or discrimination complaints?			

Annex 5-C. Order to Submit to Alcohol Screening

Type of Screening (delete whichever are not applicable)

Mandatory:

Safety Critical Area or Activity:

Post Incident/Accident:

Elimination:

Targeted Screening:

Date or Period of Testing: _____

“I _____, Commanding Officer of _____

(ship, aircraft, vehicle, establishment) order the following members of the Armed Forces, to submit to an alcohol screening test, in accordance with Naval Forces General Orders, Part 1, Chapter 4, Section 8: “Alcohol Screening in the Workplace”.

“I authorise the Officer of the Day or “Rank _____, Name _____,
Service Number _____” to administer the alcohol screening test as the Authorised tester.
The authorised tester is authorised to effect this order”.

CO Signature: _____ **Signature Date:** _____

Note:

A nominal roll is to be attached to this order and is to be signed and dated by the Commanding Officer unless it is the promulgated Watch Station Bill; or Duty Watch nominal list promulgated in Daily Orders for the date or period of testing above.

Annex 5-D. Safety Critical Areas

1. Safety Critical Areas are to be designated by the Commanding Officer. The following non-inclusive list provides guidance as to the class of areas that may be considered safety critical:
 - a. all areas involved with the inspection, repair, maintenance or certification of aircraft, ships, vehicles or equipment;
 - b. all areas in which live firing is conducted;
 - c. all areas involved with the inspection, repair, maintenance or certification of safety equipment;
 - d. all areas in which ordnance or weapons are stored;
 - e. all areas in which air traffic control functions are performed;
 - f. all areas in which health services are delivered;
 - g. all areas where refuelling operations are performed;
 - h. all aircraft movement areas;
 - i. all areas in which the loading or unloading of ships, aircraft or vehicles are being conducted;
 - j. all areas in which gases, volatile liquids or chemicals are stored;
 - k. operational areas and combat zones;
 - l. kitchens and galleys;
 - m. areas in which vehicles are operating;
 - n. construction sites;
 - o. in ships as designated in ship's standing orders;
 - p. areas in and around boats/small-craft;
 - q. in and around aircraft;
 - r. all areas in which watermanship training, swimming or other training is occurring;
 - s. all areas where physical training activities are conducted;
 - t. all areas where diving operations are being conducted; and
 - u. RNZN command and intelligence centres.

Annex 5-E. Screening Procedures

General Principles

1. To ensure the integrity of the screening process, screening requirements are to be notified to authorised testers using a time frame provided by single Services, which provides a minimum practical time before screening is to commence.
2. As breath screening is the current method of screening, privacy and dignity aspects will not normally be an issue. Nevertheless, all screening must be done in a manner and location that ensures that a Service member's test results remain private and are not observed by anyone except screening staff.

Commanding Officers Screening Responsibilities

3. COs are responsible for:
 - a. provision of screening staff in accordance with single Service instructions;
 - b. providing screening staff with a nominal roll of unit Service members to be tested; and
 - c. appointing an Authorised Tester in accordance with ["Annex 5-C. Order to Submit to Alcohol Screening"](#).

Screening Personnel

4. Screening personnel are responsible for:
 - a. performing alcohol screening as required;
 - b. ensuring currency as an Authorised Tester is maintained in accordance with this policy;
 - c. ensuring the alcohol test equipment is functional and within calibration;
 - d. confirming the identity of any Service member being tested; and
 - e. completing screening paperwork (see ["Annex 5-F. Alcohol Screening Record"](#) and ["Annex 5-G. RNZN Alcohol Screening Positive Result Notification"](#)).

Test Procedure

5. Safety Critical Areas (SCA) will be identified for random and/or targeted alcohol screening in accordance with this policy. Similarly, specific instructions detail the procedures for targeted screening of individuals.
6. Screening staff can request any Serviceperson identified for screening, regardless of rank, to provide a sample. Servicepersons not responding to the request are to be referred to the CO for appropriate action.
7. Servicepersons selected for screening are to produce valid photo identification, normally Service identification, which is to be cross-checked against the nominal list by the authorised tester.
8. Servicepersons (test subjects) are to provide a sample in accordance with the screening equipment operating requirements. The Serviceperson being tested are to be verbally advised by the authorised tester prior to testing, the following:
"You are now required to undergo an alcohol breath screening test without delay pursuant to the RNZN Alcohol Breath Screening Orders".
9. If a test subject fails to provide an adequate sample as directed by the authorised tester then the wording 'failed to provide adequate sample' is to be recorded against the Service member's name in ["Annex 5-G. RNZN Alcohol Screening Positive Result Notification"](#).

10. Alternatively, if a test subject refuses to provide a sample as directed by the Authorised Tester then the Screening Coordinator is to record the wording 'Refused to provide sample' against the test subject's name in "[Annex 5-G. RNZN Alcohol Screening Positive Result Notification](#)". The following order is then to be given to personnel if refusal is encountered:

"You are warned that you may be charged under the Armed Forces Discipline Act if you refuse to undertake a breath test. I now require you to undergo a breath test pursuant to the RNZN Alcohol Breath Screening Orders without delay".

11. If the Serviceperson continues to refuse then disciplinary action is to be initiated.
12. If a Serviceperson returns a reading equal to, or greater than 100µg, the authorised tester is to direct that test subject to:
 - a. remain in the vicinity under the supervision of another appropriate Serviceperson;
 - b. not perform any further duties; and
 - c. be retested not less than 10 minutes after the first test.

If the second test provides a reading less than 100µg, the first result is to be considered as negative. If the second test returns a reading of equal to, or greater than 100µg, the result is to be considered as a confirmed positive.

13. Where a test subject returns a second positive test, their immediate supervisor is to be advised and the Serviceperson is to cease duties if employed in a designated SCA. If the test subject is required for a specific duty (i.e. duty watch), then a suitable replacement is to be identified. The supervisor may return the Serviceperson to full duties only when the Serviceperson's breath alcohol level has fallen below 100µg.
14. Service members screening negative are to return to their duty and the negative result is to be recorded.

Annex 5-G. RNZN Alcohol Screening Positive Result Notification

STAFF – IN - CONFIDENCE

RNZN ALCOHOL SCREENING POSITIVE RESULT NOTIFICATION

ORIGINAL – File with RNZN Alcohol Screening Record

COPY – Tested Member Copy

SCAN – Send to NZDFMP.northern@nzdf.mil.nz & Tested Member's Supervisor&writers@nzdf.mil.nz

TEST DATE: _____

TEST LOCATION: _____

DEVICE SERIAL #: _____

CALIBRATION DATE: _____

Authorised Tester's Details:

FULL NAME: _____

RANK: _____

SERVICE NUMBER: _____

UNIT/VESSEL: _____

TELEPHONE: _____

SIGNATURE: _____

Tested Member's Immediate Supervisor:

FULL NAME: _____

RANK: _____

SERVICE NUMBER: _____

Tested Member's Details:

FULL NAME: _____

RANK: _____

SERVICE NUMBER: _____

UNIT/VESSEL: _____

TELEPHONE: _____

SIGNATURE: _____

TEST TIME 1: _____

BAL (Breath Alcohol Level): _____

INITIAL: _____

TEST TIME 2: _____

BAL (Breath Alcohol Level): _____

INITIAL: _____

Test Time 2 must observe a mandatory 10 minute stand-down prior to conducting test.

TIME CLEARED FOR DUTY: _____

BAL (Breath Alcohol Level): _____

INITIAL: _____

STAFF – IN - CONFIDENCE

Chapter 6 - Divisional Matters

Section 1 - Instructions to Divisional Officers

References:

- A. DFO 4 - Defence Force Orders for Personnel Administration
- B. DFO 3 - NZDF Human Resource Manual
- C. Naval Forces General Orders
- D. NZBR 9 - Divisional Officers' Handbook

1.6.01 The Divisional Officer's Responsibilities

- a. The responsibilities of the DO are laid down in Part 1, Chapter 6 of Ref C and further amplification can be found in Ref D.
- b. Divisional officers are to make themselves conversant with their roles and responsibilities; and should seek assistance and advice from their HoD, divisional senior ratings or more experienced DOs where they are unsure or lack experience.

1.6.02 NZBR 9 - Divisional Handbook Series

- a. NZBR 9 contains a comprehensive list of the DO's responsibilities together with general information on every aspect of Service life and administration, which a DO needs to know for the proper discharge of their duties.
- b. It is emphasised that NZBR 9 is, for the most part, a compendium of information drawn from other sources, particularly as regards conditions of service, promotion, training and the like. It must therefore, be read in conjunction with the original orders and instructions to which it refers.

1.6.03 Assistance to Personnel

- a. **At Disciplinary Hearings.** The DO will normally be appointed as the defending officer to be present when a member of their division appears before the OOD or an officer exercising summary powers of punishment. A rating may request another suitably qualified officer or senior rating to act as their defending officer or state in writing that they do not require the assistance of a defending officer¹.
- b. The duties of a defending officer are laid down in DM 69, Vol 1, Chap 7, Art 7.3.14 and expand upon in the Military Justice Training Programme Level 2.
- c. **Notification to Next of Kin (NOK).** Should the rating request that they do so, the DO is to write to the NOK on the rating's behalf and is where appropriate to inform the NOK of the name and address of the place where the rating will be serving any custodial sentence or sick. The DO is to ensure that the rating appreciates the necessity of NOK being adequately informed, but must respect the wishes of their rating. Where the rating is under the age of 20, the DO is to advise them of the CO's responsibility under Naval Forces General Orders Part 6, Chapter 6.
- d. **Representations and Complaints.** The DO is to assist any rating of their division in the making of a representation (see Part 1, Chapter 10 Article 1.10.4 Representations of Ref C) or complaints (Part 13 of Ref B).
- e. **Requests.** The DO is to assist ratings in making requests before the CO, and is to ensure that they do so in sufficient time when due for the award of good conduct badges, long service medals, promotion and advancement in specialist qualification.
- f. **Postings.** The DO is to explain the consequences and benefits of any posting to the rating concerned, and is to advise on any entitlements available in relation to transfer or removal.

1. DM 69, Vol 1, Chapter 7, Art 7.3.14.

1.6.04 Training and Promotion

- a. The DO is to interest themselves in the general standard of professional ability amongst their ratings, paying particular attention to backward and inefficient ratings. The DO is to see that ratings who have not yet completed the requisite examinations for promotion are given every encouragement and opportunity to undertake the necessary training and to sit the exams.
- b. The DO is to bring to the notice of the CO any rating who, it is considered, shows the potential for promotion to officer rank, is to encourage such ratings to prepare themselves for this step.

1.6.05 Kit Musters

- a. The DO, assisted by the divisional SR, is to muster periodically the kit of their JRs to ensure that they are in possession of the required items of uniform and that all articles are maintained properly, and are of a good fit.
- b. The DO is to arrange for LHs to muster their own kit from time to time.
- c. Where a DO or divisional SR is to muster the kit of a rating of the opposite sex, the DO/SR is to be accompanied by a SR of the same sex as the rating whose kit is being mustered.

1.6.06 Ratings' Records

- a. Divisional officers are to complete Section 5 of Form RNZN 264, in a legible manuscript, on the following occasions:
 - (1) on completion of a rating's first six months in a division;
 - (2) on posting or change of DO; when a rating is posted for a SRs promotion course, comment is to be made on the rating's performance as a leader and/or supervisor/manager;
 - (3) when recommended or not recommended for promotion;
 - (4) on appearance at the CO's table. On this occasion remarks are to relate to the rating's general character and conduct. No reference is to be made to any charge, or recordable or non-recordable occurrence:
 - (a) when formally warned by the CO that an administrative discharge is being considered. On this occasion the date of being seen by the CO is to be entered together with an acknowledgement of the warning signed by the rating, or
 - (b) if application is to be made for administrative discharge category DE or DF, a notation is to be made iaw Ref B whether or not the rating has submitted a case in writing, and
 - (c) on appearing at a summary trial as a defaulter.
 - (5) on request for a change of branch specialisation;
 - (6) on conclusion of courses of more than four weeks duration;
 - (7) on being formally warned for reversion. On this occasion the date of being seen by the CO is to be entered together with an acknowledgment of the warning signed by the rating;
 - (8) on a decision not to award a GCB;
 - (9) on application for extension of service;
 - (10) on application for any advertised vacancy for which nominations are called;
 - (11) on requesting release;
 - (12) on requesting to withdraw notice for release;
 - (13) otherwise not less frequently than once every 12 months, when a performance interview is to take place and the content summarised in the report;

- (14) following appearance at either a midshipman or a CFR selection board;
 - (15) on returning a positive drug urinalysis test following the testing of the 'B' sample; and
 - (16) on such other occasions as may seem appropriate.
- b. **Adverse Comments.** The adverse remarks comments entered in Section 5 are always to be seen by the HoD, who is to countersign all adverse reports. Adverse remarks are to be underlined in red and are to be read out to the rating concerned. The rating is to sign that the adverse comments have been sighted and explained. Instances may occur when a rating may leave the ship before Form RNZN264 can be completed. When an adverse report is written under these conditions, a note is to be forwarded with the documents to the effect that it has not yet been read to the rating concerned. The rating is to be informed and is to sign the entry at the first available opportunity thereafter.
- c. Any adverse comments on a rating's suitability for retention are to be carefully recorded so that the information is available to CN should the question of discharge fore unsuitability ever arise.
- d. A notation 'welfare background' is to be made where it is know that welfare problems exist.

1.6.07 Performance Management

Refer to Part 1, Chapter 7, Section 6 of Ref C.

1.6.08 Divisional Officer's Warning

DOs may invoke formal warnings when it is considered that a Regular Force Service member within their division is inefficient or ineffectual in the performance of their duties, and when less formal measures have failed to achieve the desired result. This includes conduct and undesirable behaviours, attitudes or attributes which are contrary to the RNZN core values. When placing a Service member on warning a consistent and detailed approach is to be taken. NZBR 9 contains the process and warning template to be followed by DOs when enacting a formal warning.

1.6.09 - 1.6.99 Not Allocated

Chapter 7 - Conditions of Service and Obligations

Section 1 - General Entitlements and Conditions of Service

References:

- A. DFO 4 - Defence Force Orders Personnel Administration
- B. DFO 3 - NZDF Human Resource Manual
- C. NZBR 8 - RNZN Officer Career Management Manual
- D. NZBR 38 - RNZN Ratings' Career Management Manual
- E. Marriage Act 1955
- F. Register of Births, Marriages and Deaths
- G. Naval Forces General Orders - Part 1, Chapter 7

1.7.01 Service Numbers

- a. Each individual's Service number is to be shown on all entry, Service and personal documents. See Part 4, Chapter 5 - Article "4.5.13 Description of Personnel" for use of Service numbers in correspondence and communications.
- b. Every foreign Service member is to be advised of the requirement for them to have an RNZN Service number when attached to the RNZN. In order to facilitate this requirement, the foreign Service member is advised by the FPTO of the documentation required to be provided, prior to their arrival.

1.7.02 Change of Name or Marital Status

- a. **Marital Status.** Personnel are to report any change in their marital status to their administration unit and ensure the appropriate HR system is updated, within one month of the occurrence. Changes to be reported include marriage, separation, divorce, recognised relationship, and death of a spouse.
- b. **Alterations of Name.** No alteration is to be made to the name of a person recorded in their HR record, except as a result of marriage/separation/divorce or deed poll, without prior approval from the DCN. The name recorded on the birth certificate is the official name used within the HR information management system.
- c. Alterations to Service records resulting from a change of name on marriage, or a change authorised by deed poll, can be approved by the CO on production of a copy of the relevant certificate.
- d. Changes to marital status or alterations of name are to be noted on a Service person's personal documentation.

1.7.03 Posting Records

All postings and employment for Service personnel are to be recorded in the NZDF HR information management system.

1.7.04 Postings

- a. **Short courses and tours of duty.** Personnel required to attend short courses or tours of duty in another ship or establishment and who are expected to return to their original unit within 14 days or less, are not to be posted but are to be attached or lent. Where the absence is expected to exceed 14 days but not be more than 31 days, and it is important that responsibilities and duties in the original ship or establishment are retained, the posting authority can extend the period of attachment or loan to a maximum of 31 days.
- b. **Removal from Ship.** No person is to be removed from the ship's books without the authority of ACN(P&T), except in the event of death. Should circumstances require that a person be removed and no posting order has been issued, the CO is to report the circumstances to

ACN(P&T), requesting the issue of a posting instruction.

- c. Exceptionally, if in the case of a ship sailing or for any other urgent reason, time does not allow a posting instruction being sought the person is to be sent to the nearest ship or establishment, and ACN(P&T) informed by signal.

1.7.05 Changes to Nationality

Any person who obtains a change of nationality or citizenship is to report the occurrence to the CO without delay.

1.7.06 Marriage

- a. Personnel intending to marry while serving outside New Zealand are to inform their CO.
- b. Under the Marriages Act, marriages contracted outside New Zealand by Service personnel can be registered in New Zealand only if they are:
 - (1) celebrated by a chaplain or other duly authorised person of the NZDF; or
 - (2) attended by an official New Zealand representative who will notify the Registrar of Births Deaths and Marriages that the marriage took place according to the law of the overseas country.
- c. **Marriage by Proxy.** When, during a state of war or armed conflict, an officer or rating wishes to arrange marriage by proxy, instructions on the application of the provisions of the Marriage Act are to be sought from the DCN.
- d. Service personnel who have been married are to ensure their personal records are updated and the requirement to complete a 'Security Clearance on Marriage Form'.

1.7.07 Next of Kin

- a. ACN(P&T) is responsible for ensuring that next of kin (NOK) information for all personnel is collected on first entry or re-entry.
- b. It is the responsibility of individuals to ensure their NOK information is up date; providing their current personal details and the details of the person they wish to be advised in the event of death or serious illness or injury, on:
 - (1) joining a ship or establishment;
 - (2) any change to residential address or telephone number;
 - (3) a change of name by deed poll or marriage; and
 - (4) any change in the name, relationship, address or contact details of the person nominated as NOK.
- c. While the principal use of the information will be to fulfil the responsibilities of notifying the NOK, COs may also utilise the information for the purposes of advising the nominated person of pertinent general Service information, such as the availability of services from the NCO and changes to the ship's programme.
- d. Individuals have the capability to directly update their personal details held within the HR information management system; if this is not available the appropriate MD form should be completed and sent to HRSC for the appropriate action to occur.
- e. **Minors.** When a person who is single and is under 18 changes the details of the nominated NOK, their legal parent or guardian must be notified of the change. The Serviceperson is to be informed in advance that this action will be taken. If the person objects and the CO considers that the objection is valid and substantiated, the matter is to be reported to ACN(P&T). In such a case, no action is to be taken to inform the parent or guardian until direction has been obtained.
- f. **Civil Staff.** Members of the NZDF civil staff embarked in seagoing ships for more than seven

days are to ensure they have the appropriate details recorded in the HR information management system.

1.7.08 - 1.7.10 Not Allocated

Section 2 - Leave

References:

- A. DFO 3 - NZDF Human Resource Manual
- B. Naval Forces General Orders - Part 2, Chapter 7, Section Two

1.7.11 Leave Entitlement

Part 8, Chapters 8 and 8A of Ref A is the authority for leave entitlements for all personnel, and the NZDF HR information management system provides a continuous record of all leave.

1.7.12 Administrative Procedures for Leave

- a. Wherever access is available, applications are to be managed (application and approval) electronically in the HR system.
- b. Ships and establishments are to adopt appropriate administrative procedures to ensure the objectives of recording leave are met when personnel do not have electronic access in applying for leave.
- c. If for any reason the leave cannot be taken, the leave application is to be cancelled, electronically approved in the HR system. If a hard-copy leave application was rendered, it is to be signed as such by the approving authority and passed to the ship's office for cancellation procedures to be carried out. The cancelled leave form is to be retained in the individual's leave records.
- d. Applications for Jury Service Leave are to be treated similarly, with personnel to be made aware of the provisions in Part 8, Chapters 8 and 8A of Ref A.
- e. A summary of the contents of Part 8, Chapters 8 and 8A of Ref A regarding 'Jury Service Leave' is to be promulgated to all personnel every four months.
- f. Administration units are not to process leave passes that are presented with either the 'recommending' or 'approving' officer section completed. These passes are to be returned to respective HoDs for corrective action. To this end 'recommending' and 'approving' officers are not to sign leave passes until it has been entered into the HR information management system.
- g. All types of leave taken are to be recorded against the individual's record in the NZDF HR information management system.

1.7.13 Leave Application Forms Retention

Paper leave applications, once processed, are to be retained in the individual's PSF. They are to be held for two years from the leave pass end date for audit purposes, after which application forms can be destroyed; except when personnel are serving overseas when all forms are to be retained for two years after return to New Zealand.

1.7.14 Christmas Leave Passes

All commanders and managers are to ensure that Christmas leave passes are approved and entered into the NZDF HR information management system no later than 10 Dec.

1.7.15 - 1.7.18 Not Allocated

Section 3 - Variance of Service and Engagement

References:

- A. DFO 3 - NZDF Human Resource Manual
- B. DFO 4 - Defence Force Orders for Personnel Administration
- C. NZBR 8 - RNZN Officer's Career Management Manual
- D. Naval Forces General Orders
- E. NZBR 38 - RNZN Ratings Career Management Manual

1.7.19 Purpose

The purpose of this section is to outline the intent, provisions, considerations, procedures, Business Rules, and direction on engagement lengths, for Officer and Rating Extension of Service Boards (EOSBs).

1.7.20 Intent

- a. EOSBs are convened to identify and confirm those members of the RNZN who may be offered either a variation to their engagement or an extension of service.
- b. The EOSB is a competitive process, which must compare (against criteria) and select for extensions those who will contribute the most to the RNZN, taking into consideration a wide range of issues related to the individual, their rank/branch/trade cohort and the RNZN overall.
- c. EOSBs are to be carried out in a robust, objective, fair and transparent way.

1.7.21 Eligibility, Timings and Notification

- a. All Regular Force (RF) members who have three years (or less) remaining to serve from the end of the current Financial Year (FY) until their terminal date are to be considered at the Officer or Rating EOSB that convenes prior to the end of that current FY.
- b. All Reserve Force (NR/VR) members who have 18 months (or less) remaining to serve from the end of the current FY until their terminal date are to be considered at the Officer or Rating EOSB that convenes prior to the end of that current FY.
- c. Should a member not be offered an EOS, they are to be considered at an EOSB each subsequent year until such time as they are offered and accept an EOS, or Revised Condition of Service (RCOS), or are released from the RNZN.
- d. Dependent on the type of engagement being served, there is a requirement to consider EOS planning as follows:
 - (1) all RF members are to be notified of the intention to offer an EOS, or release them, no less than 18 months before their terminal date (this does not prevent subsequent offers being made within this time-frame should circumstances change);
 - (2) all NR/VR members are to be notified of the intention to offer an EOS, or release them, no less than 12 months before their terminal date (this does not prevent subsequent offers being made within this time-frame should circumstances change); and
 - (3) in some circumstances, an EOSB may consider a member for an EOS up to five years prior to their terminal date¹.
- e. In accordance with Ref B, non NZ citizens (that is: a non-New Zealander who is Commonwealth citizen, a citizen of the United Kingdom, a British Protected Person, or an Irish citizen) may only be enlisted in the NZDF on an engagement not exceeding five years and eight months, with the approval of Single Service Chiefs or delegate. If on completion of that engagement the person does not have NZ citizenship no further engagement is to be offered

1. This includes, but is not limited to, members who will be attached to foreign militaries for an extended period.

unless that person has been advised by the Minister of Internal Affairs that their application has been accepted and they are only awaiting a citizenship ceremony. In that case the Service may offer a further engagement to the member on the condition that the member be granted citizenship. Upon the granting of citizenship, the member is to provide their Career Manager (CM) with a certified copy of the certificate as evidence.

Note: Throughout this section and associated annexes, the term Career Manager (CM) is used to encompass all positions within the Naval Officer Career Management (NOCM) and Naval Rating Career Management (NRCM) portfolios, apart from administrative and project positions. Where required within this section, individual positions are identified.

1.7.22 Frequency and Convening of EOSB

- a. At least one EOSB for Officers and Ratings respectively is to be held per calendar year, with additional boards convened as required.
- b. The Commander Naval Officer Career Management (CNOCM) is responsible for convening EOSBs for Officers, which are normally to be run concurrent with annual Promotion Advisory and Naval Promotions Boards (see Ref C). The NOCM Administration Officer (AO) is to coordinate the EOSB requirements in consultation with ANOCM(Ops).
- c. The Naval Personnel Systems Officer (NPSO), in consultation with the Commander Naval Ratings Career Management (CNRCM), is responsible for convening EOSBs for Ratings.
- d. The timing of EOSBs is to be such that decisions can be communicated to affected members before the end of the calendar year.
- e. Staff convening EOSBs are to refer to Ref D, Part 1, Article 1.4.21, to ensure the diversity requirements of EOSB panels are met.
- f. Where possible, the NR/VR CM is to attend and/or provide advice for extensions for members of the Navy's Reserve Forces.
- g. CNOCM and CNRCM Directives for the convening, intent and administration of EOSBs are to be promulgated in good time prior to the commencement of a Board. Directives are to include, but not limited to, the following content:
 - (1) purpose of the particular EOSB;
 - (2) preparation, procedure and action requirements for:
 - (a) CNOCM/CNRCM;
 - (b) CMs;
 - (c) other participants/Board Members; and
 - (3) reference to this document (NZBR 1, Part 1, Chapter 7, Section 3, including "[Annex 7-A. Extension of Service Boards - Business Rules](#)" and "[Annex 7-B. Extension of Service Lengths](#)").
- h. In order to support ethical and non-biased decision making, the following actions are to occur:
 - (1) Prior to the convening of an EOSB, all participants/Board members are to undertake a workshop on Gender Based Analysis Plus (GBA+)².

2. Gender-Based Analysis Plus (GBA+) is an analytical process which takes an inter-sectional approach to promote equality (i.e. it considers the multiple identity factors that help make us who we are). The 'plus' highlights the fact that GBA is not just about sex and gender. It examines how multiple identity factors are interdependent and often combined. GBA+ provides a framework that acknowledges factors such as race, ethnicity, religion, age, mental or physical disability, education, sexual orientation, income, culture, and geography will be considered and do not limit success and inclusion. It is important to apply GBA+ within EOSB decision making so as to avoid inadvertently creating or increasing inequalities across the Navy's workforce.

- (2) During an EOSB, a suitable independent observer is to be present throughout to:
 - (a) raise awareness of bias;
 - (b) highlight instances of bias, should they occur; and
 - (c) ensure the consistency of information being used to make decisions.
- i. As an EOSB generally convenes in conjunction with a Promotion Advisory Board (PAB), a legal/natural justice/bias brief should have taken place. Where an EOSB is held in isolation, a legal/natural justice/bias brief is to be given prior to the convening of the Board's EOS business.
- j. An external representative is to be appointed to the EOSB as a voting member or non-voting representative (as required).

1.7.23 Approval of Variations of Service and Engagement

The approving authorities are contained in Ref D, Part 1, Article 1.7.39.

1.7.24 Service Requirement

Extensions of Service are necessary to ensure that the RNZN has sufficient personnel into the future to sustain delivery of outputs. To this end, DHR Workforce Planning (WFP) is responsible for providing the forecasted personnel requirements to the FPTO Career Management commanders. Liaison with Navy Strategic Personnel Planning (NSPP) may also occur for further information on personnel requirements and EOS affordability.

1.7.25 Assessment of Suitability for Extension

- a. Recent Performance Development Reports (PDRs) will be the primary documents used to determine a member's suitability for extension. Content within RNZN 264s (Divisional Officers Report) is also to be considered at Rating EOSBs. Therefore, members and their Commanders/Managers/1Ups are to ensure the member's PDR (and RNZN 264 for Ratings) is completed appropriately, accurately, and closed off/provided to Career Management by set deadlines.
- b. EOS are to be based upon consideration of the criteria listed below:
 - (1) **Service Values.** Clear demonstration of behaviours aligned with Service values which include, but are not limited to:
 - (a) maintenance of Service standards which includes fitness for operational and/or sea service, and
 - (b) evidence of 'willingness to serve' at sea and/or on Output Category Five deployments, where relevant and appropriate^{3, 4}.
 - (2) **Performance and Competency.** Demonstrated performance and competency at current rank, as aligned with the NZDF Leadership Framework and determined within the most recent PDRs (usually the last three years), RNZN 264 (for Ratings) and assessments (where relevant).
 - (3) **Branch/Trade and Rank Risk Factor.** Availability of vacancies in trade/specialisation (also having regard for the key requirement to consider career progression and succession planning), including current and future predictions of rank/trade risk factor (where relevant).
 - (4) **Additional Skills and Qualifications.** Utility to perform a range of jobs at current rank, including possession of specialist skills such as NBCDI, FDO or ship's diver.

3. Operations contributing to NZ's security, stability and interests.

4. Members of sea-going Branches and Trades are expected to serve at sea. Sea service expectations are outlined within Branch/Trade Employment profiles for both Officers and Ratings. Sea service is also a requirement for promotion iaw Ref E, Chapter 2, Article 0234. It is acknowledged that there are occasions when it is not appropriate for members to serve at sea (e.g. family/dependant support circumstances; FFSS/FFOS issues; when subject to Harmony Policy threshold conditions iaw Ref D, Part 1, Chapter 6), but the general expectation is that members of sea-going Branches and Trades will serve at sea throughout their career. Members of non-sea-going Branches and Trades are not expected to serve at sea.

- (5) **Employment Utility.** If relevant, the availability of suitable vacancies in the Officer or Rating 'Purple Plot'⁵ and/or 'Blue Plot'⁶.
- c. Due to the inherent risk of bias, members are not to be directly compared to other members. Instead, performance, competency and achievement are to be compared to the **criteria** as outlined above (1.7.25b.) and within the NZDF Leadership Framework. Criteria within the State Services Commission Dynamic Talent Map (9 box grid on Potential, Capability and Performance) may be used where relevant/appropriate. To maintain consistency in decision making, EOSB participants/members are to ensure that the same/similar EOS decisions are made about members who are performing similarly.
- d. In exceptional circumstances, members may be offered a Revised Condition of Service (RCOS)⁷.

1.7.26 Notification and Acceptance of Offers

- a. ACN(P&T) is responsible for ensuring that all members considered at an EOSB are notified of the outcome. The notification process is outlined within the Business Rules in "[Annex 7-A. Extension of Service Boards - Business Rules](#)".
- b. All members who are offered an EOS will have two calendar months to accept or decline the offer of service. Any offer of service not accepted within the two month period will automatically lapse.
- c. For those Officers and Ratings intended to be offered an EOS, before the decision is communicated to the member, CMs should:
- (1) Check that members are medically and physically in date at time of presentation of the offer⁸. Members who are not medically or physically in date at the time are to be informed that they have two calendar months to rectify before being awarded an extension through SAP. Members who continue not to be medically or physically in date beyond this period are to have their EOS offer reviewed by the relevant Authorising Authority or appropriate delegate.
 - (2) Check that there has been no change in circumstance since the Board's decision was made that may impact a member's retention⁹. Should there be such circumstances, the EOS offer and the circumstances are to be reviewed by the Authorising Authority or appropriate delegate. The EOS offer notification should be delayed until the review is complete.
- d. Members not offered an EOS are to be provided with the following information within their outcome communication:
- (1) the basis for the decision;
 - (2) that they are to be considered at the next rank appropriate EOSB should this convene prior to the member's current Terminal Date (TD); and
 - (3) that they can continue to register an interest in vacancies at their current rank level.
- e. Feedback on development points is to be provided by the relevant CM where required, or if requested by the member, through an interview and/or via a member's Career Development Plan (CDP) within SAP.

5. NZDF positions identified as open to members of the RNZN.

6. RNZN positions identified as open to members of 'Any' Branch/Trade.

7. Exceptional circumstances include, but are not limited to, issues that affect fitness for operational and/or sea service and reversion in rank.

8. 'In-date' refers to a current, unexpired grading or waiver. It does not refer to the actual medical grading or physical (fitness test) result.

9. For example, circumstances that are likely to/will initiate category DE and DF discharge action in accordance with DFO 4, Chapter 16, Sections 7 and 8 (e.g. theft or dishonesty; drug use, alcohol misuse or other substance misuse; unacceptable sexual behaviour; harassment).

Note: The completion of an EOS Variation of Engagement Form (MD 721) is no longer required - this has been superseded by the SAP notification process.

1.7.27 Business Rules

- a. To ensure consistency in process and recommendations arrived at and presented to the Approving Authority, in addition to content with this section, the Business Rules for the conduct of EOSBs in “Annex 7-A. Extension of Service Boards - Business Rules” are to be adhered to.
- b. CNOCM and CNRCM Directives for the convening of EOSBs are to reference the Business Rules at “Annex 7-A. Extension of Service Boards - Business Rules”.

1.7.28 Length of Extensions of Service

- a. The length of an extension offered will be recommended by the EOSB and approved by the relevant Approving Authority.
- b. Any extension offered is to be added to the member’s current terminal date (avoiding Dec and Jan). Consideration may be given to rounding up or down as appropriate to 30 Jun, to allow for alignment of administrative processes.
- c. Re-engagement lengths for Officers and Ratings are outlined in “Annex 7-B. Extension of Service Lengths”.
- d. The scope of content in “Annex 7-B. Extension of Service Lengths” is as follows:
 - (1) Officers (General List)¹⁰.
 - (2) Ratings (Any Trade).
- e. Members are to be aware that:
 - (1) an engagement may be varied as outlined in Ref A, Part 11, Article 11.5.20;
 - (2) should any of the criteria outlined within this section at Article “1.7.25 Assessment of Suitability for Extension” b.(1) and (2) not be met at any time, a CM review may occur to consider reducing or terminating the member’s engagement prior to their terminal date¹¹; and
 - (3) engagements will be terminated in the following circumstances, iaw Ref A, Part 11, Chapter 8, Section D:
 - (a) discharge (not disciplinary - i.e. performance, conduct, medical); or
 - (b) dismissal (disciplinary - i.e. Court Martial punishment).

1.7.29 Variation in Extension of Service on Promotion

Members already on a ‘Full Time Equivalent’ (FTE) arrangement may be required to accept a new FTE arrangement upon promotion. In most situations this will be an extension of the terminal date to enable personnel to give a sufficient period of service within the new rank. This applies particularly to CPOs on promotion to WO, and to LT CDRs on promotion to CDR. In some of the above cases; however, the new FTE may offer an earlier terminal date than the existing FTE.

1.7.30 - 1.7.99 Not Allocated

10. Branch List, Medical List and Chaplain List Officers are out of scope due to the often highly individualised, generalised or specialist and/or Tri-Service nature of their Service. However, content within “Annex 7-B. Extension of Service Lengths” may be used as guiding material for PABs/EOSBs that consider Officers of the aforementioned Lists.

11. Should any of the criteria at Article “1.7.25 Assessment of Suitability for Extension” b.(1) and (2) not be able to be met by the member at any stage during their engagement, the member is advised to proactively contact their 1Up, Divisional Officer and/or Career Manager to discuss a recovery plan where appropriate.

Annex 7-A. Extension of Service Boards - Business Rules**Part 1. Officer and Rating EOSB - Principles and Bias**

1. EOSB participants are to apply the following guidelines to ensure no preconceived bias influences the outcome for any member considered by any Officer or Rating EOSB.
 - a. Board participants are to declare any conflict of interest or personal bias prior to evaluating a member being considered at the EOSB. The President is to refer the matter to the appropriate Reviewing Authority iaw SADFO 03/2004 to determine if any conflict of interest or bias raised should result in the person declaring it being excluded from the discussion and decision about a member.
 - b. Employment opportunities are to be adhered to iaw Section 27 of the New Zealand Bill of Rights Act 1990 and its requirement to observe the principles of natural justice.
 - c. Only evaluated information that has been documented and sighted by the member can be used to evaluate that member, i.e. PDRs, RNZN 264s, post-deployment reports and course reports¹.
 - d. No evaluative information received from a third party or hearsay about a member is to be raised or discussed during the EOSB.
 - e. The Gender Based Analysis Plus (GBA+) approach shall be utilised as part of the decision making process to assist in reducing unconscious bias².
 - f. A member's career aspirations will be taken into consideration. However, the exigencies of the Service will be applied to meet RNZN outputs and priorities.
 - g. Extensions offered are not to unfairly affect the career opportunities of members junior to those offered an EOS.

-
1. The information must have been communicated to the member and the member had a chance to respond to it before the EOSB can consider it.
 2. Gender-Based Analysis Plus (GBA+) is an analytical process which takes an inter-sectional approach to promote equality (i.e. it considers the multiple identity factors that help make us who we are). The 'plus' highlights the fact that GBA is not just about sex and gender. It examines how multiple identity factors are inter-dependent and often combined. GBA+ provides a framework that acknowledges factors such as race, ethnicity, religion, age, mental or physical disability, education, sexual orientation, income, culture, and geography will be considered and do not limit success and inclusion. It is important to apply GBA+ within EOSB decision making so as to avoid inadvertently creating or increasing inequalities across the Navy's workforce.

Part 2. Officer EOSB - Specifics and Process**1. Board Composition**

- a. In accordance with NFGOs Article 1.4.21, there is to be gender minority (male/female) representation of no less than 30%.
- b. A suitable independent observer is to be present at each Board as an unbiased, non-voting member to ensure personnel are being considered based on the criteria within [“Part 1. Officer and Rating EOSB - Principles and Bias”](#) of this annex.
- c. An external representative is to be appointed to the EOSB as a voting member or non-voting representative (as required) - indicated by italic text within table below.
- d. The following table outlines the Board composition:

Rank Being Assessed	Board President	Board Composition (Voting)	Board Composition (Non-voting)
LT	ACN(P&T)	GLX, GLE and GLML Branch Heads or representatives at CDR rank <i>External representative</i>	Respective Branch Career Managers (CNOCM, NOCMs) Unbiased observer of LT CDR rank or higher <i>External representative</i>
LT CDR	DCN	GLX, GLE and GLML Category Captains <i>External representative</i>	Respective Branch Career Managers (CNOCM, NOCMs) Unbiased observer of CDR rank or higher <i>External representative</i>
CDR	CN	DCN, MCC, all Naval Officers at the rank of CDRE and above, plus other members at the invitation of CN <i>External representative</i>	CNOCM Unbiased observer (e.g. WON, other service LT COL(E) or higher, civilian at the invite of CN) <i>External representative</i>

2. Approving Authority

CN is the approving authority for all Officers³.

3. Process

- a. The NOCM Administration Officer (AO) will coordinate the EOSB requirements in consultation with ANOCM(Ops).
- b. The information below is a guide on who is responsible for the different parts of the EOS process:
 - (1) ANOCM(Ops) will liaise with DHR Workforce Planning (WFP) and Navy Strategic Personnel Planning (NSPP) as required, to ascertain affordability for extensions. Information gained will help to determine extension lengths iaw the parameters within [“Annex 7-B. Extension of Service Lengths”](#) and NZBR 1, Part 1, Chapter 7, [“Section 3 - Variance of Service and Engagement”](#). Such information, along with reference to the criteria for assessment of suitability for extension as noted within [“Section 3 - Variance of Service and Engagement”](#), will be included within the associated EOSB Directive to facilitate simple processing of extension recommendations.

3. EOS for Specialist Officers are recommended at the Navy EOSB for approval at the Specialist Board chaired by VCDF annually.

- (2) NOCM AO will provide the names of those requiring extension decisions eight weeks prior to the Board⁴. The following are the cut off dates for determining who will be considered at the EOSB:
 - (a) RF: three years from the end of current Financial Year.
 - (b) NR/VR: 18 months from the end of the current Financial Year.
- (3) ANOCM(Ops) will provide the names of all RF and NR/VR members requiring EOS decisions in a spreadsheet to all NOCMs (including the Reserve Personnel Officer (RPO) for all NR/VR Officers, and CNOCM for CDR and above) to populate. The spreadsheet will consist of the member's:
 - (a) SAP ID;
 - (b) Service number;
 - (c) surname and initials;
 - (d) branch and trade;
 - (e) substantive rank (or acting rank if applicable);
 - (f) rank seniority date;
 - (g) terminal date; and
 - (h) comments section for NOCM/RPO/Reserve Unit COs recommendation.
- (4) NOCMs and the RPO are to return the spreadsheet with comments and recommendations to ANOCM(Ops) no less than two weeks prior to the Board.
- (5) CNOCM will review the recommendations from each NOCM/RPO and is to discuss/amend any changes required.
- (6) ANCOM(Ops) is to upload the completed spreadsheet to DDMS alongside other documents to be presented at the PAB/NPB for the Board members to view no less than one week prior to the Board. The Board members are to read the provided information and make a preliminary decision for each individual prior to the commencement of the Board.
- (7) The Board is to:
 - (a) review the EOS spreadsheet;
 - (b) review the State Services Commission Dynamic Talent Map (9-box grid on Potential, Capability and Performance) as a tool to guide determination of engagement length for members at LT CDR and CDR rank in particular;
 - (c) review NZBR 1, Part 1, "[Annex 7-B. Extension of Service Lengths](#)"; and
 - (d) discuss the promotion and EOS recommendations for all personnel.
- (8) The Board members may have questions regarding extension recommendations that the respective NOCM can clarify and provide further detail.
- (9) NOCMs are to be present to provide any clarifying information should the Board members require it. This will mean NOCMs will need to know the history, potential and current situation of those personnel being presented.
- (10) Once the EOSB is complete and the minutes approved by CN, the NOCM AO is responsible for updating the engagement dates in SAP HCM for each Officer.
- (11) CMs are to insert comments provided at the EOSB into each member's CDP.
- (12) NCM is responsible for collating the overarching minute and results of the Board and

4. For example, the LT Promotion Advisory Board (PAB) is typically held late Jan/early Feb each year and requires the majority of material to be complete prior to the Christmas/Summer Reduced Activity Period (RAP).

forwarding to the Board President/Approving Authority for signature.

- (13) Once approved CDPs are to be reset and members considered at the Board will be notified via SAP of the Board outcome.

Part 3. Rating EOSB - Specifics and Process**1. Board Composition**

- a. CNRCM or an assigned delegate will act as Board President. The remainder of the Board will be determined by the availability of Officers, Warrant Officers (WOs) and Career Managers (CMs) relevant to the rank of the EOSB being considered.
- b. In accordance with NFGOs Article 1.4.21, there is to be gender minority (male/female) representation of no less than 30%.
- c. The NPSO, or assigned delegate is to be present at each Board as an unbiased, non-voting member to ensure personnel are being considered based on the criteria within "[Part 1. Officer and Rating EOSB - Principles and Bias](#)" of this annex.
- d. An external representative is to be appointed to the EOSB as a voting member or non-voting representative (as required) - indicated by the italic text within the table below.
- e. The following table outlines the Board composition:

Rank Being Assessed	Board President	Board Composition (Voting)	Board Composition (Non-voting)
LH	BPO	3 x WOs <i>External representative</i>	Assistant Career Manager (ACM) Unbiased observer <i>External representative</i>
PO	CNRCM	3 x LT CDRs/BPOs <i>External representative</i>	ACM/CM Unbiased observer <i>External representative</i>
CPO and WO	CNRCM	3x CDRs/LTCDRs and WOCM(N) <i>External representative</i>	BPO/CM Unbiased observer <i>External representative</i>

2. Approving Authority

- a. ACN(P&T) is the approving authority for the WO EOS.
- b. CNRCM is the approving authority for CPO and below.

3. Process⁵

- a. The FPTO Business Support Unit (BSU) will coordinate rating EOSB requirements.
- b. The information below is a guide on who is responsible for the different parts of the EOS process.
 - (1) The Fleet Personnel Development Supervisor (Coordinator) (FPDS(C)) will advertise the relevant EOSB via signal and email six weeks prior.
 - (2) FPDS(C) will establish a Talent Group and Talent Review Meeting in SAP HCM.
 - (3) FPDS(C) will provide the names of those personnel who will appear before the EOSB to CMs on a spreadsheet within DDMS prior to the Board sitting.
 - (4) FPDS(C) will provide spreadsheets to the CMs which will contain:
 - (a) member details;
 - (b) FFOS status; and
 - (c) current terminal date.

5. Note that 'CM', where used within para 3, encompasses the BPO, CM and ACM.

- (5) CMs will complete the spreadsheet by inserting:
 - (a) SELSDB results for WOs; and
 - (b) CM comments.
- (6) CM comments should include:
 - (a) start and end of current position;
 - (b) next posting;
 - (c) areas of improvement or areas of strength;
 - (d) amplifying information that may put the PDR in context; and
 - (e) CM recommendation for an extension.
- (7) CMs are to return the spreadsheet to FPDS(C) no later than two weeks prior to the Board.
- (8) CMs are to peer review their records and recommendations prior to the Board to ensure they have applied the criteria in a consistent manner, recommendations are justified across branches and that their commentary for the Board follows a consistent format.
- (9) The Board will be provided with standalone electronic devices containing the information from para 3b above (items (4)(a) through to (6)(e)) no less than five working days prior to the Board sitting, including an overview of trade numbers across the relevant ranks with promotion board results and current terminal dates. The relevant NZDF Leadership Framework information and NZBR 1, Part 1, [“Annex 7-B. Extension of Service Lengths”](#) are also to be provided to all EOSB participants at this time. The Board is to take the opportunity to read the information and make a preliminary decision for each individual prior to the commencement of the Board.
- (10) CMs are to be present to provide any clarifying information should the Board members require it. This will mean CMs will need to know the history, potential and current situation of those personnel being presented.
- (11) CMs are responsible for annotating comments in order to provide feedback to members considered at the Board.
- (12) FPDS(C) will collate the results of the Board and enter into SAP HCM.
- (13) CMs are to insert comments provided at the EOSB into each member’s CDP.
- (14) FPDS(C) and NPSO will be responsible for collating the overarching minute and results of the Board and forwarding to the Board President/Approving Authority for signature.
- (15) Once approved, FPDS(C) will reset CDPs and members considered at the Board will be notified via SAP of the Board outcomes.

Annex 7-B. Extension of Service Lengths**Part 1. Officer Extension of Service Lengths**

In accordance with [Article “1.7.28 Length of Extensions of Service”](#) c., Part 1 of Annex 7B applies to General List Officers. Content within Part 1 of Annex 7B **may be used as guidance** for PABs/EOSBs that consider Branch List, Medical List and Chaplain List Officers.

1. Upon Promotion

Unless alternative direction is provided by CN, the following standard engagement lengths are to be offered to Officers upon promotion.

- a. To LT: Six to nine years beyond the Officer’s effective date of promotion for members who have three years (or less) remaining to serve from the end of the current Financial Year (FY) until their terminal date.
- b. To LT CDR: Six to nine years beyond the Officer’s effective date of promotion for members who have three years (or less) remaining to serve from the end of the current FY until their terminal date.
- c. To CDR: Engagement lengths, including any additional EOS are at the discretion of CN, but are normally six¹ years beyond the Officer’s effective date of promotion.
- d. To CAPT rank and above: Engagement lengths, including any additional EOS are at the discretion of CDF, but are normally six years beyond the Officer’s effective date of promotion to CAPT and five years to CDRE².

2. Further Extension

Unless alternative direction is provided by CN, the following extensions to engagement lengths, beyond upon promotion engagement lengths as noted above (Part 1, para 1.a-d), are to be offered (**dependent upon assessment of suitability for extension** iaw [Article “1.7.25 Assessment of Suitability for Extension”](#)).

- a. LT: Three to nine years.
- b. LT CDR: Three to six years if not seen at a PAB/EOSB; if seen at a PAB/EOSB, see note.
- c. CDR: See note.
- d. CAPT and above: See 1d.
- e. RNZNR/RNZNVR:
 - (1) No EOS: Unless exigencies of the Service require, where a member has not engaged with either their Career Manager or Reserve Unit over the previous two years, the member is not offered an EOS.
 - (2) One or two years: The member has not engaged with either their Career Manager or Reserve Unit over the previous year. The member is to be offered a one or two year extension as an opportunity to continue engagement.
 - (3) Three to six years: The member is active within the Unit and engages with their Career Manager to further their experience and involvement where possible.

Note: In accordance with [“Annex 7-A. Extension of Service Boards - Business Rules”](#), Part 2, para 3.(7)(b), actual engagement lengths for members who are at the LT CDR or CDR rank will be determined with the aid of the State Services Commission Dynamic Talent Map (9-box grid on Potential, Capability and Performance). The general guidelines are below (standard role being three years). Boards are to be clear on whether the extension to

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1. Ref: [Article “1.7.29 Variation in Extension of Service on Promotion”](#). Members already on a ‘Full Time Equivalent’ (FTE) arrangement may be required to accept a new FTE arrangement upon promotion. In most situations this will be an extension of the terminal date to enable personnel to give a sufficient period of service within the new rank. This applies particularly to CPOs on promotion to WO, and to LT CDRs on promotion to CDR. In some of the above cases, however, the new FTE may offer an earlier terminal date than the existing FTE.
 2. CAPT rank and above appointments, including EOS are considered at the Senior Advisory Board (SAB).

engagement length is in addition to the current role, or includes the current role, noting that iaw [Article "1.7.28 Length of Extensions of Service"](#) any extension offered is to be added to the member's current terminal date (avoiding Dec and Jan).

LT CDR

- a. Not Performing, Performing, Deep Professional: case by case (typically no extension/must win a position).
- b. Potential Performer, Key Performer, High Professional: 1-2 roles.
- c. Potential Star, Future Star, Star: 2+ roles.

CDR

- a. Not Performing, Performing, Deep Professional: case by case (typically no extension/ must win a position).
- b. Potential Performer, Key Performer, High Professional: 1 role.
- c. Potential Star, Future Star, Star: 2 roles.

Part 2. Rating Extension of Service Lengths**1. Upon Promotion**

Unless alternative direction is provided by ACN(P&T), the following standard engagement lengths are to be offered to Ratings upon promotion.

- a. To PO: Ten years beyond the Rating's effective date of promotion.
- b. To CPO: Nine years beyond the Rating's effective date of promotion.
- c. To WO: Nine³ years beyond the Rating's effective date of promotion.

2. Further Extension

Unless alternative direction is provided by ACN(P&T), the following extensions to engagement lengths, beyond upon promotion lengths as noted above (Part 2, para 1.a-c), are to be offered (**dependent upon assessment of suitability for extension iaw Article "1.7.25 Assessment of Suitability for Extension"**).

- a. LH: Up to eight years.
- b. PO: Up to eight years.
- c. CPO: Up to six years.
- d. WO: Three to six⁴ years.
- e. RNZNR/RNZNVR:
 - (1) No EOS: Unless exigencies of the Service require, where a member has not engaged with either their Career Manager or Reserve Unit over the previous two years, the member is not offered an EOS.
 - (2) One or two years: The member has not engaged with either their Career Manager or Reserve Unit over the previous year. The member is to be offered a one or two year extension as an opportunity to continue engagement.
 - (3) Three to six years: The member is active within the Unit and engages with their Career Manager to further their experience and involvement where possible.

-
3. Nine years to be the norm, unless exigencies of the Service require a reduction to six years.
 4. The following guidelines are to be applied at the WO EOSB in addition to the content in "[Annex 7-A. Extension of Service Boards - Business Rules](#)" of NZBR 1, and Part 1, Chapter 7, "[Section 3 - Variance of Service and Engagement](#)":
 - a. identification at the Strategic Warrant Officer's Selection Board for positions or courses does not automatically result in an extension being given; and
 - b. identification of being within the cohort of Warrant Officers for strategic level development does not guarantee that those development opportunities will occur, or that overriding Service considerations may of necessity influence future postings and career development. Balance is to be given in assessing the organisation's needs, the cohort's needs and the member's needs.

Chapter 8 - Health, Welfare and Wellbeing

Section 1 - Welfare and Support

References:

- A. DFO 3 - NZDF Human Resource Manual, Part 12
- B. DFO 10/2003 - The Privacy Act 1993
- C. Naval Forces General Orders - Part 1, Chapter 8

1.8.01 General

- a. The purpose of RNZN welfare and support organisation is to prevent social issues or to reduce or eliminate existing social issues. This is achieved by helping personnel and their families work through any difficulties, particularly those caused by the nature of naval service.
- b. In view of posting difficulties brought about by welfare cases and the consequent adverse effect on morale, the aim of this policy is to ensure that positive action is taken to overcome problems before they arise or at least before they become aggravated. The RNZN welfare and support policy is based on active prevention, early intervention, and is based on the behaviours that support the Navy's core values, including:
 - (1) encouraging, supporting and helping all the naval family;
 - (2) helping everyone to get a fair go; and
 - (3) supporting the Navy's social, sporting and cultural activities.
- c. Welfare support (in a non-operational environment) is provided for all members of the Regular Forces and their families, and may also be made available wherever possible to members of the Reserve Forces, Civil Staff and their families (and other eligible personnel where appropriate). Eligibility for specific welfare support, service or facilities is to be promulgated in standing orders.

1.8.02 Naval Community Organisation

- a. The DCN has been charged with maintaining the Naval Community Organisation (NCO) which employs trained professional civilian social workers, a family liaison officer and provides general assistance and advice to naval personnel.
- b. The NCO provides assistance, advice and support in matters affecting the general welfare and morale of all RNZN personnel, their families and dependants.
- c. The NCO is intended to supplement the divisional system, not replace it. The existence of the NCO in no way relieves the DO (or supervisor) of their responsibility for the welfare of their personnel. When applying for assistance, COs are to state the action already taken to deal with the particular problem.
- d. Tasks undertaken by the NCO include:
 - (1) the assessment, counselling and treatment of social issues relating to Service personnel and their families, so that personnel can maintain or achieve the required level of operational service;
 - (2) preventive case work in which, with permission, the homes and families of personnel are visited in such a way that mutual confidence and understanding is established. From such visits (particularly to NOK of personnel due to proceed overseas for extended periods) the family situation can be assessed and possible problems can be anticipated and met;
 - (3) community services work, whereby inquirers will be supplied with expert information about community services; of specialists in welfare areas, and, upon request, be referred to appropriate persons in matters of a religious, legal, educational, medical, recreational or commercial nature (including resettlement and future employment)

(iaw Part 12, Chapter 3 of Ref A);

- (4) providing social work reports in cases where COs, the DCN, MCC, their delegates or other authorities request an impartial and independent investigation of applications for special consideration on compassionate grounds;
 - (5) assistance as necessary in the examination of applications for assistance from the RNZN Benevolent Fund;
 - (6) providing a welcome booklet and website information on DNB and the wider community for new families (iaw Part 12, Chapter 3 of Ref A);
 - (7) provide a confidential information service on matters of everyday interest or concern to the naval community, which includes all Service members and their families anywhere in the world. The NCO will also maintain a 0800 telephone number which will provide up-to-date information on naval vessels; and
 - (8) such other duties as necessary consistent with positive welfare work, such as organising group activities in cultural, educational, social or recreational areas related to the welfare of naval personnel and their families.
- e. Personnel requiring assistance or information from the NCO on Service-related matters are to apply in the first instance through normal Service channels to their CO, who is to investigate thoroughly, then communicate directly with the NCO.
- f. Personnel, their families and/or dependants requiring personal assistance or information that is substantially not of a Service-related nature can apply in person directly to NCO.
- g. All personnel are to be assured that enlisting the aid of the NCO will in no way affect their career unless they have chronic welfare difficulties that are likely to impede their future naval service.

1.8.03 Social Workers and Social Worker Reports

- a. The roles and responsibilities of the RNZN employed social workers are to be promulgated in Base Standing Orders.
- b. The RNZN Senior Social Worker or delegate, through the Naval Community Organisation Manager (NCOM), may be requested to provide social work reports for a variety of reasons, but most commonly to provide supporting information in the following cases:
 - (1) **Requests for Compassionate Return to New Zealand.** Requests for Return to NZ (RTNZ) normally arise from the serious illness or incapacity of a spouse, partner, child or parent. The report will comment on the degree of illness or incapacity (supported by current medical opinion) and, where applicable, arrangements available for the care of dependant children normally in the care of the patient. Where RTNZ is sought in order that a dependant or relative may be adequately cared for, an indication as to whether other persons are available to assist will be included together with relevant financial/housing circumstances.
 - (2) **Requests by Individuals for Information on the Welfare of their Dependants.** Reports arising from these requests will normally detail the specific information sought. Where housing is involved, the reporting authority will personally inspect the conditions; where medical information is sought, current medical certificates will be obtained; where behaviour is in question, the police or civilian welfare authority will be consulted if it is considered necessary and/or useful to do so.
 - (3) **Requests for Leave Without Pay or Release.** Where the basis of a request for a report is the state of health or incapacity of a dependant, the parameters at paragraph 2.a will normally apply. If the request relates to the state of health or incapacity of a relative with a consequent inability to maintain an existing business, farm etc, comment on the business aspect and on the possibility of employing alternative labour will be included where practicable. In all cases where release is sought, the report will address the

possibility of the granting of a period of LWOP as a means of alleviating the present problem and as an alternative to leaving the Navy.

- (4) **Requests for Preferential Posting.** Occasions may arise where officers or ratings are unwilling or unable to fulfil the requirements of the Service because of compelling personal or domestic circumstances. Officers or ratings who have problems of a long term nature may, in special circumstances, be considered for posting on compassionate grounds or an exchange of postings. The report will include advice on such options.
 - (5) **Advice to COs regarding a Serviceperson's Mitigating Information when Appearing for a Disciplinary Incident.** If requested, such advice may include the Serviceperson's ability to comply with potential sentencing options.
 - (6) Information to assist COs or the ACN(P&T) (or delegates) when a Serviceperson is subject to administrative action (Category DF or DE reports) to assess their suitability for retention in the RNZN.
- c. All social worker reports will include a clearly stated opinion by the reporting authority as to the merits of each case. Where known, the extent to which the circumstances under investigation existed on the person's entry into the Service, and any change since entry will be reported upon. The financial aspects of the circumstances will be stated. Welfare reports, including those received from any civilian source, are to be handled with great care and treated in strict confidence. They are to be given the privacy marking of staff-in-confidence. Fully comprehensive reports are normally made to enable COs to judge the merits of a case. They often contain statements by persons concerned and detailed medical opinions which are best not known by the officer or rating to whom the report relates. Notwithstanding, personnel have the right to access personnel information held by the NZDF. Refusal to grant the individual access to any report written about them may only be on the grounds laid down in Ref B.

1.8.04 Family Liaison Officer

- a. A Family Liaison Officer is employed at the NCO, primarily to provide respite while family member are serving outside the Auckland region.
- b. The priority order for the services of the Family Liaison Officer is to be laid down in Base Standing Orders.

1.8.05 Chaplaincy Services

- a. All personnel are to have access to chaplaincy services.
- b. The roles and responsibilities of the Lead Chaplain (Northern) and details of available chaplaincy services (including the use of the Naval Chapel of St Christopher) are promulgated in Base Standing Orders.

1.8.06 Crisis Support

- a. The CO PHL is responsible for maintaining an organisation (NCO Crisis Support Centre) capable of providing information in the event of a personal or community crisis.
- b. Details of the Crisis Support Centre are to be promulgated in Base Standing Orders.

1.8.07 Casualty Welfare Support

The purpose of casualty welfare support is to assist the casualty, his or her family, and colleagues to recover and, in the case of death, to help the family through the process of grief and recovery. Refer Part 12, Chapter 8 of Ref A and NZBR 1, Part 3, Chapter "[Chapter 2 - Naval Casualty Instructions](#)".

1.8.08 Advice Received on the Existence of Welfare Issues

- a. From time to time the CO may receive advice from an agency or organisation other than the NCO concerning a person under their command. Such advice is to be promptly acknowledged.

- b. Except where it is inappropriate to do so, COs should forward information received about the welfare of personnel to the NCO so that a complete picture can be maintained and follow up investigations made when necessary.
- c. Any organisation which has been engaged in making welfare investigations concerning the family of a person should be informed of the outcome of the case as soon as it is concluded.
- d. Where compassionate leave is granted, the welfare organisation concerned should be informed of the details of the CL, including the amount of leave granted.

1.8.09 Newsletters

- a. The NCO is responsible for producing and distributing a regular (no less than quarterly) naval community newsletter.
- b. Commanding officers of ships absent from Auckland for any period are encouraged to issue regular newsletters for the specific purpose of keeping NOK and families informed of the ship's activities and future programme. While newsletters cannot contain information that is classified, they should be as informative as circumstances allow.
- c. The importance of keeping the families of ships' companies fully informed and involved in the ships' activities cannot be over stressed.
- d. Any member of a ships' company may request that their family is not sent newsletters. Such requests are to be granted.

1.8.10 Access to Amenities and Non-publicly Funded Activities

- a. Navy Amenities operates a hire centre on behalf of the HMNZS PHILOMEL Welfare Fund. All profits are returned to the Welfare Fund for the benefit of Navy personnel.
- b. The CO PHL is responsible for the management and administration of the RNZN amenities, including the Navy owned motels. Instructions on the use of and the entitlement criteria are to be promulgated in Base Standing Orders.
- c. The NCO will, from time to time, organise non-publicly funded activities for members of the wider naval community. These activities are to be advertised as widely as possible. Entitlement criteria are to be promulgated in Base Standing Orders.

1.8.11 Naval Community Childcare

- a. The RNZN is authorised to provide childcare facilities and services iaw Part 12, Chapter 5 of Ref A.
- b. The Naval Community Childcare Centres Association is an incorporated society to run and administer early childhood centres for the benefit of naval families. There are two centres, Tamariki House and Calliope House.
- c. The CO PHL is responsible for the naval community childcare facilities.

1.8.12 Defence Force Leave Centres

- a. The three Services between them own a number of leave centres throughout NZ. The leave centres are non-publicly funded assets which are operated by the Services. Service personnel and NZDF civil staff are eligible to apply for the use of any of the Defence Force leave centres.
- b. Information and general tenancy conditions (which differ from Service to Service) of the Defence Force Leave Centres can be found through links on the NCO webpage.

1.8.13 RNZN Library

- a. The CO PHL is responsible for the operation and management of the Base Library.
- b. All RF personnel, active RNZNVR, civil staff, and dependants with a 'Family ID' cards are eligible for membership to the Base Library.
- c. HMNZ Ships deploying from DNB may request to borrow a selection of books from the Base

Library. The cost of any lost or damaged books is to be covered by ship's welfare fund.

- d. Instructions on the administration and management of the Base Library are to be promulgated in Base Standing Orders.

1.8.14 Recreational and Sporting Facilities

- a. The CO PHL is responsible for the provision of the appropriate Base recreational and sporting facilities. Details of Base sports facilities are to be promulgated in Base Standing Orders.
- b. COs of HMNZ Ships are responsible for the provision of appropriate recreational and sporting equipment.

1.8.15 Evaluation of Support Systems

The CO PHL is to ensure through systematic evaluation that the Base welfare, family and childcare support systems in place are sufficient to meet the current needs of RNZN personnel.

1.8.16 Management of Protection Orders, Police Safety Orders and Restraining Orders

Instructions pertaining to the management of Protection, Police Safety and Restraining Orders are contained in Part 1, Chapter 11 - Disciplinary and Legal Matters of Ref C.

1.8.17 - 1.8.20 Not Allocated

Section 2 - Host Responsibility

References:

- A. DFO 3 - NZDF Human Resource Manual
- B. Naval Forces General Orders - Part 1, Chapter 8, Section 8

1.8.21 Introduction

Host responsibility and responsible drinking is everyone's responsibility; however, often the best person to observe and judge levels of intoxication and irresponsible drinking is the person serving the alcohol or hosting the event. The following is designed to assist servers and hosts with recognising various signs of intoxication and provide them with guidance on the appropriate action to take to prevent intoxication or to effectively deal with individuals who have become intoxicated.

1.8.22 Mess Protocol

- a. The sample host responsibility protocol at "[Annex 8-A. RNZN Host Responsibility Protocol](#)" is to be displayed prominently wherever alcohol is being served, including all functions approved to be held outside a RNZN mess.
- b. The items in *italics* are optional and may be amended or deleted iaw the mess rules/constitution. All other items are mandatory and must be contained in a displayed host responsibility protocol.

1.8.23 Responsibilities

- a. The host of, or a server at an event where alcohol is being supplied or sold has certain responsibilities. Broadly, these are:
 - (1) promote responsible drinking;
 - (2) serve alcohol only to personnel allowed to be served;
 - (3) take action to prevent intoxication; and
 - (4) take appropriate action if someone becomes intoxicated.
- b. Commanding Officers are responsible for:
 - (1) setting a good example and encouraging the same in others under their command;
 - (2) ensuring there is proper control over drinking in their ships or establishments;
 - (3) those who drink irresponsibly, encourage others to do so or are found to be intoxicated, are dealt with appropriately and consistently;
 - (4) ensuring that individuals hosting and serving events in their ships or establishments have the appropriate training regarding host responsibility and the promoting of responsible drinking (refer also to Naval Forces General Orders, Part 1, Chapter 8, Section 8 - Supply and Sale of Alcohol and Host Responsibility);
 - (5) ensuring that those suspected of having a problem with alcohol are referred for medical assessment (refer also to Naval Forces General Orders, Part 1, Chapter 11, Section 5 - The Misuse of Substance); and
- c. including appropriate instructions consistent with, or referring to these instructions and Naval Forces General Orders on host responsibility and the supply, sale and possession of alcohol, in their ships' standing orders.
- d. All officers, SRs and LHs are responsible for discouraging excessive drinking by setting an example and through proper supervision of those junior to them. They are responsible for foster a climate of opinion in which irresponsible drinking is regarded as unacceptable. They are to ensure that intoxication and alcohol-related offences are dealt with appropriately and excessive drinkers identified and reported as soon as possible to enable any necessary

counselling and treatment.

- e. Divisional officers are to be especially vigilant with regard to the drinking habits of members of their divisions and make drinking responsibly and the negative affects of alcohol a regular feature in their divisional meetings.

1.8.24 Understanding Intoxication

- a. Servers of alcohol need to become adept at recognising the early stages of intoxication, or someone at risk of becoming intoxicated (tired, depressed etc) and taking appropriate action to prevent it.
- b. A number of useful facts on alcohol, how it affects and is processed by the body are in [“Annex 8-B. Understanding Intoxication”](#). The Annex also breaks the process of becoming intoxication into a four stage progression complete with ‘typical’ signs of each stage.
- c. All personnel serving alcohol should be able to recognize the signs and the associated stage of intoxication.

1.8.25 Host Duties and Server Intervention for the Prevention of Intoxication

- a. Action taken to prevent intoxication begins prior to the function, event or activity - preparing the environment, ensuring that appropriate food and drink options are available. ‘Setting the scene’ for responsible drinking is the responsibility of the host or mess committee. Refer to [“Annex 8-C. Host Duties and Server Intervention for the Prevention of Intoxication”](#).
- b. Recognising the signs and stages of intoxication is only the first step.

1.8.26 - 1.8.30 Not Allocated

Section 3 - Welfare Committees, Canteen and Ship's Funds

References:

- A. Naval Forces General Orders - Part 1, Chapter 8, Section 7
- B. ADFP 102 - Defence Writing Standards
- C. NZ SUPP to ADFP 102

1.8.31 The Ship's Welfare Committee

- a. In accordance with Ref A, a Ship's Welfare Committee (SWC) is to be formed in each ship or establishment. Each SWC is to consist of:
 - (1) the XO as president;
 - (2) a separately elected Wardroom member;
 - (3) a LT CDR or senior LT as vice president, where the number of officers borne permits in fleet establishments;
 - (4) the SO or other officer as treasurer; and
 - (5) elected ratings.
- b. The proportion of ratings is to be at least 75% of the committee's total voting membership and elected so as to be fully representative of the whole ship's company in accordance with the principles in Article "1.8.32 Election of Representatives". In ships with an establishment of less than 50, the proportion can be less than 75%, but must be more than 50% of the total voting membership.
- c. A suitable rating selected by the committee is to act as secretary; the secretary may be paid an honorarium from the ship's fund for their services.
- d. The detailed composition of the SWC is left to the discretion of the CO, subject to the following general principles:
 - (1) Representation of JRs is to be by divisions and of SRs by branches. Where this is not practicable, it should be by branches or messes, or in shore establishments, by any groups into which the establishment can most effectively be divided for the purpose of representation.
 - (2) Every rating borne must be able to vote for a representative but no rating is to be able to vote for the representative of a division, mess, branch or group other than their own.
 - (3) The number of ratings elected to the committee is to be:

Establishment	Rating Members
Less than 50	3 - 6
50 – 100	5 - 10
Over 100	9 - 15

1.8.32 Election of Representatives

- a. When the composition of the SWC has been decided, a notice is to be exhibited showing the divisions, branches, messes or groups for each of which a representative is to be elected. Any rating in the ship's company can then offer to stand for election to represent their division, branch, mess or group. Names of candidates are to be submitted to the CO within four days of the notice appearing. It will also be open to each representative group to nominate a representative or representatives for election, subject to acceptance of the nomination by the rating concerned. The names of all candidates put forward are to be published on notice boards for a period of 10 days before the date of the election, with an instruction that any

- candidate who has stood or been nominated for election, but whose name is not on the list, should immediately report the omission.
- b. Ballot papers are to be prepared for each of the several voting groups showing the names of candidates for election, with instructions on each ballot paper as to the number of candidates for whom a rating may vote and a warning that to vote for more than this number will render the ballot paper void. The papers must not be marked in such a way that the voter can afterwards be identified.
 - c. The arrangements for recording the votes are to provide that the ballot is secret and takes place immediately after the issue of the ballot paper, and that no rating can return more than one voting paper. Voting by proxy is not to be permitted and therefore every effort should be made to avoid the ballot taking place on a day when large numbers of the ship's company are absent.
 - d. The subsequent sorting and counting of the votes is to be carried out in the presence of an officer and two ratings. The results should be published on notice boards as soon as possible thereafter.
 - e. Vacancies in the committee are to be filled as they occur by means of by-elections, and a re-election of the whole committee should normally be made every 12 months unless there is good reason for an earlier change, such as altered conditions under which the ship is serving or dissatisfaction on the part of the ship's company with their chosen representatives. A by-election will be necessary when any elected member of the committee leaves the ship for any reason for a period in excess of 28 days, other than for leave. Ratings sentenced to imprisonment or detention are to be removed from the committee and their places filled by a by-election; those reduced in rank for misconduct or reverted for unsuitability should be removed, but not barred from re-election at the consequent by-elections.
 - f. In training establishments, in order to avoid the necessity for frequent by-elections, each class of trainees is to be represented by its class leader provided that courses are of sufficient duration; if not, the representation should be by suitable instructors. Ratings undergoing basic common training should be represented by their instructors.
 - g. Special arrangements may be necessary for carrying out elections where the ship's company is less than 50, but such arrangements should as far as possible follow the principles described in paras a-f and are to be approved by the DCN.

1.8.33 Meeting of the Committee

- a. Meetings of the SWC are to be held as required but not less frequently than once a quarter.
- b. Notice of subjects which it is proposed to raise at the next meeting should be given to the secretary, and an agenda is to be circulated to members beforehand (refer to Ref B). Before circulation, the agenda must be approved by the chairman to ensure the subjects for discussion are within the terms of reference of the committee. The SWC representatives will be expected to ascertain the views of the ratings they represent.
- c. The president can arrange for the attendance of divisional or other officers, and also of ratings when specific issues arise where their experience would be of use.
- d. All elected members of the committee will have one vote. The president, vice president, treasurer and secretary (except where the latter is also an elected representative) shall not have a voting right. The president shall, however, have the right of a casting vote where necessary.
- e. Minutes of the meetings are to be kept for record and copies exhibited on noticeboards. The minutes are to be produced in the format outlined in Refs B and C).
- f. **Remits.** Where any member of a SWC wishes a submission to be forwarded to the CN on any item under discussion, it is to be placed before the committee in the form of a resolution stating clearly and briefly the nature of the proposal on which a decision is required. The text

of the resolution and the number of votes for and against are to be recorded in the minutes of the meeting. The CN will only consider proposals which receive a majority vote in their favour.

- g. Each remit, together with a summary of the discussion on its originating resolution, is to be forwarded by the president to the CO for onward transmission to the CN through the DCN. Where approval of a welfare submission may involve alteration to the structure of the ship or to any of its equipment, an indication of the major technical implications and an opinion as to its feasibility are to be included in the CO's remarks.
- h. Although the CO is not to withhold any properly raised remit, they can, however, make comment in the covering letter.

1.8.34 The Ship's Fund

- a. The ship's fund is primarily a means of contributing to the cost of amenities and recreation for the ship's company and for benevolent purposes connected with the ship. The CO is to satisfy himself or herself that a sufficient allowance is made for these objects, due regard being had to the proportion of the ship's company who are able to take part in any particular form of recreation. In all other respects the SWC is to have full discretion as regards expenditure, subject only to the right of veto on the part of the CO of any proposed expenditure which appears to them to be subversive of discipline or otherwise improper. The circumstances in which such veto is exercised are to be reported by the CO to the DCN.
- b. Loans from the ship's fund should be permitted only in very exceptional circumstances and should ordinarily be repaid while the borrower is serving in the ship in which the loan was made. If the loan is repayable by instalments, the borrower is to make repayments to the treasurer.
- c. The accounts of the ship's fund are to be kept and audited iaw instructions in NZBR 24 - RNZN Non-Public Funds Manual.
- d. The SWC should ensure that provision is made for the disposal of the ship's fund in the event of the ship's loss, disposal or the dispersal of the ship's company. Refer to Part 1, Chapter 8, Section 7 - Welfare Committees, Canteens and Non-public Funds of Ref A.

1.8.35 - 1.8.99 Not Allocated

Annex 8-A. RNZN Host Responsibility Protocol



HMNZS NONSUCH HOST RESPONSIBILITY PROTOCOL

The Mess is here from your enjoyment and here's how we'll go about it:

- We have some good bar snacks; available any time the bar is open.
- There are some great low-alcohol and non-alcohol drinks available.
- We'll assist you with organising some transport – just ask the person behind the bar.
 - *If you're the designated driver, let us know and your non-alcohol drinks are on the Mess.*
- We can't serve you any alcohol if you are intoxicated, under 18 years old, on duty or under punishment.
- We can only sell spirits in vessels no larger than 500ml, with a maximum of a double nip (30ml) of spirits per vessel.
- If someone is intoxicated they will be politely asked to leave.
 - *We encourage responsible drinking..*

Annex 8-B. Understanding Intoxication**A Few Facts:**

- Standard drink sizes are:
 - Beer 300ml
 - Wine 100 - 120ml
 - Spirits (double) 30ml
- The liver breaks down alcohol at a set rate: normally about one standard drink per hour for the average person.
- Alcohol is classified as a 'depressant' because it slows down the nervous system (including the brain). Alcohol can change the way a person thinks, feels and behaves.
- Once alcohol is absorbed into the bloodstream it will remain there, affecting the person until it is broken down.
- The affects of alcohol can vary from person to person (see below).
- The affect of alcohol on a person can vary greatly depending on various environmental factors (see below).
- Factors affecting level or speed of intoxication:


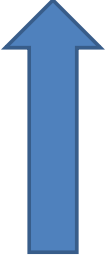
Amount of alcohol consumed	The body can only absorb alcohol at a set rate and will remain in the system, affecting it, until broken down.
Speed of consumption	As above
Rate of absorption	As above
Drinker's mood/personality	Certain moods or personalities affect the speed and/or amount that the individual consumes, and the way alcohol affects their behaviour.
Environment	Lighting, atmosphere, tables to put drinks down, other things to do/entertainment - some environments seem to 'encourage' heavier drinking than those with an emphasis on other activities.
Time of day	Individual may be tired or not eaten for some time.
Individual's tolerance of alcohol	Some younger people have less tolerance.
Individual's body weight/build	More blood in an individual's system will 'dilute' the alcohol.
Medication /drugs the individual has taken	Some medication and drugs don't mix well with alcohol.
Individual's gender	Often women have a lower tolerance of, or ability to absorb alcohol.

Stages and Signs of Intoxication:

- Sometimes it is difficult to separate an individual's personality traits from some of the signs of intoxication. It is important for a server to be observant, to get to know people whenever possible (talk to them when serving them), and to watch out for other more subtle signs (some people will not show all or any of these signs as they become intoxicated). Some of the

signs of intoxication, in four stages are:

- **Stage One: Loses Inhibitions:**
 - Over-friendliness,
 - Bravado (talking themselves and others 'up'),
 - Loudness (talking, singing),
 - Erratic changes.
- **Stage Two: Loses Judgement:**
 - More erratic changes and complaints,
 - Ordering doubles or more flamboyant drinks,
 - Argumentative and/or irrational,
 - Carelessness with money,
 - Excessive use of foul-language (more than usual),
 - Buying rounds - excessively or for the 'house'/strangers,
 - Belligerent,
 - Annoying behaviour.
- **Stage Three: Slowed Reactions:**
 - Unable to light a cigarette or lighting more than one at once,
 - Glassy eyes with a lack of focus,
 - Slurred speech,
 - Slowed thought processes - slow to react to comments or actions of others,
 - Loss of train of thought.
- **Stage Four: Loses Coordination:**
 - Struggles to pick up smaller items (e.g. coins),
 - Struggles with hand/eye/mouth coordination,
 - Unable to sit or stand straight,
 - Swaying and stumbling about, bumping into things,
 - Spilling drink,
 - Falling over,
 - Drowsy or falling asleep.
- **When to take action?**
 - If a server suspects that an individual is becoming, or is intoxicated but is not quite sure, they should discretely seek the opinion of another server (or senior person). Showing one sign of intoxication does not necessarily mean they are, but a person may also not show the obvious signs of intoxication either. The server's observations of progressive behaviours throughout the function or evening can be key to recognising a person's level of intoxication.
 - Below is a simple 'traffic light' system: Green - 'good to go'. Amber - slow service. Red - stop service.

	<p>RED Person shows several signs of intoxication (Stages Two - Three) Stop Service</p>	
	<p>AMBER Person shows early signs of impairment (Stages One – Two) Slow Service</p>	
	<p>GREEN Person showing no signs of impairment Serve Responsibly</p>	
<p>IMPORTANT! The individual <u>should not</u> be drinking or in the bar/mess if they are showing <i>Stage Four</i> signs of intoxicated.</p>		

Annex 8-C. Host Duties and Server Intervention for the Prevention of Intoxication

1. There are a number of actions a host or mess committee should be taking to promote responsible drinking:
 - **Attitude Toward Irresponsible Drinking.** Sending a consistent message that the mess (or host) will not tolerate irresponsible drinking is important. Setting rules is one thing, ensuring that they are consistently enforced is another.
 - Senior members of messes and attendees at functions need to lead by example.
 - They need to be prepared to step in and take action whenever they see irresponsible drinking.
 - Senior members of the mess or attendees at function must not undermine servers if they are taking action to prevent intoxication.
 - Encourage a 'club-style' atmosphere - the 'atmosphere' of the mess must support the attitude of responsible drinking (lighting, signage, drinks displayed/promoted, kinds of functions held, alternative activities available etc).
 - Encourage family involvement in the mess.
 - Have a consistent approach to the consequences for irresponsible drinking. Intoxication and alcohol-related offences need to be dealt with firmly and excessive drinkers must be identified and dealt with appropriately as soon as possible. Seek counselling and treatment for those with problem drinking habits.
 - **Display Signage in a Prominent Position.**
 - Display host responsibility protocol sign in a prominent place and refer individuals to it whenever necessary.
 - Display 'intoxicated signs' (available from local licensing authority) in the heads and bathrooms - individuals may take a moment to reflect whilst utilising the facilities.
 - **Provision of Food.**
 - *What Sort of Food?* Food that:
 - is substantial (pies, pizzas, hot chips and other substantial meal-like food).
 - is reasonably easy and quick to produce.
 - smells great (good smelling food tempts others to eat).
 - Avoid salty snacks which can increase a person's thirst and insubstantial snacks which fool a person into thinking they've 'eaten'.
 - Providing complementary food (not salty snacks), preferably at the beginning and/or throughout the function, also encourages people to eat. People will generally tend to eat free food that is offered to them!
 - **Provision of Low-alcohol and Non-alcoholic Beverages.**
 - Provide a range of *good quality* low-alcohol and non-alcoholic beverages. There are some very good low/non-alcohol beers and wines on the market; produced by both mainstream and micro- breweries. If they are good quality they are more likely to sell.
 - Provide a good range of quality non-alcoholic drinks:
 - A range of good quality fruit-juices, carbonated-drinks (there are some good quality bottled carbonated drinks such as lemon, lime and bitters, ginger beer etc available), including diet drinks and caffeinated soft-drinks.
 - Have on offer soda or tonic (and lemon/lime syrup) to mix with wine.

- A range of decent teas and good quality coffee.
- The mess could consider subsidising low/non-alcoholic beverages.
- **Training and Supporting Servers.**
 - Event hosts and individuals serving alcohol need to have an appropriate level of training which at minimum is to cover:
 - Knowledge of the effects of alcohol and stages of intoxication,
 - Their responsibilities with regard to serving and supplying alcohol,
 - Possible actions to take to promote responsible drinking and prevent intoxication,
 - Actions to take in the event someone is intoxicated.
 - Senior personnel present (the mess president, XO, other senior officer/NCO, senior steward), should also be keeping an eye on proceedings and intervening wherever necessary to prevent irresponsible drinking and intoxication.
 - Senior personnel should never undermine a server taking appropriate action to prevent intoxication. It is particularly important that the server knows they have the support of senior members of the mess; often the server will be a junior member and may feel intimidated (or bullied) into serving alcohol even when they know it isn't appropriate.
- **Providing Assistance with Transport.**
 - Host responsibility does not end when individuals depart the mess, especially when they need to transit through the DNB or other port facilities. Although difficult to control, providing assistance with transport (particularly after a mess function) can go some way to preventing unacceptable behaviour (or accidents) immediately after individuals depart the mess/ship.
 - Ensure that servers or someone else in the mess can provide individuals with specific assistance with transport options.
 - Have a sign in the mess with information on local transport options.
 - Encourage mess members to share transport (car pool or fare-share a taxi) wherever possible.
 - Have a mess member as 'duty driver' or utilise ship's transport where available and appropriate.
 - Arrange and/or subsidise a transport option (a bus/van or discounted taxi fares) for a mess function.
 - Take every action to prevent drink driving.
- 2. There are a number of actions a server can take to prevent intoxication:
 - **Encourage individuals to eat something substantial before drinking alcohol.**
 - How Food Works.**
 - Food works to reduce intoxication by slowing the speed at which alcohol is absorbed by the body.
 - Food must be in the stomach before someone starts drinking or has too much to drink to actually be effective though!
 - Food therefore needs to be available right as soon as the alcohol is available, and people need to be encouraged to eat before drinking (or early on).
 - **Encourage individuals to drink non-alcoholic or low-alcohol drinks.**

- Ensure water is readily available for everyone (*consider adding lemon or lime, mint or strawberries to a jug of water*).
- Make sure non-alcoholic and low-alcohol drinks are on display and readily accessible.
- Offer spirits in a 'tall' glass with more mixer.
- **Discourage individuals and groups participating in 'drinking games'.**
 - Discourage promotions or games which:
 - have alcohol as a reward or prize;
 - provide individuals with a reward or 'value' if they drink more/more quickly, or encourages them to 'stockpile' drinks ('buy one, get one free', 'happy hour'),
 - encourages rapid or heavy consumption (e.g. 'boat-races', 'happy taps', free drinks for women, yard-glasses),
 - offer alcohol in a non-standard measure or method of consumption ('slammers', 'bombs/depth-chargers' or 'laybacks').
- **Slowing Down or Cease Service.**
 - Bar staff need to be observant when serving alcohol and proactively take steps to avoid individuals becoming intoxicated. There are a number of options, for instance:
 - Actively promote low or non-alcoholic beverages; specifically offer them to individuals who appear to becoming intoxicated.
 - Serve a glass of water with their drink(s).
 - Slow down service:
 - Wait for them to order; don't offer refills or encourage further drinking;
 - Be 'busy' elsewhere so individual hasn't such a 'quick turnaround';
 - Serve one drink at a time;
 - Remove their glass without serving another drink;
 - Suggest the individual has something to eat;
 - Talk to them or distract them with a 'task' (change the music, find someone for you).
 - Suggest to the individual and/or their friends that they slow down their consumption.
 - Discourage (or refuse) others from buying drinks for those who appear to becoming intoxicated.
 - Be non-confrontational, use humour wherever possible, the server should appear relaxed and avoid getting inside someone's personal space.
 - Be discreet whenever possible, and try not to embarrass the patron.
 - Try not to sound judgemental or overbearing.
 - Don't negotiate or bargain with, or threaten the individual; calmly repeat the same message (e.g. "I can't serve you any more alcohol, but I can offer you a soda or a fruit juice".) over and over (they may succumb through boredom...).
 - Cut off or 'suspend' service if necessary.
 - Discuss the issue and options with another member of their group or mess member, get them to assist in slowing down the person's consumption.

- Let anybody else who is serving know who it is that is becoming intoxicated, and what action has been taken so far.
- Where there is a senior person present (the mess president, XO, other senior officer/NCO, senior steward), let them know. It is particularly important that the server knows they have the support of senior members of the mess; often the server will be a junior member and may feel intimidated into serving alcohol when they know it isn't appropriate.
- Remember it is a Defence environment; if intervention does not have the desired affect, personnel can be directed to cease drinking and/or leave the mess. Notwithstanding, the usual caution when dealing with intoxicated persons should always be taken to avoid escalating the situation.

Important: There is 'no single course of action' that will prevent intoxication or successfully deal with an intoxicated person. The above are *suggested* options and the action taken will depend on the circumstance and individual(s); the server, host or other mess member needs to asses the situation and take the course of action that they think will have the desired outcome.

Chapter 9 - Honours and Awards

Section 1 - Commendations

References:

- A. Naval Forces General Orders - Part 1, Chapter 9
- B. Armed Forces Discipline Act 1971

1.9.01 General Administration

- a. All commendations are recordable occurrences in accordance with Ref A and a copy is to be placed in the recipient's MD 602 folder under cover of a Form MD 602C. The recipient's administration unit is to ensure the NZDF HR information management system is updated on receipt of Form MD 602C.
- b. For civilian staff, a copy of the commendation is to be placed on their personal file. On receipt of a copy of the commendation the Administration Unit is to record the award on the NZDF HR information management system.
- c. Commendations and citations are to be printed in the respective RNZN format:
 - (1) RNZN Commendation Certificate - Form RNZN 187A
 - (2) RNZN Commendation Citation - Form RNZN 187B
 - (3) RNZN Commendation Certificate is to be printed on the standard cream A4 paper with a gold embossed RNZN crest in the header and the RNZN Citation is to be printed on standard white A4 paper.
 - (4) CN, DCN and MCC commendations are to be presented in a RNZN commendation folder. All other commendations are to be framed in a standard black frame and the citation presented in a RNZN folder.

Chief of Navy Commendation

1.9.02 Instructions for and Administration of a Chief of Navy Commendation

The instructions for nominating, awarding, and the subsequent administration of a CN commendation are contained in Part 1, Chapter 9 of Ref A.

Unit Commendation

1.9.03 Instructions for and Administration of a Unit Commendation

The instructions for nominating, awarding, and the subsequent administration of a Unit commendation are contained in Part 1, Chapter 9 of Ref A.

Deputy Chief of Navy's Commendation

1.9.04 Instructions for and Administration of a Deputy Chief of Navy Commendation

- a. The DCN Commendation may be awarded to:
 - (1) officers and ratings of the RNZN and RNZNVR;
 - (2) civilians employed by the RNZN; and
 - (3) personnel from other services (NZ and foreign) serving with the RNZN.
- b. Any person serving with the RNZN can submit, to their CO, nominations for the award of a DCN commendation. The CO is to initiate a formal nomination for the award using the Form RNZN 189 - Nomination for RNZN Commendations. The recommendation and a draft citation, prepared in accordance with the guidelines at "[Annex 9-A. Guideline for the Preparation of a Commendation](#)" are then to be forwarded to the DCN for consideration.
- c. Before making a recommendation for a DCN commendation, the CO is to consider whether

- the nominee deserves a higher award and if so, take action to nominate the officer or rating accordingly.
- d. The award of the DCN commendation is subject to the approval of the DCN. The names of recipients and the citation are to be published in a Naval Support Command Temporary Memorandum.
 - e. The commendation certificate and citation will be personally presented to the recipient by the DCN at the first available opportunity. The full citation is normally read out at the presentation ceremony.
 - f. The DCN is to ensure a copy of the citation is forwarded to the ACN(P&T) with a covering minute stating the recipient's name and date of the award. The award is to be recorded in the NZDF HR information management system and a copy is to be enclosed in the recipient's MD 602. For civil staff, a covering minute and a copy of the commendation is to be forwarded to the HR Service Centre for recording in the NZDF HR information management system and filing on the recipient's personal file.

Maritime Component Commander's Commendation

1.9.05 Instructions for and Administration of a Maritime Component Commander's Commendation

- a. The MCC's Commendation may be awarded by the MCC to:
 - (1) officers and ratings of the RNZN and RNZNVR;
 - (2) civilians employed by the RNZN; and
 - (3) personnel from other services (NZ and foreign) serving with the RNZN.
- b. Any person serving with the RNZN can submit, to their CO/OIC (for ships and Maritime Force Elements) or XO to MCC (for HQ JFNZ personnel), nominations for the award of a MCC commendation. The CO/OIC or XO to MCC is to initiate a formal nomination for the award using the Form RNZN 189 - Nomination for RNZN Commendations. The recommendation and a draft citation, prepared in accordance with the guidelines at "[Annex 9-A. Guideline for the Preparation of a Commendation](#)" are then to be forwarded to the MCC for consideration.
- c. Before making a recommendation for a MCC commendation, the CO is to consider whether the nominee deserves a higher award and if so, take action to nominate the officer or rating accordingly.
- d. The award of the MCC's commendation is subject to the approval of the MCC. The names of recipients and the citation are to be published in a MCC temporary memorandum.
- e. The commendation certificate and citation will be personally presented to the recipient by the MCC at the first available opportunity. The full citation is normally read out at the presentation ceremony.
- f. The XO to MCC is to forward a copy of the citation to the ACN(P&T) with a covering minute stating the recipient's name and date of the award. The award is to be recorded in the NZDF HR information management system and a copy is to be enclosed in the recipient's MD 602. For civil staff, a covering minute and a copy of the commendation is to be forwarded to the HR Service Centre for recording in the NZDF HR information management system and filing on the recipient's personal file.

Commanding Officer's Commendation

1.9.06 Instructions for and Administration of a Commanding Officer's Commendation

- a. A CO's Commendation may be awarded by a CO to:
 - (1) officers and ratings of the RNZN and RNZNVR;

- (2) civilians employed by the RNZN; and
 - (3) personnel from other services (NZ and foreign) serving under their command.
- b. Any person serving with the RNZN can submit, to the XO through the head of department, a nomination for the award of commendation. The XO is to initiate a formal nomination for the award using the Form RNZN189 - Nomination for RNZN Commendations. The recommendation and a draft citation, prepared in accordance with the guidelines at [“Annex 9-A. Guideline for the Preparation of a Commendation”](#) are then to be forwarded to the CO.
- c. Before making a recommendation for a CO’s commendation the XO is to consider whether the nominee deserves a higher award and if so, take action to nominate the officer or rating accordingly.
- d. The award of the CO’s commendation is subject to the approval of the CO. The names of recipients and the citation are to be published in a CO’s temporary memorandum.
- e. The commendation certificate and citation is to be personally presented to the recipient by the CO at the first available opportunity. The full citation is normally read out at the presentation ceremony.
- f. The CO SEC is to raise Form MD 602C and forward with copy of citation to recipient’s administration unit for addition to Form MD 602 folder and the award is to be recorded in the NZDF HR information management system. For civil staff, a covering minute and a copy of the commendation is to be forwarded to the HR Service Centre for recording in the NZDF HR information management system and filing on the recipient’s personal file.

1.9.07 - 1.9.11 Not Allocated

*Section 2 - Very Good Conduct and Good Conduct Badges***Assessment of Very Good Conduct**

References:

- A. Armed Forces Discipline Act 1971
- B. DFO 4 - Defence Force Orders for Personnel Administration
- C. Naval Forces General Orders - Part 1, Chapter 9, Section 5
- D. DFO 3 - New Zealand Defence Force Human Resource Manual

1.9.12 Very Good Conduct

- a. Ratings who have not had their Very Good Conduct broken and whose behaviour is consistent with the Navy's Core Values are considered to have demonstrated VG Conduct.
- b. The assessment of VG Conduct begins on the day a rating enlists.
- c. **Change in Conduct Standard.** With effect 27 Nov 2007 the standard of conduct for the award of GCBs and ratings promotion changed from Irreproachable Conduct (IC) to VG Conduct.

1.9.13 Breaks in VG Conduct

- a. A civil or Service conviction may incur an obligatory break in VG Conduct as shown in Part 1, Chapter 9 - Annex 9E. Effect of Punishment on Very Good Conduct of Ref C.
- b. A break in VG Conduct is an administrative action and is not to be imposed as a punishment or in lieu of a punishment. Breaks in continuity are to be recorded in the rating's personal record. The full reason for the break is to be entered in the 'remarks' field.

1.9.14 Effect of Break in VG Conduct

- a. A break in VG conduct affects promotion and the award and restoration of Good Conduct Badges (GCBs).
- b. The date on which VG conduct commences is to be post-dated by any period of leave without pay in excess of the period prescribed in Ref B, in its entirety, in order that non-reckonable service is not overlooked when awarding or restoring GCBs.

Good Conduct Badges**1.9.15 Service Qualification**

- a. The following length of service is required for the award of GCBs:
 - (1) First badge - four years
 - (2) Second badge - eight years
 - (3) Third badge - 12 years
- b. The whole of a rating's service in the RNZN counts as qualifying service except:
 - (1) Time for which pay is not allowed, e.g:
 - (a) Time lost through imprisonment or detention;
 - (b) Time in desertion or awaiting trial by Service authorities after recovery, if subsequently convicted of desertion;
 - (c) Periods of continuous leave without pay in excess of the period prescribed in Ref D; and
 - (d) Time during which a rating has been out of the Service for any other cause.
 - (2) Time served before being absent from the Service if such absence was for a period of five years or more, except as provided in Article "1.9.20 Re-Entrants".

- c. **Service Before Age 18.** As at 01 Jan 1996, all service, including service prior to the age of 18 years, counts towards the award of an individual's GCB.

1.9.16 Conduct and Previous Badges

In addition to the period of qualifying service laid down in Article "1.9.15 Service Qualification", a rating must qualify by conduct before being considered for the award of a badge. The minimum requirement is continuous VG conduct during the two years of reckonable service immediately preceding the award of the badge. For the award of a second or third badge, the rating must also have been properly in possession of the preceding badge(s) for 12 months of actual service immediately prior to the award.

1.9.17 Commanding Officers' Discretion

- a. The CO is to consider the award of a badge to a rating who is qualified by service and conduct whether or not the rating applies for the badge. It is within the CO's discretion to approve the award due, to defer consideration, or not to make an award. In considering these alternatives, the CO is to bear in mind that badges recognise the maintenance of a high standard of conduct that is consistent with the Navy's Core Values and should not be awarded, or restored as a matter of course merely because a rating has avoided serious punishment.
- b. If the CO decides that the requisite standard of conduct has been maintained and that the rating is in all respects eligible and deserving of a badge, the award is to be made and recorded in the rating's personal record.
- c. If the CO decides not to make an award because it is considered the rating has failed to reach the required standards, the continuity of VG conduct is automatically broken. VG conduct recommences on the day after the rating qualified for award of the badge which was declined. The new commencement date is to be recorded in the rating's personal record.
- d. If the CO decides to defer consideration, this may be done for a period of not less than three, nor more than six months. During deferment, the rating is not to be promoted.
- e. Should the CO decide at the end of the period of deferment that the rating's conduct has now reached the qualifying standard, the badge is to be awarded from the date of the CO's final decision. The date of award entered in the rating's personal record is to be accompanied by an annotation in the 'remarks' field to indicate that the delay was intentional.
- f. If; however, at the end of the period of deferment, the CO decides that the rating's conduct is still below that required, the continuity of VG conduct is to be broken and a new commencement date, being the date on which the award was deferred, is to be recorded in the rating's personal record.

1.9.18 Provisional Awards

The award and restoration of badges cannot properly be considered without examining the rating's personal record and DO's remarks on Form RNZN264. Where a rating's documents are not held on board and withholding the award of a badge until the documents are received will unreasonably be delayed, the CO can make a provisional award provided that there is reasonable evidence of eligibility and that the rating concerned has been in the ship long enough for the CO to decide that they are fully deserving of the award. These provisional awards (or restorations) will be liable to adjustment, if necessary, when the rating's personal record has been examined.

1.9.19 Finality of Awards

- a. An award or restoration of a badge properly authorised by the CO iaw these instructions will normally be regarded as final and should not be altered without the approval of the DCN or under the conditions of Article "1.9.18 Provisional Awards".
- b. Nevertheless, errors are not be perpetuated in any further award or restoration, the effective date for which should always be calculated from the commencement of qualifying service.

1.9.20 Re-Entrants

- a. Where the break in service is less than five years, all GCBs previously held by an individual re-entering the RNZN are to be automatically reinstated and all previous qualifying RNZN service for the GCB awards is to count.
- b. When the period of absence from the Service has been five years or more, all GCBs previously held are to be automatically resumed. The re-entry establishment must submit an application to the ACN(P&T) for authority to count any previous RNZN qualifying service for the purpose of the award of future GCBs.
- c. Where badges are resumed, the entry in the rating's personal record is to include an appropriate annotation.
- d. Where the break in service is less than five years or the approval of the ACN(P&T) to count any previous RNZN qualifying service has been obtained, the re-entry establishment is to enter in the rating's personal record notation: 'May count all previous qualifying RNZN service for GCB awards'.

1.9.21 Former Service

- a. Provided that it is truthfully acknowledged in full on entry into the RNZN, the whole of a rating's former service on full pay in the Regular Force of the New Zealand Army or RNZAF, or Regular Force of any other of HM's naval, military or air forces, reckons towards the award of GCBs with the exceptions detailed in Article "[1.9.15 Service Qualification](#)".
- b. The two years VG conduct which must precede the award of a badge can for this purpose be service in any of the Services referred to in para 1. Consequently, a rating with sufficient prior reckonable service can be granted a badge or badges on entry if conduct during such former service was continuous VG conduct (or would have been had the individual been serving in the RNZN) during:
 - (1) The last two years, if claiming one badge.
 - (2) The last three years, if claiming two badges.
 - (3) The last four years, if claiming three badges.
- c. Similarly, a rating who on entry has insufficient prior reckonable service or an insufficient period of VG conduct, may be awarded a badge as soon as sufficient combined qualifying service and VG conduct service is achieved.
- d. In all cases of doubt, the ACN(P&T) will be the Verifying Authority for claims to former service.

1.9.22 Ratings to be Treated as New Entries

Ratings in the following categories are to be considered as new entries in respect of the award of badges from the date of their return to the service:

- (1) those who re-join after an absence of five years or more, and for whom ACN(P&T) has declined an application for authority to count any previous RNZN qualifying service for the purpose of GCB awards (see Article "[1.9.20 Re-Entrants](#)"), or
- (2) recovered deserters.

1.9.23 Forfeiture of Good Conduct Badges

- a. Good Conduct Badges that are held are to be forfeited as an administrative consequence of being awarded any of the punishments under the AFDA, whether by court martial or summarily, listed in Part 1, Chapter 9 - Annex 9C. Forfeiture of Good Conduct Badges of Ref C.
- b. The forfeiture of badges is not to be included in the sentence of a court martial, nor is it to be annotated on Form MD601 - Charge Report. In the latter case; however, the forfeiture (if any) is to be mentioned in the covering letter forwarding the charge report.
- c. Immediately following the announcement of the sentence of a court martial the rating's CO is

to examine the sentence to determine whether forfeiture of badges is automatically required. The rating is to be advised formally of any forfeiture so required.

- d. See Part 1, Chapter 11 - Article 1.11.7 Deserters and Absentees of Ref B, concerning forfeiture of GCBs as a result of a conviction for desertion.
- e. **Modification of Sentence.** Where, on review of a court martial or summary trial, a lesser sentence is substituted which does not involve mandatory forfeiture of badges, all badges are to be restored.
- f. The CO is to bring this article to the attention of any rating for whom any application to convene a court martial is made.

1.9.24 Restoration of Badges

- a. The restoration of a GCB is to be considered when it becomes due, whether the rating makes a request or not.
- b. One badge can be regained with nine months of VG conduct from the date of forfeiture, and each additional badge by further periods of nine months, reckoned in each case from the date of the preceding restoration. If; however, a rating forfeits a GCB(s) within three years of having previously forfeited a GCB(s), the qualification period is 12 months for the first restoration and nine months for each subsequent restoration. Time that does not count for purposes of award is not to be reckoned towards restoration of badges.
- c. It is within the discretion of the CO to delay the restoration of a badge if, when restoration would normally be due, the rating has failed to reach the required standard of conduct (see Article ["1.9.12 Very Good Conduct"](#)). In this event, the continuity of VG conduct is to be regarded as having been broken on the date on which the rating completed nine months (or 12 months) VG conduct. A new period of qualification commences the following day. This procedure may be repeated until the required standard of conduct is attained.
- d. When a badge is restored after the normal date, the notation of restoration in the rating's personal record is to include an annotation in the 'remarks' field to indicate that restoration has been intentionally delayed.

1.9.25 - 1.9.99 Not Allocated

Annex 9-A. Guideline for the Preparation of a Commendation

1. The citation should focus on the following points:
 - a. Outline of Service:
 - (1) Personal details.
 - (2) Appointment/specialist field.
 - (3) Key posts associated with the award.
 - b. Actions worthy of recognition, for example:
 - (1) Outstanding performance of a special task.
 - (2) Attention to detail and persistent efforts to overcome difficulties.
 - (3) Outstanding achievements.
 - (4) Non-operational acts of bravery.
 - (5) Demonstration of Navy Core Values.
 - c. Valedictory finish, with comments where appropriate on such attributes as:
 - (1) Loyalty.
 - (2) Diligence, enthusiasm.
 - (3) Devotion, dedication.
 - (4) Professional ability or skill.

Annex 9-B. RNZN Commendation Certificate and Citation Layout

ROYAL NEW ZEALAND NAVY

RNZN 189

**NOMINATION FOR
RNZN COMMENDATIONS**



Tick one or more boxes as applicable

NOMINATION FOR:

- Chief of Navy Commendation.....
- RNZN Unit Commendation.....
- Deputy Chief of Navy Commendation.....
- Maritime Component Commander Commendation
- Commanding Officer Commendation

**It is recommended that you read the information
contained in Point 9 before completing this form.**

1. DETAILS OF NOMINEE OR UNIT:

Service:		
Regular Force: <input type="checkbox"/>	Reserve Forces <input type="checkbox"/>	Civilian <input type="checkbox"/>
Service Number:	Substantive Rank:	Acting Rank:
Full First Names:		
Surname:		
Service/Specialisation/Corps/Branch:		
Unit:		
Residential Address:		Postal Address (If Different):
Telephone Numbers: Working Hours: _____ After Hours: _____		

2. DETAILS OF PERSON SUBMITTING THE NOMINATION:

Service No:	Name:	Rank:
Appointment:		
Unit:		
Signature:		Date:
DTelN:	Mobile:	

3. REMARKS BY HOD/XO (OR EQUIVALENT):

Recommended <input type="checkbox"/>	Not Recommended <input type="checkbox"/>
Remarks:	
.....	
.....	
.....	
.....	
.....	
Name:	Rank:
Signature:	Date:

4. STAFFING PROCESS

On completion of Section 3:

- a. **CN, DCN, MCC, CO Commendations:** A citation is to be prepared on a separate sheet and attached to this Form RNZN 189. The nomination is then submitted to the CO and through to DCN/MCC as required.
- b. **Unit Commendation:** A citation is to be prepared on a separate sheet and attached to this Form RNZN 189. Unit Commendation nomination is then submitted through the appropriate command chain to CN for consideration.

5. REMARKS BY CO:

Recommended <input type="checkbox"/>	Not Recommended <input type="checkbox"/>
Remarks:	
.....	
.....	
.....	
Date:	
Name:	Rank:
Signature:	Appointment:

6. REMARKS BY DCN/MCC (AS REQUIRED):

Recommended <input type="checkbox"/>	Not Recommended <input type="checkbox"/>
Remarks:	
.....	
.....	
.....	
Date:	
Name:	Rank:
Signature:	Appointment:

7. APPROVING OFFICER (CN, DCN, MCC, CO):

A Chief of Navy Commendation is	Approved <input type="checkbox"/>
OR	
A Chief of Navy Unit Commendation is	Approved <input type="checkbox"/>
OR	
A Deputy Chief of Navy Commendation is	Approved <input type="checkbox"/>
OR	
A Maritime Component Commander Commendation is	Approved <input type="checkbox"/>
OR	
A Commanding Officer Commendation is	Approved <input type="checkbox"/>
OR	
NO AWARD IS TO BE MADE	<input type="checkbox"/>
Approving Officer Comments:	
.....	
.....	
.....	
Date:	
Name:	Rank:
Signature:	Appointment:

8. POST COMMENDATION ADMINISTRATION (AWARDING OFFICE TO COMPLETE):

Commendation is to be uploaded to individual's SAP Honours & Awards after commendation is received.	<input type="checkbox"/>
Scan a copy of this Form RNZN 189 and citation with a covering minute and send to medals.office@nzdf.mil.nz	<input type="checkbox"/>
Forward a copy of this Form RNZN 189 and citation to Naval Staff with a covering minute stating the recipient's name and date of the award (not required for CO Commendation) to be placed into the registry.	<input type="checkbox"/>
Form MD602C completed and filed with this Form RNZN 189 in recipients MD602 folder.	<input type="checkbox"/>
Actions completed by:	
Name:	Rank:
Signature:	Appointment:

9. NOTES

References: DFO(N), Part 1, Chapter 9 and NZBR 1, Part 1, Chapter 8

General

All nominations for a commendation listed on the front page are to be submitted using this Coversheet.

Nominations may be made at any time.

Nominations should be made within 12 months of the occurrence.

The RNZN does not have an annual allocation of commendations.

Purpose of a Commendation

Provide formal recognition of personal endeavours.

Assist in promoting job and career satisfaction particularly in areas where valuable service seldom leads to other forms of recognition.

Act as incentives to excel or perform to a higher standard.

Recognise outstanding achievements or special service by units of the RNZN.

Consent

The consent of the person being nominated for any commendation is not required, nor is it to be sought. Nominees **are not to be advised** of their nomination.

Consideration of Nominations

Once the nomination for the commendation is submitted to the CO, the CO is to determine whether the individual is deserving of a higher commendation, forwarding this Form RNZN 189 up the appropriate command chain to either DCN/MCC. DCN/MCC will determine if the individual receives their commendation or if it is to be forwarded for a CN commendation or returned to the individual's CO for a CO commendation.

The CN may also determine that no recognition is to be given.

Re-Consideration of Nominations

At CN's discretion, unsuccessful nominations may be:

Resubmitted for consideration. In such cases, originators may be requested to review the original nomination and to provide additional or new information to strengthen the original case.

Annex 9-C. Commendation Certificate Example



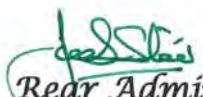
*Commendation by the
Chief of Navy*

Awarded to

CPOMT(P) Joseph Bloggs

For his Outstanding Contribution to our Navy

*Issued at Auckland
This 10th day of April 2015*


*Rear Admiral
Chief of Navy*

Chapter 10 - Disciplinary and Legal Matters

Section 1 - The Misuse of Substances

References:

- A. Armed Forces Discipline Act 1971
- B. DFO 4 - Defence Force Orders for Personnel Administration
- C. DFI 1.16 Substance Harm Minimisation
- D. Sale and Supply of Alcohol Act 2012
- E. Misuse of Drugs Act 1975
- F. Smoke Free Environments Act 1990
- G. Medicines Act 1981
- H. Naval Forces General Orders - Part 1, Chapter 11, Section 5
- I. Not Allocated
- J. DFO 51, Vol 2 - Defence Force Orders for Security, Volume 2 - Personnel Security

1.10.01 Interpretation

The definitions provided in DFI 1.16 apply to this chapter.

1.10.02 Substance Misuse

- a. Every practical measure, including the use of urinalysis, will be taken to prevent entry into the RNZN, RNZNR and RNZNVR of such misusers, to educate against misuse, and to discharge those identified as being substance misusers.
- b. While moderate use of alcohol will be permitted, a misuser that refuses or fails to respond to treatment may be discharged, in accordance with Ref C.
- c. Practical measures will also be taken to educate against and discourage smoking.
- d. **Acknowledgement of Policy.** All persons selected for entry or re-entry into the RNZN, RNZNR and RNZNVR are to sign an acknowledgement of the policy on substance misuse, iaw "Form RNZN078 - Acknowledgement of the RNZN, RNZNR and RNZNVR Policy on Substance Misuse", prior to completion of entry formalities. Completed acknowledgements are to be forwarded to the ACN(P&T) for retention on personal files.

1.10.03 Drug and Alcohol Education

- a. The minimum requirements for substance misuse education and training are laid down in Ref C.
- b. Drug and Alcohol (D+A) education and training in the RNZN will be provided through a combination of the following:
 - (1) formal RNZN training courses;
 - (2) general Service alcohol education activities; and
 - (3) the use of civilian agencies.
- c. Drug and alcohol education and training will be provided as follows:
 - (1) Introductory module on the following courses:
 - (a) BCT;
 - (b) JOCT midshipmen; and
 - (c) DE/CFR.
 - (2) Supervisor's module on the:

- (a) LRDC;
 - (b) PODC; and
 - (c) DMC.
- (3) **D&A Facilitators' Course.** D&A facilitator's courses will be provided as required to train sufficient trained facilitators;
 - (4) Training for commanders and managers at all levels will include appropriate management of substance misuse problems;
 - (5) Specialist training will be conducted as required for 'collectors' and for commanding officers/officers in command (related to the identification of personnel for reasonable cause testing);
 - (6) The Commander Naval Specialist Training is responsible for coordinating training courses specifically requested by COs, commanders or managers of units; and
 - (7) The Commander Leadership Development is responsible for ensuring that education and training courses completed is recorded against the individual serviceperson's personal record on the NZDF HR information management system.

1.10.04 Misuse of Alcohol

- a. The NZDF policy on the misuse of alcohol is contained in Ref C and amplified in Part 1, Chapter 11, Section 5 - The Misuse of Substances of Ref H.
- b. Measures designed to reduce the incident of alcohol abuse fall into two major areas:
 - (1) education; and
 - (2) example and direction.
- c. All commanders and managers are responsible for ensuring that:
 - (1) all personnel under their command are aware of the NZDF and naval policy on the abuse of alcohol;
 - (2) there is effective control over drinking within their ships or establishments;
 - (3) discipline is maintained and those found guilty of drunkenness are punished accordingly;
 - (4) they are conversant with the 'signs of substance misuse related problems' (Annex 1B to Part 2, Chapter 1 of Ref C);
 - (5) personnel suspected of having a problem with alcohol are referred for medical assessment;
 - (6) where an officer or rating is confirmed as being an alcoholic by the Fleet Health Services Officer (FHSO), a Change of Circumstance Report is raised in accordance with Ref J; and
 - (7) SSOs include instructions on the assessment and care of drunken persons.
- d. All personnel concerned in dealing with individuals under the influence of alcohol are to take steps to prevent injury, and those in authority are to ensure that appropriate measures for the maintenance of discipline are taken. All cases of drunkenness (or appearances of) must be seen by the OOD or by the duty SR. The OOD (or equivalent) is responsible for then ensuring that the procedures outlined in Ref C, are carried out (refer also to Part 1, Chapter 4, Section 8 - Alcohol Screening in the Workplace of Ref H).
- e. After examination, those suspected of drunkenness should be instructed to go to bed and appropriate steps are to be taken to avoid injury or altercation. The OOD is to see that such persons are checked no less than every half hour; more frequently if their condition dictates taking greater precaution.
- f. **Assessment of Persons Appearing to be Intoxicated.** Persons appearing to be intoxicated

require careful assessment as they may be:

- (1) suffering the effects of a head injury or other illness;
- (2) under the influence of alcohol which aggravates the effects of injury or illness; or
- (3) intoxicated, in which case they are susceptible to a later loss of consciousness with possible complications of vomiting.

Note:

A neglected head injury or inhalation of vomit by an unconscious person may lead to death and this must be constantly borne in mind by those dealing with such situations. Every case complicated by unconsciousness or by a history or evidence of head injury must be kept under close observation and seen as soon as possible by an HSO. Whilst under observation individuals should be kept lying on their sides. In the event of a person vomiting, first aid measures must be directed to prevent the inhalation of vomit and to clear the mouth, nose and throat.

1.10.05 Misuse of Drugs

- a. The misuse of drugs, besides its harmful effects on the individual, has serious implications in terms of:
 - (1) personnel security;
 - (2) the effective deployment of personnel, as a conviction under the Misuse of Drugs Act 1975 automatically bars the offender from entry to many other countries;
 - (3) the inferred association of the Navy with criminal elements;
 - (4) the grave consequences that may arise from conviction by local authorities in other countries, particularly where penalties include lengthy terms of imprisonment or death; and
 - (5) the breach of mutual trust in that controlled drug misuse presents a danger to all members of a ship's company. At sea, and often ashore, lives depend upon the alertness and responsiveness of those charged with the maintenance or operation of systems and equipment.
- b. It is the duty of all officers, SRs and LHs to ensure that all under their command are aware of the risks of the misuse of drugs and of the associated penalties. They are to emphasise the danger to operational efficiency and safety presented by misusers of controlled drugs, and are to do all within their power to foster a climate of opinion, at all levels, in which even the most casual experimenting with controlled drugs is unacceptable.
- c. **Substance Misuse Testing.** All personnel serving in or with the RNZN, RNZNR and RNZNVR are liable for compulsory substance misuse testing through a variety of testing methods outlined in the DFI. All positive results are to be dealt with iaw Ref C.
- d. Positive results on confirmatory testing of RNZN, RNZNR and RNZNVR personnel are to be reported to the ACN(P&T), NZDF NP and DNR (for RNZNR and RNZNVR personnel only) immediately. Signals are to be in the following format:

TO: ACN(P&T) AUCKLAND

PHILOMEL

NZDF NP RMC (for RNZNR or RNZNVR personnel only)

SIC: ABA/WAT/W3C

STAFF-IN-CONFIDENCE

POSITIVE SUBSTANCE USE TEST

REF: NAVAL FORCES GENERAL ORDERS PART 1, CHAP 11, ART 1.11.49

- a. Service description of individual
- b. Date of screening test
- c. Date, place and result of confirmatory test
- e. **Action on Receipt of Positive Test Result.** Refer to Naval Forces General Orders Part 1, Chapter 11, Article 1.11.49 Misuse of Drugs.
- f. **Pre- attestation Drug Testing.** The CLD is responsible for coordinating the conduct of pre-attestation and re-entry drug testing.
- g. **Action on Self-declaration of Substance Misuse.** The CO of the individual who self-declares that he/she has a substance misuse problem is to take action iaw Ref C.

1.10.06 - 1.10.11 Not Allocated

Section 2 - Courts of Inquiry (COI) Administration

References:

- A. Naval Forces General Orders - Part 1, Chapter 11, Section 2
- B. CDF Directive 8/2015 dated 3 Mar 2015
- C. DM 69 (2 ed) Volume 1 Chapter 11
- D. DM 69 (2 ed) Volume 3 Part 11 Section 200

1.10.12 Administrative Requirements of a COI

- a. This section provides additional guidance on the administrative requirements of a COI beyond that detailed at Ref A. It also prescribes the relationship between the Court and the COI Office established at Ref B which will be formalised into Refs C and D in due course. The conduct and authority of the Court are detailed at Refs C and D and with the exception of the relationship with the COI Office are the authority documents for COI.
- b. Once it has been determined to assemble a COI, the Assembling Authority (AA) to advise COI Office and the Inspector General (Maritime) (IG(M)) of the commencement of a COI. The COI Office will then create a folder on the COI SharePoint site with a restricted access group (e.g. Court Members, AA, IG(M), Legal, Superior Commander).
- c. The COI Office will provide guidance to the President of the COI on the maintenance requirements to the COI SharePoint record to ensure that progress visibility is maintained throughout the process.
- d. On completion of investigation the President of the COI submits the Record of Proceedings (RoP), including recommendations to the AA. The AA will review the RoP and approve/amend the recommendations and assign action officers. This stage is to include the endorsement/direction of the appropriate Superior Commander, for the RNZN these are CN, DCN and MCC JFNZ, to the responsible areas for recommendation implementation if required.
- e. Once the RoP is returned from the AA, the President of the COI is to update the COI database with the recommendations, action officers and agreed timelines for completion of recommendations. The President will attach a copy of the RoP including the AA commentary and direction to the COI SharePoint. The President of the COI is then to submit the COI to the AA for staffing through the command chain as required prior to transfer to the COI Office who will act on behalf of the Chief of Staff, HQNZDF as directed at Ref B. The original RoP and COI documentation will be held by COI Office until COI closure.
- f. Once completed, the President of the COI, on behalf of the AA, is to write to the IG(M) to inform them of the completion of the COI investigation and outcomes. This will also include the President confirming that all administration associated with the COI, including loading of recommendations to the SharePoint site, is complete.
- g. The IG(M) is to acknowledge the transfer of responsibility for the COI and assumption of implementation monitoring of the COI recommendations. The IG(M) is to inform the AA of any delays in implementation of recommendations.
- h. Once recommendations are complete, the IG(M) is to write to the AA requesting COI closure. Once approved for closure the IG(M) is to advise the COI Office of closure. The COI Office is then to archive the COI file.

1.10.13 - 1.10.19 Not Allocated

Section 3 - Oaths and Declarations

Reference:

A. DM 69 Volume 3, Chapter 8 - Oaths and Declarations Act 1957

1.10.20 Interpretation

The definitions provided at Ref A apply to this section.

1.10.21 Officers Authorised to Take Statutory Declarations

A list of those officers authorised to take Statutory Declarations is at Ref A.

1.10.22 - 1.10.99 Not Allocated

*Form RNZN078 - Acknowledgement of the RNZN, RNZNR and RNZNVR
Policy on Substance Misuse*

I, _____
Surname First Names Date of Birth

have read and understand the attached copy of the RNZN, RNZNR and RNZNVR Policy on Substance Misuse. I am aware that such misuse is not tolerated in the RNZN, RNZNR or the RNZNVR.

I am also aware that:

- a. a conviction on any drug related offence, whether by naval or civil authorities; or
- b. a positive urinalysis test,

could result in my being administratively discharged from the Service.

I further understand that substance misuse is considered to be a serious offence and a conviction by naval authorities would incur a severe punishment.

I hereby declare that I am not involved in any form of substance misuse and have no previous drug related convictions.

Signature: _____

Date: _____

Note:

Completed form to be attached to Form RNZN823 and forwarded to CNOCM/CNRCM/DNR (as appropriate) for placement on the PF.

Chapter 11 - The RNZNR and RNZNVR

Section 1 - Administration of the RNZNR and RNZNVR

References:

- A. Naval Forces General Orders - Part 4, Chapter 12
- B. Naval Forces General Orders - Part 0, Chapter 7, Article 0.7.15

1.11.01 Introduction

Except where otherwise specified, the provisions of this chapter apply to all personnel of the Royal New Zealand Naval Reserve and the Royal New Zealand Naval Volunteer Reserve (commonly referred to collectively as the Naval Reserve (NR)), and detail specific areas not covered in other publications.

1.11.02 RNZNVR Organisation

The RNZNVR consists of four units and one sub-unit as follows:

- (1) Auckland:
HMNZS NGAPONA (within HMNZS PHILOMEL)
Palmer Building
PO Box 32901
Devonport Naval Base
Auckland 0624
Telephone: (09) 445 5405
Fax: (09) 445 5406
- (2) Wellington:
HMNZS OLPHERT
34 Waione Street
Petone
Lower Hutt 5012
C/- Headquarters New Zealand Defence Force
Private Bag 39997
Wellington 5045
Telephone: (04) 498 6571
Fax: (04) 385 3845
- (3) Christchurch:
HMNZS PEGASUS
419 Montreal St
PO Box 25009
Christchurch 8144
Telephone: (03) 353 4022
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- (4) Dunedin:
HMNZS TOROA
211 St Andrew St
Dunedin 9016
Telephone: (03) 477 8883
Fax: (03) 477 3436
- (5) Tauranga:

HMNZS NGAPONA (Tauranga sub-unit)
Building 2 Port of Tauranga
PO Box 5003
Mt Maunganui
Tauranga 3150

1.11.03 Management of the Naval Reserve

- a. The Assistant Chief of Navy (Personnel and Training) (ACN(P&T)) is responsible for all human resource matters relating to NR personnel. The following personnel are responsible to ACN(P&T) for the provision of human resource management advice, policy, coordination, support, services and training to the NR:
- b. Commander Naval Officer Career Management (CNOCM) for officers, Commander Naval Rating Career Management (CNRCM) for ratings; and
- c. Commander Leadership Development (CLD) and Commander Naval Specialist Training (CNST) for training.
- d. The Commander Naval Reserve (CNR) is responsible to the Assistant Chief of Navy (Delivery) (ACN(D)) for the day-to-day operation of the NR units. Additionally, CNR is responsible for providing support and specialist advice to the Director Naval Reserve (DNR).
- e. The DNR may convene a meeting of NR subject matter experts as required in order to address matters relating to RNZNR and RNZNVR personnel or operations.

1.11.04 Employment Protection

Information relating to the Volunteers Employment Protection Amendment Act 2004 (VEPA 04) can be found on the internet website:

<http://www.legislation.govt.nz/act/public/2004/0012/latest/DLM240278.html>.

1.11.05 Annual Inspections of RNZNVR Units

- a. In order to ensure that accurate personnel records are held in respect of all NR personnel, and that correct processes are being applied with regard to pay, correspondence, training and personnel management, the following will be audited annually by representatives of ACN(P&T) during a programmed visit:
 - (1) Personnel Service Files (PSF);
 - (2) Forms RNZN264 - Divisional Officer's Records;
 - (3) pay administration processes;
 - (4) management and recording of correspondence; and
 - (5) individual NR contact information.
- b. The annual inspection will contribute towards ensuring effective and robust administration processes within the NR units.
- c. An annual inspection conducted by ACN(D) or representative will assess operational aspects of each division, including training plans, health and safety and general administration procedures.

1.11.06 Periodic Returns

Reserve units are to render periodic returns in accordance with Ref A.

1.11.07 Reports of Proceedings

- a. Commanding Officers of reserve units are to report their proceedings at the end of each quarter to the Chief of Navy, through CNR, ACN(D) and Deputy Chief of Navy with information copies to DNR, Captain Fleet Operational Readiness (CFOR), Commander Maritime Trade Operations (CMTO), DDCOORD(R) and the Navy Museum (Attention: Researcher), as a record

of the ship's activities.

- b. Notwithstanding the above, returns should be submitted using the guidelines and intent contained in Ref B.

1.11.08 - 1.11.15 Not Allocated

Section 2 - Personnel Management and Administration

References:

- A. Defence Act 1990
- B. Naval Forces General Orders - Part 1, Chapter 6, Section 6
- C. NZBR 1 - Part 1, Chapter 5, Article 0506
- D. NZBR 8 - RNZN Officer Career Management Manual
- E. NZBR 38 - RNZN Ratings' Career Management Manual
- F. DFO 3 - NZDF Human Resource Manual
- G. DFO 4 - Defence Force Orders for Personnel Administration

1.11.16 Promotion and Posting Authority

The provisions for promotion and posting of officers are contained in Ref D. The provisions for promotion and posting of all ratings, including warrant officers, are contained in Ref E.

1.11.17 Personnel Reporting

- a. COs of units are to ensure personal reports are completed on all Ready Reserve (RR) personnel in their units in accordance with Refs D, E and B. A 'backward rating' report is to be raised in accordance with the provisions of Ref E on all ordinary ratings that have not achieved the requirements for promotion to able rank within two years of their entry into the NR.
- b. The ACN(P&T) is to ensure that personal records for naval reserve personnel are initiated or maintained as follows:

(1) RNZNVR:

- (a) PDRs are to be completed for all RNZNVR personnel in accordance with Chapter 6, Section 2 of Ref D and Chapter 3 of Ref E.
- (b) RNZN 264s are to be completed for all RNZNVR ratings in accordance with Ref C.

(2) RNZNR:

- (a) PDRs are to be completed for RNZNR personnel on the following occasions:
 - (i) When requested by the reservist.
 - (ii) When the reservist has completed supplementation of more than 20 Reserve Days in one block and is likely to continue to supplement for a significant period throughout the reporting year.
- (b) Alternatively, if the reservist completes supplementation on an ad hoc basis they, or their 1-up Manager, may request a summary of work and performance from the reservist's supplementation supervisor in a form that can be uploaded to the reservist's Career Development Plan (CDP). This ensures that a Record of Service is maintained without the requirement of PDR completion.
- (c) 1-up Managers are to request CMs or Human Resource Service Centre delete PDRs that are not required, particularly for those reservists that have not contributed to the NZDF through either training, augmenting or supplementing.
- (d) RNZN 264s are not required to be completed for RNZNR ratings, unless occasions as noted in Ref B warrant completion of a report.

1.11.18 Recruitment and Enlistment

- a. Generally, there are three streams of entry into the NR, as follows:
 - (1) **Stream 1.** 'Ab initio' recruits who do not have transferable skill sets, and who require 'ground-up' training to become competent, will enter in Stream 1. These personnel will

complete the same initial five-week training period as RF personnel. Where practicable, individuals will be able to undertake some forms of additional training in smaller modules or through distance learning. Stream 1 personnel will augment at sea and ashore as required.

- (2) **Stream 2.** Specialist recruits are personnel with skill sets acquired in civilian life that are directly transferable to naval/NZDF competency requirements, or close to that ideal. Stream 2 may include, but is not limited to, doctors, lawyers, maritime experts, dentists, teachers, town planners, psychologists, public relations experts, photographers, TV camera operators, printers, tradespeople and chaplains. Maritime Trade Operations (MTO) officers and ratings will normally be recruited as Stream 2 recruits.
 - (3) **Stream 3.** Ex-RF recruits will generally be recruited into Stream 3. These personnel will normally retain the rank and branch status they held when they left the RF. In order to progress within their branch Stream 3 personnel are required to complete all RF career progression requirements.
- b. Instructions for the recruitment and enlistment of ab initio and specialist NR personnel are detailed in Ref F.
 - c. Entry into the NR of ex-members of the NZDF and other Commonwealth Forces and specialists will be subject to their meeting all entry criteria and at the discretion of ACN(P&T) in consultation with:
 - (1) the Commander Naval Officer Career Management (CNOCM) for officers; or
 - (2) the Commander Naval Rating Career Management (CNRCM) for ratings.
 - d. Regular Force personnel requesting seamless transfer to the NR with a medical grading less than A4G3Z1 are to be medically cleared to do so prior to any Offer of Service (OOS)/Revised Conditions of Service (RCOS) being given.
 - e. Ex-NZDF personnel who request to join the NR more than 12 months after their terminal date are to complete the full entry medical process prior to an OOS/RCOS being offered.
 - f. The Fleet Personnel and Training Organisation (FPTO) is responsible for processing the entry of ex-members of the NZDF and other Commonwealth Forces.

1.11.19 Engagement Length

The period of service in the NR is for a fixed length with right of release without prejudice at any time during that time in accordance with Ref A. Initial engagements for new recruits into the NR are normally to be a minimum of, but may be less than six years in duration in accordance with Ref C. Initial engagements for ex-members of the NZDF and other Commonwealth Forces, specialist officers and ratings, will normally be three years.

1.11.20 Overseas Employment

- a. Naval Reserve personnel seeking employment overseas (not including service with the NZDF) are to make formal application through the divisional system to ACN(P&T). The application is to specify the location, duration and type of prospective employment. Retention of NR personnel will be dependent upon the risks and sensitivities involved with the nature of the prospective employment and location. Where an application is not approved, the individual will be discharged (Category DJ2).
- b. The following actions are to be completed prior to departure from New Zealand in respect of all NR personnel intending to proceed overseas for employment purposes:
 - (1) Personnel are to be transferred to the Standby Reserve.
 - (2) All NZDF operational equipment and uniform, and all other issued items that the Service person is not entitled to retain, is to be returned.
 - (3) NZDF identification documents, ID card and tags, are to be returned to the reserve unit

as directed by the CNR.

- (4) Personnel are to be briefed that their status will be that of an independent civilian contractor and that there can be no recourse on the NZDF.
 - (5) Officers will be informed that they have no command authority under these circumstances.
 - (6) Any references provided to support an individual's employment application are to be limited to a personal testimonial detailing the Service member's character and suitability for civilian employment. It is not to identify the referee as a Service member, and Service letterhead is not to be used.
- c. Naval Reserve personnel employed overseas without having gained approval to do so in accordance with para a., will be discharged (Category DJ2).
- d. Regular Force personnel applying for transfer to the NR on release from the RF are expected to declare their intentions with respect to overseas employment during the transfer process, providing contact details and type of prospective employment during the transfer application process.

1.11.21 Secondment and Attachments of Naval Reserve Personnel to Foreign Forces

The rules for secondments and attachments of reserve personnel are contained in Part 11, Chapter 6, of Ref F; refer also to Part 1, Chapter 6, Section 4 of Ref B.

1.11.22 Recording of Personnel Data

All personnel data is recorded on the NZDF HR information management system. Any changes to personal particulars which cannot be made by the individual through 'self-service' access are to be forwarded with supporting documentation to the Human Resource Service Centre for recording in the NZDF HR information management system. Personal information to be recorded includes, but is not limited to, changes to the following:

- (1) name;
- (2) rank and seniority (including acting rank);
- (3) branch and trade;
- (4) qualifications (including courses and examinations, and applicable civilian qualifications);
- (5) current ship/establishment;
- (6) medical grading;
- (7) marital status and dependants;
- (8) terminal date;
- (9) efficiency assessments;
- (10) living and leave addresses;
- (11) next of kin information, including addresses; and
- (12) any other information alterations required by instructions contained in other publications.

1.11.23 Permanent Transfer Between Reserve Units

Applications for transfer between reserve units are to be forwarded through the divisional system to the appropriate career manager in the FPTO. The career manager is to initiate subsequent posting action. Once approved, personal files are to be forwarded to the receiving unit.

1.11.24 Transfer of Regular Force Personnel to the Naval Reserve

- a. Serving RF ratings may apply through normal Service channels to ACN(P&T) to transfer to the SR (RNZNR) in order to continue to contribute to the NZDF. Entry into the SR is subject to approval by ACN(P&T) in consultation with the relevant branch CPT. Once transfer is approved, the relevant career manager will raise an OOS in the RNZNR.
- b. Serving officers may also make application to ACN(P&T) through normal service channels. On receipt of an officer's application, CNOCM will, in consultation with the individual's career manager, provide a recommendation to ACN(P&T), and will raise an OOS where appropriate.
- c. Personnel transferring to the NR will normally do so in their current rank.
- d. The initial term of engagement will normally be three years, but the term will be arranged to align with the timing of Extension of Service Boards.
- e. Regular Force personnel who are unable to complete initial training due to medical or welfare issues that are expected to be resolved in a relatively short term, i.e. 12 months or less may be considered for transfer to the NR. Such transfers will require a recommendation from the Commander Leadership Development (CLD) and, where medical issues have impacted on the individual's ability to complete training, a Health Services Officer (HSO). Once cleared to continue initial training, individuals will be transferred back to the RF to continue training. Personnel whose issues are not resolved within a 12-month period are to be discharged from the NR following receipt of CLD's approval. Entry into the NR in these circumstances is to be managed as follows:
 - (1) RCOS/OOS is to be raised by either the CNOCM or the CNRCM as appropriate.
 - (2) Under these provisions and where practicable, personnel will normally be placed in the RR.
 - (3) Clarification on the conditions of medical release and medical treatment costs are to be provided to the Service person by the Naval Health Unit prior to their release from the RNZN and subsequent transfer to the NR.

1.11.25 Transfer to the Regular Force from the Naval Reserve

- a. NR personnel may request a transfer to an RF career in the NZDF. Officers are to apply through Service channels to their appropriate career manager, who is then to provide a recommendation on their transfer to ACN(P&T). Ratings are to apply through their divisional system to ACN(P&T). Where appropriate, previous service will be recognised and variations to standard training requirements may be applied. Transfer is to be made as seamless as possible and an OOS/RCOS as appropriate is to be raised by CNOCM or CNRCM.
- b. For RF commitments such as operations, tours of duty to the Antarctic, special projects, appointments or supplementation, NR personnel may also be transferred directly to the RF under the provisions of 'Seamless Arms Transfer'. Such transfers will be effected for a minimum period of 91 days up to a maximum of three years. However, approval can be given at single Service level for a minimum of 10 days for Force Extraction Teams. NR personnel transferred to the RF under these provisions are normally to be held against established RF posts and will be eligible for RF conditions of service. As such, they are liable for operational service in accordance with the exigencies of the NZDF.
- c. Transfer to the RF is limited as follows:
 - (1) Commodores and captains may only be transferred with the authority of CDF.
 - (2) Officers of commander rank and below and warrant officers may only be transferred with the authority of CN, who will determine rank, seniority and unit post for all officers of commander rank and below, and all warrant officers.
 - (3) ACN(P&T) is the approving authority for the transfer to the RF of NR personnel of CPO rank and below. CNRCM is to determine rank, seniority and unit post for all CPOs and

below.

- (4) All NR personnel are to meet all standard Fitness for Operational Service criteria prior to transfer; refer to Part 1, Chapter 7, Section 7 of Ref B.

1.11.26 Cancellation of Commission

- a. A submission for the cancellation of an officer's commission may be raised in accordance with the provisions of Chapter 2, Section 3 of Ref G for the following reasons:
 - (1) if the officer is adversely reported on;
 - (2) if the officer is convicted by a civil court for an offence that in the opinion of the CN renders their retention in the Navy undesirable; or
 - (3) the officer's services are, for any reason, no longer required.
- b. Officers whose commissions are cancelled cease to belong to the New Zealand Naval Forces and are to return their commissioning parchments to HQNZDF Navy, Attention: Director Coordination (Navy).

1.11.27 Medical Reporting to Naval Health Unit

It is important that the NZDF maintains an up-to-date medical file on every member of the Naval Reserve so that the Command may be advised on continuing fitness for employment, promotion and deployment. An individual is to complete a Form MD1205 - NZDF Health Declaration and forward it to the NHU in the first instance. Should further information or a medical examination by a medical practitioner be required, the individual may be required to have Form RNZN182 completed by a GP. When required Form RNZN182 is to be completed by the individual's GP and forwarded to Naval Health Unit Medical Records. This form is available at ["Annex 11-A. RNZNVR/RNZNVR Medical Reporting to Naval Health Unit"](#).

1.11.28 - 1.11.35 Not Allocated

Section 3 - Release, Discharge or Dismissal

References:

- A. Defence Act 1990
- B. Civil Defence Emergency Management Act 2002
- C. DFO 3 - NZDF Human Resource Manual
- D. DFO 4 - Defence Force Orders for Personnel Administration
- E. Naval Forces General Orders

1.11.36 Release Categories

The release categories to be used in respect of members of the NR are as follows:

- (1) **(RA) Normal Release.** Normal release may be effected as follows:
 - (a) RA1 - transfer to the RNZN; or
 - (b) RA2 - completion of engagement; or
 - (c) RA3 - having given notice to release through submission of form MD717.
- (2) **(RB) Premature Release.** Premature release, where release is effected under the provisions s. 43 of Ref A despite liability for continuous service under s.39 of Ref A, may be effected during:
 - (a) a time of war or other like emergency; or
 - (b) any state of emergency declared under Ref B; or
 - (c) an actual or imminent emergency involving the deployment of members of the Armed Forces outside New Zealand.
- (3) **(RC) Deferred Release.** Deferred release, where a terminal date is deferred in accordance with s.39 of Ref A, may be effected as follows:
 - (a) **RC1.** Due to liability for continuous service during time of war or other like emergency or during any state of emergency declared under the Ref B release will be deferred until the end of the state of war or emergency.
 - (b) **RC2.** Due to liability for continuous service during an actual or imminent emergency involving the deployment of members of the Armed Forces outside New Zealand release will be deferred until the expiry of the period specified in the relevant proclamation from the Governor-General (including any lawful extensions), or until the emergency has passed, whichever is the sooner.

1.11.37 Applications for Release

- a. Application for Release from the RNZNR or RNZNVR are to be made iaw Ref C. Refer also to the HR Toolkit on the NZDF intranet.
- b. Officers and ratings who are released will normally incur a reserve liability and be released to the Inactive Reserve. Refer to Part 11, Chapter 8 of Ref C for detail on reserve liability obligations.
 - (1) Refer to Part 11, Chapter 8 of Ref C for detail on reserve liability obligations.

1.11.38 Discharge and Dismissal

- a. The discharge categories to be used for members of the NR are iaw Refs C and D.
- b. Refer to Part 1, Chapter 7, Section 9 - Leaving the New Zealand Defence Force and Chapter 11, Section 3 - Discharge and Dismissal of Ref E for approving authorities.

1.11.39 Authority to Approve

Refer to Part 1, Chapter 7, Section 9 - Leaving the New Zealand Defence Force and Chapter 11, Section 3 - Discharge and Dismissal of Ref E.

1.11.40 - 1.11.45 Not Allocated

Section 4 - Management of Reserve Days

Reference:

A. DFO 3 - NZDF Human Resource Manual

1.11.46 Allocation of Reserve Days

- a. 'Reserve Days' is the generic term used to describe each block of eight hours of duty that a member of the NR completes in order to undertake training, maintain skills, or contribute to the NR mission. Reserve Days usage/allocation is to be managed in accordance with para 2, with the aim of responsibly managing the NR personnel budget.
- b. In order to ensure that the NR operates within the personnel budget, the following allocation of Reserve Days is authorised and is not to be exceeded without the prior approval of ACN(P&T):

Commanding Officers of Reserve Units	80 days
Executive Officers/whole ship coordinators	50 days
Reserve national training coordinators	50 days
Ready reserve personnel	40 days
Standby reserve personnel	20 days

1.11.47 Reserve Day Usage

- a. RR personnel may utilise up to 20 Reserve Days only for divisional activities including parade/training nights, training weekends, annual training expeds, etc, and NZDF pre-approved assistance to, or attendance at, regional or local public image events. The use of Reserve Days for these purposes is to have the prior approval of the respective unit CO. It is noted that some personnel undergoing formal training and/or OJT may need to exceed their maximum allocation due to the length of the training period they are expected to attend, and this requires pre-approval by ACN(P&T) for each instance.
- b. Appropriate financial approval is required for 'supplementation' on any NZDF duties in order that the cost centre against which the supplementation occurs funds the individual's employment. This process will be administered by the relevant career manager, and applications for approval will be forwarded through the respective career manager to ACN(P&T) (in the case of RNZN duties), or other HQ (in the case of HQNZDF, HQJFNZ, NZ Army or RNZAF duties). Any uncertainty as to whether an individual's employment constitutes maintenance of skill or supplementation is to be addressed by the appropriate career manager.
- c. Reserve Days spent performing supplementation duties funded by other than NR cost centres count towards annual efficiency, but do not count against the Reserve Day allocation.

1.11.48 Guidance to Commanding Officers

- a. COs of all units are to have produced and implemented annual training/activity plans, and are also to ensure that all training carried out is aimed at achieving unit outputs. Unnecessary attendance by personnel at parade/training nights or training weekends is to be avoided, and weekly parade nights are to be restricted to those necessary to achieve the training outcomes. It is recognised that there will be instances that cannot be programmed such as unknown or unplanned visits by out of town dignitaries, leadership and other personnel, HMNZ Ships, or other events. It is accepted that these may require inclusion in the training/activity plan as they become evident. NR personnel pay includes travel time in accordance with Part 8, Chapter 4 of Ref A, which increases expenditure and Reserve Days usage. Fiscal responsibility is to be exercised at all times, particularly in the case of those personnel who travel long distances to attend activities/training. It is stressed that the maximum allocation of Reserve Days should not be considered a minimum target for personnel, and that the Reserve Days

target for annual efficiency remains at 20 days.

- b. COs are responsible for the maintenance of accurate training records for all NR personnel, including the timely and accurate completion of individual paysheets. COs are to use training and pay records to monitor Reserve Day usage, with assistance from the FPTO as necessary. Unused Reserve Days by an individual may not be utilised by other personnel who have reached their maximum allowance.

1.11.49 Participation at NZDF Sports and Adventure Training

- a. NR personnel are eligible for selection to participate in recognised NZDF sports or adventure training. Where the individual is RR, a recommendation from the individual's CO for attendance to be on NR pay is to be forwarded to ACN(P&T) before final selection is approved. COs are to take into account whether personnel have met the minimum fitness for service requirements and have made a recent contribution to the NR or NZDF in the preceding 12 months. Where the individual is SR, application is to be made to ACN(P&T) through the career manager.
- b. Time spent participating in sport will not count towards annual efficiency.

1.11.50 - 1.11.55 Not Allocated

Section 5 - Effective Training and Service

Reference:

A. DFO 5 - Defence Force Orders for Entitlements to Pay, Allowances and Expenses

1.11.56 Training Year

The Reserve Force (ResF) efficiency or training year has been adjusted over a number of years. The ResF training year is now aligned to the NZDF's fiscal year, running from 01 July to 30 June of the following year.

1.11.57 Annual Efficiency

- a. Annual efficiency contributes as qualifying time towards medallic recognition, the award of Good Conduct Badges (GCB) and seniority for promotion. In order to qualify for the award of an 'efficient' assessment NR personnel must have satisfied the following requirements:
- (1) have completed not less than 20 days' effective service in the current training year; and
 - (2) satisfied ACN(P&T), through individual COs, that he/she has made a satisfactory contribution to the RNZN or NZDF during the training year.
- b. Where personnel are prevented from completing any period of qualifying service due to a personal injury by accident attributable to naval service, ACN(P&T) may approve an individual having completed the service requirement and assess them as 'efficient' for that year, providing all other conditions have been met.

1.11.58 Qualifying Effective Service

- a. The following activities may be counted towards effective service, in whole or in part:
- (1) **Training, including:**
 - (a) initial training;
 - (b) individual professional or specialist trade training conducted within the NR unit or at an NZDF facility;
 - (c) unit scheduled weekend training;
 - (d) on job training;
 - (e) maintenance of skill-set or continuation training;
 - (f) approved distance education;
 - (g) organised unit physical training in order to maintain MSFT standard; or
 - (h) approved special training activities such as exercises or seminars.
 - (2) **Supplementation or Augmentation.** Including employment on duties within RF units as approved by individual career managers (prior to the duties being carried out).
 - (3) **Parades.** Conducted by individual Reserve units.
 - (4) **Other Parades.** Official participation in ANZAC Day parades, conducted by each unit, as prescribed by COs in accordance with the annual training plan.
 - (5) **Other Duties.** Other duties includes approved ceremonial duties and other duties approved by the ACN(Delivery).
- b. Non-effective service attracts entitlement to normal pay and allowances, but will not count towards annual efficiency. Non-effective service may include, but is not limited to:
- (1) sick leave approved during any period of effective service;
 - (2) personal administration (e.g. completion of security forms, medical reviews, selection boards); and

- (3) approved participation in NZDF sport.

1.11.59 Less than 20 Days Effective Service

- a. Notwithstanding the above provisions, there may be instances when a total of less than 20 days effective service may still qualify an individual to be assessed as efficient for the current year, for example:
- (1) when compassionate circumstances prevented the individual's attendance at qualifying activities;
 - (2) when sickness or injury occurs during training and prevented attendance; or
 - (3) where there is insufficient time during the training year to complete 20 days effective service due to timing of enlistment, a Short Term Engagement (STE) or RF transfer (a STE is defined as a transfer to the RF for a period of less than 12 months' duration. Generally, an STE will be for specific service requirements, e.g. RF supplementation. The full period of RF service will not count as qualifying service for effectiveness or efficiency).
- b. Where there is insufficient time during the training year to complete 20 days effective service, or where leave of absence for a period of greater than 28 days has been approved, the following minimum number of days' effective service must be completed before an individual may be considered for the award of an 'efficient' assessment in that training year:

Months Available for Duty	Minimum Number of Effective Days' Service	Months Available for Duty	Minimum Number of Effective Days' Service
1 month	1 day	7 months	15 days
2 months	2 days	8 months	16 days
3 months	5 days	9 months	17 days
4 months	6 days	10 months	18 days
5 months	8 days	11 months	19 days
6 months	14 days	12 months	20 days

- c. NR personnel who qualify under the above provisions may request to be granted efficiency for that training year. The request is to be submitted in writing through normal Service channels and is to be accompanied by supporting documentation, including an indication by the CO as to whether or not the individual made a satisfactory contribution during the training year. The approving authority is ACN(P&T). Each case will be considered on its merits, with the reasons for approval or non-approval recorded on the individual's personal file. Requests of this nature are to be limited to two successive years.
- d. Once approved, the appropriate date is to be recorded in the NZDF HR information management system.
- e. NR personnel who complete less than 20 days effective service in any training year, and who are subsequently assessed efficient for that training year, may be entitled to partial payment of the Non-RF Gratuity in accordance with the provisions of Chapter 19 of Ref A.

1.11.60 Effective Service for Specified Duties

The following personnel may also be credited with effective service:

- (1) COs who conduct duties not included in training programmes; and
- (2) NR chaplains who officiate at divine services in NZDF bases or who undertake chaplaincy duties.

1.11.61 Non-efficient Personnel

If an individual does not contribute to the NR, the RNZN or the NZDF for a period of three years it is unlikely they will be considered for any further extension of service, and they will be released on reaching their terminal date.

1.11.62 - 1.11.99 Not Allocated

Annex 11-A. RNZNVR/RNZNR Medical Reporting to Naval Health UnitRNZN 182
(Rev 03/11)**RNZNVR/RNZNR MEDICAL REPORTING TO NAVAL HEALTH UNIT**

SURNAME:	FORENAMES:	SERVICE NO:	DATE OF BIRTH:
ADDRESS:		TEL:	
<p>It is important that this office maintains an up-to-date medical file on every member of the RNZNVR/RNZNR, so that we can advise Command on your continuing fitness for employment, promotion, and deployment. To do this, we need information from your GP whenever you have a significant health event. Please make sure your GP/Specialist completes this form if you have any of the following:</p>			Tick as appropriate
a. ANY INJURY THAT AFFECTS YOUR FITNESS TO WORK			
b. ANY ILLNESS REQUIRING ONGOING MEDICATION (HIGH BLOOD PRESSURE, THYROID, ARTHRITIS, COLITIS, GOUT, ETC)			
c. ANY CHANGE IN REGULAR MEDICATION (DOSE, TYPE)			
d. PREGNANCY AND DELIVERY			
DETAILS:			
SIGNED:		DATE:	
Please forward to:			
Medical Records Naval Health Unit Private Bag 32 901 Devonport AUCKLAND			

PART TWO - INTELLIGENCE AND SECURITY

(To be issued)

PART THREE - OPERATIONS, HEALTH AND SAFETY, AND OTHER CORE ROLES

Chapter 1 - Safety, Health and Environmental

Section 1 - Health and Safety: General

Sponsor: DCN

References:

- A. Health and Safety at Work Act 2015
- B. Health and Safety (General Risk and Workplace Management) Regulations 2016
- C. DFO 71 - Defence Force Safety
- D. Naval Forces General Orders

3.1.01 Navy Occupational Safety and Health (NAVOSH)

- a. NAVOSH is a support unit located at Devonport Naval Base within HQ NZDF (Navy) that reports directly to DCN (through ACN (Delivery)). NAVOSH is commanded by the Director of Naval Safety (DNS) and consists of a team of personnel (led by Health and Safety Manager (Navy), HSM(N)) that has a range of skills, including ACC, safety and health operational and advanced technical training. This resource and the safety framework contribute to the operational effectiveness of the RNZN and also the NZDF through the prevention of work-related accidents and illnesses and by minimising environmental impacts.
- b. The purpose of NAVOSH is to promote a healthy and safe working environment and minimise the burden of injuries, occupational illnesses and environmental pollution to the RNZN, its personnel, and others who may be impacted by RNZN activities. NAVOSH's role is to support naval commanders, civilian line managers and representatives of their work groups, ashore and afloat, to provide safe, healthy, environmentally responsible workplaces and work practices, through the application of the RNZN SHEMS.
- c. NAVOSH is the central repository for all N-SHAIR/ RNZN 1 recorded accidents/incidents for the Navy. Where appropriate, other safety related reporting (Sea Safety Events, safety investigations, command investigations, COIs etc.) associated with an accident or incident is to be forwarded to NAVOSH for information, enabling linkages between relevant safety information to be created.
- d. NAVOSH also supports RNZN and RNZNVR by conducting audits. For RNZNVR Units refer Part 1, Chapter 11, Article "1.11.05 Annual Inspections of RNZNVR Units".

3.1.02 Safety, Health and Environmental Management System

The RNZN Safety, Health and Environmental Management System (SHEMS) provides the framework to assist the Navy to maintain safe, healthy workplaces and to minimise any impact on the environment. It is well recognised that effective policies for the management of safety, health and environmental risks have a strong link to the efficiency of training and operations.

3.1.03 Responsibilities

- a. Specific areas of responsibilities with regard to SHEMS are laid down in Part 3, Chapter 4, Section 1 of Ref D.
- b. All officers, ratings, civilian employees and contractors are responsible for complying with these instructions concerning safety, health and the environment.
- c. Navy Occupational Safety and Health (NAVOSH) supports commanders, civilian line managers and representatives of work groups, both ashore and afloat, to provide safe, healthy, environmentally responsible and legally compliant workplaces and work practices, through

the application of the Safety, Health and Environment Management System (SHEMS). SHEMS prevents and reduces harm and personnel injury by identifying and evaluating physical, chemical and other hazards and by providing appropriate advice; receiving accident and injury information, investigating and reporting to prevent repeat; and supporting the RNZN and NZDF maritime capability and seaworthiness with coaching, training, assessment, audit, review, planning input and operational support.

3.1.04 Safety, Health and Environmental Management

- a. **Safety and Health Work Areas.** SHEMS involves the management and control of designated areas within ships and establishments. Such areas are known generically as 'work areas'. SH&E work areas will be designated by the LC(M).
- b. **Safety, Health and Environment Managers.** For the purposes of SHEMS, COs and managers responsible for one or more designated work areas will be referred to as SH&E Managers.
- c. **Safety and Health Coordinators.** A Safety and Health Coordinator is to be nominated by each SH&E Manager. The coordinator is to have a general overview of safety and health legislation, and is to be given any necessary training prior to taking up the appointment.
- d. **Environmental Compliance Coordinators.** An Environmental Compliance Coordinator is to be nominated by each SH&E Manager. The coordinator is to have a general overview of environmental legislation, and is to be given any necessary training prior to taking up the appointment.

3.1.05 Annual SHEMS Plan

- a. Director of Navy Safety and Health (DNSH) is to submit an annual SHEMS improvement plan to DCN by 1 July each year. This is based on the NAVOSH annual report. The annual plan is developed to align initiatives to the strategic plans of the NZDF. Refer Part 0, "[Chapter 1 - Navy Governance](#)".
- b. The annual inspection conducted by ACN (D) will help to ensure that the operational aspects of each division align with this safety and health plan.

3.1.06 Injury Management (Case and Claims, Rehabilitation and Return to Work)

The management and rehabilitation of personnel under ACC's Accredited Employers' Programme, including claims procedures, entitlements, complaints processes, rehabilitation and the management of non-work injuries is covered in the HR Toolkit. This can be accessed at <http://orgs/imx/hr-toolkit/LP/Home.aspx>.

3.1.07 Work Area Involvement

Those employed regularly in a particular work area will generally have a thorough knowledge of the processes used there and the potential hazards and risks that exist, and can therefore make an important contribution to the SH&E management programme. Officers, ratings and civil staff are to actively participate in the identification and assessment of potential safety, health or environmental hazards, and the development of 'safe work' procedures to eliminate, so far as is reasonably practicable, or minimise each hazard and risk identified, as required by s.30 of the HSWA.

3.1.08 Reporting of Accidents, Incidents, Spills and Non-Compliant Discharges

Refer to Part 3, Chapter 4, Section 1 of Ref D for details on the reporting of accidents and incidents.

3.1.09 RNZN Operational Risk Management

Introduction

- a. The RNZN Operational Risk Management (ORM) policy aligns with best practice (such as the IMO Formal Safety Assessment and ABR 6303 documented and auditable risks assessment). The RNZN ORM is also based on higher NZDF policies such as DFO 81 - Risk Management, DFO

10 - Safety and DFO 32 - Environmental Protection. The purpose of ORM in the RNZN is simply to make risk more transparent and cumulative effects more coherent, to the decision makers and ensure that risk is balanced against outcome when decisions are made.

Application

- b. These orders represent the minimum level of ORM to be conducted prior to an evolution or activity by any RNZN Force Element (FE). While command may tailor the assessment to meet specific risks, the overall ORM process is to be maintained with documented records retained as a baseline and for post activity (lessons learnt) purposes.

The RNZN Operational Risk Management System

- c. The RNZN ORM system is designed to provide a fast and proven assessment of risk. It has the following attributes:
 - (1) a structured and systematic methodology;
 - (2) aimed at enhancing maritime safety;
 - (3) improving communication and continuous improvement;
 - (4) achieving a balance between documentation, technical and operational issues; and
 - (5) improving alignment with NZDF risk, safety, environmental and other policies.
- d. In simple terms, the structured ORM steps can be reduced to:
 - (1) What might go wrong? = identification of hazards (a list of all relevant accident scenarios with potential causes and outcomes);
 - (2) How bad and how likely? = assessment of risks (evaluation of risk factors);
 - (3) Can matters be improved? = risk control options (devising regulatory measures to control and reduce the identified risks);
 - (4) What would it cost and how much better would it be? = cost benefit assessment (determining cost effectiveness of each risk control option and for safety and health purposes considering whether the cost is disproportionate to the risk); and
 - (5) What actions should be taken? = recommendations for decision-making (information about the hazards, their associated risks and the cost effectiveness of alternative risk control options is provided).

3.1.10 Investigation

- a. A safety investigation is a process conducted for the purpose of accident prevention, which includes the gathering and analysis of information, the drawing of conclusions, including the determination of contributing factors and, when appropriate, the making of safety recommendations.
- b. A safety investigation must be initiated where a safety event triggers its requirement¹. This should update standing orders, procedures and practices with investigation recommendations, and changes must be communicated to all RNZN personnel for whom they are responsible.
- c. Safety investigations are to be conducted into all notifiable events. They are to be undertaken by a competent person or persons in accordance with RNZN procedure.
- d. The purpose of conducting internal safety investigations is to establish root causes and to implement changes to share lessons learned and to prevent recurrence.
- e. The person appointed to head the safety investigation has the authority to interview any

1. Unless the event is, or becomes, the subject of a Preliminary Investigation or Court of inquiry (COI) under the Armed Forces Discipline Act, or a command investigation.

RNZN personnel, irrespective of rank or seniority and is to be permitted access to any source of safety information.

- f. The resulting report should:
 - (1) Identify the factor(s) that led to the injury, illness, incident or other system failure; and
 - (2) Review the identified hazards, assessed risks and effectiveness of the controls; and
 - (3) Recommend appropriate controls and corrective actions.
- g. Further guidance is provided at NZBR 2015 - RNZN Health and Safety Manual.

3.1.11 - 3.1.19 Not Allocated

Section 2 - Workplace and Work Process Safety

References:

- A. DFO 41 -Safe Management of Hazardous Substances
- B. DFO 71 - Defence Force Safety
- C. The Health and Safety at Work Act 2015
- D. Safety Management System Manual

3.1.20 Duties of Workers

- a. Workers² must ensure their own safety while at work and that no action or inaction by the employee causes harm to any other person.
- b. Workers are to advise their supervisors if alcohol, prescription drugs or other substances or other influences are likely to cause any reduction of the employee's ability to work safely.

3.1.21 Duties of Officers, Ratings and Civilians Responsible for Work Areas

- a. Officers, ratings and civilians responsible for work areas must have received the relevant training, qualifications and experience to ensure their own competency in:
 - (1) identifying hazards, assessing risks and implementing and evaluating risk controls; and
 - (2) identifying and managing at-risk behaviours and situations, such as the consequences of departing from operating processes and procedures.
- b. They are to provide information to employees on:
 - (1) what to do in an emergency;
 - (2) all hazards and risks the employee may be exposed to while carrying out their work;
 - (3) all hazards and risks the employee may create and the steps to be taken to eliminate or minimise harm to other people;
 - (4) where safety clothing, devices, equipment and materials are kept;
 - (5) results of any monitoring specific to the employer; and
 - (6) results of general monitoring of the workplace, but not specific to another individual.
- c. They are to provide training and supervision to ensure each employee:
 - (1) has sufficient knowledge so that the employee is not likely to cause harm to themselves or other people, or is supervised by a person with such knowledge or experience;
 - (2) is adequately trained in the safe use of equipment, materials and safety clothing that the employee is or may be required to use or handle; and
 - (3) is involved with the development of safety procedures, particularly those required by HSWA 2015, s. 36.

Health and Safety Roles

- d. Health and Safety Representatives (HSRs) and Unit Health and Safety Coordinator (UHSCs) are required within all work groups/workplaces. Military and civilian members of the NZDF may be appointed as HSRs; however, in accordance with HSWA 2015 and DFO 71 only civilian members of the NZDF may request the election and training of an HSR to represent workers within their work group/workplace. If this is formally requested, commanders and managers must facilitate an election, providing all resources, facilities, and assistance that are reasonably necessary.

2. All RNZN personnel, apart from CN, are considered 'workers' under HSWA 2015.

- e. The primary role of the HSR is to represent workers as an advocate for health and safety in the work group/workplace, while the primary role of the UHSC is to coordinate safety functions and provide safety advice to commanders and managers. The numbers employed by individual commanders and managers will differ; however, the minimum for any single work group is one HSR and one UHSC.
- f. Commanders and managers may determine a different work group structure for their workplace based on their workplace requirements where:
 - (1) work is considered high risk or above;
 - (2) high work rates or intense operational tempo; or
 - (3) worker absences due to overseas duty, leave, courses or training etc.

3.1.22 Safe Sailor Action

- a. An effective safety culture involves everybody knowing their responsibilities, and equally their limitations. To reinforce and promote personnel safety, the **Safe Sailor Action** statement has been introduced. The statement is to be incorporated into all evolutions or mission briefings and is to be included at the commencement of a briefing. The **Safe Sailor Action** to be articulated prior to all evolutions is:

“Any person, regardless of rank or position, on witnessing a safety or potential safety breach, including imminent equipment failure, is to raise it immediately to the supervisor or the command without delay. You are empowered to do so without fear of repercussion as it is everybody’s responsibility to ensure we operate in a safe work environment.”

- b. The inclusion of the **Safe Sailor Action** statement does not remove or replace existing instructions regarding safety associated with an evolution or mission briefing.

3.1.23 PCBUs to Ensure Safety of Workers

Officers, ratings and others responsible for work areas are required to take all practicable steps to ensure the safety of workers at work, and in particular are to provide a safe environment, safe systems of work, appropriate equipment, training, emergency procedures and freedom from hazards.

3.1.24 Identification and Management of Hazards

- a. Officers, ratings and others responsible for work areas are required to identify SH&E hazards and risks in the areas for which they are directly responsible. A guide to hazard recognition is at [“Annex 1-G. RNZN Guide to Hazard Recognition”](#).
- b. When the hazard has been identified the person responsible for the work area is to:
 - (1) Eliminate the hazard so far as is reasonably practicable.
 - (2) If elimination is impractical then the danger to personnel is to be minimised so far as is reasonably practicable by employing the hierarchy of control measures e.g. by substituting one product or process for a safer one, isolation (through barriers or bunding), mechanical controls (cut-off switches, ventilation), administrative controls (training, procedures, tag out) and as a last resort, personal protective equipment
 - (3) Ensure personnel, including contractors, employed in the work area are aware of any potential hazards, which may arise or develop during the course of their work.

3.1.25 ‘Safe Work’ Procedures

- a. ‘Safe work procedures should be used for higher risks and HSWA compliance. <http://www.worksafe.govt.nz/worksafe/toolshed/writing-health-and-safety-documents-for-your-workplace>.
- b. Safe work procedures include forms, plans, policies, checklists, posters, signs and other

material. These should explain how personnel are to work safely and protect their health and the environment and what to do if something goes wrong. For example, see the WorkSafe good practice guideline.

3.1.26 Monitoring Health and Safety in the Work Place

The health of all officers, ratings and civil staff regularly exposed to hazards, which could cause gradual deterioration in health or physical well-being, is to be monitored. Methods used to monitor health are to include information gathering, monitoring of exposure, record keeping and periodic health assessments. Personnel must be informed about the results of any monitoring of their health or their work environment.

3.1.27 Alcohol and Drugs, Other Substances or Influences That Reduce Work Place Safety

Employees are not to work, or be expected to work, under the influence of alcohol, drugs or other substances, emotional upset, injury, or other condition that reduces their ability to work safely. Where a supervisor considers that the employee's condition is preventing the employee from working safely in the work place the employee is to be requested to move to some other work area that is safe, or other safe place; in each case an entry in N-SHAIR is to be generated.

3.1.28 Contractors and Subcontractors

- a. The NZDF, as 'principal' PCBU under a contract for work or services, must ensure that all contractors and associated subcontractors are briefed and fully informed of hazards existing in areas where they or their staff will be working, relevant navy emergency procedures, and are aware of the legislative and navy requirements for work to be performed in a safe and environmentally compliant manner. SH&E performance requirements are to be included in all contracts.
- b. The officer appointed as contract manager is to be responsible for the provision of all necessary briefings and information.
- c. It must be demonstrated that the contractor has an effective health and safety management system in place before a contractor is engaged. See also Part 0, Chapter 6, Article 0.6.42 Safety of Contractors and Visitors of Ref D.

3.1.29 Prevention of Collisions

COs/OICs of HMNZ Ships are to ensure that the ship is navigated iaw all rules prescribed in the Collision Regulations, including rules of steering and use of lights, shapes and means of making fog signals.

3.1.30 Reporting of Dangers to Navigation

COs/OICs of HMNZ Ships are to, where it is practicable, report sightings directly to emergency services of any direct danger to navigation (e.g. ice or derelict), contact with unreported tropical storm of force 10 winds or above, or encountering conditions that cause severe ice build-up on superstructures.

3.1.31 Particular Hazardous Work (Notifiable Work)

- a. All commands, organisations and units will work to:
 - (1) identify any need for notifiable work;
 - (2) advise the Base Operations Officer (BOO); and
 - (3) communicate with their SHEMS Co-ordinator and H&S Advisor.
- b. Note - the Health and Safety in Employment Regulations 1995 requires the PCBU to provide at least 24 hours notice to Worksafe New Zealand of particularly hazardous work as defined below:

- (1) any restricted work, as that term is defined in Regulation 2(1) of the Health and Safety in Employment (Asbestos) Regulations 1998;
 - (2) any logging operation or tree-felling operation, being an operation that is undertaken for commercial purposes;
 - (3) any construction work of one or more of the following kinds:
 - (a) work in which a risk arises that any person may fall five metres or more; other than
 - (b) work in connection with a residential building up to and including two full storeys;
 - (c) work on overhead telecommunications lines and overhead electric power lines;
 - (d) work carried out from a ladder only;
 - (e) maintenance and repair work of a minor or routine nature.
 - (4) the erection or dismantling of scaffolding from which any person may fall five metres or more;
 - (5) work using a lifting appliance where the appliance has to lift a mass of 500 kilograms or more a vertical distance of 5 metres or more, other than work using an excavator, a fork-lift, or a self-propelled mobile crane;
 - (6) work in any pit, shaft, trench, or other excavation in which any person is required to work in a space more than 1.5 metres deep and having a depth greater than the horizontal width at the top;
 - (7) work in any drive, excavation, or heading in which any person is required to work with a ground cover overhead;
 - (8) work in any excavation in which any face has a vertical height of more than five metres and an average slope steeper than a ratio of one horizontal to two vertical;
 - (9) work in which any explosive is used or in which any explosive is kept on the site for the purpose of being used;
 - (10) work in which any person breathes air that is or has been compressed or a respiratory medium other than air.
- c. It shall not be necessary for any employer to comply with subclause (2) before commencing any construction work or tree-felling operation necessary to deal with an emergency arising from:
- (1) damage caused by any earthquake, explosion, fire, flood, lightning, rain, slip, storm, or washout; or
 - (2) the blockage or breakdown of any drain or sewer; or
 - (3) the blockage or breakdown of any distribution system or network for electricity, gas, telecommunications, or water.

3.1.32 - 3.1.34 Not Allocated

Section 3 - Dangerous Goods, Hazardous Substances, Explosives and New Organisms Management

3.1.35 New Organisms

- a. No new organism, including insects, animal matter, animals and plants that are not already established in New Zealand, are to be imported or manufactured without the approval of the Environmental Protection Authority (EPA). COs of ships returning from overseas are to be particularly vigilant that new organisms are not brought on board either intentionally by crew as souvenirs (agricultural products, coral etc.) or unintentionally such as mosquito larvae in rainwater catchment areas, or soil on equipment and sportswear.
- b. **Ballast Water.** The RNZN Ballast Water Management Policy can be found in [“Annex 1-H. Ballast Water Management Plan”](#). Parts 2 and 3 contain the relevant information for Ships Water Ballast Management Plans.
- c. **Quarantine Waste.** Quarantine waste from vessels returning from overseas is to be disposed in special containers approved by the Ministry of Agriculture and Fisheries.

Part One - Policy

References:

- A. DFO 41 -Safe Management of Hazardous Substances
- B. DFO 71 - Defence Force Safety
- C. The Health and Safety at Work Act 2015
- D. International Maritime Dangerous Goods (IMDG) Code
- E. The Hazardous Substances and New Organisms (HSNO) Act 1996

3.1.36 Overview

- a. The RNZN must ensure the safe management of hazardous substances that are used, handled, generated or stored in the workplace to ensure the health and safety of workers and workplaces, and to assist in the prevention of harm to the environment.
- b. To achieve this, the RNZN will comply with DFO 41, and its application at sea in a maritime environment through compliance with the International Convention for the Prevention of Pollution from Ships (MARPOL) and through the International Maritime Dangerous Goods (IMDG) Code provided by the International Maritime Organisation (IMO), whilst providing personnel with appropriate information, training and instruction in order to achieve this.
- c. Key aspects of this are that:
 - (1) all hazardous substances ‘so far as is reasonably practicable’ must be identified and registered in the CHEMWATCH database in accordance with Ref B, Part 19.3;
 - (2) any reasonably foreseeable hazards from hazardous substances that could give rise to risks to health and safety must be identified; and
 - (3) all risks to health, safety and the environment from hazardous substances must be eliminated so far as is reasonably practicable, otherwise those risks must be minimised, so far as is reasonably practicable.

3.1.37 Definitions

Dangerous Goods

- a. Dangerous goods are defined as: substances that have explosive, flammable, toxic, infectious, corrosive or environmentally hazardous properties, and containers that have held dangerous goods that are transported on land. The International Maritime Dangerous Goods (IMDG) Code covers shipborne handling, stowage and transportation of cargo that is classed as

dangerous goods. The code is to be complied with for dangerous goods when they are carried as cargo i.e. goods that are not for the ship's own use. The IMDG code is held by the LC(M) staff, who will provide advice as required. Refer to NZBR 2015 (when published).

Hazardous Substances

- b. A hazardous substance is defined as: any substances that have explosive, flammable, toxic, infectious, corrosive or environmentally hazardous properties, and containers that have held dangerous goods that are held on board ships as part of ship's stores or carried on behalf of charities or OGAs. As such hazardous substances are to be carefully managed at sea and ashore at all times as directed by the NZDF Hazardous Substances policy which is set out in DFO 41.
- c. Regardless of their definition as dangerous goods and hazardous substances, the handling and safety measure taken for these items is the same. The differences between the two are more easily defined as follows:
 - (1) When hazardous substances are being transported they are termed 'dangerous goods'. Refer to NZBR 2015.

3.1.38 Ownership

- a. COs and OICs are responsible for the safe management and use of hazardous substances within the work environment. They are to ensure that:
 - (1) they co-operate, collaborate and consult with their workers to fulfil all policy and procedural requirements relating to the health and safety of workers in relation to hazardous substances;
 - (2) the legislative requirements of the Health and Safety at Work Act and regulations are satisfied by identifying, assessing and controlling the risks associated with hazardous substances;
 - (3) workers are protected from hazardous substances as far as is reasonably practicable;
 - (4) the implementation of all requirements included in this policy; and
 - (5) contractors, visitors and other third parties in any NZDF workplace are not exposed to risks from hazardous material (i.e. asbestos), so far as is reasonably practicable.
- b. The Maritime Logistics Officer (MLO) or officer conducting supply duties is responsible to their CO for the correct application of this policy.
- c. The MLO is responsible for:
 - (1) the safe and correct storage of hazardous goods that are secured within naval storerooms on board;
 - (2) the completion and maintenance of the consolidated hazardous substance register; and
 - (3) the annual inspection of all compartments used for the stowage of hazardous substances.
- d. Department Heads are responsible to their CO for the safe and correct storage of hazardous substances that are issued to personnel in their department.
- e. Members of the RNZN have a responsibility to ensure they:
 - (1) take reasonable care for their own health and safety;
 - (2) take reasonable care that their acts or omissions do not adversely affect the health and safety of other persons;
 - (3) comply with instructions that are given by commanders/managers/supervisors to allow the person to comply with safety legislation; and

- (4) co-operate with any reasonable policy or procedure of the NZDF relating to health or safety at the workplace that has been notified to workers.

3.1.39 Storage and Carriage of Hazardous Substances - Procedures and Requirements

- a. Storage and carriage of hazardous substances on board RNZN Ships and hazardous substances that are embarked on board HMNZ Ships for carriage on behalf of Other Government Agencies (OGAs) and charitable organisations are to be stored in compliance with the requirements laid out in IMO IMDG Code Part Seven. This in no way contravenes or surpasses the requirements of RNZN ships to comply with the regulations laid out in MARPOL for the carriage of polluting substances.
- b. Hazardous substances that are stored on board RNZN shore based establishments are to be stored in compliance with the requirements laid out in DFO 41.
- c. **Embarkation of Hazardous Substances as Cargo.** HMNZ Ships are to liaise with the LC(M) prior to embarking dangerous goods as cargo. All queries regarding the embarkation of HSNO substances should state the substance(s) to be carried, quantities, packaging and labelling so that compliance with the IMDG Code can be confirmed. HMNZ Ships are not to load dangerous goods to be carried as cargo unless the goods are fully packaged and labelled iaw the IMDG Code.
- d. Written approval, from the ship's CO, is to be gained prior to hazardous substances being embarked on board HMNZ Ships by OGAs and charitable organisations. A Dangerous Goods Manifest (RNZN 0705) as required by SOLAS 74, Chapter V11, Regulation 4.5, MARPOL 73/78, Annex III, Regulation 4(3) and Chapter 4.4, paragraph 5.4.3.1 of the IMDG Code is to be made available for inspection prior to any dangerous goods being embarked. COs are to ensure that indemnity and declaration (MD 461) forms as appropriate are completed for hazardous substances prior to embarkation.
- e. See DFO 36 for specific guidance on the 'Movement of Dangerous Goods.'
- f. See Article "[3.1.49 Accounting for and Transferring Hazardous Goods](#)" for the application of this policy.
- g. Since the properties of hazardous substances within the dangerous goods classes may vary greatly, the dangerous goods list should always be consulted for particular provisions of segregation. Segregation is the process of separating two or more substances or articles which are considered mutually incompatible when their packing or stowage together may result in undue hazards in case of leakage, spillage or an accident.
- h. To determine the segregation requirements between two or more dangerous goods, the segregation provisions including segregation tables at Chapter 7.2. within the IMDG Code should be consulted.

3.1.40 Warning Signage

- a. Warning signage is a means of alerting personnel to the presence of hazardous substances and providing information about them. They are an important part of an overall safety management system strategy for workplaces storing or handling hazardous substances. Requirements for locations of 'WARNING SIGNS' are specified in DFO 41.
- b. Warning signs serve to:
 - (1) alert people (workers, contractors, visitors and emergency service personnel) to the presence of hazardous goods;
 - (2) identify hazardous goods stored in bulk (e.g. tanks);
 - (3) identify areas where significant quantities of hazardous goods in packages are stored;
 - (4) identify the hazards of goods present; and

- (5) indicate the required emergency actions for hazardous goods in tanks through the use of the HAZCHEM Code.
- c. For shore establishments the following requirements in DFO 41 are to be met:
 - (1) An outer warning placard must be displayed on every entrance to a workplace so that it is clearly visible from normal approaches.
 - (2) Information warning signs must be located within the workplace at the relevant storage location so that they are clearly visible from normal approaches. For hazardous substances stored in an indoor area, the information warning signs must be located at:
 - (a) at the main point of entry to the building where the substances are stored, and
 - (b) at the entry to each room or area where the substances are stored.
 - (3) In order to comply with Ref B all warning signs must be:
 - (a) printed in colour,
 - (b) written in English,
 - (c) state that hazardous substances are present,
 - (d) state the general type of hazard of each of the substances, and
 - (e) describe the immediate response action to be taken in an emergency.
 - d. For RNZN ships it is recognised that the signage requirements, especially when applied to locations on the upper decks, may pose a threat to the safety and security of a vessel. As such, MSDS and appropriate signage is to be displayed clearly on the entrance to compartments or lockers which are accessed internally.

3.1.41 Labelling and Identification of Hazardous Substances

- a. Labelling of hazardous substances provides detailed information about the safe storage and use procedures for the item. The provision of this information is required to be compliant with Ref B.
- b. The RNZN is required to ensure the following:
 - (1) each container which holds a hazardous substance used, handled or stored in the workplace, including a container supplied to or produced at a workplace, is correctly labelled;
 - (2) the container must be labelled correctly until the hazardous substance is removed from the container and the container is cleaned to the extent that it no longer contains the hazardous substance;
 - (3) the label must not be removed, defaced or altered and should be replaced if damaged or difficult to read;
 - (4) decanted hazardous substance containers must be labelled; and
 - (5) containers labelled for the use of hazardous substance are only to be used for use, handling and storage of that hazardous substance.
- c. See Article [“3.1.49 Accounting for and Transferring Hazardous Goods”](#) (Corrosive Stores) for the procedure for the application of these rules.

3.1.42 NZDF Chemical Database (CHEMWATCH)

- a. The NZDF chemical database is CHEMWATCH. CHEMWATCH identifies hazards associated with chemicals and advises how to manage those hazards.
- b. The NZDF Hazardous Safety Committee is responsible for the provision, maintenance and control of the CHEMWATCH system within the NZDF. Any identified shortfalls should be highlighted to this committee on discovery.

- c. The supervisor of each work area that holds hazardous substances is to maintain an accurate manifest of these chemicals or devices. This inventory can be created using the CHEMWATCH program. The manifest is to be readily available to emergency services.
- d. CHEMWATCH is accessible via the NZDF intranet or via a standalone laptop on RNZN ships. The training manuals and help files are available on the NZDF Intranet under the CHEMWATCH program.
- e. CHEMWATCH is to be used to prepare safe handling, storage, use and disposal procedures for all substances present in the work place that have the potential to injure personnel, damage equipment, damage the environment or be wasted as a result of mismanagement. These procedures are to be prepared prior to receipt of the hazardous substance.
- f. A 24-hour emergency advice telephone service is available to the NZDF by dialling 00800 CHEMCALL (0800 24362255). Your call will be answered by a CHEMWATCH expert in Australia who will guide you through the chemical emergency.
- g. NAVOSH also remains accessible for all units to seek advice and guidance for Hazardous Substances. In the event of an incident NAVOSH are to be advised.

3.1.43 Emergency Response Plan

- a. All COs are to ensure that current and appropriate Emergency Response Plans (ERP) is in place for the hazardous substances contained within their workplace.
- b. The plan must describe procedures to be followed for all likely emergencies that could arise as a result of the hazardous substance being present. Likely emergencies would include fire, flooding, bomb threats, heavy ship roll, stores movements, forklift impact, etc, both during and outside of working hours. The requirements of the ERP should, wherever possible, be integrated into the overall safety instructions that cover the work environment. The plan must include, where relevant, the following:
 - (1) A means of warning all personnel in the area that an emergency has occurred.
 - (2) Directions for emergency command, control and reporting.
 - (3) Actions to be followed for self-protection (remain behind cover, evacuate etc).
 - (4) Actions to provide emergency first-aid to others.
 - (5) Method of managing the emergency so that its adverse effects are restricted to the area/compartment.
 - (6) Retention of any liquid or liquefied oxidising substances to prevent it contacting incompatible substances.
 - (7) How to re-establish a normal safe management procedure on hazardous substances remaining after the emergency is over.
 - (8) Location of emergency equipment (spill kits, fire fighting equipment, eye wash stations, emergency shower, emergency water supplies etc).
 - (9) Evacuation procedures.
 - (10) Contact details for emergency services (Fire, Ambulance, National Poisons Centre, chemical response advice).
 - (11) Identify personnel with responsibilities for undertaking any of the actions required by the plan, and contact details.
 - (12) Actions required by personnel with responsibilities under the plan.
 - (13) How to obtain information about the hazardous properties and a means of controlling the substance(s) that could be involved.
 - (14) How to contact any emergency service provider.

- (15) How to obtain a manifest for the area(s) controlled under the plan.
- (16) How to decide what actions to take.
- (17) What sequence the actions should be taken in.
- (18) The ERP is to be practiced annually iaw DFO 41 and is to be recorded via MONICAR.

3.1.44 Embarkation and Disembarkation of Hazardous Goods

- a. The embarkation, disembarkation, storage and carriage of dangerous goods on board RNZN ships are to be conducted iaw DFO 41, the land transport rule with regard to hazardous substances and the IMDG Code Part 7.2.4.
- b. All embarkation/disembarkation of hazardous substances is to be conducted exclusively by qualified and suitably trained personnel in accordance with the regulations of the IMDG Code (see para 1.10).
- c. Heads of Department are responsible to the CO for the segregation and placement of Dangerous Goods, and are to ensure the location of Dangerous Goods are annotated on ship's emergency plans and within the respective ship's compartment emergency check off cards (RNZN 400) in case of fire or spillage.
- d. Departments are to only order the minimum quantities of Hazardous substances, sufficient for normal use. The department ordering the hazardous substance are to collect the material for transfer and store only in an approved location.
- e. In storing hazardous substances personnel are to observe the following:
 - (1) Combustible materials, such as paper, oily rags, cotton waste, paints, solvents, volatile liquids, and painting cloths required for use where hazardous substances are stored or used must be removed to a safe storage place when not in use.
 - (2) Quantities of hazardous substances held should be minimised to a level consistent with user needs.
 - (3) Hazardous substances no longer used are to be disposed of to an authorised disposal agent or transferred to other users.
 - (4) Decanting should be avoided whenever possible. Smaller containers of the hazardous substance should be ordered instead.
 - (5) Every container should be clearly marked with the name and hazardous properties of its contents.
 - (6) Hazardous substances must be stored and used appropriate to the designed purpose. Any features that are incompatible with hazardous substances storage and use are to be remedied.
 - (7) Precautions must be taken to prevent Hazardous Substances from entering any drains or bilge system.

3.1.45 Training and Qualifications

- a. Personnel responsible for or required to supervise hazardous substances must be qualified to do so.
- b. **Hazardous Substance Awareness Course.** All RNZN Personnel are to complete the basic Hazardous Substance Awareness course (D61801) via the NZDF Learning Management System as part of Basic Common Training or Junior Officer Common Training.
- c. **Hazardous Substance Handler Course.** All RNZN Support branch personnel, Maritime Logistics Officers and Marine Engineering Officers are to complete the Hazardous Substance Handler Course (D61802). In addition, key ratings identified within both the Engineering and Seamanship branches may also be required to undertake this course, if identified by the ship

as prudent to do so. This qualification is valid for five (5) years at which time the handler is required to re-qualify. This course qualifies personnel as an approved handler to stow and distribute hazardous substances. It is the responsibility of the approved handler on distribution to inform the end user of the correct use, including Personal Protection Equipment (PPE) to be used and emergency reactions if applicable as per the Material Data Sheets (MSDS) for each hazardous substance.

- d. **Hazardous Substance Test Certifier (D61803).** The Hazardous Substance Test Certifier qualification is a specialised qualification for the inspection of buildings and is not required for uniform RNZN personnel.
- e. **International Air Transport Authority (IATA) Course.** The IATA qualification is a specialised qualification for the transport of dangerous goods via air transport. This qualification is a compulsory qualification for Logistics Supply Specialists (LSSs) to progress to Petty Officer and personnel seeking advice on this topic should seek out their senior LSS in the first instance.
- f. **International Maritime Dangerous Goods (IMDG) Course.** The IMDG qualification is a specialised qualification for the transport of dangerous goods as cargo via sea transport. This qualification is a compulsory qualification for key personnel involved in the transportation of hazardous substances at sea. Personnel seeking advice on this topic should seek out their career manager in the first instance.

3.1.46 Responsibilities

COs are to:

- (1) appoint the appropriate officers to manage hazardous substances safety;
- (2) ensure that ship policies and SOPs that meet the requirements of this policy are developed, issued and distributed in a timely manner;
- (3) ensure only fit and proper persons with appropriate qualifications and experience are involved in the handling, storage and disposal of hazardous substances;
- (4) ensure that members of the NZDF and contractors and their employees comply with this order;
- (5) provide Standing Orders and SOPs for activities involving the storage, transportation and use of hazardous substances;
- (6) ensure appropriate equipment (including PPE) is provided for dealing with hazardous substances;
- (7) ensure appropriate equipment (including PPE) is used;
- (8) display notices warning of the dangers of not using appropriate equipment or correct procedures;
- (9) take appropriate action where orders are not followed; and
- (10) ensure that personnel are instructed and practiced in the correct safety procedures.

3.1.47 Reporting

- a. A maintained up to date manifest (RNZN 0740), listing the hazardous substances on board is to be prepared and managed by the MLO, or the appointed OIC. A manifest is a list of the hazardous substances stored with their classifications and the maximum quantities of these substances that the area is permitted to hold. This is required in order to mitigate and allow for the effective management of risks held on board in the event of a emergency. A manifest is required to be readily available to emergency services 24 hours a day, 7 days a week.
- b. Reporting procedures from ozone depleting substances are at Article [“3.1.72 Ozone Depleting Substances”](#).

3.1.48 Storage Procedures and Requirements

- a. Storage and carriage of dangerous goods onboard RNZN ships is to be conducted iaw the IMDG Code (see para 1.1.2).
- b. Where ships are unable to comply with the storage regulations laid out in IMDG due to the configuration of the ship, the following shall apply:
 - (1) Where a full compartment separation cannot be achieved lockers may be installed into compartments to provide the separation of hazardous goods. These lockers are to comply with the following requirements:
 - (a) secured in a manner to ensure that the items stowed inside will not dislodge and access to these goods is restricted to the necessary personnel only;
 - (b) ventilation is sufficient to allow air flow and retain a low temperature for the storage of the item; and
 - (c) MSDS are to be displayed clearly on the outside of the locker or compartment.
 - (2) A compliant ISO container may be secured to the upper decks to be utilised as a separate compartment for the stowage of hazardous goods. The container is to comply with the requirements laid out at 1.1.2.3.1 within the IMDG Code.
- c. Ship's senior SA should liaise with departments on a quarterly basis to confirm that the hazardous goods being carried and used on board are still required. Substances that are no longer being used, or have expired (lifer products) are to be landed and returned to the Naval Supply Depot when next alongside Devonport Naval Base.
- d. If, for operational or other reasons, compliance with the stowage and segregation procedures and requirements of DFO 41 and the IMDG Code cannot be achieved; a RNZN 180 or a OPDEF is to be raised highlighting the deficiency.

Labelling of Hazardous Goods

- e. In order to comply with DFO 41 all labels must be:
 - (1) printed in colour;
 - (2) written in English;
 - (3) include the name of the substance; and
 - (4) show the appropriate pictogram for that substance.
- f. Labels should be applied to the containers of hazardous goods identified for disposal. Unless the container that has held a hazardous chemical has been thoroughly cleaned and all chemical residues removed, it is classified as a hazardous chemical and must be labelled and disposed of accordingly.

3.1.49 Accounting for and Transferring Hazardous Goods

Receiving Stores from Suppliers

- a. When receiving hazardous goods stores from suppliers the recipient is to ensure that the appropriate MSDS has been supplied or is available through CHEMWATCH. Stores are not to be accepted if no documentation for the hazardous substance is available.

Issuing Hazardous Substances

- b. Those responsible for issuing hazardous and toxic goods are to ensure they are accompanied with the appropriate MSDS or the appropriate Hazardous Substance Management Cards and that adequate supervision and protection is available to stores staff when handling hazardous or toxic substances.
- c. When issuing hazardous or toxic substances stores staff (or those qualified to issue stores if no stores staff are borne) iaw MSDS are to ensure substances are issued in the approved storage container, and not transferred to an inferior container for easier handling. Issuing staff are to

ensure that recipients have the appropriate Personal Protection and Equipment (PPE) and understand the safe handling procedures iaw the MSDS. If the MSDS is missing, MSDS are to be reproduced using CHEMWATCH or sourced from the supplier prior to any hazardous substance being issued.

Hazardous Goods Stores Lost or Damaged

- d. A Command Inquiry or Court of Inquiry is to be convened when hazardous or toxic substances, irrespective of value, are lost or damaged.
- e. Copies of the proceedings of the Command Inquiry or Court of Inquiry are to be attached to any subsequent application to write off the stores regardless of the approval level.

Corrosive Stores

- f. **Stowage.** Items should be stowed in an approved storage container in a cool, dry place away from all flammables, oxidising substances, organic peroxides and radioactive substances iaw the IMDG Code.
- g. **Handling.** Items should be handled carefully with PPE worn when handling. Most corrosives cause burns to varying degrees and are particularly dangerous to the eyes. In the instance of contact with the skin or eyes, wash and flush freely with water, seeking medical attention immediately if in any doubt as to the effectiveness of the washing action. Contaminated clothing should be washed thoroughly before re-use and any spillage or leakage should be drenched and washed away with water.
- h. Special caution is to be taken when handling corrosive hazardous substances that are temperature sensitive, lified and dangerous when wet. These products, including Chlorine and Sodium Hypochlorite, should be handled with care, transported appropriately and stowed in accordance with the IMDG Code and DFO 41.

Flammable Items

- i. **Stowage.** All compositions and liquids having a flash point of 65.5 Celsius (100 Fahrenheit) or below are to be stowed in a flammable storeroom, away from naked lights, fires and any source of heat. In addition, they are to be stowed away from all other items, particularly those of a combustible nature. The storeroom is to be secured by both a rim lock and padlock. No deviation is to be allowed from this practice except in the following cases:
 - (1) **Bulk Stowage.** In shore establishments bulk stores in drums may be held in a compound. This compound should be a secure locked area well away from other items and buildings, compliant with DFO 41 and have warning notices prominently displayed '**DANGER FLAMMABLE RISK - NO SMOKING OR NAKED LIGHTS**'.
 - (2) **Upper Deck Stowage.** Certain ships in which a flammable storeroom is not provided, and those which carry stocks of petrol, kerosene or other flammable liquids in cans or drums, should stow stocks in open racks with tray bottoms or quick release stowages on the weather or upper deck in a position from which they can be thrown overboard in an emergency.
 - (3) If additional stowage of flammable hazardous substances is required and appropriate stowage is not available, permission is to be sought through the RNZN 180 process through the Maritime Regulator. This is to detail the risk mitigation strategies and steps put into place.
- j. First aid fire-fighting appliances appropriate to the risk are to be sited at a convenient point in the vicinity of buildings and compounds containing flammable items. Highly flammable liquids in drums are not to be stowed in stacks more than two high.
- k. **Handling.** Care is to be taken at all times when moving, hoisting or lowering drums, and when unpacking cases, to avoid sparks due to contact with other materials, particularly metals. Damaged or leaking containers are to be decanted immediately, repackaged, issued for

immediate use, or disposed of if they present a hazard. Highly flammable liquids, i.e. those having a flash point below 22.8 degrees Celsius (73 degrees Fahrenheit) are to be drawn off in daylight or, when not possible, a gaslight lamp is to be used. In ships the operation is always to be carried out on the upper deck.

Gas Cylinders

- I. When gas cylinders are embarked on HMNZ Ships the following rules are to be adhered to:
 - (1) Full and empty gas cylinders are to be segregated and tallied.
 - (2) Cylinders, whether full or empty, are to be kept in a cool, dry and well ventilated store and stowed so that they can be easily removed in case of fire. It is essential that cylinders, full or empty, are not stowed near heat such as boilers and that those charged to high pressures are not exposed to the direct rays of a tropical sun.
 - (3) Care is to be taken carrying or lifting cylinders without valve protection in place.
 - (4) Cylinders are to be stowed horizontally in stacks with the valves pointing in the same direction. Exceptionally, acetylene cylinders will stand upright except when in transit.
 - (5) Stacks are to be arranged so that air can pass freely between the ground and the bottom layer.
 - (6) When, in exceptional circumstances, gas cylinders have to be stowed in the open, the stacks are to be built on wooden sleepers and adequately protected from the weather by tarpaulins, which should be 'tented' and not allowed to come in direct contact with the cylinders.
 - (7) Each stack is to be restricted to cylinders for the same type of gas and is not to be more than one cylinder deep and six cylinders high.
 - (8) Each stack is to be wedged at each end and particular care is necessary in this respect when stacks are more than four cylinders high.
 - (9) Caution is emphasised with the handling maintenance, servicing and stowage considerations of all gas cylinders, to ensure correct H&S practices are maintained.
 - (10) If for any reason appropriate stowage is not available, permission is to be sought through the RNZN 180 process through the Maritime Regulator. This is to detail the risk mitigation strategies and steps put into place.
- m. **Compartment Stowage in Ships.**
 - (1) Cylinders must be kept away from direct contact with the ship's sides by the inter-positioning of suitable dunnage. Compartments for the stowage of oxygen cylinders are to be widely separated from those for cylinders containing methyl chloride or dissolved acetylene. A warning notice '**NO NAKED LIGHTS**' is to be prominently displayed outside the compartments used for the latter two gases.
 - (2) Gas cylinders including LPG cylinders where possible, should be stowed in dedicated stowages on the upper decks, for which the stowages should meet the provisions laid out in SOLAS Chap VII. Exemption to this rule is for ships fitted with internal stowages, where stowages are to be in accordance with BR 1754.
 - (3) **Oxygen and Acetylene Stowage.** Oxygen has a primary classification of 2.2 and a subsidiary risk of 5.1 (oxidising). Although oxygen is listed **as not being** compatible for stowage with acetylene (class 2.1) due to the subsidiary class classification, this relates to the quantity and stowages of 200m³ of oxygen. As such, in accordance with the New Zealand Environmental Protection Agency (EPA), if 200m³ of oxygen is present then it is to be stowed in a separate locality to ensure its safe transport. Bulk oxygen is therefore not to be stowed with acetylene.

Ozone Depleting Substances

- n. A requirement exists for consumption records to be maintained of those 'Controlled Substances' specified by the Ozone Layer Protection Act 1996, (The Act) and subsequent orders in council regulations as issued by the Governor General. These substances are listed at DFO 41 Chapter 3, Section 15.

3.1.50 Reporting Procedures for Ozone Depleting Substances

- a. Consumption records are to be maintained of those ozone-depleting ('controlled') substances specified by the Ozone Layer Protection Act 1996 and subsequent Regulations iaw NZBR 2001, Chap 3 and NZBR 26, Chap 11.
- b. HMNZ Ships and establishments, the dockyard management contractor and SCG RNZN are to report controlled substances consumption to LC(M) iaw NZBR 26, Chap 11.
- c. LC(M) is to report total consumption of controlled substances to CN (Info: COMLOG) iaw NZBR 26, Chap 11.

3.1.51 Biological Hazards

The RNZN has a responsibility under *The Health and Safety at Work Act 2016* to provide and maintain a safe and healthy working environment for all workers (which includes employees and contractors). Accordingly, the RNZN must take all reasonably practicable steps to protect its workers and third parties, from biological hazards arising out of, or in relation to, the work environment. Information relating to NZDF policy on monitoring, handling and controlling biological hazards can be found in DFO(A) Vol 2 Book 2. A hazardous register is to be managed specifically for all biological hazards iaw DFO(A) Vol 2 Book 2 Chapter 6, Annex E.

3.1.52 Batteries

- a. Batteries are, by and large, a safe and reliable source of portable energy. Lithium batteries are considered a higher risk but the number of incidents involving lithium batteries is relatively small, and the general likelihood of being injured by lithium batteries is also low. Knowing a little about the types of lithium batteries, their potential hazards, and safe handling and storage of lithium batteries will go a long way toward ensuring your safety and the safety of your co-workers, employees, and even your family.
- b. Instructions for the use and maintenance of all types of batteries are detailed in MI 45.342 - Battery Instructions.

Part 2 - Explosive Safety

References:

- A. Hazardous Substances and New Organisms Act 1996
- B. DFI 41.1 - Safe Management of Hazardous Substances: Class 1 A&E
- C. MI 45.381 - Naval Ammunition and Explosives Instructions
- D. NZBR 26 - RNZN Materiel Management Instructions

3.1.53 Explosives Safety

To ensure the safety of explosives, the instructions provided in Ref B are to be followed by Shore Establishments and Ref C by ships.

3.1.54 Not Allocated

3.1.55 Transport of Explosives

The transport of explosives, either in harbour (alongside) or by road, is the responsibility of the Defence Munitions Management Group (DMMG).

3.1.56 - 3.1.57 Not Allocated

3.1.58 Return of Fired Brass

Guidance for the return of fired brass and other non-explosive ammunition salvage is contained in Refs B and D³. Attention is drawn to the requirement to return specific items to DMMG, including:

- (1) marker man overboard containers and internal packaging (wooden);
- (2) linethrower speedline containers and internal packaging (wooden);
- (3) 40mm blank saluting cartridge containers and internal packaging (metal outer box and wooden internals);
- (4) red coloured ammunition containers for detonators;
- (5) nose caps; and
- (6) any other package/item that is marked with 'must be returned to Kauri Point' or 'specialist packaging'.

3.1.59 Not Allocated**3.1.60 Security**

COs and explosive accounting officers are to be conversant with the requirements of Ref E with regard to the safeguarding, accounting and transit of items such as small arms, bayonets, small arms ammunition, detonators and demolition stores.

3.1.61 - 3.1.65 Not Allocated

3. DFI 41.1 Chapter 24 and NZBR 26 Chapter 14, para 14.18.

Section 4 - Environmental Risks

References:

- A. Health and Safety at Work Act 2015
- B. Maritime Transport Act 1994 (MT Act)
- C. Marine Protection Rules (MP Rules)
- D. Biosecurity Act 1993
- E. Resource Management Act 1991 (RM Act)
- F. Resource Management (Marine Pollution) Regulations 1998 (RMMP Regs)
- G. Ozone Layer Protection Act 1996
- H. Antarctica (Environmental Protection) Act 1994
- I. DFO 41 – Safe Management of Hazardous Substances
- J. Naval Forces General Orders - Part 3, Chap 4

3.1.66 Discharging Harmful Substances, Contaminants and Water

- a. The term 'harmful substances' is defined in s.2 of the RM Act and in Regulation 3 RMMP. It includes:
 - (1) petroleum in any form, including crude oil, fuel oil, sludge, oil refuse and refined petroleum products (other than petrochemicals which are noxious liquid substances); and includes the substances specified in Schedule 2 of the RMMP (Resource Management [Marine Pollution] Regulations 1998);
 - (2) any substance specified in Schedule 1 of the RMMP and any mixture of those substances if carried in bulk in a ship;
 - (3) drainage and other wastes from any form of toilet, urinal, or toilet scupper on a ship or offshore installation;
 - (4) drainage from wash basins, wash tubs, and scuppers located in the dispensary, sick bay, or other medical premises of a ship or offshore installation;
 - (5) drainage from spaces on a ship or offshore installation containing living animals;
 - (6) waste water from a ship or offshore installation mixed with the drainage and waste specified in sub-paras c., d. or e. above; and
 - (7) all victual, domestic, and operational waste (other than fresh fish or parts of fresh fish) generated during the normal operations of a ship or offshore installation and liable to be discharged continuously or periodically.
- b. The term 'contaminants' is defined in s.2 of the RM Act and includes any substance (including gases, odorous compounds, liquids, solids and micro-organisms) or energy (excluding noise) or heat that either by itself or in combination with the same, similar or other substances, energy, or heat:
 - (1) when discharged into water, changes or is likely to change the physical, chemical, or biological condition of water; and
 - (2) when discharged onto or into land or into air, changes or is likely to change the physical, chemical, or biological condition of the land or air onto or into which it is discharged.
- c. **Discharges of Contaminants.** Contaminants are not to be discharged to land, air or water, and water is not to be discharged to water, unless expressly allowed by a national environmental standard or other regulations, a rule in a regional plan as well as a rule in a proposed regional plan for the same region (if there is one), or a resource consent.

3.1.67 Discharges from Ship Operations

- a. Any person may discharge, in the coastal marine area, a contaminant that is incidental to, or derived from, or generated during, the operations listed below as the normal operations of a ship:
 - (1) ship propulsion;
 - (2) heat exchange systems, including engine cooling systems, air conditioning, refrigeration, and condensers;
 - (3) storm water drainage from systems and scuppers, except from those areas used for the storage of any harmful substance;
 - (4) the use of washing facilities in the accommodation areas producing grey water from showers, hand basins, baths, galleys, dishwashers, and laundries but does not include use of any dispensary, sick bay, or other medical premises;
 - (5) the cleaning of the ship or offshore installation, except for the exterior of the hull below the load line or parts of the ship used for carrying cargo;
 - (6) the incineration of waste or other matter generated from a ship or offshore installation;
 - (7) fire-fighting; and
 - (8) the operation of a weapon system on any ship of the New Zealand Defence Force.
- b. No person may dump waste, harmful substances or contaminants from any ship or aircraft in the coastal marine area without the prior authority of the LC(M).
- c. Any person may discharge in the coastal marine area, from a ship or offshore installation, clean ballast water or segregated ballast water (but must not discharge clean ballast water or segregated ballast water in contravention of the Biosecurity Act 1993, regulations made under that Act, or import health standards made under s.20 of that Act).
- d. **Discharges from Ships Outside of the Coastal Marine Area.** Harmful substances are not to be discharged or escape into the sea unless in accordance with the Marine Protection Rules.

3.1.68 International Oil Pollution Prevention Certificate

All vessels of 400 tons gross tonnage or more, including oil tankers of 150 gross tonnes or greater, must carry a current International Oil Pollution Prevention Certificate (IOPC). The document certifies oil pollution prevention equipment and other preventative measures within the vessel. The IOPC is awarded by the Maritime Safety Authority New Zealand (MSA New Zealand). The MSA New Zealand will also issue a Record of Construction and Equipment Certificate, which must be permanently attached to the International Oil Pollution Certificate.

3.1.69 Oil Spill Contingency Plan

- a. Commanding Officers of HMNZ Ships of 400 tons gross tonnage or more, including oil tankers of 150 gross tonnes or more and managers of oil transfer sites are to develop, maintain and exercise regularly the Oil Spill Contingency Plan (OSCP). OSCPs for ships and oil transfer sites are to contain procedures to be followed in the event of an oil spill into the sea, and are to be approved by the MSA New Zealand.
- b. Oil Spill Contingency Plans are to be tested, reviewed and updated by the CO every 12 months or less.
- c. Oil transfer sites are to supply a hard copy of the site's approved plan to the regional on-scene Commander, District Chief Fire Officer, the Police District Commander, and the Head of the Local Ambulance Service through the LC(M).

3.1.70 Oil Spills

- a. Oil spills and discharges of oil that breach regulations are to be reported to the LC(M) who will

then advise the authorities if it is necessary (note neither the RM Act or the MT Act require reports of spills within the CMA).

- b. Only dispersants and demulsifiers approved by the MSA New Zealand may be used in the New Zealand EEZ. Dispersants and demulsifiers may only be used beyond New Zealand continental waters subject to prior approval of any government in whose jurisdiction the discharge would occur.
- c. Where the spill can not be contained by the resources available this is also to be reported to the LC(M) who will then advise the Authorities as necessary.

3.1.71 Oily Water Waste

- a. **Discharge of Oil from Machinery Spaces - All Vessels.** Oil residues that cannot be discharged into the sea in compliance with the requirements are to be retained onboard or discharged to reception facilities. Discharges are permitted from machinery spaces by all vessels, except in special areas, providing that the oil content does not exceed 15 ppm and contains no other chemicals or other substances which are hazardous to the marine environment.
- b. Ships greater than 400 tons gross tonnage, including oil tankers of 150 gross tonnage or greater.
 - (1) Discharges must be through oil filtering equipment compliant with Marine Protection Rule 122, and while enroute.
 - (2) In special areas, such as the Antarctic and Mediterranean the oil filtering equipment must automatically stop the discharge if the oil content of the effluent exceeds 15 ppm.
 - (3) An international discharge connection as specified in Marine Protection Rule 122.23 is to be fitted.
 - (4) Details of all discharges are to be recorded in form RNZN 203 - Oil Record Book. Records of fuel receipt and discharge, including accidental or exceptional discharges are also to be entered into the Oil Record Book. The CO is to sign each page once that page is complete and books are to be retained for three years after the last entry.
 - (5) Any accident or defect that substantially prevents compliance with oil discharge rules is to be reported to the LC(M) who will advise the authorities as appropriate.

3.1.72 Ozone Depleting Substances

- a. Certain substances have been identified as having particularly high ozone depleting potential. The Ozone Layer Protection Act 1996 (the Act) and associated Regulations contain the legal mechanisms to enable New Zealand to meet its international obligations towards ozone-depleting ('controlled') substances. This legislation fully binds the Crown, including the New Zealand Defence Force (NZDF).
- b. The Act prohibits the release (knowingly or without lawful justification) of a controlled substance into the atmosphere while installing, servicing, modifying or dismantling equipment. The responsibilities of COs are detailed in NZBR 2001, Chap 3 and NZBR 26, Chap 11.

3.1.73 Grey Water

Grey water management is to be undertaken iaw NZBR 2001, Chap 3.

3.1.74 Sewage

Sewage management is to be undertaken iaw NZBR 2001, Chap 3.

3.1.75 Garbage

Garbage management is to be undertaken iaw NZBR 2001, Chap 3.

3.1.76 Pollution Control Equipment

Commanding Officers of ships and establishments are to ensure that pollution control equipment is maintained in working order at all times. Defects are to be made good as a matter of operational urgency. Maintenance schedules are to include the annual testing of pollution control equipment for continued conformity with MARPOL 73/78 standards.

3.1.77 - 3.1.81 Not Allocated

Section 5 - Safe Management of Facilities, Equipment, Buildings and Land

References

- A. Health and Safety at Work Act 2015
- B. Health and Safety at Work (General Risk and Workplace Management) Regulations 2016
- C. DFO 32 - Defence Force Orders for Facilities and Property Management; Chap 4, Facilities Policy, Chap. 12, Land Policy
- D. Defence Estate Management Manual; Chap 7 - Facilities Management, Chap 11 - Land Management

3.1.82 Safety in Design, Manufacture and Acquisition

- a. RNZN's facilities, equipment, buildings and land should be healthy and safe by design and through deliberately identifying, not only operational needs, but by better understanding the needs of the user.[this opening statement inspired by ABR 6303 s1, p,6].
- b. Safety considerations are to be built into the design brief at the initiation stage of all NZDF construction, renovation and refurbishment projects.
- c. Officers and managers should:
 - (1) Design for commonality of building systems, facilities and equipment.
 - (2) Design for safety/safe methods of work.
 - (3) Ensure improved availability of system information.
 - (4) Ensure ongoing system maintenance is safe, secure, manageable, accessible and able to be easily monitored.
 - (5) Ensure that fuel/energy supply is readily available, stable, and scalable (now and into the future).
 - (6) Select, where location permits, energy infrastructure that minimises environmental impacts.
 - (7) In all circumstances, ensure designs incorporate energy efficient sustainable principles and eco-design elements, e.g. insulation, passive/natural ventilation, efficient lighting systems, minimised water consumption, improved thermal performance, pipe lagging, efficient products etc.

3.1.83 Use of Land, River and Lake Beds and the Coastal Marine Area in New Zealand

- a. **Land.** No officer, rating or civilian staff member may use land in a manner that contravenes a national environmental standard, a rule in a regional plan, or a rule in a district plan unless the use is expressly allowed by a resource consent, a designation, or by existing use rights.
- b. **Rivers and Lakes.** No officer, rating or civilian staff may (unless expressly authorised by a national environmental standard, a rule in an operative or proposed plan, or by resource consent), in relation to the bed of any lake or river:
 - (1) use, erect, reconstruct, place, alter, extend, remove, or demolish any structure or part of any structure in, on, under, or over the bed; or
 - (2) excavate, drill, tunnel, or otherwise disturb the bed;
 - (3) introduce or plant any plant or any part of any plant (whether exotic or indigenous) in, on, or under the bed;
 - (4) deposit any substance in, on, or under the bed; or
 - (5) reclaim or drain the bed.

- c. **Rivers and Lakes.** No officer, rating or civilian staff may do an activity that contravenes a national environmental standard or regional rule (unless expressly authorised by resource consent or existing use rights), in relation to the bed of any lake or river:
- (1) enter onto or pass across the bed of a lake or river;
 - (2) damage, destroy, disturb, or remove a plant or a part of a plant, whether exotic or indigenous, in, on, or under the bed of a lake or river;
 - (3) damage, destroy, disturb, or remove the habitats of plants or parts of plants, whether exotic or indigenous, in, on, or under the bed of a lake or river; or
 - (4) damage, destroy, disturb, or remove the habitats of animals in, on, or under the bed of a lake or river.
- d. **Coastal Marine Area.** No officer, rating or civilian staff may (unless expressly authorised by a national environmental standard, a rule in an operative or proposed coastal plan, or by resource consent), in the coastal marine area:
- (1) reclaim or drain any foreshore or seabed;
 - (2) erect, reconstruct, place, alter, extend, remove, or demolish any structure or any part of a structure that is fixed in, on, under, or over any foreshore or seabed;
 - (3) disturb any foreshore or seabed (including by excavating, drilling, or tunnelling) in a manner that has or is likely to have an adverse effect on the foreshore or seabed (other than for the purpose of lawfully harvesting any plant or animal);
 - (4) deposit in, on, or under any foreshore or seabed any substance in a manner that has or is likely to have an adverse effect on the foreshore or seabed;
 - (5) destroy, damage, or disturb any foreshore or seabed (other than for the purpose of lawfully harvesting any plant or animal) in a manner that has or is likely to have an adverse effect on plants or animals or their habitat;
 - (6) introduce or plant any exotic or introduced plant in, on, or under the foreshore or seabed;
 - (7) destroy, damage, or disturb any foreshore or seabed (other than for the purpose of lawfully harvesting any plant or animal) in a manner that has or is likely to have an adverse effect on historic heritage;
 - (8) occupy any part of the common marine and coastal area; or
 - (9) remove any sand, shingle, shell, or other nautical material from that area.

3.1.84 Duty to Avoid Unreasonable Noise

All officers, ratings and civilian staff must adopt the best practicable option to ensure that the emission of noise from land, water or the coastal marine area does not exceed a reasonable level. Authorised noise levels may be prescribed by Regional Plans, District Plans, Designations and Resource Consents.

3.1.85 Duty to Remedy, Avoid or Mitigate Adverse Effects on the Environment

All officers, ratings and civilian staff must avoid, remedy or mitigate any adverse effect on the environment arising from an activity carried on by, on behalf of that person.

3.1.86 - 3.1.89 Not Allocated

Section 6 - Rehabilitation and Recovery

References

- A. Accident Compensation Act 2001
- B. DFO 3 - New Zealand Defence Force Human Resource Manual, Part 5, Chapter 1, "Accident Rehabilitation and Compensation"
- C. HR Toolkit, ACC Accredited Employer Programme
- D. Naval Forces General Orders

3.1.90 Management of Work-Related Accident Compensation Claims

- a. The ACC Scheme provides compensation and assistance with rehabilitation for people who are injured by accident in New Zealand or who incur work-related disease or gradual process conditions. The Accident Compensation Act governs the ACC scheme and allows employers, who meet certain criteria, to become Accredited Employers under the ACC Partnership Programme. Accredited Employers then manage claims for work related injuries for their employees and are responsible for delivering all entitlements to rehabilitation, treatment and compensation. The NZDF became an Accredited Employer in July 2000.
- b. The Accredited Employer Programme (AEP) Manager is delegated authority to issue all cover and entitlement decisions in accordance with the Accident Compensation Act 2001. The AEP Manager, HRSC, DHR, HQ NZDF is delegated authority to manage all ACC claim disputes and complaints.

3.1.91 Management of Non-Work Related Injuries

Command and managers are responsible to take all practical steps to support personnel who sustain non-work related injuries or illnesses.

3.1.92 The AEP Unit

- a. The AEP Unit has been established within the Human Resource Service Centre, HQ NZDF and is responsible for the management and administration of all work related ACC claims for the NZDF. In performing these duties the AEP Unit has all of the statutory powers and obligations of the ACC and is audited by ACC annually. The role of the unit is to minimise the economic, social and personal costs of work related injuries to both the NZDF and the injured person.
- b. Accident trends and an annual ACC audit are to be part of the annual SHEMS calendar of activities.
- c. In discharging these responsibilities the AEP Unit must meet the standards of service set by the Code of ACC Claimant Rights and the requirements of the ACC Audit Standards. Details are available via the HR Toolkit <http://orgs/imx/hr-toolkit/LP/Home.aspx>.

3.1.93 Rehabilitation

The NZDF, as an accredited employer, has a statutory responsibility to provide rehabilitation programmes to members of the Defence Force for work-related accidents and illnesses. The NZDF AEP and NZDF Health coordinate the delivery of multidisciplinary rehabilitation programmes between military and civilian health care professionals to members of the Armed Forces.

3.1.94 - 3.1.99 Not Allocated

Annex 1-A. Building Act 1991

Purpose: The purpose of this Act is to provide for necessary controls on building construction and use so that they are safe and sanitary, and to coordinate those controls to other requirements of building use and management of natural and physical resources. Principles of the Act include safeguarding people, fire protection, safe stowage of hazardous substances, access for disabled and efficient use of energy.

Supplementary Legislation:

Building Regulations 1992 (incorporating the Building Code).

Approved Documents issued by the Building Industry Authority in support of the Building Code.

Applicability to the RNZN: The Act binds the Crown unless the Minister of Defence issues a certificate of exemption for reasons of national security (section 5 refers).

Enforcement: The Act is enforced by the territorial authorities. Certain technical disputes may be referred to the Building Industry Authority for determination. The Crown may not be prosecuted for an offence against the Act, but the High Court may make a declaration, that the Crown has contravened the Act, if that Court is satisfied beyond reasonable doubt that an offence has been committed.

Annex 1-B. Health and Safety at Work Act (HSWA) 2015

Purpose: The purpose of this Act is the prevention of harm to employees at work and the elimination or minimisation of risks to health and safety.

Sponsor: Assistant Chief Naval Staff (Personnel), Naval Staff.

Supplementary Legislation: Health and Safety in Employment Regulations 1995, Health and Safety at Work (General Risk and Workplace Management) Regulations 2016.

Applicability to the RNZN: This Act binds the Navy, effectively in all respects¹.

Enforcement: A range of penalties is provided for failing to satisfy duties imposed under the Act. Reckless conduct in discharging a duty by PCBUs, officers, workers and other persons risks substantial fines (s. 47).

1. While the Act states that ship's crews are exempt from the Act, Naval Forces General Orders Part 3, Chap 4 requires HMNZ Ships to apply the principles of SHEMS under normal operational conditions. As the HSW Act is an integral part of the SHEMS there are no real exemptions for the RNZN.

Annex 1-C. Health and Safety in Employment Regulations 1995

Purpose: To outline specific requirements for the work place to assist businesses to meet the requirements of the HSE Act. While the HSE Act has been repealed, some parts of the HSE Regulations are still current, under the umbrella of the Health and Safety at Work Act 2015.

Sponsor: Assistant Chief of Navy (Personnel), Naval Staff.

Supplementary Legislation: WorkSafe Codes of Practice.

Applicability to the RNZN: This regulation binds the Navy, effectively in all respects¹.

1. While the Health and Safety at Work Act 2015 states that ship's crews are exempt from the Act when an 'operational activity' has been declared by the CDF, Naval Forces General Orders Part 3, Chap 4 requires COs of HMNZ Ships to apply the principles of SHEMS under normal operational conditions. As the HSW Act is an integral part of the SHEMS there are therefore no real exemptions for the RNZN.

Annex 1-D. Maritime Transport Act 1994

Purpose: To implement international obligations, maritime transport law and protect the marine environment.

Sponsor. Director Naval Operations, Naval Staff

Supplementary Legislation: Marine Protection Rules

Applicability to the RNZN: Warships of the NZDF are to comply with sections 225 to 403 between the 12 NM limit and the Exclusive Economic Zone outer limit.

Enforcement: Any person may apply to the High Court for a declaration that the Crown has contravened a provision. If satisfied beyond reasonable doubt the Court can make a declaration to that effect.

Annex 1-E. Marine Protection Rules

Purpose: To implement international obligations, maritime transport law and protect the marine environment.

Sponsor: Director Naval Operations, Naval Staff.

Applicability to the RNZN: Warships of the NZDF are to comply with Marine Rules as indicated below.

Enforcement: Any person may apply to the High Court for a declaration that the Crown has contravened a provision. If satisfied beyond reasonable doubt the Court can make a declaration to that effect.

Annex 1-F. Resource Management Act 1991

Purpose: To promote the sustainable management of natural and physical resources.

Sponsor: Deputy Director Naval Works, Naval Staff

Supplementary Legislation: Resource Management (Marine Pollution) Regulations 1998¹.

1. The Resource Management (Marine Pollution) Regulations are included in the RMA summary.

Annex 1-G. RNZN Guide to Hazard Recognition

A hazard is anything that could cause harm: a moving forklift, a chemical solvent, a repetitive job, a badly designed work place.

Make a list of all the hazards you can find.

Go over every aspect of your work place, looking and thinking about what could possibly go wrong. Make a list of everything you can find.

You might not think of many hazards at first. This is because you see them everyday or because you don't have enough information. Over the page there is a list of general items that you could check through. You can also get more information about specific hazards in your work area from the Responsible Care Manuals, (New Zealand) BRM 3329, or from a similar work area to yours.

Think about the chains of little events that together can result in an accident.

For example a:

- wobbly step ladder, combined with an
- unmarked control buttons on machine, which also has a
- guard not working properly, could lead to the operator losing several fingers.

Think about other people in the same line of work. What sort of accidents have they had? Sickness? Long term health problems? Could your set-up cause the same problems? You might know of a carpenter who took the guard off a circular saw to make things easier, and then overbalanced and sliced three fingers off.

- guard taken off circular saw

Or have you, or someone you know, had a near miss, such as the plumber slipping on a corrugated roof, but breaking his fall in an overhanging tree?

- no fall protection equipment
- footwear not adequate for slippery surface

Or a gardener who cut a branch overhanging power lines with a steel bow saw while on an aluminium ladder. He got a shock, fell, and was killed:

- using aluminium ladder near power source
- power lines not isolated before work
- no fall protection when working at height*

Imagine a child coming into your work place: what would you warn them about, keep them away from?

- chemicals not labelled or stored according to directions
- noise level too high
- power take off not sheathed
- mobile equipment

Also think about hazards that you might bring into your work place as new or hired goods:

- no aids to lift hired vibrating rammer
- worn insulation on hired welding set
- no Material Safety Data Sheet (MSDS) with new chemical product, is it hazardous?
- second hand chip fryer doesn't have splash guards

Whatever your working environment, consider every aspect of it, and every aspect of what goes on in it.

Think about:

Where you work: the building office, yard, trench, tanks, roof, ladders, delivery van, laboratory, other people's property, exits, stairs, fire precautions, rubbish.

Is there anything about the place you work in that could be a hazard?

What moves there: fork-lift, conveyors, blades, vehicles, people, delivery articles, flywheels, boxes.

Is there anything about these that could be a hazard?

What substances you work with: paints, solvents, degreasers, petrol, inks, toner, oils, plastics, acids, pesticides, gases, biological samples, waste.

Is there anything about the way these are used or stored that could be a hazard? Do you know? Don't guess, get the MSDS!

What equipment is used: Machines, lathes, saws, hoists, power take off's, radiation, electrical, noise, maintenance, repairs, Personal Protective Clothing and Equipment (PPC&E), shovel, iron, stove.

Is there anything about the way these are used or maintained that could be a hazard?

How things are used in open air, confined space, closed room, guarded, ergonomics, lifting.

Is there anything about the way you do things that could be a hazard?

The people who work there: skills, training, proper equipment, instruction, sticking to rules for health and safety.

Is there anything that you or they do in your work place that could be a hazard?

Think about the way you do things.

If you have developed a short-cut, is it as safe as the way it was intended to be done?

cleaning agents not mixed according to instructions

gloves not always used to handle sharp objects

If you have modified any tool or equipment, could anyone hurt themselves, or be hurt by it?

compressor makes too much noise after muffler not replaced after repair

Do you still take as much care as when you first started?

not using respirator for small spray jobs any more

What happens when you do cleaning, maintenance or repairs?

machinery not isolated from power when blades are changed

bad battery means tractor left running while implements are changed

Think about someone who is inexperienced, or untrained, or tired, working for you:

on/off switches not clearly marked, not easy to see and reach

'touchy' valve on welding head

What could go wrong? Look for trouble. If anything could possibly go wrong, then it is a hazard. One day, something will go wrong if the hazard is not recognised and its risks controlled. It's not good enough to think, "It won't happen to me!"

Once you have a list of the hazards in your work place, you can work out which create a risk to people's health and safety. Then you can see which ones you should tackle. Make up or otherwise obtain a 'Safe Work Procedure' for each hazard.

You can also use your list to make up a CHECKLIST for your work-place, so that next time you check for hazards, it will be quick and thorough and reliable.

A sample health and safety check-list you can use is on the following pages.

Storage

- Materials stored in racks and bins wherever possible
- Storage layout designed to minimise lifting problems (between knee and shoulder)
- Easy access for people and equipment
- Floors around racking or shelves clear of rubbish
- General condition of racks and pallets

Floors and Walkways

- Oil and grease cleaned up
- Floors kept dry
- Entry and across walkways kept clear
- No electrical leads, hoses or cables crossing walkways
- Walkways clearly marked
- Vehicles separated from footways
- Unobstructed vision at intersections

Stairs, Ladders and Platforms

- Steps firm
- Anti-slip treads
- Firm handrails
- Ladder rungs and bolts firm
- Fall back protection on high ladders

Lighting

- Adequate illumination for each task
- Good natural lighting
- Good light reflection from walls and ceilings
- No glare
- Light fittings clean and in good condition
- Emergency lighting operable

Electrical

- No broken plugs, sockets or switches
- No frayed or damaged leads
- Portable power tools in good condition
- No temporary leads on floor
- Emergency shutdown procedures in place
- Circuit breakers installed
- Push controls clearly marked and accessible

Rubbish

- Bins located at suitable points
- Bins emptied regularly
- Oily rags and combustible refuse in covered metal containers
- Waste from work regularly cleaned up

Work Benches

- Clear of rubbish
- Tools not in use kept in place
- No damaged hand tools
- No damaged power tools
- Work height right for each worker
- No sharp edges
- Bending, reaching, twisting minimised

Manual Handling

- Repetitive reaching to low levels, above shoulder or out from the body minimised
- Lifting from ground level or above shoulder level avoided
- Work area and objects are designed to eliminate sideways twisting of the body, particularly if lifting or pushing
- Objects handled are easy to grasp, have no sharp edges and are not hot, cold, slippery, or bulky
- Limited frequent handling, especially if object is heavy or difficult to move or operate
- Enough space for free movement while doing the task
- Floor surfaces non-slip and level
- Training provided about risk factors and the proper technique to do the task
- Mechanical handling aids provided and maintained where possible
- The job is paced to allow adequate time for safe work practices

Hazardous Substances

- MSDS for all chemicals
- Containers clearly labelled
- Special storage conditions complied with
- Disposal of chemical waste
- All users trained
- Risk assessment and control
- Adequate engineering controls
- Adequate ventilation and extraction
- Fume hoods and spray booths working properly
- Exposure monitoring
- Health surveillance

Vehicles

- Operators trained
- Regularly maintained
- Operator position protected
- Noise levels controlled
- Only operated in appropriate areas

Trenches and Confined Spaces

- Energy sources de-energised and isolated
- Hazardous materials not brought into the space, except under highly controlled conditions
- Atmosphere tested to ensure it is free of poisonous fumes
- Measures taken to ensure the space is free of hazardous liquids
- Adequate positive ventilation provided
- The space sign posted and barricaded
- Rapid rescue and first-aid system established
- Appropriate respirators available and used when required
- Adequate stand-by arrangements with workers kept under continuous observation
- Entry permit-based system of work
- Warning signs
- Adequate shoring

Outdoor Areas

- Procedures in place to reduce work in sun and heat
- Procedures in place to deal with sharp and other stray objects
- Adequate shade, rest and water
- Adequate personal protective clothing and equipment
- Adequate protection from live animals

Medical and Biological

- Procedures in place to deal with sharp objects
- Procedures in place to dispose of biological waste
- Procedures in place to prevent contamination from biological samples

Machinery

- Kept clean
- Adequately guarded
- Operators trained
- Start/stop switches clearly marked, in each reach of operator
- Provision to store waste off cuts
- Adequate work space around machine
- Noise levels controlled
- Fumes and exhaust controlled

- Lighting satisfactory
- No bending, stooping or twisting required
- Regularly maintained
- Adequate lockout, tagout and isolation available and used

Piping and Pressure Vessels

- All pipes colour coded or labelled
- No leaks or drips
- No dents or obvious corrosion
- Properly supported
- Adequate insulation or protection
- Warning signs

Offices

- Chairs and desks suited to tasks and users
- Glare from windows and light fittings minimised
- Staff can change postures and tasks over the day to minimise occupational overuse syndrome
- Air conditioning maintained regularly
- Non slip floors, clear of obstruction

First-aid

- Kits and contents appropriate to the first-aid assessment
- Easy access to kits
- Clearly labelled
- Emergency numbers displayed
- Accident records maintained
- Serious accidents reported to SOSH&E

Fire

- Extinguishers clearly marked in place, regularly serviced
- Clear exits
- Adequate pointers to fire exits
- Fire alarm system working
- Emergency evacuation procedures, including regular drills
- Employees trained

Annex 1-H. Ballast Water Management Plan

Part 1 - General

References:

- A. IMO Convention for the Control and Management of Ships Ballast Water and Sediment, 2004 (BWM)
- B. NZBR 7 - RNZN Technical Instructions, Chapter 3

General Policy

Introduction

1. Ballast water is used to manage trim, list, draught, stability and loading of a ship. Uplifting of ballast water, and ballasting operations by their very nature can allow the transfer of unwanted aquatic organisms from region to region. Such transfers may present hazards to the environment and human health.

Policy Aim

2. The aim of this policy is to improve RNZN ballast water management, ensure legislative compliance and minimise environmental risk associated with ballast water operations.

Applicability

3. This policy will apply to all RNZN ships and craft with ballasting capability. This policy does not overrule a States or Port Authorities right to impose other restrictions or requirements upon RNZN ships with regard to ballast water management while within their jurisdiction.

Responsibility/Administration

4. The lead ships in each class are to develop and maintain a Ballast Water Management Plan (BWMP) particular to their ship/class. The BWMP shall be formatted in accordance with "[Part 3 - Exemplar Template for RNZN Ballast Water Management Plan](#)" of this Annex. Ship/Class General Orders and NZBR 7 are to be amended to reflect the requirements of this policy and the respective BWMP's.
5. All RNZN ships shall have a Ballast Water Management Log (BWML). All ballast water movements are to be recorded in the Ballast Water Management Log. (Note: The BWML will be in the form of an amended RNZN 203, this can be found at "[Appendix 1 to Annex 1-H. Ballast Water Management Plan](#)").
6. The EO/MEO is responsible to the CO for the implementation of the BWMP maintenance of the BWML and the compliance of their ships ballast cargo with the BWMP and state regulations.
7. LC(M) is to approve all BWMPs, and CDR MTG is responsible for inspecting the BWMP/BWML during SARC(H) and ensure it is being correctly utilised.

Definitions

8. **Ballast Water.** Water, including its associated constituencies (biological or otherwise), placed into a ship to increase the draught, change the trim or regulate stability. It includes associated sediments, whether within the water column or settled out in tanks, sea-chests, anchor lockers, plumbing, etc.
9. **Internal Waters:**
 - a. harbours, estuaries, and other areas of the sea that are on the landward side of the baseline of the territorial sea of a coastal state; and
 - b. rivers and other inland waters that are navigable by ships.

10. **Inspector.** An inspector appointed under s.103 of the Biosecurity Act, 1993.
11. **New Zealand Waters:**
 - a. the internal waters of New Zealand; and
 - b. the territorial sea of New Zealand.
12. **Territorial Sea.** For New Zealand, this is the sea within 12 nautical miles of the seaward side of the baseline of the territorial sea. (See s.3 of the Territorial Sea, Contiguous Zone and Exclusive Economic Zone Act, 1977 for definition of New Zealand baseline).
13. **Antarctica.** The following additional restrictions must be observed by ships operating in Antarctic waters (South of 60°S):
 - a. Ballast water discharge is to be avoided in Antarctic waters as much as possible.
 - b. Ballast water is not to be discharged in Antarctic waters unless it has been exchanged before arrival in Antarctic waters and at least 200 M from land in water at least 200m deep. Ballast water exchange of all tanks is therefore to be conducted before entering Antarctic waters as a contingency in case discharge is unexpectedly required.
 - c. Sediment is not to be released during the cleaning of ballast tanks.

Ballasting Operations

Uptake/Intake

14. When loading ballast, every effort should be made to avoid the uptake of potentially harmful aquatic organisms, pathogens, and sediment that may contain such organisms. The uptake of ballast water should be minimized or, where practicable, avoided in areas and situations such as:
 - a. in areas identified and advised by a Port State Authority;
 - b. in darkness when organisms may rise up in the water column;
 - c. in very shallow water;
 - d. where propellers may stir up sediment; and
 - e. where dredging is or has recently been carried out.
15. Freshwater may be embarked for use as ballast. To be able to discharge fresh water ballast anywhere this water must have been embarked into clean tanks.

Discharge

16. Permission to discharge Ballast Water in territorial waters must be granted by the area Port State Authority. Prior permission to discharge Ballast Water in New Zealand waters must be granted by an MPI Biosecurity Inspector. Ships returning to New Zealand waters must complete the MPI "Vessel Ballast Water Declaration" form and submit it to MPI Clearance Service at least 48 hours before arrival in New Zealand.
17. Unnecessary discharge of ballast water is to be avoided unless having first exchanged the contents of the tank mid ocean in accordance with paras 20 to 25.
18. Ballast water which has been embarked in another port/country is not to be discharged without first being approval from that Port States Authority.
19. If it is necessary to embark and discharge ballast water in the same port to facilitate safe cargo operations, care should be taken to avoid discharge of ballast water that has been taken up in another port.
20. A ship may discharge their ballast water provided the following conditions are also met:

- a. demonstrating that the ballast water is fresh water (not more than 2.5 parts per thousand content of sodium chloride);
- b. ballast water has been treated using a shipboard treatment system approved by that port authority; and
- c. ballast is discharged in an onshore treatment facility approved by that port authority.

Exchange

21. In accordance with the ballast water management convention all ships moving ballast water should do so:
 - a. at least 200 nautical miles from the nearest land; and
 - b. in water of at least 200 metres in depth.
22. In cases where the ship is unable to conduct ballast water movements as above, this should be as far from the nearest land as possible, and in all cases at least 50 nautical miles from nearest land and in water at least 200 metres in depth.
23. There are three methods of Ballast Water exchange which have been evaluated and accepted by the RNZN. The three accepted methods are described as:
 - a. **Sequential Method.** A process by which a ballast tank intended for the carriage of ballast water is first emptied and then refilled with replacement ballast water to achieve at least a 95 per cent volumetric exchange.
 - b. **Flow-Through Method.** A process by which replacement ballast water is pumped into a ballast tank intended for the carriage of ballast water, allowing water to flow through overflow or other arrangements.
 - c. **Dilution Method.** A process by which replacement ballast water is filled through the top of the ballast tank intended for the carriage of ballast water with simultaneous discharge from the bottom at the same flow rate and maintaining a constant level in the tank through out the ballast exchange operation.
24. It is required that all:
 - a. ships performing ballast water exchange shall do so with an efficiency of at least 95 per cent volumetric exchange of ballast water; and
 - b. ships exchanging ballast water by the pumping-through method, pumping through three times the volume of each ballast water tank shall be considered to meet the standard. Pumping through less than three times the volume may be accepted provided the ship can demonstrate that at least 95 per cent volumetric exchange is met.
25. The EO/MEO will approve and decide which method is most suited to their ships requirements taking into consideration, safety, stability, affect on operations and personnel. This is to be detailed in the ships BWMP.

Exemptions

26. In some situations exchange may not be possible due to operational circumstances. Exemptions are granted by the same process as granting permission to discharge.
27. An exemption may be granted when it can be demonstrated that:
 - a. The weather conditions on the voyage in combination with the construction of the ship have precluded safe ballast water exchange and the ballast water was not loaded in any of the high risk areas.
 - b. The construction of the ship has precluded safe ballast water exchange and the ballast water was not loaded in any of the high risk areas.

- c. Military operational requirements may not preclude compliance with the aforementioned circumstances.
28. In the event that an exemption is not issued, and that weather or ship construction preclude the safe discharge or exchange of ballast from high risk areas, the ship must redistribute the ballast water around the ships ballasting spaces.
29. Exempted ships are to discharge the least amount of ballast water possible and discharge as far as offshore as practicable.
30. The following areas have a particularly high biosecurity risk, and therefore ballast water embarked from these areas may not be discharged in New Zealand waters under any circumstances:
 - a. Tasmania, Australia; and
 - b. Port Phillip Bay, Victoria, Australia.

Sediment Management

31. Water taken up as ships ballast can contain solid alluvial matter that, once the water is becalmed in a ships ballast tank, will settle out onto the bottom of the tank and other internal structures.
32. Aquatic organisms can also settle out of the ballast water and can continue to exist within the sediment. These organisms can survive for long periods after the water they were originally in has been discharged. They may thereby be transported from their natural habitat and be inadvertently discharged in another port or area.
33. Ships are to note the IMO Convention also requires ships to remove and dispose of sediments from spaces designated to carry ballast water in accordance with the BWMPs.

Procedures for Port States

34. Port state authorities should provide ships with details of their requirements concerning ballast water management prior to arrival, including:
 - a. the location and terms of use of areas designated for ballast water exchange;
 - b. any additional measures determined under their regulations;
 - c. warnings concerning ballast uptake and any other port contingency arrangements in the event of emergency situations; and
 - d. the availability, location, capacities of reception facilities that are provided for the environmentally safe disposal of ballast water and/or sediments.
35. To assist ships in applying the precautionary practices, Port states are required to endeavour to notify mariners of area(s), where ships should not uptake ballast water due to known conditions. Similar notification should be given for areas where the uptake of ballast water should be minimised, such as:
 - a. areas with outbreaks, infestations or known populations of harmful organisms and pathogens;
 - b. areas with current phytoplankton blooms (algal blooms, such as red tides);
 - c. nearby sewage outfalls;
 - d. areas where a tidal stream is known to be the more turbid;
 - e. areas where tidal flushing is known to be poor;
 - f. nearby dredging operations; and

- g. nearby, or in, sensitive or estuarine sea areas.

Safety Precautions Associated with Ballast Water Exchange

36. When identifying the ballast water exchange method(s) for the first time for a particular ship, an evaluation should be made which should include:
 - a. the safety margins for stability and strength contained in allowable seagoing conditions, as specified in the approved trim and stability booklet and the loading manual relevant to individual ships. Account should also be taken of the loading conditions and the envisaged ballast water exchange method or methods to be used;
 - b. the ballast pumping and piping system taking account of the number of ballast pumps and their capacities, size and arrangements of ballast water tanks; and
 - c. the availability and capacity of tank vents and overflow arrangements, for the flow through method, the availability and capacity of tank overflow points, prevention of under and over pressurisation of the ballast tanks.
37. Particular account should be taken of the following:
 - a. stability which is to be maintained at all times and not less than those values recommended;
 - b. longitudinal stress, and where applicable torsional stress values, not to be exceeded with regard to prevailing sea conditions;
 - c. exchange of ballast in tanks where significant structural loads may be generated by sloshing action in the partially filled tank to be carried out in favourable sea and swell conditions such that the risk of structural damage is minimized;
 - d. wave-induced hull vibrations when carrying out ballast water exchange;
 - e. limitations of the available methods of ballast water exchange in respect of sea and weather conditions;
 - f. forward and aft draughts and trim, with particular reference to bridge visibility, slamming, propeller immersion and minimum forward draft; and
 - g. additional work loads on the ship's crew.
38. During ballast water exchange sequences there may be times when, for a transitory period, one or more of the following criteria cannot be fully met or are found to be difficult to maintain:
 - a. bridge visibility standards (SOLAS V/22);
 - b. propeller immersion; and
 - c. minimum draft forward.
39. As the choice of acceptable ballast water exchange sequences is limited for most ships, it is not always practicable to dismiss from consideration those sequences where transitory non-compliance may occur. The practical alternative would be to accept such sequences provided an appropriate note is placed in the BWML to alert the CO. The note would advise the CO of the nature of the transitory non-compliance, that additional planning may be required and that adequate precautions need to be taken when using such sequences.
40. In planning a ballast water exchange operation that includes sequences which involve periods when the criteria for propeller immersion, minimum draft and/or trim and bridge visibility cannot be met, the CO should assess:
 - a. the duration(s) and time(s) during the operation that any of the criteria will not be met;
 - b. the effect(s) on the navigational and manoeuvring capabilities of the ship; and

- c. the time to complete the operation.
41. A decision to proceed with the operation should only be taken when it is anticipated that:
- a. the ship will be in open water;
 - b. the traffic density will be low;
 - c. an enhanced navigational watch will be maintained including if necessary an additional look out forward with adequate communications with the navigation bridge;
 - d. the manoeuvrability of the ship will not be unduly impaired by the draft and trim and or propeller immersion during the transitory period; and
 - e. the general weather and sea state conditions will be suitable and unlikely to deteriorate.

Operational Considerations

42. Ships are encouraged to identify and include in passage planning the area(s) where ballasting can be conducted while remaining compliant with these orders.

Crew Training and Familiarisation

43. Ship's company should be familiar with their duties when conducting Ballast Water operations particular to the ship in which they serve. Training should include ballast water and sediment management procedures and the Ballast Water Management Log, with particular regard to ship safety and maintenance.
44. The BWMP should include training and education on ballast water management policy and practices, the systems and procedures used onboard the ship. Appropriate training for the ship's company should include instructions on the safety issues associated with ballast water exchange.
45. Ships company engaged in ballast water exchange at sea should be trained in, and be familiar with the following as appropriate:
- a. the ship's ballast pumping and piping arrangements, positions of associated air and sounding pipes, positions of all compartment and tank suction and pipelines connecting them to ship's ballast pumps and, in the case of use of the flow through method of ballast water exchange, the openings used for release of water from the top of the tank together with overboard discharge arrangements;
 - b. the method of ensuring that sounding pipes are clear, and that air pipes and their non-return devices are in good order;
 - c. the different times required to undertake the various ballast water exchange operations including the time to complete individual tanks;
 - d. the method(s) in use for ballast water exchange at sea if applicable with particular reference to required safety precautions; and
 - e. the need to continually monitor ballast water exchange operations.

Communication and Reporting

46. If a ship cannot meet the requirements of this policy it is to advise by signal details of non compliance and intent. Signal to be sent to HQJFNZ: info LC(M) AUCKLAND.

Part 2 - Guidance for the Development of a Ballast Water Management Plan

Reference:

- A. IMO Ballast Water Management Convention - Section B, Regulation B-1

Development of a BWMP

1. Dependent on the ballast exchange method employed the following aspects should be considered:
 - a. Avoiding over or under-pressurising ballast tanks.
 - b. Free surface effects on stability and sloshing loads in tanks that may be slack at any one time.
 - c. Maintain adequate intact stability in accordance with an approved trim and stability booklet.
 - d. Permissible seagoing strength limits of shear forces and bending moments in accordance with an approved loading manual.
 - e. Torsional forces.
 - f. Forward and aft draughts and trim, with particular reference to bridge visibility, propeller immersion and minimum forward draft.
 - g. Wave-induced hull vibrations when performing ballast water exchange.
 - h. Watertight and weather tight closures (e.g. manholes) which may have to be opened during ballast exchange must be re-secured.
 - i. Maximum pumping/flow rates – to ensure the tank is not subjected to a pressure greater than that for which it has been designed.
 - j. Internal transfers of ballast.
 - k. Admissible weather conditions.
 - l. Weather routing in areas seasonably affected by cyclones, typhoons, hurricanes, or heavy icing conditions.
 - m. Documented records of ballasting and/or de-ballasting and/or internal transfers of ballast.
 - n. Contingency procedures for situations which may affect ballast water exchange at sea, including deteriorating weather conditions, pump failure and loss of power.
 - o. Time to complete the ballast water exchange for each tank or an appropriate sequence thereof.
 - p. Continual monitoring of the ballast water operation; monitoring should include pumps, levels in tanks, line and pump pressures, stability and stresses.
 - q. A list of circumstances in which ballast water exchange should not be undertaken. These circumstances may result from critical situations of an exceptional nature or *force majeure* due to stress of weather, known equipment failures or defects, or any other circumstances in which human life or safety of the ship is threatened.
 - r. Ballast water exchange at sea should be avoided in freezing weather conditions. However, when it is deemed absolutely necessary, particular attention should be paid to the hazards associated with the freezing of overboard discharge arrangements, air pipes, ballast system valves together with their means of control, and the build up of ice on deck.
 - s. Personnel safety, including precautions which may be required when personnel are required to work on deck at night, in heavy weather, when ballast water overflows the

deck, and in freezing conditions. These concerns may be related to the risks to the personnel of falling and injury, due to the slippery wet surface of the deck plate, when water is overflowing on deck, and to the direct contact with the ballast water, in terms of occupational health and safety.

Part 3 - Exemplar Template for RNZN Ballast Water Management Plan**BALLAST WATER MANAGEMENT PLAN FOR HMNZS NONSUCH FOR THE CONTROL AND MANAGEMENT OF SHIP'S BALLAST WATER AND SEDIMENTS****Introduction**

1. This plan is written in accordance with the requirements of *Naval Forces General Orders and NZBR 1*.
2. This plan has been approved by *(LC(M))*.
3. This plan may be inspected on request by an authorised authority.

Ships Particulars

4. At least the following details should be included:
 - a. Ship's name;
 - b. Flag;
 - c. Port of registry;
 - d. Gross tonnage;
 - e. IMO number; *(where appropriate)*
 - f. Length (BP);
 - g. Beam;
 - h. International call sign;
 - i. Deepest ballast drafts, (normal and heavy weather);
 - j. Total ballast capacity of the ship (m³);
 - k. Brief description of the main ballast water method used; and
 - l. Identification and rank of the ballast water management officer.

Index

5. This should be an index of sections too reference the contents of the plan.

Purpose

6. This should contain a brief introduction for the ship's crew, explaining the need for ballast water management, and the importance of accurate record keeping

Plans/Drawings of the Ballast System

7. This section should contain plans/ drawings of the ballast system, i.e:
 - a. ballast tank arrangement;
 - b. ballast capacity plan;
 - c. system tracings, including sounding pipes and locations;
 - d. ballast water pump capacities;
 - e. he ballast water management system used onboard with references to operational and maintenance manuals held onboard;
 - f. installed ballast water treatment systems; and
 - g. a plan and profile of the ship, or schematic drawing of the of the ship's ballast arrangements.

Description of the Ballast System

8. A description of the ballast system.

Ballast Water Sampling Points

9. Lists and diagrams indicating the location of sampling and access points in pipelines and ballast water tanks.

Operation of the Ballast Water Management System

10. A detailed description of the operation of the ballast water system used onboard and information on general precautionary practices.

Safety Procedures for the Ship and Crew

11. Details of specific safety aspects of the ballast water management system used.

Operational or Safety Restrictions

12. Details of specific operational or safety restrictions including those associated with the management system which affects the ships and or the crew including reference to procedures for safe tank entry.

Description of the Method used Onboard for Ballast Water Management and Sediment Control

13. Details of the method used onboard for the management of ballast and for sediment control including step by step operational procedures.

Procedure for the Disposal of Sediments

14. Procedures for the disposal of sediments to sea and to shore.

Methods of Communication

15. Details of the procedures co coordinating the discharge of ballast in waters of a coastal state.

Duties of the Ballast Water Management Officer

16. Outline the duties of the officer in charge.

Recording Requirements

17. Details of the record keeping requirements i.e. Ballast Water Record Log.

Crew Training and Familiarisation

18. Information on the provision of crew training and familiarisation, this should also outline the responsibilities of the 'tanky'.

Exemptions

19. Details of any exemptions granted to the ship.

Approving Authority

20. Details and stamp of the approving authority (LC(M)).

["Appendix 1 to Annex 1-H. Ballast Water Management Plan"](#)

Appendix 1 to Annex 1-H. Ballast Water Management Plan**Introduction**

This Annex details a comprehensive list of machinery space operations which when conducted are, to be recorded in the Oil Record Book. The items have been grouped into operational sections, each of which is denoted by a letter code. When making entries in the Oil Record Book, the operational code and item number shall be inserted in the appropriate column and the required code/item shall be recorded chronologically in the record of operations. Each completed operation shall be signed and dated by the OIC. Each completed page shall be signed by the CO.

List of Items to be Recorded

Code (Letter)	Item (Number)
A. Ballasting or cleaning of oil fuel tanks: (Item-1,2,3,4,5)	1. DTG.
B. Discharge of dirty ballast or cleaning water from oil fuel tanks referred to under Section A: (Item-2,5,6,7,8,9)	2. Identity of tank(s).
C. Disposal of oil residues (sludge): (Item-11,12)	3. Whether cleaned since they last contained oil, and if not, type of oil previously carried.
D. Non-automatic discharge overboard or disposal otherwise of bilge water which has accumulated in machinery spaces: (Item-1,2,8,9)	4. Position of ship at start of cleaning.
E. Condition of oil discharge monitoring and control system: (Item-13,14,15)	5. Position of ship at start of embarkation/ discharge.
F. Accidental or other exceptional discharges of oil: (Item-1,5,8,15)	6. Position of ship on completion of embarkation/ discharge.
G. Embarking of ballast water: (Item-1,2,11)	7. Ships speed(s) during exchange/ discharge.
H. Exchange of ballast water: (Item-1,2,5,6,7,10,15)	8. Quantity embarked/discharged and type.
I. Discharge of ballast water: (Item-1,2,5,6,7,10,15)	9. Method of discharge:
J. Additional operational procedures and general remarks (record as required).	(1) through 100 ppm equipment,
	(2) through 15 ppm equipment, or
	(3) to reception facilities, or
	(4) to slop or collecting tank (identify tank).
	10. Method of exchange:
	(1) fill/empty; or
	(2) flow through.
	11. Quantity of residue retained on board for disposal.
	12. Methods of disposal of residue:
	(1) to reception facilities (identify port),
	(2) mixed with bunkers,
	(3) transferred to another (other) tank(s) [identify tank(s)], or
	(4) other method (state which).
	13. Time of system failure.
	14. Time when system has been made operational.
	15. Reasons for failure/discharge.

Chapter 2 - Naval Casualty Instructions

[to be reviewed]

Section 1 - General

Reference:

A. DFO 3 - New Zealand Defence Force Human Resource Manual

3.2.01 Definitions

The definitions of 'casualty' and other associated terms are as provided in Part 12, Chapter 8 of Ref A.

3.2.02 - 3.2.10 Not Allocated

Section 2 - Peace Time Procedures

References:

- A. DM69(2ed) Vol 1 - Commander's Handbook on Military Law
- B. Defence Act 1990
- C. Manual of International Statistical Classification of Diseases, Injuries and Causes of Death Vol 1 and 2
- D. DFO 3 - New Zealand Defence Force Human Resource Manual
- E. DFO 5 - Defence Force Orders for Entitlements to Pay, Allowances and Expense
- F. DFO 18 - Defence Force Orders for Medical and Dental Services
- G. Naval Forces General Orders - Part 3, Chapter 7

3.2.11 Nominal Lists

- a. HMNZ Ships and Operational RNZN Units are to email a nominal list of all persons borne (with a total number) within 24 hrs of sailing from DNB, Auckland. This is to be in electronic format, in alphabetical order, utilising form RNZN 422 for ship's company and embarked civilian personnel. The completed form is to be forwarded by SIC email to: nib@nzdf.mil.nz, RNZN_Fleet_Personnel@nzdf.mil.nz, FleetOperationalReadiness@nzdf.mil.nz and HQJFNZJointWatchCentre@nzdf.mil.nz.
- b. Next Of Kin (NOK) information is not required for NZDF personnel as the SAP HCM database is the primary source of this information. When civilian personnel or other nations' Defence Force personnel are embarked NOK information is to be included in form RNZN 422. When a large NZDF embarked force is borne (e.g. HMNZS CANTERBURY), these personnel are to be recorded in form MD 424 and included in the total number of personnel borne.
- c. Subsequent amendments, including personnel that are not remaining onboard overnight, are to be reported by emailing an updated form. Should email connectivity be compromised updates can be signalled, using SIC WAW, giving brief details of the reason for change. Each signal amendment is to be sequentially referenced and with the amended total number. If the change includes NOK details for non-NZDF personnel, the SIC ABA is also to be used. An updated list is to be forwarded as soon as possible after connectivity is restored.
- d. Once berthed back in DNB the ship is to inform all addressees of the disposal of the current list and the cessation of reporting of POB UFN.

3.2.12 Notifiable Injuries/Illnesses

The following injuries and illnesses are to be reported by casualty signal and notified to the NOK or Casualty NOK:

- (1) death;
- (2) missing, believed killed or missing, unaccounted for;
- (3) seriously ill (life threatening illness or injury);
- (4) unlisted;
- (5) loss of eye, hand, foot or any limb, or major disfigurement;
- (6) receiving or liable to receive any media interest;
- (7) any injury/illness regarded by an HSO as serious (but not life threatening);
- (8) any injury/illness that may result in/results in admittance to hospital for more than 48 hours;
- (9) any injury/illness that causes injury and necessitates a board of inquiry;

- (10) any self-inflicted injury;
- (11) any serious fracture;
- (12) injury (including burns) or loss of consciousness due to any electric shock;
- (13) loss of consciousness due to lack of oxygen;
- (14) decompression sickness;
- (15) acute illness or loss of consciousness from absorption of any substance by inhalation, ingestion or through the skin;
- (16) acute illness requiring medical treatment resulting from exposure to a pathogen or infected material; or
- (17) admittance to hospital suffering from psychosis or suspected psychosis, or when such a condition develops while in hospital.

3.2.13 Reports of Casualties

- a. Reports on casualties are to be made by signal to addressees as follows:
 - (1) Shore-based Personnel: DCN info CN, DCN, NAVOSH, DHC DNB and ACN(P&T); and
 - (2) Personnel posted to Fleet Units or Force Elements: MCC info CN, CO PHL, NAVOSH, DHC DNB and ACN(P&T).
- b. If full details are not available reporting action must not be delayed.
- c. A separate signal is required for each casualty.
- d. In no circumstance is the diagnosis of the injury or illness to be written in plain text.
- e. Where an overseas Serviceperson is hospitalised or becomes a casualty of any sort, the reporting procedures in this chapter are to be followed. The overseas authorities will be advised by the Office of CN (see Article "3.2.25 Foreign Service Personnel").

3.2.14 Casualty Reports

- a. **Casualty Report Signal.** The following details are to be included in the casualty report signal:
 - (1) Heading: 'NOTICAS' or 'PUBLINTCAS' (see para 2).
 - (a) Category of casualty (see Article "3.2.12 Notifiable Injuries/Illnesses").
 - (b) Name and service description, ship/unit in which serving.
 - (c) Religion and age.
 - (d) Coded description of casualty iaw the Manual of International Statistical Classification of Diseases, Injuries and Causes of Death Vol 1 and 2, as issued to all ships and establishments carrying medical personnel. When no medical personnel are available, the term CODEX TBA is to be used and an updated NOTICAS is to be sent when the CODEX is established. In no circumstance is the diagnosis of the injury or illness to be written in plain text.
 - (e) Date, time and place of casualty (local time to be used). Brief details of the cause of injuries sustained.
 - (f) Details of hospitalisation, if applicable.
 - (g) Relationship, full name and address of NOK and additional nominee where appropriate, and whether or not they have been, or is being, informed.
 - (h) For fatality abroad, whether repatriation of body is/is not practical. If the NOK should visit seriously ill casualty under provisions of compassionate travel; if not, state reasons.

- (i) Whether the individual was on duty at the time of the casualty occurring.
 - (j) Whether local police and coroner informed. Whether inquest to be held.
 - (k) Whether court of inquiry is to be held and when.
 - (l) Next of kin's wishes as regards funeral, if known.
 - (m) Date, time and place of funeral.
- b. **Code Words.** The following code words are to be used where appropriate:
- (1) **NOTICAS.** To define notifiable casualties. Is to be the first word in the text of all casualty reports and follow-up messages, except where PUBLINTCAS applies.
 - (2) **PUBLINTCAS.** To define incidents of public interest in which officers, ratings or naval families are killed, injured or missing. This is to be the first word of the text of casualty reports on the incident and follow-up messages. The SIC EYL is to be used in addition to WAL for all PUBLINTCAS signals.
 - (3) **KINFORMED.** To indicate that the NOK has been informed.
 - (4) **KINNOTFORMED.** To indicate that the NOK has not been informed. The signal author is to include the reason why the NOK could not be informed and provide amplification on when this will occur, or request an action addressee to assist as required.
 - (5) **KINNOTFORMED OWN REQUEST.** Indicates that the casualty does not want the NOK to be informed (see Article [“3.2.19 Notification of Casualty Next of Kin”](#), para 8 - Rights of Casualty).
 - (6) **CASEVAC.** Is to be the first word in the text of messages advising movements of persons with an injury, disease, infection, or ailment who are required to be transferred from the point of injury to hospital.
 - (7) **MEDEVAC.** Is to be the first word in the text of messages advising movements of persons from the hospital to the homeland.
- c. **Signal Subject Indicator Codes.** The following SICs are to be used for casualty signals:
- (1) Officers/Ratings: ABA / WAL.
 - (2) Civilians and service dependants: ABA / VAL.
 - (3) Foreign personnel undergoing training in New Zealand: ABA / EEO.
- d. **Precedence.** All initial casualty reports and follow-up messages are to be made by PRIORITY signal. IMMEDIATE is always to be used when the person to be notified has not been informed and the reporting ship or establishment requires CO PHL to arrange notification.

3.2.15 Responsibilities of the Commanding Officer

- a. The CO is responsible for the following actions when a notifiable casualty (see Article [“3.2.12 Notifiable Injuries/Illnesses”](#)) occurs to personnel in or attached to their command:
- (1) Report the casualty iaw Article [“3.2.14 Casualty Reports”](#). If the casualty is a member of another Service, but under PHL or a naval force element command, the casualty's parent service HQ is to be included as an action addressee.
 - (2) Ensure the Casualty NOK (CNOK) is notified in accordance with Article [“3.2.19 Notification of Casualty Next of Kin”](#).
 - (3) If the casualty is a member of another Service, or a naval force element command, all subsequent action concerning the casualty is the responsibility of the parent service HQ once a formal handover of the casualty has been initiated through posting action and liaison between Commands. The casualty's CO is to ensure immediate actions are taken to deal with the casualty and assist with a smooth transfer of responsibility to minimise impact on the Service person and NOK.

- (4) In the case of hospitalisation in New Zealand:
 - (a) Maintain liaison with the hospital authorities.
 - (b) Ensure that the patient is visited at least once a week by the divisional officer and/or chaplain.
 - (c) Notify progress reports iaw Article [“3.2.20 Progress Reports”](#) or arrange for these reports to be initiated by the hospital.
 - (d) Arrange for the safe custody of the casualty’s personal effects.
 - (e) Detail an officer to liaise with the family and arrange for travel and accommodation where so entitled, to permit the NOK to visit the patient in hospital. That officer should liaise direct with the NCO for advice and support as required.
 - (5) In the case of hospitalisation overseas:
 - (a) For COs of Force Elements - are to comply with the HQ JFNZ casualty plan.
 - (b) For CO PHL - complete actions at sub paragraphs 1a to 1d, liaising with the relevant defence/naval attaché as needed.
 - (c) In the case of death, the actions detailed in [“Section 4 - Death or Serious Injury”](#).
- b. **Casualty in the Defence Health Centre, DNB.** Where a casualty is admitted directly to DHC, DNB or where the NHS is the primary recipient of information concerning a casualty, the DHC, DNB is to make the casualty report required by Article [“3.2.14 Casualty Reports”](#) and is to arrange for the notification of CNOK. The casualty information is also to be reported to the PHL BOOD as soon as possible, so that PHL Command is informed as appropriate.

3.2.16 Action by the Chief of Navy

- a. Where the CN is the CMA, the Office of the CN will:
 - (1) Notify CDF and the Office of the MoD in those cases listed in Article [“3.2.12 Notifiable Injuries/Illnesses”](#) paras 1a-f.
 - (2) Dispatch to the NOK, letters of sympathy on behalf of the RNZN (once forwarded by the relevant CO).
 - (3) Ensure a press release is made (see Article [“3.2.23 Release of Information to the Media”](#)).
- b. In addition, in the case of death:
 - (1) If death occurs overseas, register the death with the Registrar of Births, Deaths and Marriages.
 - (2) Ensure appropriate action is taken regarding any compassionate grant that may be payable (see Article [“3.2.26 Welfare of Dependents”](#)).
 - (3) If death occurs overseas, notify the MP representing the electorate where the NOK are resident or, in the case of an accompanied officer or rating, the casualty’s alternative NOK is resident (the NOK and MOD will be informed before the MP).

3.2.17 Appointment of a Casualty Liaison Officer

The CO of the casualty is responsible for appointing a suitable Casualty Liaison Officer (CLO) iaw Part 12, Chapter 8 of Ref D. The responsibilities of the CLO are outlined in Part 12, Chapter 8 of Ref D.

3.2.18 Appointment of a Casualty Notification Officer

The CO of the casualty is responsible for appointing a suitable Casualty Notification Officers (CNO). COs are to be guided by Part 12, Chapter 8 of Ref D in selecting the CNO.

3.2.19 Notification of Casualty Next of Kin

- a. **In New Zealand.** The CO will arrange notification of the CNOK in accordance with Part 12, Chapter 8 of Ref D where the NOK resides in New Zealand.
- b. **Overseas.** The Office of CN (in conjunction with the relevant defence attaché /naval attaché) will arrange notification in accordance with Part 12, Chapter 8 of Ref D where the CNOK resides overseas and the casualty is serving in New Zealand, or is serving overseas in a different location from the NOK. If the CNOK is present at the place where the casualty is serving, notification is to be made by the CO or the CO is to arrange notification be made by an appropriate local authority.
- c. **Fatalities.** The CO PHL is responsible for ensuring the notification of CNOK of fatalities iaw Part 12, Chapter 8 of Ref D.
- d. **Non-fatal Casualties.** The CNOK is to be notified personally of all casualties listed in Article “3.2.12 Notifiable Injuries/Illnesses” and of any change in category or condition except where the change in condition is an improvement to ‘Condition Satisfactory’ or one which is not required to be passed to the CNOK personally.
- e. Where personal notification is not required (see Article “3.2.12 Notifiable Injuries/Illnesses”) the CNOK is to be advised by letter or telephone by DNC, DNB. The information provided is to include:
 - (1) The date of admission to hospital and the name of the hospital.
 - (2) A brief statement of the injury or illness and the circumstances. Care is to be taken that this is in general terms only and is phrased in such a way as not to cause undue distress. Whenever possible, any diagnostic information is to be checked with a HSO prior to dispatch.
 - (3) An appropriate assurance regarding the patient’s condition.
 - (4) If possible, a forecast as to the likely period of hospitalisation.
- f. **Notification by Police or Civil Hospital.** In the case of a casualty occurring in New Zealand outside supervised military duty, the NZ Police usually have first knowledge and will normally advise the nearest naval establishment and the CNOK through police channels. In some cases an officer or rating will be admitted to hospital and the hospital authorities will notify the CNOK before notifying naval authorities. This does not relieve the CO PHL from ensuring that all procedures are correctly complied with. The chaplaincy department is to be notified in such cases.
- g. Where the CO of a ship or establishment is advised by the police of a casualty involving a service member not under their command, or where the CO of a ship or establishment otherwise gains first knowledge of such a casualty, they are to take initial reporting action as if they were the casualty’s CO, repeating the signal to the casualty’s own ship. If the CNOK lives in the local area, the CO of the originating ship or establishment may be instructed by DCN or the MCC to notify the CNOK. Once the initial report has been made, the CO of the casualty’s ship is to assume immediate responsibility for all further action unless it is appropriate that this responsibility be assumed by the CO PHL or CN.
- h. **Rights of Casualty.** Where an officer or rating specifically requests that their CNOK should not be informed of a casualty, such a request is to be respected. In special circumstances where, in the opinion of the CO, the withholding of advice to the NOK could be detrimental to the interests or welfare of the NOK, an appropriate recommendation should be made to the MCC or the DCN.

3.2.20 Progress Reports

- a. The CO or DHC, DNB, as appropriate, is to signal casualty progress reports to addressees in the original casualty report signal on the following occasions:

- (1) Changes in category, condition and/or location - whenever this occurs.
 - (2) Casualties very seriously ill/injured - daily.
 - (3) Casualties seriously ill/injured - every two days for the first six days and thereafter weekly or as directed by the ACN(P&T).
- b. The NOK LO is to ensure NOK is kept informed of the patient's progress.
- c. Signals notifying changes to category or condition are to be accorded precedence determined by the new category or condition (see Article "3.2.14 Casualty Reports" para 4).

3.2.21 Drowning

In drowning fatalities, when the body is not recovered at the time, particulars of the occurrence with a full description for purposes of identification are to be forwarded to the local police and, overseas, the nearest New Zealand or Commonwealth consular authority.

3.2.22 Letters of Condolence

In the event of death the following letters are to be forwarded to the NOK:

- (1) The CO of the ship or establishment in which the deceased was serving is to draft a letter of sympathy for CN to send as soon as possible after personal notification has been confirmed. Discretion must be exercised to ensure that the contents of the letter cause the least possible further distress to the NOK. As far as possible, the letter is to be confined to a message of sympathy and comfort. If the NOK asks for specific information concerning the facts of the casualty, the request is to be referred to the CO for action. The CO is to retain a copy of all correspondence with the NOK.
- (2) In addition to the CN letter of condolence, the CO is to write a business letter containing information regarding balance of pay, allowances, effects and gratuities or other entitlements.
- (3) When writing official letters to the NOK, the following is to be considered:
- (4) **Blame.** Whilst being scrupulously accurate in stating the facts, care must be exercised to avoid implying blame either to the deceased or to anyone else. The term 'error of judgement' is not to be used as this has a special service meaning.
- (5) **Injuries.** All reference to the nature of the injuries should be avoided, but if NOK presses for details then he/she must be told. Any such information is to be cleared by a competent medical authority. Whenever possible the information should be couched in such a way as to give the impression that the deceased did not suffer.
- (6) **Suicides.** Care is to be taken to ensure that no death is attributed to suicide until a coroner's inquest brings down such a verdict. The NOK should; however, be advised that the circumstances of the death are to be the subject of official investigation. In such cases the cause of death is to be given, if the NOK so requests, expressed in terms of the actual medical verdict. Notification of deaths in this category is only to be made with the authority of the CN.
- (7) **Presumption of Death.** If a person is missing (believed killed/injured), all letters are to be couched in similar terms. When; however, there is clearly little or no chance of the casualty being found alive, this may be stated.

3.2.23 Release of Information to the Media

- a. The CO is responsible for ensuring that the Defence Public Affairs (DPA) is informed of the casualty without delay, particularly where the circumstances are likely to be of interest to the public.
- b. As a general rule the CO, in consultation with the DPA and Public Affairs Officer (Navy) is to make releases to the various news media, keeping the MCC (for force elements), DCN (for NSC

and all other personnel not posted to a FE assigned to the MCC) and CN informed. It is not always possible; however, to restrain news agencies in the publication of details of interest, therefore releases can be made by COs providing:

- (1) confirmation has been received that the NOK has been informed;
 - (2) the PNOK has agreed to the information that will be released;
 - (3) it is known that the CN and the MCC (for force elements), or the DCN (for NSC) are in possession of all the facts; and
 - (4) care is taken to ensure that information given to the news media does not contain any details which are additional to or differ from those passed to the NOK.
- c. Personal details included in the initial release are to be limited to:
- (1) Name, rank and age (the identity may be withheld for security reasons).
 - (2) Marital status and number of children.
 - (3) The area in which the NOK lives. The name and address of the NOK are not to be given.
 - (4) A brief biography of naval service.
- d. In order to prevent embarrassment to the NOK and the NZDF, any casualty, however trivial is to be notified to the NOK and DCN, MCC and CN if, because of its spectacular nature or for any other reasons, it is likely to be the subject of media comment. Refer also to Naval Forces General Orders Part 6, Chapter 3.
- e. In appropriate cases, the DPA or Public Affairs Officer (Navy) may also release an official military biography.
- f. In all cases of news releases, care is to be taken not to breach any security requirements which may surround the circumstances of a casualty. Where information is security classified, the news releases are to be made only by the DCN (for NSC and all other personnel not posted to a FE assigned to the MCC) or the MCC (for Force Elements).

3.2.24 Court of Inquiry

- a. A Court of Inquiry (COI) is to be convened as detailed at Article [“3.2.52 Accidental Death or Serious Injury”](#)).
- b. When a COI is held, neither the proceedings nor the findings should be disclosed to the public or to the NOK. If the NOK seeks information which is available only from such findings the request is to be referred to the CN.

3.2.25 Foreign Service Personnel

The responsibility for initiating casualty action and subsequent action where appropriate is the same as if the casualty was a member of the naval service. If the NOK are resident in New Zealand they are to be advised iaw normal procedure. If they reside in the casualty's home country, the Office of CN will notify the appropriate embassy or high commission.

3.2.26 Welfare of Dependants

- a. Compassionate travel may be approved by the CMA for family and/or friends iaw Part 12, Chapter 8 of Ref D. The CO is responsible for seeking approval for all such requests.
- b. The CO is also to inquire into the circumstances of the dependants and is to make immediate recommendations to the CN in cases of hardship. For force elements deployed overseas, assistance can be provided by PHL NCO in the management of the welfare of dependants.
- c. The CN will action, without delay, applications for such grants as the dependants may be entitled to under NZDF or naval provisions, including the RNZN Benevolent Fund and RNZN Officers' Benevolent Trust.

- d. If a Serviceperson dies leaving dependant children, the CO is to consider notifying the National Secretary of Heritage Inc, PO Box 966, Wellington. Subject to written consent of the surviving partner, the following information can be provided to Heritage Inc:
- (1) Service number, full name, age and religion;
 - (2) surviving partner's name and address;
 - (3) date of death; and
 - (4) number, age and gender of dependants.

3.2.27 Loss of Ship

If the CO of an HMNZ Ship is unable to fulfil their duties consequent upon the loss of the ship, the MCC is to assume the responsibility of initiating the casualty reporting procedures in this chapter.

3.2.28 - 3.2.33 Not Allocated

*Section 3 - War Time Procedures***3.2.34 Action to be Taken**

- a. In time of tension or when an outbreak of hostilities leading to a limited or general war is a possibility, the adoption of wartime procedures for casualty reporting may be ordered. Under these circumstances, accurate maintenance of the ATLAS database may not always be practicable. The MCC will therefore instruct all ships to forward a full nominal list and to signal updates every 24 hours, EMCON policy permitting.
- b. **Nominal Lists.** A standard format is to be used for nominal lists which are to be compiled alphabetically irrespective of rank or branch in the format:
 - (1) surname, initials, service number, rank; and
 - (2) all other persons embarked in HMNZ Ships.
- c. **Casualty Categories.** The categories of casualties shown in para 1. of Article “[3.2.14 Casualty Reports](#)” must be reported to the MCC who will notify the NOK requesting support from PHL (NCO) as required. In war, if the reporting of all casualties becomes difficult, the MCC should seek the CN’s approval to reduce the number of categories that require reporting, beginning with unlisted (UL) casualties.
- d. **Survivors.** Every effort is to be made before dispersing survivors to obtain from them, in writing where possible, information relating personally to the fate of those lost, which may be of interest or comfort to the NOK. This information is to be forwarded the MCC. The names and addresses of survivors are not to be disclosed except for official purposes, and are not to be communicated to the NOK of casualties or to members of the public without previous reference to the MCC.

3.2.35 Casualty Reports

- a. Casualties, irrespective of Service and including dependants, should be reported in the format at “[Annex 2-B. Specimen Casualty Report: War](#)”, using the following categories:
 - (1) Death.
 - (a) Killed in Action (KIA).
 - (b) Died of Wounds Received in Action (DOW).
 - (c) Died on Active Service (DAS).
 - (2) Missing.
 - (a) Missing Believed Killed (MBK).
 - (b) Missing Believed Prisoner of War (MBPW).
 - (c) Missing Believed Wounded (MBW).
 - (d) Missing Reason Unknown (MNK).
 - (3) Returned from Missing (RFM).
 - (4) Wounded/Sick Injured (WSI/SI) (see para b).
 - (5) Wounded/Sick Injured Unlisted (UL) (see para b) (indicate hospital admission where applicable).
 - (6) Loss of eye/hand/foot/limb or major disfigurement (see para b).
- b. Single initial notification must be made and updates are only required if the casualty categorisation changes.
- c. Where there is a large number of casualties the circumstances should be reported in advance of the names, in a manner such as: ‘heavy explosions after striking mine. Majority of missing

probably killed instantaneously. Ship sank and all persons in water recovered. Those missing must be presumed killed. Casualty list follows.'

- d. The casualty list is to be divided into the categories indicated in para a., and should be sent in plain language.

3.2.36 Notification to the Next of Kin

In a limited or general war when casualties can be expected to be high, it may not be possible to maintain the normal peacetime procedure of providing visiting CNOs to inform NOK of casualties. At such times the CN will authorise the use of whatever measures are available to inform NOK, including the use of civilian voluntary organisations, local clergy and the civil police.

3.2.37 Letters of Condolence

The CN is responsible for sending letters of condolence iaw Article ["3.2.22 Letters of Condolence"](#).

3.2.38 Release of Names to the Media

The CN will determine whether names will be released to the media in consultation with the CO and the DPA.

3.2.39 Casualties Ashore

If the casualty was on leave, the place of death is to be stated, and if on duty elsewhere than on board, the nature of the duty being performed at the time of the injury or death should also be given in the casualty report.

3.2.40 Wounded and Injured

Particulars of those not seriously wounded are to be sent by air mail or by the quickest alternative route available to the MCC, who will inform the NOK (unless the patient has expressed a wish that the NOK should not be informed).

3.2.41 Loss of Ship without Casualties

When a ship has been lost or damaged without casualties this is to be reported to the MCC at the earliest opportunity.

3.2.42 Prisoners of War and Internees

The senior naval officer at any place of confinement is to report to the CN at the earliest opportunity, directly if possible or via the Red Cross, the death or the absence of any person who may have left the place so as to be no longer under their observation.

3.2.43 - 3.2.50 Not Allocated

Section 4 - Death or Serious Injury

3.2.51 Medical Reports on Death

- a. In addition to the casualty report raised in accordance with Article “3.2.14 Casualty Reports”, the Health Services Officer (HSO) (Fleet Health Services Officer (FHSO) in PHL or HSO when borne in force elements) is to provide a report to NHS on every death that occurs within their relevant Command.
- b. This report is to contain full details of the case and whether the death arose from wounds or injury. The HSO is to state how the accident occurred, whether the person was on duty and the blood alcohol level at the time. When a death is due to disease, the particulars of the case should include any factors of exposure, exertion on duty, the service environment which may have been responsible for any condition that led up to the death.
- c. In addition to this report, an RNZN 1 form is to be completed, forwarded through the relevant CO to NAVOSH in a timely fashion.

3.2.52 Accidental Death or Serious Injury

- a. **Court of Inquiry.** The circumstances surrounding the accidental death of or serious injury (including near-drowning, suicide or attempted suicide) to any person (including civilians) on board any ship or establishment, or whilst on duty ashore in New Zealand, or elsewhere, are at once to be investigated by a Court of Inquiry (COI). The CO is to convene to court as soon as practical after the incident seeking legal advice as needed.
- b. **Court Composition.** The COI is to be convened in accordance with Chapter 11 of Ref A and should as far as is practicable be composed of members specially qualified to deal with any technical questions which might arise. One member should be, wherever possible, a HSO and medical evidence about the cause of death or injury should always be taken.
- c. **Evidence by relatives.** The relatives of any deceased or injured person whose death or injury is being investigated in New Zealand are to be invited to give evidence if they can be expected to contribute information to the inquiry. Relatives should not be so invited where the court of inquiry takes place overseas, unless they are already present at the place where it is held. Relatives should not be invited when death or injury is due to some purely mechanical defect and there can be no question of an error of judgment, or where the state of health or domestic circumstances of the person concerned have no bearing on the inquiry. In cases of doubt, the relatives are always to be given the opportunity of giving evidence, should they wish to do so.
- d. **Disappearance of personnel.** The disappearance of a person in circumstances that point to the possibility of accidental death is similarly to be investigated and reported.
- e. **Death of injury whilst on leave.** COs are to consider whether or not the circumstances of an accidental death or serious injury to an individual whilst on approved leave is warranted. Incidents where there is a connection to the RNZN or NZDF, particularly where the organisation may be viewed in a negative light should be investigated. Where the CO considers such an investigation is appropriate, and where they are available, a copy of the police report and Inquest are to be obtained and forwarded to the DCN/MCC together with comments.
- f. **Road Traffic Accident on Leave.** Where death or injury is due to involvement in a road traffic accident whilst on leave it should not normally be necessary to conduct any investigation, or make any report into the circumstances as this will be covered by the NZ Police Serious Crash Unit investigation.

3.2.53 Sudden Deaths

- a. In case of sudden death, without previous indisposition, the HSO, with the sanction of the CO, is to examine the body to ascertain the cause. Should any cause for suspicion be observed the CO is at once to inform the coroner so that an inquest may be held if advisable and

practicable.

- b. Whenever practicable, the consent of the NOK is to be obtained before a post-mortem examination is carried out. No such consent is required when the coroner has ordered a post-mortem examination.

3.2.54 Inquests

- a. **Notification.** When any person dies violently, unnaturally or suddenly from an unknown cause while in any ship or establishment, the CO is to notify the nearest coroner of the death, so that they may decide whether an inquest is necessary. The CO is to inform the coroner of all the circumstances of the case, to provide the names of any witnesses and to ensure that Service witnesses attend at the time and place the coroner may appoint for holding the inquest.
- b. If the body of any person who has died in the manner described above is brought into any port in New Zealand, the CO is to report particulars to the coroner and to take action as if the death had occurred at that place.
- c. **Legal Representation.**
 - (1) Legal representation is desirable at inquests into the following:
 - (a) the death of an officer or rating on duty,
 - (b) the death of an officer or rating on leave, if murder or suicide is suspected,
 - (c) any death occurring within a Defence area (see Defence Act 1990 s.2), and
 - (d) any other death where the circumstances are likely to give rise to legal proceedings involving the NZDF or to criticism of the NZDF.
 - (2) In such cases (above), the CO must immediately inform the MCC or the DCN and send a full statement as soon as possible. In cases of urgency, COs may directly contact the Naval Support Command or HQJFNZ Legal Staff, as appropriate, to arrange legal representation and advice.
- d. When the RNZN or NZDF is legally represented, the legal representative is to be shown the full transcript of any COI proceedings which may have been held and also given all such further information as might be requested or considered necessary. The legal representative is responsible for all arrangements concerned with the conduct of the inquest and apart from the initial action required under paras 1 and 2, the CO should refer to the representative any questions that may be raised by the coroner.
- e. **Report of Proceedings.** The CO should ensure that an officer acquainted with the facts attends the inquest into the death of any officer or rating. In cases where the RNZN or NZDF is not legally represented, that officer is to furnish a report on the proceedings, including details of any known NOK in attendance and the verdict of the coroner. That report is to be forwarded to the CN. If an inquest is likely to attract public or media interest or to involve the disclosure of classified information, the CN and DCG are to be informed.
- f. **Inquests and Courts of Inquiry.** The inquest and the COI into the same incident should proceed independently. If a coroner requests to see the report of the court of inquiry, the request is to be reported immediately to DCN/MCC as appropriate.
- g. **Informing Next Of Kin.** It is not the responsibility of the CO to warn the deceased's NOK, of the time and place of the inquest. The CO must ensure; however, that the Police or the coroner's officers are given particulars of the NOK so that action may be taken to inform them.

3.2.55 Critical Incident Management

In the event of a death or serious injury the CO is to consider whether or not specific critical incident management assistance is required iaw DFO 3, Part 12, Chapter 9 and Naval Forces

General Orders Part 3, Chapter 4, Section 5 - Psychological Support to Operations and Part 1, Chapter 4, Section 2 - Critical Incident Management.

3.2.56 Registration of Deaths

- a. **Death in New Zealand Waters.** Where a death occurs on shore or on board one of HMNZ Ships in a New Zealand port, on passage from one New Zealand port to another or immediately prior to arrival from overseas, it is the duty of the undertaker or person in charge of the funeral to register the death, except that after an inquest when the coroner is responsible for doing so. To enable the undertaker to register the death, the CO is to arrange for the HSO to furnish a certificate of death or otherwise to obtain an order for burial from a coroner. Where a death occurs in the Defence Health Centre, DNB (DHC, DNB), the FHSO is to report the death.
- b. **Death Outside New Zealand.** The death of an officer or rating will be registered in New Zealand wherever the deceased may have been serving at the time. The CO of the ship to which the deceased belonged is to forward a confirmation of 'life extinct certificate' and 'death certificate', if available (in duplicate for personnel serving on loan or exchange) to the FHSO for formal registration to be effected. The HSO of the ship, establishment or port or, when death takes place on shore, by the medical practitioner called in to attend the deceased must endorse the 'life extinct certificate'. Such deaths are also to be registered locally where required by law of the country. The FHSO will give advice and direction on coroner's involvement.
- c. **Loan or Exchange Personnel.** The 'death certificate' in respect of a foreign officer or rating serving on loan or exchange with the RNZN, whether occurring in New Zealand or overseas, is to be forwarded to the Office of CN for onward transmission to the authorities of the deceased's parent service.

3.2.57 Commanding Officer's Actions

- a. In addition to actions required by the preceding paragraphs of this section, the CO is to ensure that the following actions are undertaken:
 - (1) **PHL Personnel.** The CO PHL is to:
 - (a) Inform the NOK (if not already informed). Whenever possible, notification is to be made by a personal visit by a Casualty Notification Officer (CNO). Where the NOK resides out of the greater Auckland region, notification by an appropriate person is to be arranged (e.g. local police, local clergy, in consultation with the Lead Chaplain (Northern)). Where it is likely that information will reach the NOK through publicity before a personal visit can be made, the CO is to arrange for a follow-up visit by a NOK Liaison Officer (NOK LO) to be made as soon as possible.
 - (b) Designate a NOK LO to act as primary liaison for the NOK, in conjunction with the NCO.
 - (c) For overseas deaths - organise repatriation of the body and make funeral arrangements iaw DFO 3 in consultation with the relevant defence/Naval attaché, unless advised otherwise by DCN.
 - (d) In New Zealand, make arrangements for a Service funeral if so wished by the NOK. If the NOK do not want a Service funeral, RNZN representation at the funeral is to be provided (see Article "3.2.77 Memorials"). Further guidance on naval funerals is in "Section 4 - Death or Serious Injury".
 - (e) Notify the HRSC.
 - (f) If requested, provide identification of the deceased as required by the local authority.
 - (g) Notify DCN if an inquest is to be held and provide relevant details (see also Article

“3.2.54 Inquests”).

- (h) Convene a court of inquiry (see Articles “3.2.24 Court of Inquiry” and “3.2.52 Accidental Death or Serious Injury”) in consultation with legal advisors; and
- (i) Draft a letter of sympathy to the NOK for CN signature (see Article “3.2.22 Letters of Condolence”).
- (j) Send a description of the funeral, with photographs wherever possible, to the CN for transmission to NOK if the NOK are unable to attend the funeral.

b. **Force Element Personnel.** Force Element COs are to:

- (1) Complete actions in sub paras 1a(1), (2), (5), (6), (8), (9) and (10) above;
- (2) For overseas deaths - organise repatriation of the body and make funeral arrangements iaw DFO 3 in consultation with HQJFNZ, unless advised otherwise by MCC. A formal request for PHL support is to be forwarded from HQJFNZ to CO PHL with DIRLAUTH provided to the relevant force element, if assistance from PHL is required.
- (3) In New Zealand, make arrangements for a Service funeral if so wished by the NOK, in consultation with Protocol Officer (Navy). If the NOK do not want a Service funeral, RNZN representation at the funeral is to be provided (see Article “3.2.77 Memorials”).
- (4) Notify the MCC if an inquest is to be held and provide relevant details (see also Article “3.2.54 Inquests”).

3.2.58 - 3.2.70 Not Allocated

Section 5 - Naval Funerals

References:

- A. DFO 3 - NZDF Human Resource Manual
- B. Naval Forces General Orders - Part 4, Chapter 15, Section 15

3.2.71 Funerals at Public Expense

For instructions on entitlements to funerals at public expense refer to DFO 3, Part 12, Chapter 8. This section provides expanded guidance on naval funerals.

3.2.72 Burial at Sea

- a. **Serving Personnel.** The committal of bodies or cremated remains at sea from HMNZ Ships, other suitable vessels of deceased serving officers or ratings may be undertaken at the discretion of the MCC. The scattering of ashes or is the committal of a body to the sea from aircraft is not permitted. The appropriate ceremonial procedure for committal of bodies is laid down in BR 1834 - Royal Navy Ceremonial and Drill (see also Naval Forces General Orders Part 4, Chapter 15 - Funeral Honours).
- b. **Committal at Sea.** Committal of the body or ashes to the sea should not be offered as an alternative to final committal ashore when NOK are consulted about funeral arrangements. If the NOK requests one of these forms of committal, it should be pointed out that it is dependent upon the availability of a ship and a suitable area for the committal to take place.
- c. **Committal Costs.** In the case of committal of bodies, the NOK are responsible for the cost of providing a specially constructed coffin on those occasions when one is required. If the deceased is entitled to a Service funeral, the NOK are responsible for the difference in cost between that of an earth-burial coffin and that of the specially constructed coffin for sea burial.
- d. **Civil Law Requirements.** Before the committal takes place it must be confirmed that the requirements of the local civil law have been observed with regard to reporting the death and post mortem, in addition to ensuring that there is no Service requirement for a post mortem examination. The body of a person who has died on shore in New Zealand may only be committed to the sea on the written authority of the coroner of the district where death occurred.
- e. **Retired Personnel.** The committal of bodies to the sea of retired distinguished senior officers whose services merit special recognition, and the committal of ashes to the sea of deceased persons who served with the RNZN can be undertaken at the discretion of the MCC.

3.2.73 Scattering of Ashes

- a. Deceased persons who have served in the New Zealand naval forces, with or without war service, may have their ashes scattered at sea from a warship or other vessel with the approval of the MCC. If necessary, the ashes of the deceased can be reverently held in Saint Christopher's Chapel, HMNZS PHILOMEL, whilst awaiting the availability of a suitable ship.
- b. The service should be conducted by a NZDF chaplain or, in the absence of a chaplain, by the CO. The PC(N) can provide an appropriate service.
- c. The service should be conducted on the quarter deck, with a senior rate holding the ashes and flanked by two junior rates. The church pennant is to be flown during the service and personnel participating are to be bare-headed.
- d. On the conclusion of the ceremony the PC(N) is to inform the deceased's NOK by letter that the request has been actioned.

3.2.74 Religious and Cultural Conventions

- a. Care is to be taken in arranging a funeral or scattering of ashes of the requirements of the

deceased's religion or race.

- b. The format of the ceremony should be in accordance with the rites of the deceased's denomination.
- c. Particular attention to Maori or other customs may be required (refer DFO 3 Part 12, Chapter 8). For advice on specific tikanga for a tangi at the RNZN Marae (Te Taua Moana) the Marae Manager or the Maori Cultural Adviser (MCA) is to be consulted.

3.2.75 The New Zealand Flag and White Ensign

A New Zealand flag, or the White Ensign, may be lent for a funeral. The official naval representative (or NOK LO) is responsible for returning the flag. If the RNZN is not represented at the funeral, the NOK or the person arranging the funeral must be asked to ensure that the flag, which is to be marked with the address of the ship or establishment, is returned. The NOK LO is responsible for seeing that the flag is returned.

3.2.76 Notification of Funeral Arrangements to Next of Kin

- a. The NOK LO is to ascertain the wishes of the NOK with respect to a Service funeral (see Article "3.2.77 Memorials"). These wishes are then to be advised to PC(N) so that arrangements can be put in place. In the case of death overseas, the NOK are to be advised as to the instructions on burials overseas and the return of bodies to New Zealand (refer to DFO 3). The NOK LO is to advise NOK on financial and other matters in consultation with the Naval Community Organisation Manager.
- b. The NOK LO visit should be timed to take place within a few days of the dispatch of the official letter of condolence from CN and the business letter (see Article "3.2.22 Letters of Condolence"). The NOK LO is to wear uniform, unless it is deemed inappropriate.
- c. If the NOK of the deceased are not present at the time of death, and other means of notification are inappropriate, a communication by the most appropriate means along the following lines should be sent as soon as possible after the casualty notification in all cases where it would be practicable for the relatives to arrange a private funeral should they so desire:

'Officers and ratings of HMNZS..... wish me to express their deepest sympathy in the loss of your..... Will you please let me know your wishes about which one of the following funeral arrangements you desire, and whether you would like to nominate the funeral director.'

'First, we can arrange for your..... to be buried with naval honours in the..... (cemetery/churchyard) at..... (place) at..... (time) on..... (day and date) and provide return travel to..... for yourself and one other near relative. (Adjust as necessary under appropriate instructions in DFO 3).'

'In this case, the whole cost of the funeral (and, if buried in the naval reservation at Waikumete Cemetery, Auckland, the erection of a head stone and perpetual maintenance of the grave) would be borne by the Navy.'

'Alternatively, if you prefer that the funeral should be private, arrangements will be made for your.....'s body to be conveyed to your home at public expense. In this case it would be necessary for you to make all other arrangements, but the Navy would meet such of the actual funeral expenses as would have been paid if all arrangements had been made by the navy. Provision of a memorial and maintenance of the grave will be your responsibility but the cost of a cemetery plot will be accepted by the Navy.'

'If you prefer a private funeral we would like, if we may, to arrange for a naval representative to attend.'

'Please advise your wishes as soon as possible.'

- d. **Local Burial Necessary.** Where local burial is necessary under the circumstances outlined in DFO 3 (refer also to Naval Forces General Orders Part 4, Chapter 20 - Waikumete Cemetery

and Naval Grave Sites), the communication should be on the following lines:

'Officers and ratings of HMNZS..... wish me to express their deepest sympathy in the loss of your..... We propose to arrange for him/her to be buried with naval honours in the..... (cemetery/churchyard) at..... (place) at..... (time) on..... (day and date) and the whole cost of the funeral (and for burial at Waikumete, the provision of a head stone and perpetual maintenance of the grave) will be borne by the Navy.'

e. A paragraph on the following lines should be added as appropriate:

(1) Where the attendance of NOK may be practicable:

'If you wish to be present and can arrive at..... by..... free return travel to..... for yourself and one other near relative (adjusted as necessary under appropriate instructions in DFO 3) will be arranged on receipt of your instructions. Please inform me of the time you will be able to arrive.'

(2) Where attendance of relatives is clearly impracticable:

'I deeply regret the necessity for such an early funeral has prevented longer notice. Please let me know the inscription and value of any floral tribute you may wish me to arrange on your behalf.'

3.2.77 Memorials

- a. Any proposal for the erection of a war memorial in a service church or chapel, or on other NZDF property, and any inquiry about existing ones that cannot be answered locally, is to be referred to the Office of the CN.
- b. Any proposals for the erection of a memorial or plaque to a ship or group of persons in a Service church or chapel, or for the re-siting, alteration or removal of an existing memorial, are to be referred to the DCN, who will consult the PC(N) or Lead Chaplain (Northern), as appropriate.
- c. Private memorials to individuals are not generally to be permitted in Service churches or chapels.

3.2.78 Naval Funerals

- a. Naval funerals with the appropriate ceremonial honours may only be held where burial takes place at a naval port or at the place where a ship is lying.
- b. When cremation is intended, naval funerals will be held at the Naval Memorial Chapel of St Christopher, PHILOMEL. The service of committal will be held at the crematorium with the appropriate ceremonial if the relatives so request.
- c. When required, the CO PHL will signal ships and establishments in the following format:

FROM: PHILOMEL

TO: AIG 16801

SIC: Z5E

NAVAL FUNERAL

A. NZBR 1 PART 3 ART 3.2.78

1. THE FUNERAL OF THE LATE (NAME IN FULL) OF HMNZS (SHIP) WILL BE HELD AT THE CHAPEL OF ST CHRISTOPHER, HMNZS PHILOMEL AT (TIME) AND (DATE).

2. NAME OF SHIP TO PROVIDE OFFICER IN CHARGE OF FUNERAL.

3. NAME OF SHIP TO PROVIDE BEARER PARTY.

4. NAME OF SHIP TO PROVIDE FIRING PARTY/GUARD.

5. NAMES OF SHIPS TO PROVIDE ATTENDING PARTY.
6. DRESS.
7. COLOURS TO BE FLOWN AT HALF-MAST FROM (TIME) UNTIL (TIME).

Note: Where the committal service is held in PHL, only a guard will be required.

- d. On receipt of the signal at para 3 above, the name of the OIC of funeral is to be reported.
- e. Private funerals can also be arranged to be held at the Chapel of St Christopher, PHILOMEL. These will normally be for ex-RNZN or ex-RN personnel, and will be held without naval ceremonial.
- f. The wearing of mourning bands is to be iaw Naval Forces General Orders Part 4, Chapter 15, Section 5 - Funeral Honours.

3.2.79 Recognition of Service

- a. A recognition of service gift is to be provided to the CLO for presentation to the family in accordance with NFGOs Part 1, Chap 9.
- b. Administration of this task sits with the FPT Business Support Group for serving members and Personnel Archives and Medals for those who have left the Service. The CLO is to make contact with either at the earliest opportunity to ensure a timely presentation.

3.2.80 - 3.2.99 Not Allocated

Annex 2-A. Specimen Casualty Report: Peace Time

(See Article "3.2.13 Reports of Casualties")

ACTION: PRIORITY INFO: PRIORITY

DATE TIME GROUP

From: PHILOMEL or FORCE ELEMENT

To: HQNZDF(NAVY) or HQJFNZ

Info: ACN(P&T) AUCKLAND

DHC, DNB

PHILOMEL (if report from Force Element)

Defence/naval attaché - as appropriate

UNCLAS

SIC: ABA / (In accordance with Article "3.2.13 Reports of Casualties")

NOTICAS

1. SERIOUSLY ILL
2. SMITH JOHN JAMES, Q21399 POSCS, HMNZ SHIP
3. PRESBYTERIAN, 28
4. E886 N847.8
5. 191645M OCT 95 HAURAKI GULF. STRUCK BY PARTING TOWING HAWSER. CHEST AND THIGH INJURIES, INTERNAL BLEEDING.
6. LANDED TO NAVY HOSPITAL 191720NZDT OCT XX
7. WIFE - MRS HELEN SMITH FLAT 42A WAKAKURA CRES DEVONPORT. KINNOTFORMED OWN REQUEST
8. NA
9. YES
10. NA
11. TO BE CONVENED ON BERTHING AT DNB. TIMINGS TO BE SIGNALLED.
12. NA
13. NA

Annex 2-B. Specimen Casualty Report: War

(See Article "3.2.14 Casualty Reports")

ACTION: PRIORITY INFO: PRIORITY

DATE TIME GROUP

From: PHILOMEL or FORCE ELEMENT

To: HQNZDF(NAVY) or HQJFNZ

Info: ACN(P&T) AUCKLAND

DHC, DNB

PHILOMEL (if report from Force Element)

Defence/naval attaché - as appropriate

UNCLAS

SIC: ABA / (In accordance with Article "3.2.14 Casualty Reports")

REGRET TO REPORT FOLLOWING CASUALTY

SMITH, JOHN Q21399 POSCS, C OF E (Service description, religion)

RNZN (Service)

12 JUL 97 DEAD - KIA (Date of incident) (State of casualty)

WIFE: MRS HELEN SMITH FLAT 42A WAKAKURA CRES DEVONPORT KINNOTFORMED (Next of kin and whether informed)

FATHER: MR THOMAS SMITH 175 HIGH STREET ASHBURTON KINNOTFORMED (additional nominee (if any) and whether informed)

NA (Present location of casualty)

NA (Should NOK visit seriously ill or wounded personnel. If not recommended, indicate why)

Chapter 3 - Salvage

Section 1 - General

References:

- A. Naval Forces General Orders - Part 3, Chapter 8
- B. Maritime Transport Act 1994
- C. DFO 81 - Defence Force Orders for Risk Management

3.3.01 Salvage

- a. New Zealand is a party to the International Convention on Salvage, 1989. It is part of the domestic law of New Zealand under s.216 of the Maritime Transport Act. Under s.217 of the Maritime Transport Act, salvage claims may be made against the Crown in respect of assistance provided to any New Zealand warship or any other New Zealand State-owned ship. Likewise, where salvage operations are rendered by any New Zealand warship, or any other New Zealand State-owned ship, the Crown is entitled to the claim salvage in respect of those operations to the same extent as any other salvor and shall have the same rights as any other salvor. A major emphasis of the International Convention of Salvage 1989 is to provide incentives for persons to undertake salvage operations that may be unprofitable in order to avoid damage to the environment. This is defined as "... substantial physical damage to human health or to marine life or resources in coastal or inland waters or areas adjacent thereto, caused by pollution, contamination, fire, explosion or similar major incidents." Under the Convention there is no right to a reward for salvage unless there is either a useful result (i.e. success in saving the ship or other property) or if a right to special compensation arises where the actions of the salvor have prevented or mitigated damage to the environment. Special compensation is paid only if and to the extent that such compensation is greater than the reward that would otherwise be payable if the salvage operation was successful.
- b. The guidance in this chapter has been framed to indicate the extent to which assistance should be given by any ship or aircraft belonging to the Navy to vessels or aircraft in distress, and the conditions under which claims for salvage services may be made. A clear distinction is made between the obligations on mariners to assist persons in distress at sea (see s.32 of Ref B) and the provision of salvage services.
- c. Salvage services are voluntary services which save, or help to save, a ship, an aircraft, its apparel, cargo or bunkers and stores when in danger either at sea or in tidal waters or on the shores thereof or in order to prevent harm to the environment. The danger does not necessarily have to be imminent; it suffices if, at the time the services are rendered, the ship or aircraft has encountered any danger or misfortune which might expose it to injury or destruction were the services not rendered. Services which do not amount to salvage are referred to as 'assistance' in this chapter.
- d. As a general rule the salvage of a vessel in distress without cargo on board and more than 10 years old is unlikely to be remunerative. Accordingly, the salvage of some commercial vessels may cost more than the NZDF is able to recover in salvage awards, however salvage may be justified by the harm to the environment which may occur if a vessel sinks in a particular location where such harm may be avoided by towing the vessel to another location. Exceptions to this are specialised types of vessel such as dedicated gas or chemical carriers (see Article "3.3.04 Salvage of Vessels on Fire"), roll-on/roll-off vessels, research vessels and large passenger vessels. COs should therefore have regard for the foregoing when considering salvage.

3.3.02 Aircraft

The instructions in this chapter apply to the salvage of, or assistance to, aircraft and hovercraft, and to salvage services and assistance by aircraft or hovercraft.

3.3.03 Director of Maritime Safety

- a. The Director of Maritime Safety has powers to give such directions as they think fit for the preservation of:
 - (1) a ship or aircraft;
 - (2) the lives of passengers and crew; and
 - (3) the equipment and cargo of the ship or aircraft.
- b. This includes the power to require:
 - (1) such persons as the director thinks necessary to assist him or her; and
 - (2) the master or other person in charge of any ship near at hand to give such aid with his or her crew or ship as may be within the master's power.
- c. The Director's powers do not extend to giving directions to a NZ warship. However, unless there is an overwhelming operational requirement, or danger to the warship, the CO and crew of a warship **must** provide assistance in accordance with the Director's instructions.

3.3.04 Salvage of Vessels on Fire

For ships on fire with cargoes of noxious or toxic chemicals, flammable substances e.g. bulk gas, crude oil, fuel and the like, COs are not normally to take any steps beyond the immediate measures justifiable to save life, or prevent harm to the environment, in view of the dangers attending the salvage of these vessels. Approach to the burning vessel should be made from upwind to avoid danger from fumes. Similar precautions are necessary when approaching a vessel from which a volatile cargo is leaking. Unless there is a risk of harm to the environment, COs are not normally to attempt to salvage them without first obtaining advice and instruction through the approval of MCC.

3.3.05 - 3.3.08 Not Allocated

Section 2 - Salvage of HMNZ Ships and Vessels

Reference

- A. DFO 81 - Defence Force Orders Risk Management

3.3.09 Salvage of HMNZ Ships and Vessels in Distress

- a. **Resources.** When one of HMNZ Ships or vessels requires salvage assistance, the nearest available NZDF resources are to be used whenever possible. Commercial or private assistance is only to be accepted when NZDF resources are not available. It must be remembered that accepting commercial or other outside assistance when in maritime danger may cost not merely normal tariff rates but much larger salvage payments, even if the services are no more than standing by.
- b. **Report.** Whatever resources are used, a full report is to be made as soon as possible. The report, and form RNZN 232 - Report of Collision or Grounding when applicable, is to be sent by the CO direct to the Defence Legal Services officer on the staff of the MCC. The MCC is to forward a copy to the CN with their comments. Each ship or vessel concerned is to report separately.
- c. The report is to be complete in itself without reference to any other material. It is to contain a detailed narrative account of events arranged, as far as possible, in chronological order quoting times as well as dates. It is to indicate in particular:
- (1) the degree of danger to HMNZ Ship or vessel and the perils from which she was saved;
 - (2) special difficulties, dangers, or other hazards encountered by the salvors; and
 - (3) changes in barometric pressure, wind force and direction, other weather conditions, current or tidal movements condition of HMNZ Ship or vessel particularly its draught, stability, trim, flooding, impending risks, and other significant features that may affect the value of the services. These details are to be given for the period of salvage and for appropriate periods prior to and after the assistance was given.
- d. **Supplementary Reports.** Opinions on the conduct of the operation or individuals are to be made as entirely separate reports and are not to be included in RNZN 323 - Report of Collision or Grounding to the MCC.
- e. **Agreements.** No agreement is normally to be made which would bind the NZDF, its insurers, or the Crown either to pay a definite reward or submit to any agreed procedure for determining a reward. In particular, the CO of the ship is not to sign Lloyd's Standard Form of Salvage Agreement (Lloyd's open form) without first referring to the MCC, unless the CO considers the risk of harm to the crew or the danger to the ship make it impossible or impracticable to do so. In such cases, the MCC is to be notified as soon as circumstances allow.
- f. **Claims.** Any claims that may be received for salvage services rendered to an HMNZS warship are to be forwarded to the NZDF risk management advisers iaw Chapters 2 and 4 of Ref A, with copies to the MCC, by the quickest means.
- g. Given the duty on the officers and crew of HMNZ warships as a consequence of their oath of service, it is unlikely that the threshold for making a claim for salvage in relation to the warship or other property of the Crown will be established.

3.3.10 - 3.3.13 Not Allocated

Section 3 - Salvage of Private Ships

References:

- A. Naval Forces General Orders
- B. Maritime Transport Act 1994

3.3.14 Aid to Ships in Danger

- a. Assistance should be rendered to any ship or an aircraft endangered at sea, in tidal waters, or on the shores thereof, on occasions where it may reasonably be provided. The best efforts of personnel are to be used to save and protect property on board any vessel in danger or distress and, if necessary, to remove the property to a place of safety in order to prevent loss of life, property or environmental damage. There may be other and overriding considerations in war, but in peacetime HMNZ Ships and vessels should provide assistance to any vessel in danger unless assistance is already being provided by another vessel present and capable of affording effective help.
- b. **Acceptance of Defence Assistance.** When assistance from NZDF sources is accepted and there is reasonable hope of saving the vessel or her cargo or avoiding environmental damage, salvage is to proceed without delay in order to prevent any deterioration in the vessel's position. See Part 3, Chapter 8 of Ref A.
- c. **Owner's Rights.** In general, a vessel's owner or master has a right to decide whether salvage assistance will be employed. A salvor, whose services have been accepted, must accept the intervention of other salvors when reasonably requested to do so by the owner or master of the vessel or other property in danger. If, after salvage has begun, the owner or master requests that other salvors should be employed, whether in complete substitution for, or in conjunction with, naval assistance, the owner or master's wishes are to be complied with, if in the circumstances the request is reasonable, and no action is to be taken to prevent the other salvors from taking over either wholly or partly. If the first salvor objects to the action taken, a protest is to be lodged with the master. Its terms are to be based on the first salvor's assessment of the effects of the intervention on the ultimate success of the venture as a whole.
- d. **Assistance from Others.** Efficient aid from outside sources should not be refused if the operation would otherwise be jeopardised. The MCC should be consulted, if time permits, about the terms on which aid is engaged. If, in emergency, the other party will only assist as a co-salvor under Lloyd's open form, no award can be earned unless some of the salvaged property is ultimately brought to a place of safety (see para g. below) or harm to the environment is avoided. Under the Convention there is provision for apportionment of a reward between multiple salvors. Apportionment is made on the same basis as the criteria for determining the appropriate reward under the Convention.
- e. **Derelicts.** For derelicts, that is, vessels abandoned and deserted at sea by those in charge of them, without hope of recovery, para d. applies but para g. does not. It is the recognised general rule that the salvor who first takes possession of a derelict has the entire and absolute possession of the vessel although the salvor is not under a duty to retain exclusive possession in all circumstances. A derelict taken in tow by one of HMNZ Ships or vessels may, therefore, properly remain in naval custody pending agreement with the owners or agents about the terms of salvage and the lodging of satisfactory security. When there is doubt whether a vessel may be treated as a derelict, full particulars of the circumstances in which it was found abandoned and anything known about the movements of the master and the crew should be reported to the MCC immediately.
- f. If in any case where the owner of the derelict does not want to take possession of it, advice is to be sought from the MCC before any action is taken to dispose of it, even though such disposal action has been suggested by the owner.

- g. **Place of Safety.** The 'place of safety' (para d.) is normally determined by agreement between the salvors and the owners or their representatives. If agreement cannot be reached the following considerations should be taken into account:
- (1) the condition of the distressed vessel and the time required to make her seaworthy;
 - (2) the degree of exposure to weather and tidal conditions, and season of the year;
 - (3) the distance from a port where permanent repairs may be undertaken; and
 - (4) advice is to be sought from the MCC if necessary.
- h. **Aid from Shore.** Aid which qualifies as a salvage and for which an award can be claimed can, and wherever practicable should, also be rendered from the shore by personnel from shore establishments.

3.3.15 Terms of Salvage Services

- a. Whenever possible, salvage services by HMNZ Ships or vessels, and by shore-based parties from naval establishments, are to be governed by Lloyd's open form unless other terms may be agreed with the owners by the MCC or iaw instructions from the MCC. However, the signing of Lloyd's open form binds HMNZ Ships and NZDF to use all their resources to successfully complete the salvage contract and no award can be claimed unless, and until, the casualty and/or her cargo has been brought to a place of safety. Whilst it is highly desirable that a Lloyd's open form should be signed by the owner, master or agent of a distressed vessel before the salvage operation commences, discretion should be exercised in having the form signed until the condition of the casualty has been ascertained. When in doubt, advice should be sought from the MCC; operations being commenced meanwhile if necessary for the safety of the casualty.
- b. A supply of the latest version of Lloyd's open form should be kept on board all HMNZ Ships and vessels likely to require them.
- c. If the Master or Owner of the ship refuses to sign Lloyd's open form, and an HMNZ Ship provides salvage services, there is still an entitlement to seek a reward in accordance with the Convention of Salvage.
- d. The CO, or other officer of HMNZ Ship, vessel or other unit concerned who signs Lloyd's open form should do so on behalf of: 'The NZDF and personnel of (name or description of ship(s) or parties concerned)', the appropriate words being inserted in the third line of the form. Irrespective of the number of vessels and/or units taking part, only one Lloyd's open form is required for any one salvage operation, and it should normally be signed by the officer in overall charge at the commencement of the operation. If the parties are too numerous to be inserted at the head of the form, they are to be listed under the words: 'Annex to line x' on the reverse of the forms and the words: 'parties named in the Annex overleaf' written in the appropriate line at the head of the form. The signed Lloyd's open form is to be sent directly to the Defence Legal Services.
- e. For derelicts, the signature required on Lloyd's open form will be obtained by the MCC.
- f. A salvor is entitled to claim for the services which they perform notwithstanding other salvors eventually take over, provided that the property is ultimately saved or damage to the environment is avoided in the event the salvage is unsuccessful, where the vessel is in or poses a risk to coastal waters.

3.3.16 Right to Claim Salvage

Under s.218 of Ref B, the Crown is entitled to claim salvage in respect of services rendered by any ship or aircraft belonging to the Crown. NZDF personnel engaged in salvage operations may make a claim for salvage. However it will be necessary for them to show that their acts in undertaking the salvage operation involved more than the mere performance of their duties as the officers and crew of His Majesty's New Zealand warship. There is no absolute rule or

fixed scale of salvage remuneration. Each claim is dealt with on its merits, taking into account such factors as the degree of danger from which the property is saved, its salvaged value, the risks and responsibilities incurred by the salvors, the time occupied, and skill displayed by them and losses or expenses incurred by them from the time the salvage starts until the distressed vessel or cargo is placed in a position of safety. Furthermore, despite signing Lloyd's open form, the Convention on Salvage allows an arbitrator to annul or modify the terms of a contract that has been entered into if it was entered into under undue influence or the influence of danger and its terms are inequitable, or the payment provided for under the contract is in an excessive degree too large or too small for the services actually rendered.

3.3.17 Reports

- a. **Initial Report.** A short report of all services or assistance to a private vessel (other than purely life-saving services) is to be made immediately to the CN and the MCC by signal, irrespective of whether the personnel wish to claim salvage. The signal is to include:
- (1) the name of the vessel assisted, the name of her owners, her port of registry and the nature of her cargo, together with telephone and facsimile or telex numbers for both owners and agents, and any information relating to the insurers of vessel and cargo if applicable;
 - (2) a brief description of the services that have been, or are being performed (see para 2);
 - (3) the vessels position. If possible the intended port of refuge and estimated time of arrival should be indicated;
 - (4) whether a Lloyd's open form has been signed (see also Article "[3.3.15 Terms of Salvage Services](#)" para b);
 - (5) whether security has been tendered or provided and if so, for what amount (see note: para a.(6)); and
 - (6) whether any personnel wishing to make a salvage claim and if so, whether they wish to be represented (see Article "[3.3.18 Prosecution of Personal Salvage Claims](#)" para b.).

Note:

Advice should always be sought from the MCC before security is agreed. The CO or other officer(s) concerned must not in any circumstances offer a tow or other salvage assistance free of charge without specific instruction from the MCC to do so.

- b. **Progress Reports.** The initial report is to be supplemented by signal reports of progress and the prospects of success, giving as good an idea as possible of the remaining value of the vessel, cargo and freight. The following are to be kept in mind:
- (1) Success is necessary to obtain a salvage award and on this 'no-cure, no-pay' basis of salvage there is no right to recover expenses incurred in a salvage enterprise which ultimately fails to preserve a vessel, cargo or freight, unless damage to the environment is avoided: Note this is unlikely to be a consideration if the salvage occurs on the high seas a significant distance from land.
 - (2) The awards are based on the fund provided by the salvaged value of the vessel, cargo and freight and rarely exceed half this value.
 - (3) The Lloyd's open form binds the salvor to use his best endeavours to achieve a successful salvage, nevertheless; care must be taken not to persist with salvage services that may result in financial loss to the Crown.
- c. **Final Report.** When the services provided by HMNZ Ship or vessel, or other unit, is completed a full report is to be forwarded to the MCC without delay; copy to the CN. Each vessel concerned is to report separately.
- d. The report is to be accompanied by a copy of the ship's log for the relevant period. It is to be a

factual narrative account arranged in chronological order, quoting times as well as dates. It is to cover in detail all the operations and services and is to be complete in itself without references to other communications or documents. It is to show the following:

- (1) **Instructions.** On whose instructions the services were undertaken (copies of any relevant messages are to be attached).
 - (2) **Details of Vessel.** The name and description of the distressed vessel; name and address of her owners and/or local agents; the cause of the distress; the position in which it occurred and the position in which assistance was first given.
 - (3) **Degree of Damage.** The degree of disablement or damage, including all factors relevant to assessing the dangers that the vessel would have encountered if the services had not been given, and the fullest possible description of the condition of the vessel, including details of flooded compartments, draught, stability and trim.
 - (4) **Weather Conditions.** For the periods immediately before and after the salvage service as well as for the period of the service itself, the conditions of weather, including changes in barometric pressure, wind force and direction, and state of sea, and how these conditions affected the degree of difficulty or danger involved in the operations.
 - (5) **Other Conditions.** Details of any conditions other than those already mentioned which made the work or any part of it more arduous or dangerous (but see para e. below).
 - (6) **Salvage Claims.** Whether any personnel wish to claim salvage and, if so, a complete and verified list of every person on board at the time of the operation and of those of the ship's company who on the material date were absent, with the full names, service numbers and ranks of those who performed special services, e.g. boat, boarding and steaming parties.
 - (7) **Expenses Incurred.** Details of all expenses incurred, including the cost of fuel and lubricants, stores consumed, damaged or lost, together with their respective stock numbers, and claims for damage to uniform clothing (other than protective clothing, which should be identified with other service stores) and personal effects, and other items of expenditure arising directly from the services (the compensation granted for damage to uniform clothing or personal effects will be deemed part of the salvage award, if any, and deducted from the amount received before distribution).
 - (8) **Salvage Agreement.** Whether any salvage agreement has been signed and its present whereabouts (see Article "[3.3.15 Terms of Salvage Services](#)").
 - (9) **Other Assistance.** Full details of assistance given by other naval vessels or personnel.
- e. **Supplementary Reports.** Opinions on the conduct of the operation or of individuals are to be given in a separate report and are not to be included in the factual report to the MCC.

3.3.18 Prosecution of Personal Salvage Claims

- a. The legal officer or other solicitor assigned by the CDF acts for the NZDF in the presentation of salvage claims on the NZDF's behalf. Article 15(2) of the Convention provides that: "The apportionment between the owner, master and other persons in the service of each salving vessel shall be determined by the law of the flag of that vessel. If the salvage has not been carried out from a vessel, the apportionment shall be determined by the law governing the contract between the salvor and his servants."
- b. The Admiralty Act 1973 binds the Crown. Under s. 4(1) (i) of the Admiralty Act, the High Court has jurisdiction to deal with any claim in the nature of salvage.
- c. Crew members are entitled to a share of any salvage reward. The justification for this is that the Court of Admiralty "... gave salvage reward for personal services". Claims that "... the owner of the ship whose crew rendered the salvage service was not much regarded". In later times with the introduction of powered vessels the approach has changed as the powered

vessel is seen to be most frequently the principle salvor¹. Generally the apportionment of the shares of ship owner, master and crew is reached by agreement. However, the High Court in its admiralty jurisdiction has the power to apportion such shares in the event of a dispute².

- d. When a lump sum is recovered for the joint claims of the NZDF and of personnel represented by the Crown or other solicitor, the Court is entitled to apportion that sum between the respective claimants or groups of claimants. In the absence of special circumstance relating to particular crew members, in respect of any claim brought by CDF, the suggested apportionment amongst the officers and crew is as set out in Article “3.3.19 Apportionment of Salvage”. A nominal roll giving particulars of those on whose behalf the claim is to be made is to be provided in duplicate and reference is to be made to those who perform special services. When various ships or personnel engaged in the same service perform different work, recommendations for specially apportioning an ultimate award between them are to be sent to the CN. This list is required in addition to the one forwarded with the full written report (see Article “3.3.17 Reports”).
- e. The CDF has the right to put forward a claim in respect of salvage performed by ships or aircraft belonging to the Crown in its name alone. However, the ships officers and crew have the right to be joined as additional plaintiffs in such a proceeding unless an apportionment of a salvage award is made by the Court, the salvage award will be distributed according to the scale laid down in Article “3.3.19 Apportionment of Salvage”.

3.3.19 Apportionment of Salvage

- a. The net amount distributed is to be apportioned by classes, so that every person present and assisting shall receive shares according to the appropriate class:

Class	Rank	Shares
1	Captain	15
2	Commander	14
3	Lieutenant Commander	12
4	Lieutenant Warrant Officer	10
5	Sub Lieutenant Chief Petty Officer	8
6	Ensign Petty Officer	6
7	Midshipman Leading Rating	4
8	Able Rating	3
9	Ordinary Rating	2
10	Supernumeraries	1

- b. The CO will be apportioned double the shares for rank.
- c. The MEO/EO will be apportioned an additional 50% of the shares for rank.
- d. The officer serving as 2IC will be apportioned an additional 25% of the shares shown for rank.
- e. Personnel holding acting rank will be apportioned according to such acting rank.

1. Otago Harbour Board v SS Viggo Hansteen [1953] NZLR 253.
2. Otago Harbour Board v SS Viggo Hansteen.

- f. Loan and exchange personnel, and personnel of Commonwealth and allied military services, present and assisting, will receive shares according to their equivalent rank in the RNZN, or, if there is no such equivalent rank, then according to the rank to which their apportionment may be deemed to be equivalent.
- g. All other persons present and assisting shall share as supernumeraries.
- h. Income tax is payable on monies awarded for salvage operations.

3.3.20 Nominal Amounts

When the salvage payment awarded is nominal, or would be impracticable to share, it can be paid into the ship's fund, an RNZN central non-public fund, or a suitable charity as deemed fitting by the CO.

3.3.21 - 3.3.24 Not Allocated

Section 4 - Salvage of Private Property

3.3.25 Articles Found

- a. Where articles, other than those belonging to the Crown, are found in or on the shores of the sea or any tidal waters of New Zealand, then the Director of Maritime Safety is to be notified and the articles are to be delivered to the Police, or the Police are to be permitted to take possession of them. Abroad, application is to be made to local authorities for disposal instructions.
- b. A report is to be sent to the MCC stating whether the finders wish to claim salvage.

3.3.26 - 3.3.28 Not Allocated

*Section 5 - Salvage or Recovery of Naval Property***3.3.29 Recovery of Stores by Contract**

When important stores that are lost cannot be recovered by naval or NZDF resources and it is desirable to employ outside assistance, careful consideration is to be given to whether the likely expenses are justified, before a contract is made. The courts seldom, if ever, grant salvors as much as half the value of the salvaged property unless the services are highly meritorious. When reporting losses to the MCC, the arrangements for recovery of the articles are to be stated.

3.3.30 Recovered Articles Returned

- a. Those returning articles lost from naval vessels are to be given a receipt for them provided that the CO is satisfied that they were not improperly obtained. Particulars of the description, quantity and condition of the articles are to be shown on the receipt, and a copy is to be kept with the ship's store account in which they are taken on charge.
- b. Recovered items are the property of the NZDF insurers, therefore, when property the subject of a claim is recovered, its disposition must be agreed with the insurers through the NZDF risk management advisers. Under no circumstances are recovered items to be disposed of without prior consent from the NZDF risk manager.
- c. All claims arising from the salvage or return of naval property under this article are to be forwarded to the MCC for consideration.

3.3.31 - 3.3.99 Not Allocated

PART FOUR - SUPPORT, LOGISTICS AND ADMINISTRATION

Chapter 1 - Personal Records

References:

- A. NZBR 8 - RNZN Officer Career Management Manual
- B. NZBR 38 - RNZN Ratings' Career Management Manual

4.1.01 Personnel Documentation and Service Document Handling Procedures

- a. Form RNZN 459 - Personal Service File (PSF) will hold both Service documents and pay related material.

Contents of Form RNZN 459

- b. The PSF is to be limited to the following documentation only:
 - (1) Service document section (ratings only).
 - (a) forms MD 601/602 iaw DM 69,
 - (b) variation/EOS (Form MD 721),
 - (c) form RNZN 264 (when transferring between units),
 - (d) leave application forms for the previous two years (Form MD 1240),
 - (e) any current recognised relationship papers,
 - (f) warnings for Discharge,
 - (g) Administrative warnings - including divisional officer's, commanding officer's or fitness,
 - (h) current Next of Kin Form (Form MD 1334), and
 - (i) other correspondence considered important and referred to by the Command on a regular basis, e.g. ROS.
 - (2) Pay document sleeve (officers and ratings).
 - (a) Higher Duties Payment Application (Form MD 1239),
 - (b) General Authority - Payment of Salary to a Bank Account (Form MD 974),
 - (c) Notice of Excess Payment of Pay and Allowances (Form MD 585),
 - (d) IRD Tax proformas, and
 - (e) Superannuation proformas.

Disposal

- c. All other documentation is to be forwarded to the FPTO for inclusion in the rating's PF, or CNOCM for officers. Any documentation not listed above, which is not required to be retained iaw DFO 31 - Payroll Procedures, is to be discarded.

Service Document Checks

- d. A 10% check of the contents of Form RNZN 459 held within a ship or establishment will be carried out by the FPTO on an annual basis to ensure that Service and payroll documentation is current and the contents complies with this article.
- e. Expired Documentation. Form MD 1240 leave application is to be disposed of after two years, or following an audit (whichever is the later). All other relevant expired documents are to be forwarded to the FPTO/CNOCM, for inclusion in the individual's PF.

4.1.02 Transfer of Service Documents

Transfer of Form RNZN 459

- a. The Form RNZN 459 is no longer to be transferred to DOs on notification of postings. Where possible, when a posting occurs between units, personnel are to take their Form RNZN 459 with them, transferring them by safe-hand to their new ship. Documents being transferred between units are to be enveloped appropriately for Staff-in-Confidence documents and under cover of a Form MD 121.
- b. Ratings personal documents are to be transferred to training establishments iaw Ref B. Personal documents are to be safe-handed by the individual to whom they refer whenever possible. Delays in transferring documents for ratings posting from courses may be expected because the PSF may not always be written up until after course completion. Every effort; however, is to be made in the case of personnel posting from course to overseas to allow that Service person to safe hand their documents.
- c. Supply officers (or the Executive Officer where no Maritime Logistics Officer (MLO) is borne) are to continue to ensure that adequate controls on the movement of PSFs are in place, and that an adequate system exists to determine locations of PSFs and/or contents at any time.
- d. **Internal Transfer of Service Documents.** Where an individual posts from one unit to another where the RNZN 459 remains in the custody of the FPTO, the Service documents are sent through the mail system to the new DO under cover of an MD 121. The DO may collect them by safe-hand, ensuring that they sign an MD 121 acknowledging receipt of the documents.
- e. **Disciplinary Proceedings.** SDs required for a CO's Table are to be annotated in the PSF Log and in the PERSWATCH database (for units with access to the database).
- f. **Postings.** Prior to a rating posting the DO is required to add their comments and update the individual's Form RNZN 264 - Divisional Officers' Record Sheet.
- g. Where sufficient posting notice is given, no less than one week prior to posting the Service documents are to be transferred from the DO the ship's office/FPTO staff, under cover of a Form MD 121.
- h. **Transfer of Service Documents - Between Ships and Shore.** The preferred method of transfer between ships and the FPTO is by the safe-hand of the rating being posted. On posting out, the rating is to take custody of their SDs, and is to sign for their receipt. The SDs are to be double enveloped and sealed. On posting in, the rating is to hand their SDs to the ship's office of their new unit/FPTO registry, who will then ensure the contents of Form RNZN 459 are correct. Other methods of transfer can include, but are not limited to Service or registered mail.

4.1.03 Divisional Officers' Records

- a. Forms RNZN 264 are to be retained by the DO whilst the rating is in their division. The purpose of the RNZN 264 is to provide the divisional officer of a rating with a summary of the professional and personal performance of the individual, along with a succinct and accurate assessment of their general conduct and character. It is important that the DO also includes an assessment of their technical and leadership potential. The RNZN 264 is not; however, to be used as a substitute for providing feedback and counselling directly to the rating.
- b. Section 1 of the RNZN 264 is for particulars of the rating on entry and is to be completed at the entry establishment. It also contains space for the inclusion of a photograph of ID card size.
- c. Section 2 is for details of the rating's career to enable the DO to fulfil their responsibilities without a continual need to consult an electronic record. It is to be kept up to date, in pencil, as changes occur and is to be checked by the DO, as often as may seem necessary to ensure correctness, and always on joining a new ship.
- d. Section 3 is for the recording by DOs of special courses, educational exemptions for CFR, professional and command qualifications, and the like.

- e. Section 4 contains notes for the DO's use.
- f. Section 5 is for the DO's remarks and is to be completed iaw Part 1, "[Chapter 6 - Divisional Matters](#)". When completing Section 5, DOs should bear in mind that this form may accompany Service documents to higher authority at some later date. The DO is to ensure that their comments in Section 5 are consistent with their assessments and/or recommendation for promotion. Handwriting must be in a clear and legible script, otherwise entries can be typewritten. If entries are to be typewritten the comments are to have the same paragraph number as the Form RNZN 264 entry, and are to be signed across both the typewritten comments and Form RNZN 264 page. Divisional Officers are to clearly print their name and rank below their signature on each occasion of completing a report in Form RNZN 264.
- g. Form RNZN 264 is Staff-in-Confidence and is never to be left where it may be seen by unauthorised persons. When in transit within the ship it is to be placed in a cover and marked 'Staff-in-Confidence'.
- h. Service documents are to be forwarded to the CN when matters of irreproachable conduct, or character are under consideration, and in particular:
 - (1) approval of recordable punishments; or
 - (2) complaints or representations concerning punishments, conduct or character assessments.

Note: It is; however, within the discretion of ACN(P&T) or CO to forward Form RNZN 264 in other cases where the remarks are thought to be pertinent to the matter under discussion.
- i. Forms RNZN 264 are to be forwarded to the FPTO to be archived when ratings leave the Service. Ratings who are commissioned from the ranks will have their 264s forwarded to CNOCM office to be held on their PF.

Requests to Expunge Comments from RNZN 264

- j. Ratings may request comments contained in their RNZN 264s be expunged under the following circumstances:
 - (1) overly descriptive and irrelevant comments that do not reflect the rating's conduct or performance;
 - (2) adverse comments by DOs that have not followed the procedure as described in Part 1, Chapter 6, Article "[1.6.06 Ratings' Records](#)"; and
 - (3) comments and insertions that are incorrect or inaccurate.
- k. Ratings who wish to request the expunging of comments are to forward a request to the CO, through their DO, identifying the specific comments to be expunged and the reasons as to why such a request should be considered. After consideration, COs are to forward the request under covering minute, along with the RNZN 264 and an appropriate recommendation, to ACN(P&T) who is the delegated authority to approve such requests.
- l. If DOs identify RNZN 264 comments are in contravention of sub-para j.(1)(2)(3), they are to forward an application to expunge the identified comments to the CO for forwarding to ACN(P&T).

Expunging Comments

- m. Once approval has been granted to expunge comments from RNZN 264, the FPTO is responsible for expunging the identified comments from the RNZN 264. Identified comments are to be erased by using a black marker to ensure the comment(s) are no longer visible, with a covering piece of blue paper placed over top referencing the minute to expunge the comments. On completion of expunging the comments the RNZN 264 will be returned to the originating unit. ACN(P&T) will take further action if deemed necessary to advise COs and

DOs of procedural breaches in writing RNZN 264s.

4.1.04 - 4.1.99 Not Allocated

Chapter 2 - RNZN List of Returns

(Yet to be reviewed)

4.2.01 Introduction

- a. Returns to be rendered by HMNZ Ships and establishments in accordance with this publication.
- b. All returns, accounts and reports required to be forwarded are to be forwarded within the time prescribed, or within a reasonable time after they are due. Where 'Nil' returns are required, they are to be forwarded in the same manner.
- c. The RNZN List of Returns is in "[Annex 2-A. List of Returns](#)".

4.2.02 - 4.2.99 Not Allocated

Annex 2-A. List of Returns**1. Report of Incidence of Asbestos Onboard HMNZ Ships**

Form: Minute

When Due: As required

Authority or Reference: NZBR 2020, Article 0408

Made By: RNZN Vessels and Shore Establishment - EOs/Maintenance Managers

Rendered To: LC(M)

Finally Transmitted To: RNZN H&S

Remarks: FMMS reporting guidance is provided in NZBR 180

2. Internal Control Registers

Form: Minute

When Due: 30 Apr, 31 Jul, and 31 Oct, 30 Nov

Authority or Reference: NZBR 88, Article 0502

Made By: Maritime Logistics Officers (MLOs) of Ships or MLOs/Managers of Establishments/Units

Rendered To: LC(M) - Attn: FMLO

Finally Transmitted To: Internal Audit Unit

Remarks: Major adverse disclosures to be reported.

3. NZDF Harassment and Discrimination Report

Form: MD 1037 under cover of 'Staff-In-Confidence' letter

When Due: 30 Jun, 31 Dec

Authority or Reference: DFO 4 Chapter 27, Section 5; DFO 16, Chapter 17

Made By: EEOAOs, enclosing all MD 1037s received during six month period

Rendered To: EEO Co-ordinator

Finally Transmitted To: CDF (through AC Pers) by EEO Co-ordinators at 31 Jan and 31 Jul. For Information: DCOORD(N)

Remarks: Nil returns are required. Returns are to include incidents involving civilian employees of the RNZN

19. Monthly Fuel Return

Form: Signal

When Due: End of the month

Authority or Reference: NZBR 26, Article 1804.3

Made By: Navy Fuel Installation; EOs of Ships

Rendered To: LC(M) - Attn: SCG

Finally Transmitted To: Inventory Controller (Fuel), LC(M)

Remarks: Reports are to arrive no later than 0800 on the last working day of the month.

20. US Voyages - Quarterly Declarations

Form: Letter

When Due: 20 Feb, 20 May, 20 Aug, 20 Nov

Authority or Reference: NA 7190-0000 dated 19 Jan 1999

Made By: Fleet Tanker

Rendered To: Aon NZ Ltd, PO Box 2845, WELLINGTON

Remarks: Required irrespective of whether any relevant voyage has taken place; to arrive no later than one month after the completion of the relevant quarter.

35. Cash Account

Form: RNZN 986

When Due: End of the Month

Authority or Reference: NZBR 25, Article 0511

Made By: MLOs of Ships

Rendered To: ECS

Remarks: Also on supersession of MLO. To reach ECS no later than two clear working days prior to month end.

35a. Observations on Cash Account

Form: Minute

When Due: Within 10 working days of receipt of Cash Account

Authority or Reference: NZBR 25, Article 0511

Made By: ECS

Rendered To: COs of Ships. Copy to FMLO and NAU

36. Urinalysis Ledger

Form: MS

When Due: End of the Month

Authority or Reference: Naval Forces General Orders Part 1, Chapter 11, Section 5 - Article 1.11.50

Made By: COs of Ships operating Urinalysis Testing

Rendered To: Devonport NP Station Commander

Finally Transmitted To: Chemical Abuse Co-ordinator

Remarks: Nil Returns Required.

38. Report of Proceedings

Form: MS

When Due: End of the Month

Authority or Reference: Naval Forces General Orders Part 0, Chapter 7, Article 7.15 - Reporting Proceedings

Made By: COs of Ships in Commission

Rendered To: CN (For Information to MCC and Navy Museum, Attn: Researcher)

Remarks: To be forwarded within seven working days after end of month.

46. Bathythermograph Observations

Form: Electronic Form as copied from the MK 12 system (H.580)

When Due: 6 monthly or as required by SOGS (HO)

Authority or Reference: NZCB 051, Chapter 3

Made By: CO

Rendered To: Staff Officer Hydrographic Operations (SOHO)

Remarks: XBT data is to be rendered on the completion of deployments but at not more than six month intervals.

47. Monthly Ammunition Report

Form: Signal

When Due: Two working days prior to end of Month

Authority or Reference: NZBR 26 Article 1419; NZBR 97, Article 1106

Made By: CO

Rendered To: MDAD (For Information HQJFNZ)

Remarks: Failure to comply by the last working day of month will result in a non-conformance signal to MCC and DCN.

70. ASAC Log Books

Form: Signal, minute, or email

When Due: Quarterly

Authority or Reference: NZBR 202, Article 0209

Made By: Aircraft Control Officer

Rendered To: Air Control Instructor (ACI)

Remarks: All hours are to be tallied from the previous three months. The following form is to be used:

HAC:	SYN	LIVE	SCA	TOTAL	
ASAC:	SYN	LIVE	TACTICAL	DUAL	TOTAL

72. CPT(OPS) Controller Status Report

Form: MS

When Due: 31 Jan, 31 Jul

Authority or Reference: NZBR 202, Article 0425

Made By: CPT (Ops)

Rendered To: ACN(P&T)

Finally Rendered To: MCC

81. RNZN Controlled Substance Consumption Return

Form: RNZN 2018(A)

When Due: 1 Jan, 1 May, 1 Sep

Authority or Reference: NZBR 001, Part 3, Article 3.1.50

Made By: COs of Ships and Establishments; SCG RNZN, CEO Babcock NZ Ltd if reporting via AMPS is unavailable iaw NZBR 26 and NZBR 180.

Rendered To: LC(M)
Finally Transmitted To: CN - Attn CNE - Info: COMLOG

82. RNZN Controlled Substance Summary

Form: RNZN 2018(B)
When Due: 15 Jun, 15 Oct
Authority or Reference: NZBR 001, Part 3, Article 3.1.50
Made By: LC(M)
Rendered To: CN - Attn: CNE - Info: COMLOG

91. Report on Health

Form: MS
When Due: End of the Quarter
Authority or Reference: NZBR 1 Part 1, Chapter 3 - Article 3.1.70
Made By: Health Services Officer (HSO)
Rendered To: FHSO
Remarks: To be forwarded within 10 days after the end of each quarter

100. FMMS Monthly Data Return

Form: ASCII unload, Zipped by CD/DVD (with MD121)
When Due: First Monday of every month
Authority or Reference: NZBR 26, Article 0321.2
Made By: FMMS/LAN Administrators for all Ships using FMMS
Rendered To: Logistics Command (Maritime)

Remarks: Unloads are to be created and dispatched on the first Monday of every month

112. Report of Proceedings (RNOs Christchurch and Dunedin)

Form: MS

When Due: End of the Quarter

Authority or Reference: Naval Forces General Orders, Part 0, Chapter 7, Article 7.15 Reporting Proceedings

Rendered To: CN and DCN (For Information to Navy Museum, Attn: Researcher)

113. Observations on Whales and Fish

Form: MS

When Due: Opportunity basis

Authority or Reference: NZCB 051, Annex B to Chapter 3, Section 8

Made By: CO

Rendered To: Marine Conservation Unit, P.O. Box 10-420 Wellington (04) 471 0726

137. Muster of COMSEC Material

Form: MD 411 or Schedule as supplied by NCDO

When Due: Quarterly

Authority or Reference: DFO 51(5) Part 3 Chap 2 Section 8

Made By: COs of Units holding Classified Material

Rendered To: NCDO

Remarks: Also on Succession of CCM or on change of Commanding Officer

140. Fleet Trials Analysis Unit Annual Report

Form: MS (See remarks)

When Due: 31 Mar
Authority or Reference: NZBR 7, Article 060307.3
Made By: LC(M)
Rendered To: CN - Attn: IG(N), MCC, CEO Babcock NZ Ltd, MDAD, DDDSE, RANRAU, RANTAG, Ships as appropriate

145. Report on Stocktaking of Naval Armament Stores in HMNZ Ships and Establishments

Form: MD 738 or MD 311 (as required)
When Due: On completion of 12 monthly muster or quarterly for items listed in NZBR 26, Article 1416.2
Authority or Reference: NZBR 26, Articles 1309.2 and 1416
Made By: CO
Rendered To: MDAD
Remarks: Nil reports required

163. RNZN Canteen Remittance

Form: MS (to include RNZN 321 Audit Sheet)
When Due: 31 Mar (end of Audit period)
Authority or Reference: Naval Forces General Orders, Article 8025.5; NZBR 24, Article 1007
Made By: CO
Rendered To: CN - Attn: NS Accountant
Finally Transmitted To: RNZN Central Fund
Remarks: By Ships operating Service canteens

186. Ship's Log

Form: S.322 or RNZN 325

When Due: 31 Dec

Authority or Reference: NZBR 1 Part 1, Chapter 4, Section G(3), Article "1.4.111 Ship's Logs"

Made By: CO

Rendered To: CN

Remarks: Not required from HMNZ Ships PHILOMEL, WAKEFIELD and MATATAUA

187. Trophies Return

Form: MS

When Due: 30 Sep

Authority or Reference: NZBR 15, Article 0111

Made By: COs of all Ships and Shore Establishments including RNZNVR Divisions

Rendered To: Director Naval Museum

Remarks: Nil Returns Required. Include statement of condition of trophies

209. Completion of Annual Muster of Classified Correspondence

Form: MD 392

When Due: Annually on 31 Mar

Authority or Reference: DFO 51, Article 7.80 and MD392

Made By: COs of Units holding Classified Correspondence Accounts

Rendered To: MCC (For Information NCDO)

Remarks: Also on supersession of CCO (Classified Correspondence Officer) or Commanding Officer

210. Muster of Classified Books

Form: Schedule as supplied on request from NCDO

When Due: Annually

Authority or Reference: DFO 51(1) Article 7.80/Naval Forces General Orders Part 2, Annex 2-A

Made By: CO's of Units holding Classified Correspondence Accounts

Rendered To: NCDO

Remarks: Also on succession of Classified Books Officer or Commanding Officer

229. Reserve Divisions Report of Proceedings

Form: MS

When Due: 15 Feb, 15 May, 15 Aug, 15 Nov

Authority or Reference: Naval Forces General Orders Part 1, Chapter 12

Made By: COs RNZNVR Divisions

Rendered To: DCOORD(N) (For Information to Navy Museum, Attn: Researcher)

Finally Transmitted To: DCN

275. Tilt Test

Form: S.1158

When Due: As required

Authority or Reference: BR 983/65

Made By: Babcock NZ Ltd

Rendered To: CN - Attn: DWE, LC(M) - Attn: ECC; Appropriate Ship

276A. Engineer Officer's Supersession Certificate

Form: NZBR 7, Annex 7J, Appendix 1

When Due: On supersession of an Engineering Officer

Authority or Reference: NZBR 7, Article 0721

Made By: MEO/WEO/EO

Rendered To: CO, FEO, and ME and/or WE Branch Head as appropriate (for info LC(M) and, when the supersession includes the WE Department, MCC)

276B. Supply Officer's Supersession Certificate

Form: RNZN 292

When Due: On supersession of Supply Officer

Authority or Reference: NZBR 1 Part 1, Chapter 3 - Article 3.3.34

Made By: MLO

Rendered To: CO, LC(M) (Attn: FMLO)

278. Report of Docking/Slipping Launch

Form: RNZN 228 (incorporating RNZN 488)

When Due: On completion of docking/slipping

Authority or Reference: NZBR 14, Article 0507

Made By: Babcock NZ Ltd

Rendered To: LC(M) - Attn: FECO; Appropriate Ship

282. Trials of Electrical Generating Machinery

Form: D.346 Series

When Due: As required

Authority or Reference:

Made By: Babcock NZ Ltd

Rendered To: LC(M) - Attn: OSC; Appropriate Ship

283. Reports on Survey of Structure, WT Doors, Hatches etc and Report of Air Test of WT Compartments

Form: D.171

When Due: As specified on the form

Authority or Reference: BR 3000, Articles 2803 and 2808

Made By: Repair Authority

Rendered To: LC(M) - Attn: OSC

Finally Transmitted To: Appropriate Ship

286. Certificate of Survey/Test of Boat Slings

Form: RNZN 786

When Due: On occasion of completion of survey and/or test

Authority or Reference:

Made By: Babcock NZ Ltd

Rendered To: LC(M) - Attn: OSC; Appropriate Ship

287. Survey/Test of Steel Wire Ropes, Fixed Eye Plates and Miscellaneous Lifting Gear

Form: RNZN 786(A)

When Due: On completion of Survey and/or Test

Authority or Reference:

Made By: Babcock NZ Ltd

Rendered To: LC(M) - Attn: OSC

Finally Transmitted To: Appropriate Ship

288. Certificate of Survey/Test of Anchors, Chain Cables and Gear

Form: RNZN 786(B)

When Due: On occasion of completion of survey and/or test

Authority or Reference:

Made By: Babcock NZ Ltd

Rendered To: LC(M) - Attn: OSC; Appropriate Ship

289. D/F Calibration and Check Calibration

Form: S.1551E & Minute

When Due: On completion of major refit, modernisation or fitting of new equipment and on other occasions as required

Authority or Reference: BR 2357, Chapter 1, Paras 9-11

Made By: LC(M)

Rendered To: Appropriate Ship

290. Inspection and Test Certificate - HP Air Cylinders

Form: RNZN 65

When Due: On occasion of completion of tests

Authority or Reference: NZBR 7, Article 020504

Made By: Babcock NZ Ltd

Rendered To: LC(M) - Attn: OSC; Appropriate Ship

Remarks: FMMO to enter due test dates on ship's main defect lists for refit

316. Record of Observations for Deviation

Form: RNZN 378

When Due: As necessary
Authority or Reference: BR 45(1), Chapter 9
Made By: Ship's Navigators
Rendered To: FNO

326. Report on Completion of Compartments used for Storage and Handling of Explosives, Gasoline and Other Inflammable Stores

Form: RNZN 1248
When Due: As required
Authority or Reference: MI 45.381
Made By: Babcock NZ Ltd
Rendered To: CN -Babcock NZ Ltd Attn: OSC
Finally Transmitted To: Babcock NZ Ltd or Contractor; Ship Originator

327. Internal Assessment of Hazardous Substances Classes 2-9

Form: HSNO_01

When Due: 01 Nov

Authority or Reference: DFO 41 Chapter 1, Para 1.16

Made By: Any unit or establishment that uses, handles or transports Class 2-9 Hazardous Substances as part of normal duties

Rendered To: Health and Safety Manager (Navy) (RNZN Prime Delegate for Class 2-9 Hazardous Substances)

328. Internal Assessment for SHEMS

Form: RNZN 738E

When Due: 01 Jul

Authority or Reference: Naval Forces General Orders Part 3, Chapter 4, Annex 4A

Made By: Any unit or establishment with a SHEMS Committee

Rendered To: Health and Safety Manager (Navy)

Chapter 3 - Personnel Establishment Management

[to be reviewed]

Section 1 - Establishment Principles, Tenets and Dynamics

Reference:

- A. DFO 3, Part 4 (DFO 10/2001 Personnel Capability Planning Model)

4.3.01 Introduction

- a. This chapter promulgates the RNZN Personnel Establishment processes.
- b. There are three major segments of the Personnel Establishment - Regular Force (RF), RNZNVR¹ (NR) (both Military [MIL] posts) and Civil Staff (CIV positions).
- c. Where higher-level policy also impacts the RNZN policy, appropriate references are entered at the beginning of the relevant section. Where there may be conflict or ambiguity between the contents of this chapter and the higher-level policy, the latter is to take precedence in guiding decision-making.

4.3.02 Introduction to Personnel Establishment Management

- a. **Personnel Establishment Management.** The on-going, short-term management of the personnel establishment occurs within an overall context of personnel flow or movement of incumbents within this establishment. Any action taken, or not taken, within the flow will have its downstream effects; both intended and unintended. To be effective in the longer term, major restructurings and establishment reviews must be conducted in an informed manner. This means that it is not only the imperatives of the moment that should be the key drivers of developmental decision-making, but also that previously learned lessons should be factored into the overall consideration of the available options. While there is high-level policy that sets a template for the overall establishment setting process (Reference A), there are some key principles required to guide its management. Furthermore, a broad understanding of the dynamics of personnel flow is essential if the final solutions are to be viable in the longer-term. This section draws attention to some of the main issues associated with the measurement of the Navy's Personnel Establishment.
- b. **'Growing' the Uniformed Personnel Resource.** Uniformed personnel who fill MIL posts, both RF and NR, are sub-divided into two streams; officers and ratings. These streams are further divided into branches and trades (see "[Section 3 - Organisation and Structure of the RNZN Personnel Establishments](#)"). Because Navy cannot replace the major part of its RF vacancy requirements using the standard civilian lateral recruiting model², it recruits people with the assessed potential to meet its future vacancies. This strategy is founded on the basis that sufficient numbers of recruits will remain in the Navy and progressively fill senior vacancies as their competencies develop and matching vacancies occur over a 15 to 20 year career. This strategy and system for sustaining the RF personnel capability is common practice in other Armed Forces. The RNZNVR recruiting and career channelling system is similar.
- c. **Personnel Flow.** The RF and RNZNVR progression through the ranks to assure succession to higher level vacancies is referred to as personnel flow. Personnel flow can be quantified as the rate of movement through this progressive 'personnel pipeline'. For each serving person, it requires timely and sufficient periods dedicated to training, education, personal development, on-job experience and regeneration time. If this flow does not meet Navy's requirements for qualified and experienced personnel, or does not adequately satisfy those personnel within its programmes, then the system fails. Accordingly, the essential

1. Members of the Royal New Zealand Naval Reserve (as distinct from the RNZN Volunteer Reserve) are included within the personnel tables, but do not form part of the Personnel Establishment.

2. Lateral recruiting is used for civilian staff wherein Navy hires civilian personnel who already possess the skills and competency matches for job vacancies.

requirement for Navy career management (the through-career management of personnel flow for uniformed personnel) is to balance organisational needs against individual expectations and aspirations.

- d. **Supply and Demand.** The Personnel Establishment represents the demand aspect of personnel flow. Recruiting, induction, training and the like, along with career management form the supply side. Together, they are parts of a complex, dynamic system. How the 'personnel pipeline' system works is very complex in that a minuscule change applied to the system at a certain point in time can (in certain circumstances) eventually result in a dramatic change in the future (similar to 'butterfly effect' as in chaos theory). The establishment is not simply a 'steady state' table of authorised positions. In reality the establishment represents a dynamic, inter-relational system used to control the personnel flow of serving members within a range of restraints (principal amongst which are funding, personnel availability and fluctuating demand) and around a continuously changing list of authorised positions. In turn, the establishment (the demand for personnel) must be constructed and continually managed in such a way as to enable the dynamics of the personnel flow (the supply side) to work effectively. Accordingly, the Personnel Establishment and its management system must be designed to factor in not only current personnel requirements for operations and support (while at the same time continuing to provide training for succession, and regeneration opportunities), but also to ensure the on-going sustainable succession of the 'right' people in the right numbers into the future. Future outcomes of current changes must be considered carefully before being applied to the NAVEST.

4.3.03 Personnel Establishment Key Principles

Commanding officers of units and functional area managers are responsible for the continual review of their establishments to ensure they conform to the key principles outline in Naval Forces General Orders Part 4, Chapter 5.

4.3.04 Dynamics

- a. **Complexity.** The Personnel Establishment creates a demand for people that is met by supply (recruiting, induction, training, career management and resettlement or, the personnel flow). If this view is taken, then a supply chain approach akin to inventory management would be appropriate. However, management of the personnel establishment is more complex because of the ever-changing nature of people and organisation, and personal contexts.
- b. **Synergy.** To sensibly manage the complexity, the described Personnel Establishment management procedures and processes cannot operate in isolation, one from another - or act as separate from the overall systems' intrinsic dynamics. Rather, with all of its processes acting in alignment, establishment management must seek to bring integration and synergy to the complications of effectively managing the personnel flow. Personnel flow is not simply the inflow of new personnel balanced against the outflow of people who are exiting. It also involves regulating the training and promotional flow rates within the personnel 'pipeline'. This flow rate is necessary to provide and sustain Navy's current and on-going personnel contribution to operational capability and its support. Further, management must occur consciously in a context of causes and effects. There are two fundamental characteristics of the personnel establishment and personnel flow:
- (1) the system is in constant motion and flux - there is no 'steady state'; and
 - (2) every decision taken will have multiple downstream consequences, not only direct and indirect, but also intended and unintended.
- c. **Gross Flow Patterns.** Traditionally the primary personnel replenishment strategy is to recruit young persons on the basis of their potential for future service and to progressively 'grow' their competencies towards more responsible promotional steps. To keep juniors' motivation focused on advancement, a continuing outflow of already competent, more senior personnel is required to create promotional vacancies. Some of this attrition occurs spontaneously as a

natural result of there no longer being a match between the Navy and individuals. However, when a sufficient outflow rate does not occur and the number of vacancies dwindles, juniors (the replacements) become dissatisfied and leave the Service citing lack of promotional prospects, thereby creating interruptions to the flow. In such circumstances, for the organisation to remain viable, an increased attrition rate must be 'managed'. If the attrition rate of senior personnel accelerates, the preparation rates for succession also must be accelerated, and this means that less experienced personnel will rise to positions of responsibility more rapidly than might be ideal. Most typically though, there is a greater outflow of juniors than can satisfy the promotional requirement rate. In this case, extensions of Service or retention incentives are offered to both juniors and seniors to 'manage' retention. To complicate matters, all of these patterns concurrently occur but at different rates, within the separate branches. Striking the 'right' balances in these 'stocks and flows' continuums (just three of a number of similar causal loops at play within the system) brings optimisation and a successful rate of flow. However, a key learning from previous experiences is that there is no single answer for any particular set of circumstances. Whatever mix it took to achieve today's balance is already likely to be redundant, and if replicated, is not likely to bring about the same results in the future. Accordingly, personnel managers must be constantly alert to emerging challenges and identify opportunities to meet the current needs without compromising the Navy's ability to respond to longer-term factors.

- d. **Focusing on the Core Business.** The dynamics of supply and demand are not the only factors that affect personnel behaviour. People also react to other internal and external variables that mostly are uncontrollable within Personnel Establishment Management (some examples are: the more or less favourable external employment situation, increased or decreased operational tempos, improving or deteriorating family situations) and adapt their behaviour patterns accordingly. Because establishment management has no control over these types of issues *per se*, it must work within the contexts they set. For that reason, while cognisance must always be given by Personnel Establishment managers to the relevance of any emerging background issues, their key focus must remain on the core business of managing the stock and flow of the current personnel demand priorities and the supply pipelines.

4.3.05 - 4.3.09 Not Allocated

Section 2 - Establishment Policy, Terms and Definitions

References:

- A. Defence Act 1990
- B. Naval Forces General Orders
- C. DFO 3 - NZDF Human Resource Manual Part 4 (SADFO 10/2001 Personnel Capability Planning Model)
- D. DFO 4 - Defence For Orders for Personnel Administration
- E. Employment Relations Act 2000

4.3.10 Glossary of Acronyms and Abbreviated Terms

A glossary of acronyms and abbreviated terms to be used and applied to personnel establishment management in the RNZN is at [“Annex 3-A. Glossary of Acronyms and Abbreviated Terms”](#).

4.3.11 Personnel Establishment Responsibilities and Authority Levels

Delegations and responsibilities with regard to the management of the Navy Personnel Establishment are contained in Part 1, Chapter 1 and Part 4, Chapter 5 of Ref B.

4.3.12 Personnel Establishment Defined

A Personnel Establishment is set to meet the NZDF Output Plan. In accordance with Ref C, the term ‘Establishment’ is defined as:

‘A document or database, approved by a competent authority which defines the organisation and personnel required to accomplish an allotted task or group of tasks’.

4.3.13 RNZN Personnel Establishment (NAVEST - for Navy Establishment)

The NAVEST is a detailed list of all the posts and positions that are required to meet the roles and tasks of the RNZN:

- (1) the currently authorised NAVEST is held in the NZDF HR information management system Establishment database;
- (2) the NAVEST is derived by comprehensively reviewing the level of activity required to competently discharge the approved roles and functions of all units comprising the RNZN and RNZNVR; and
- (3) the NAVEST comprises all RNZN, RNZNVR, NZ Army, RNZAF posts and Civilian positions required to discharge the functions and roles of the RNZN.

4.3.14 NAVESTSUM

The NAVESTSUM is a collective term to represent the sum of all authorised posts and positions in the NAVEST, whether occupied or vacant.

4.3.15 NAVEST Terms and Definitions

- a. The following terms and definitions are to be applied to the NAVEST:
 - (1) **Established Posts (EP)**. All the authorised employment situations within the NAVEST, whether posts or positions are to be known as Established Posts (EP). The EP are made up of:
 - (a) Military (MIL) posts, comprising RNZN,³ NZ Army and RNZAF;
 - (b) RNZNVR (NR) posts; and

3. RNZN MIL posts may be filled by suitably qualified members of the RNZNR and/or the RNZNVR.

- (c) Civilian (CIV) positions.
- (2) **Non-effective Personnel.** Service personnel are non-effective when they are not yet competent or eligible to occupy an established post. For example, all personnel under initial training and all personnel exercising their right to Parental Leave are non-effective personnel. All non-effective personnel are posted to MNEN Slots. However, not all personnel posted to MNEN slots (for example personnel under advanced training) are non-effective.
- (3) **Manpower Not Established (Navy) - (MNEN) and Manpower Not Established (Naval Reserves) - (MNENR).** By definition MNEN and MNENR paralines are not established; are therefore not EP and thereby are not part of the NAVEST. Rather, they are uniquely identifiable paralines (or 'slots')⁴ into which career managers will post personnel to the various MNEN or MNENR categories to meet the approval chain requirements of e-enabled applications such as online lease management.
- (4) **Posts, Positions and Slots.**
- (a) **Posts.** Authorised employment situations for military personnel (Service personnel) are to be referred to as Established Posts (EP or posts). Service members' Conditions of Service are derived from Refs A, C and D and relevant subordinate orders.
- (b) **Positions.** Authorised permanent employment situations for civilian personnel (employees) are to be referred to as Established Positions (EP or positions). Civil staff conditions of employment are managed by CDF under provisions of both Refs A and E.
- (c) **Slots.** Unique placement identifiers (essentially paralines) for MNEN or for MNENR are to be referred to as slots. Slots are used to appropriately assign cost attribution to the employing unit or sub-unit, and to ensure correct, aligned routing of personnel administrative functions.
- (5) **Collective Establishment Terms.** In general and where possible, terms that are gender neutral and more inclusive should be used.
- (a) **'Workforce'.** Workforce or crewing (depending on the context) are the terms used instead of 'manpower' or 'manning'.
- (b) **'Human Resources' and 'Personnel'.** Though they may be used interchangeably, 'Human Resources' is a collective term normally reserved for civilian staff, while the term, 'personnel' is the equivalent for Service members. When collectively referring to all Service members and all civilian staff together, the term 'workforce' should be used.
- (c) **Crew.** Personnel posted to EP and slots in HMNZ Ships form part of the crew. Ships are 'crewed' and form a ship's company.
- (d) **Staff.** Personnel allocated to EP and slots in a shore establishment form part of its staff. Shore establishments are 'staffed'.
- (6) **Average Paid Strength (APS).** The APS is a device used within the annual budgeting process to ensure that the expenditure on personnel does not exceed the authorised allocation. The APS is the average estimated achievable personnel strength over a given financial period for which financial provision is made in Vote Defence, and funding is subsequently allocated to Navy by NZDF. The figure represents a *maximum expenditure level* that is not to be exceeded. The APS typically exceeds the NAVESTSUM because the budgeted requirements for MNEN and MNENR are also provided.
- (a) **APSMIL.** The APS for military personnel (APSMIL) divides its allocated funding

4. See Annex B and Appendices.

total by the current average *cost of pay and allowances for holding a Service member in terms of all salary-based overheads (for example Accident Compensation Corporation levies)*.

- (b) **APSVR.** A different accounting formula is used to determine counts for RNZNVR (APSVR) hours and/or days.
 - (c) **APSCIV.** A range of formulae are used for determining civilian (APSCIV) permanent full-time, permanent part-time and permanent job-shared positional counts.
- (7) **RNZN Baseline Establishment (BASEST).**
- (a) The BASEST removes from the NAVEST the Operational Level of Capability-only EP that are not normally expected to be filled (such as a frigate's third Principal Warfare Officer). Accordingly, the major proportion of the BASEST comprises the sum of those EP required to normally staff and crew the RNZN and RNZNVR units.
 - (b) Additionally, the BASEST provides a breakdown of the numbers of personnel by rank and trade required to satisfy other Service and HQ posts that RNZN and RNZNVR personnel are regularly required to fill. Some of this requirement comprises Navy-tied posts, but additionally it includes Navy's share of the HQ' tri-Service posts, calculated using historical posting patterns (that are to be reviewed periodically). The BASEST thus provides the baseline against which recruiting, training and promotional quantity targets should be set for the RNZN and RNZNVR to address any current shortfall in personnel.
 - (c) All BASEST EP, excluding other Service and Headquarters EP that RNZN and RNZNVR personnel are regularly required to fill, are to be entered within NZDF HR information management system as 'Count Post Yes'. The NAVEST EP that are excluded in the BASEST (mostly OLOC-only EP) are normally to be entered within NZDF HR information management system as 'Count Post No'.
 - (d) The assumptions and determinations that provide the foundation for the BASEST are to be reviewed annually, as a minimum.
- Note:** Until the Personnel Capability Planning Model⁵ has been applied, and the resultant establishment is authorised for the RNZN, the BASEST is to remain the source data upon which funding bids, personnel modelling and recruiting targets are to be founded.
- (8) **BASESTSUM.** The BASESTSUM is the collective term representing the sum of all authorised posts and positions in the BASEST, whether occupied or vacant. For example, the BASESTSUM for posts established for Lieutenant Commanders will exceed the NAVESTSUM of posts for the same rank.

4.3.16 - 4.3.20 Not Allocated

5. See Reference A.

Section 3 - Organisation and Structure of the RNZN Personnel Establishments

Reference:

- A. DFO 10/2001, Annex A

4.3.21 General

- a. **NZDF HR Information Management System.** The NZDF HR Information Management System (HRIMS) is the authorised personnel information management system. It is a database that contains a major table for establishment records and a number of others for personnel records. The NZDF HR information management system Establishment component is the authoritative repository of the particulars for each EP.
- b. **RNZN Master Personnel Establishment (MPE).** The MPE is a database that mirrors the NZDF HR information management system Establishment data. The MPE allows manipulation of its data to provide a source for summary statistics used in regular personnel reports and for personnel modelling. The MPE also contains fields for the NAVEST that are not present in Heritage ATLAS, such as fields for Levels of Capability (LOC) and Personnel States (PERSTATES). Currently, it is only the MPE that has the facility to provide the BASEST on call. All source data upon which funding bids are made, 'personnel modelling' is based and recruiting targets are set, are derived from the MPE tables.

4.3.22 Unit and Sub-Unit Structures

- a. **Units.** Each NZDF unit is identified in the NZDF HR information management system along with its associated data fields. These fields include information such as the Unit name, locality, address, type of unit and the unit that it reports to. Units may be defined as 'Force Elements', 'Support Units' or 'Overhead Units'.⁶
- b. **Sub-units.** Units may have subordinate sub-units and sub-sub-units, and so on. The unit/sub-unit reporting structure is vertically linear wherein any subordinate entity (the 'child') must report to the superior unit to which it is tied (the 'parent'). In this structure, parents may have many children, but any child may have only one parent. Where an establishment change leaves a 'child' without a parent, the child is referred to as an 'orphan'.

4.3.23 Manpower Not Established (Navy) (MNEN) and Manpower Not Established (Naval Reserves) (MNENR) 'Slots'

Each person must occupy a uniquely identifiable P/L. MNEN and MNENR P/L are to be referred to as 'slots' into which career managers will post personnel to the various MNEN or MNENR categories (slots are non-established paralines and are to be identified in the NAVEST by alpha-numeric characters, similar to EP). A sufficient range of MNEN and MNENR paralines by category are to be continually available for population in all units.

4.3.24 Ranks, Branches, Trades and Specialisations Fields

- a. Each military EP is assigned fields for ranks, branches, trades and specialisations. EP may optionally have one or more alternative rank/s, branches, trade or specialisations. Alternative ranks are only to be used in exceptional circumstances. If rank only is important, then the branch field may specify 'Any' denoting that so long as the correct rank is held, the post can be filled by members of any branch. Default values are not recorded in the NZDF HR information management system.
- b. **RNZN Rank Structure.** The RNZN relative ranks structure and single Service equivalencies are listed at the Preface to paragraph 4 of Ref D.

4.3.25 Officer Lists, Branches and Specialisations

- a. **RNZN, RNZNR and RNZNVR Officers.** The authorised officer Lists, Branches and Specialisations are as follows:

6. See Ref A.

- (1) **Lists:**
- | | |
|----------------------|---------------------------|
| Branch List (BR) | Field: Branch = BR |
| Chaplain List (CHAP) | Field: Branch = CHAP |
| General List (GL) | Field: Branch (see below) |
| Medical List (GL) | Field: Branch = MED |
- (2) **Branch List Branches:** Field: Branch = BR
- | | |
|---|--------------------|
| Administration (ADM) | Field: SPEC1 = ADM |
| Band (BND) | Field: SPEC1 = BND |
| Construction Engineering (CE) | Field: SPEC1 = CE |
| Education (ED) | Field: SPEC1 = ED |
| Health Services (HS) | Field: SPEC1 = HS |
| Maritime Trade Operations (MTO)
- for RNZNVR officers only | Field: SPEC1 = MTO |
| Legal (LEG) | Field: SPEC1 = LEG |
| Psychology (PSY) | Field: SPEC1 = PSY |
- (3) **General List Branches:**
- | | |
|--------------------|--------------------------------|
| Engineering | Fields: Branch and Trade = GLE |
| Maritime Logistics | Fields: Branch and Trade = GLS |
| Seaman | Fields: Branch and Trade = GLX |
| Observer | Fields: Branch and Trade = GLO |
| Pilot | Fields: Branch and Trade = GLP |
- (4) **General List Specialisations:**
- | | |
|--|------------------------|
| Qualified as Hydrographic Charge Surveyor | Field: SPEC1 = H0 |
| Qualified as Hydrographic Surveyor First Class | Field: = SPEC1 H1 |
| Qualified as Hydrographic Surveyor Second Class | Field: = SPEC1 H2 |
| Hydrographic Survey Officer Under Training | Field: = SPEC1 H |
| Qualified in Mine Warfare and Clearance Diving | Field: = SPEC1 MCD |
| Qualified for Marine Engineering Duties | Field: = SPEC1 ME |
| Qualified by the RAN/CF(N) Navigation Course | Field: = SPEC1 N |
| Qualified by an appropriate qualification in
Naval Architecture | Field: = SPEC1 NA |
| Observer | Field: = SPEC1 O |
| Pilot | Field: = SPEC1 P |
| Qualified by the Principal Warfare Officers' Course | Field: = SPEC1 PWO |
| Qualified by the Principal Warfare Officers' or RAN
Surface Warfare Officers' Course (Above Water) | Field: = SPEC1 PWO(A)) |
| Qualified by the Principal Warfare Officers' or RAN
Surface Warfare Officers' Course (Communications) | Field: = SPEC1 PWO(C)) |

Qualified by the Principal Warfare Officers' or RAN
Surface Warfare Officers' Course (Navigation) Field: = SPEC1 PWO(N))

Qualified by the Principal Warfare Officers' or RAN
Surface Warfare Officers' Course (Underwater) Field: = SPEC1 PWO(U))

Qualified for Weapon Engineering Duties Field: = SPEC1 WE

4.3.26 Ratings' Branches, Trades and Sub-Trades

a. **RNZN Ratings.** There are three branches for RNZN ratings. All RNZN ratings' trades are to belong to one of the following three branches:

- (1) **Operations Branch.** All ratings' trades that belong within the Operations Branch are tabled below.

NZDF HR Information Management System FIELDS					
Branch	Trade and Sub-Trade	Abbreviation	Branch	Trade and Sub-Trade	Abbreviation
OPS	COMMUNICATION ANALYST	CA	OPS	DIVER	DR
OPS	SIGNALMAN	SG	OPS	ASSISTANT HYDROGRAPHIC SURVEYOR	AHS
OPS	TELECOMMUNICATIONS SUPERVISOR	TS	OPS	HYDROGRAPHIC SURVEY TECHNICIAN	HST
OPS	RADIO OPERATOR	RO	OPS	HYDROGRAPHIC SYSTEMS OPERATOR	HSO
OPS	RADIO SUPERVISOR	RS	OPS	COMBAT SYSTEM SPECIALIST	CSS
OPS	TELECOMMUNICATIONS OPERATOR	TO	OPS	HELICOPTER CREWMAN	HCM
OPS	YEOMAN OF SIGNALS	YS	OPS	ELECTRONIC WARFARE SPECIALIST	EWS
OPS	COMMUNICATIONS OPERATOR	CO	OPS	SEAMAN COMBAT SPECIALIST	SCS
OPS	DIVING INSTRUCTOR	DI			

- (2) **Support Branch.** All ratings' trades that belong within the Support Branch are tabled below.

NZDF HR Information Management System FIELDS					
Branch	Trade and Sub-Trade	Abbreviation	Branch	Trade and Sub-Trade	Abbreviation
SPT	MUSICIAN	MUS	SPT	DRIVER	DRV
SPT	MEDIC	MEDIC	SPT	LOGISTICS SUPPLY SPECIALIST	LSS
SPT	MEDICAL ASSISTANT	MA	SPT	STEWARD	STD
SPT	NAVAL POLICE	NP	SPT	CHEF	CH
SPT	PHYSICAL TRAINING INSTRUCTOR	PTI	SPT	WRITER	WTR
SPT	MASTER AT ARMS	MAA			

- (3) **Technical Branch.** All ratings' trades that belong within the Technical Branch are tabled below.

NZDF HR Information Management System FIELDS					
Branch	Trade and Sub-Trade	Abbreviation	Branch	Trade and Sub-Trade	Abbreviation
TECH	SHIPWRIGHT	SHPT	Technical TECH	ELECTRONIC TECHNICIAN 2ND CLASS	ET2
TECH	MARINE ELECTRICAL MECHANIC	MEM	Technical TECH	ELECTRONIC TECHNICIAN	ET
TECH	MARINE ELECTRICIAN	MEL	Technical TECH	ELECTRONIC TECHNICIAN 1ST CLASS	ET1
TECH	MARINE TECHNICIAN 1ST CLASS (ELECTRICAL)	MT1(L)	Technical TECH	WEAPON TECHNICIAN 2ND CLASS	WT2
TECH	MARINE TECHNICIAN 1ST CLASS (PROPULSION)	MT1(P)	Technical TECH	TECHNICIAN (WEAPON ENGINEERING)	T(WE)
TECH	MARINE TECHNICIAN 2ND CLASS (ELECTRICAL)	MT2(L)	Technical TECH	WEAPON MECHANIC	WM
TECH	MARINE TECHNICIAN (ELECTRICAL)	MT(L)	Technical TECH	WEAPON TECHNICIAN 1ST CLASS	WT1
TECH	MARINE MECHANIC	MM	Technical TECH	WEAPON TECHNICIAN	WT
TECH	MARINE TECHNICIAN 2ND CLASS	MT2			

- b. **RNZNVR Ratings.** RNZNVR ratings may belong to any of the listed RNZN branches, trades and sub-trades. Where RNZNVR ratings are not qualified for those RNZN branches, trades or sub-trades, the RNZNVR only trades below have been established and are to be used accordingly. It is intended that RNZNVR ratings be able to serve in any ship for which they are appropriately qualified.

(1) **Operations Branch:**

- (a) **Maritime Trade Operations Trade.** The Maritime Trade Operations Trade is non-seagoing (Fields: Branch = OPS, Trade = MTO).
- (b) **Seaman Trade.** The RNZNVR Seaman Trade is to comprise all RNZNVR members who have been trained as Seamen for duties in Inshore Patrol Vessels or other specified vessels (Fields: Branch = OPS, Trade = SEA), or

(2) **Technical Branch:**

- (a) **Diesel Engineering Fitter Trade.** The RNZNVR Diesel Engineering Fitter Trade is to comprise all RNZNVR members who are qualified as Diesel Engineering Fitters for duties in Inshore Patrol Vessels or other specified vessels (Fields: Branch = TECH, Trade = DEF).
- (b) **Weapon Electrical Engineering Trade.** The RNZNVR Weapon Electrical Engineering Trade is to comprise all RNZNVR members who are qualified as Weapon Electrical Fitters for duties in Inshore Patrol Vessels or other specified vessels (Fields: Branch = TECH, Trade = WEF).

4.3.27 ATLAS Establishment Fields

Each paraline is populated by a number of 'fields' that are used to further define the

particulars of the EP. These fields enable and are used as 'data filters', and for collating summary data. The Heritage ATLAS fields and their definitions are listed at ["Annex 3-C. Heritage Atlas Establishment Data Fields"](#).

4.3.28 Job Value Factor Field

Each military post is assigned a Job Value Factor (JVF) in accordance with NZDF pay determinations. The JVF is calculated as the lowest on-appointment pay rate of any combination of the established or alternative rank and trade/specialisation set for the post.

4.3.29 - 4.3.33 Not Allocated

Section 4 - NAVEST Change Policy and Processes

References:

- A. Naval Forces General Orders
- B. DFO 10/2001 - Personnel Capability Planning Model
- C. DFO 4 Chapter 8 - Senior Officer Rank Ceilings
- D. DFO 08/2004 - Civil Staff Management Delegations
- E. DFO 02/2002 - Civil Staff Pay Progression
- F. DFO 04/2005 - Recruitment of Civil Staff
- G. DFO 09/2005 - Appointment Review Procedure
- H. 5916/CPP/5 of 30 Jan 03 - NZDF Personnel Branch Minute
- I. 562/04 of 28 Sep 04 - NZDF Personnel Branch Minute
- J. DFO 16 - Defence Force Orders for Civil Staff Administration

4.3.34 Changes to Personnel Establishments

General. Different processes, sequences of events and authorities are required when raising proposals for changes to the Personnel Establishments for military posts and for civilian positions. This section is divided as follows:

- (1) Authorities and General Policy Requirements for NAVEST changes;
- (2) NAVEST Changes to Military Posts; and
- (3) NAVEST Changes to Civilian Positions.

Authorities and General Policy Requirements for NAVEST Changes**4.3.35 Authority and Responsibilities for Managing NAVEST Change Proposals**

Refer Part 4, Chapter 5 of Ref A.

4.3.36 NAVEST Change Processes

- a. Different processes, sequences of events and authorities are required when raising proposals for changes to the Personnel Establishments for military posts and civilian positions. The following process maps are provided at Annexes 03D - 03G of this chapter:
 - (1) the Military Establishment Change Macro-Process ("[Annex 3-D. Military Posts Established Change Macro Process](#)");
 - (2) the Military Establishment Change Micro-Process ("[Annex 3-E. Military Posts Established Change Micro Process](#)");
 - (3) the Civilian Establishment Change Macro-Process ("[Annex 3-F. Civilian Posts Established Change Macro Process](#)"); and
 - (4) the Civilian Establishment Change Micro-Process ("[Annex 3-G. Civilian Posts Established Change Micro Process](#)").
- b. Where overlaps arise in which it is proposed that a military post is changed to a civilian position, or vice versa, see Article "[4.3.39 Staffing of Military Posts with Civilian Appointees](#)" and Article "[4.3.40 Process Maps](#)".

4.3.37 Creating, Modifying or Disestablishing Posts and Positions

- a. In accordance with Naval Forces General Orders, NAVEST Change Proposals are to be accompanied by a business case for change
- b. **Business Cases for Change.** The NAVEST exists only to provide a listing of the personnel

required for the Navy to meet its roles and tasks. Since the roles and tasks of the RNZN alter over time, so too will there be consequential changes to the NAVEST. To prevent a natural propensity for manpower, rank and salary inflation, all NAVEST changes are to be founded on a sound business case for change to be raised by the responsible CO or FAM. The business case for a proposed change should cogently explain (in detail) why the change should be approved. In particular, proposals should canvass the following questions:

- (1) **Cost.** What is the cost of the change in dollars per annum?
 - (2) **Benefit.** How much (in dollars, per annum) will the proposed change save, or produce? Does this exceed the cost? There may, on occasion, be non-financial benefits from a personnel change; for example, increase in capability.
 - (3) **Risk.** What risk to the organisation will the proposed change present, avert or mitigate? How likely and how consequential is the risk? What other avenues of risk mitigation have been explored?
 - (4) **Required Capability.** Does the proposed change provide *required* enhancement of *required* capability? How does the enhanced requirement link to Output delivery.
 - (5) **Navy Strategic Plan Linkage.** How will the change directly contribute to achieving objectives in the Navy's Strategic Plan?
- c. From a job evaluation perspective, job value increases when accountabilities increase, the value of outcomes increase or there is a substantive increase in skill-sets, knowledge or experience required for the job. A change in tempo does not justify an increase in job value. Having to use new technologies or having to use more applications to produce output does not, of itself, increase value. Working with more people, data or agencies does not in itself, justify an increase in job value.

4.3.38 EP as a CIV Position or a MIL Post

Each EP must be identified as primarily either 'military' (MIL) or 'civilian' (CIV), with supporting justification. The *only* EP which should be classified as 'military' are those that:

- (1) are for personnel who are required to deploy overseas to perform or support operations as part of their own unit's task;
- (2) are for personnel who serve in Navy force elements;
- (3) require specialist knowledge only gained through military training or experience;
- (4) fulfil command positions;
- (5) are required by reasons of safety, security or credibility with other agencies;
- (6) are required in training positions to impart military skills, experience and culture (for example, initial training instructors);
- (7) are required for reasons associated to Service culture, ethos, standards and ceremonial duties; or
- (8) are required for augmentation from non-deployed units to sustain deployment as identified under the Personnel Capability Planning Model (Ref A).

4.3.39 Staffing of Military Posts with Civilian Appointees

- a. While military posts are primarily for regular/non regular incumbents, a traditional shortage of military personnel means that civilians will staff certain military posts. If a post should remain as a military post for reasons outlined in the Article ["4.3.38 EP as a CIV Position or a MIL Post"](#), but due to staff shortages and as an interim measure, the employment of a civilian is necessary. Then this should be on a Fixed Term Employment Agreement (FTEA) or similar time limited agreement; no establishment amendment is required. In this case, a request to employ a civilian, on a FTEA, is to be made to the Assistant Chief of Navy (Personnel and

Training) (ACN(P&T)) for approval.

Note: An implication of taking this (FTEA) option is that the employing manager must:

- (1) have genuine reasons based on reasonable grounds for specifying that the employment of the employee is to end by a specified time; and
 - (2) advise the employee of when or how his or her employment will end and the reasons for his or her employment ending in that way.
- b. There are P/L within the NAVEST that are annotated “Civilian may be Military” and “Military may be Civilian”. To ensure that there is no conflict in the management of military and civilian personnel, all proposals to employ personnel other than the primary ‘post type’ category are to be forwarded to the ACN(P&T) for approval.
- c. **Management of Risk.** Once an EP Post Type is ‘civilianised’, reverting it to a military post may be problematic. Accordingly, when FTEA are set to cover shortfalls in military posts, it is incumbent on the branch and trade concerned to ‘grow’ the military replacement for timely succession following the termination of the FTEA. Failure to do so may incur a risk that the FTEA contracted employee will have the contract extended to a point that, under employment legislation, it will require permanent ‘civilianisation’ of the post - and this might not be in the best interest of the Service. Therefore, it is also incumbent on the manager to review, at least six months prior to the FTEA contract termination date, any on-going requirement for continued tenure in the event a replacement is not available. In such circumstances, the manager is to act only after close consultation with the career manager and branch head (to determine priorities) and the relevant NZDF Human Resources Advisor (to ascertain the degree of risk of not being able to return the position to a military post).

NAVEST Changes to Military Posts

4.3.40 Process Maps

NAVEST changes to military posts follow the mapped sequences provided as follows:

- (1) the Military Establishment Change Macro-Process (“[Annex 3-D. Military Posts Established Change Macro Process](#)”); and
- (2) the Military Establishment Change Micro-Process (“[Annex 3-E. Military Posts Established Change Micro Process](#)”).

4.3.41 Military Posts

- a. In addition to the requirements detailed above, proposals for creating, modifying or disestablishing military posts are to follow the processes described at “[Annex 3-D. Military Posts Established Change Macro Process](#)” and “[Annex 3-E. Military Posts Established Change Micro Process](#)”. In every case ACN(P&T) is to make specific comment on the following matters:
- (1) **Sea: Shore Ratios.** Comment on quantified effects on sea-shore ratios for rank and trade, including where appropriate, damage limiting steps to mitigate adverse effects.
 - (2) **Sustainability Modelling.** Quantified comment on branch and trade sustainability (Category Management, or CatManZ modelling) including where appropriate, damage limiting steps to mitigate adverse effects on trade structures.
 - (3) **Budgetary Affordability.** Comment on effects on the current and ongoing personnel budget.
 - (4) **Current Workforce Implications.** Comment on current ability to provide personnel to the change sought where additional resources are proposed, or alternatively, proposals for the management of excessive holdings of personnel arising from post or position disestablishments.
- b. **Determining Rank for New Post Creations.** An approved process (currently the JE Leader

process) is to be followed in determining rank for all new military post creations.

NAVEST Changes to Civilian Positions

4.3.42 Process Maps

NAVEST changes to civilian positions follow the mapped sequences provided as follows:

- (1) the Civilian Establishment Change Macro-Process (“[Annex 3-F. Civilian Posts Established Change Macro Process](#)”); and
- (2) the Civilian Establishment Change Micro-Process (“[Annex 3-G. Civilian Posts Established Change Micro Process](#)”).

4.3.43 Civilian Positions

Proposals for creating, modifying or disestablishing civilian positions are to follow the process described at “[Annex 3-F. Civilian Posts Established Change Macro Process](#)” and “[Annex 3-G. Civilian Posts Established Change Micro Process](#)”. In every case, the ACN(P&T) is to consider and make specific comment on the following matters:

- (1) quantified effects on military sustainability issues,
- (2) the requisite level of objectivity and rigour in the Initial Job Evaluation process has occurred (see Article “[4.3.47 Determining Salary Grades and Bands for Civilian Staff Positions](#)”), and
- (3) effects on the current and ongoing APS funding.

4.3.44 Changes to Civilian Positions

- a. Limits on amendments to the establishment for senior civil staff employees are set at Ref C. Immediate managers are authorised to execute those powers necessary to manage effectively the civil staff for whom they are responsible and within the limits of their delegation, as specified at Ref D.

Note:

1. Delegations exercised in relation to managing civil staff must be consistent with the financial delegation held by the manager.
 2. In relation to remuneration issues and financial delegations within Navy, managers are to consult with ACN(P&T) prior to entering into good faith negotiations with civil staff in matters of salary grades and bands, proficiency levels and Special Duties Allowance.
 3. NZDF Human Resource Advisors (HRA) participate in job evaluation processes and provide employment advice to managers of civil staff. However, HRA have no authority to approve remuneration levels.
- b. Authority to approve or decline proposals to amend civilian established positions within the NAVEST is vested in the ACN(P&T). In discharging these responsibilities, the ACN(P&T) is to comply with the NZDF policy for civilian salary band determination processes promulgated at Ref G.

4.3.45 Employment Agreement Negotiations with Civil Staff

- a. NZDF policy direction for civil staff management delegations is at Ref D and specific delegations are provided at Annex A thereto. These delegations, when exercised in relation to managing civilian staff, are to be consistent with the financial delegations (meaning that prior consultation with the budget holder, the ACN(P&T), is an essential step) and aligned with the provisions of the NZDF Employment Agreements. Although the fundamental principle behind the policy is that responsibility for decisions related to the management of civilian staff should be made at the lowest level of management, managers of civilian staff need to be cognisant that:

- (1) decisions taken for positions within Navy may set benchmarks across all of the NZDF for parity of pay and conditions; and
 - (2) under employment law, once an employment agreement is offered, it is considered not in 'good faith' under the
 - (3) Employment Relations Act 2000 to then withdraw it (in other words, if an offer is accepted, a contract then exists, and if an offer has not yet been accepted, its provisions represent a point less than which should not be contemplated by either party).
- b. Accordingly, pre-emptive and/or ill-advised employment contract negotiations may expose the organisation to financial and reputational risk. Therefore, it is incumbent on managers of civilian staff to seek NZDF HRA staff advice prior to offering employment agreements. If a manager's assessment of the potential risk makes it prudent to take the decision to a higher level, regardless of the level of delegated authority, then that course of action should occur.
- c. Within Navy, the key stakeholder group for civilian staff employment matters are as follows:
- (1) the DCN heads the chain of command that oversees all civil staff employment;
 - (2) the ACN(P&T) is delegated to approve or decline significant establishment changes, including changes to salary grades and bands for positions;
 - (3) job evaluations and, salary grade and band determinations are subject to MHRSD⁷ approval⁸;
 - (4) the ACN(P&T) centrally manages Navy's personnel budgets; and
 - (5) NZDF HRAs provide an advisory role only.
- Note:** While FAMs should expect that NZDF HRA will provide competent HR advice, it is cautioned that they have no responsibility or authority for substantive matters in relation to Navy's civilian staff contracts, and are not delegated to provide approvals in these areas.
- d. FAM and managers of civilian staff are to ensure that employment agreements that involve increasing the salary grades and bands for positions are not to be offered until an establishment change to the new salary grades and bands has been approved.
- e. In reaching establishment change decisions that involve increases in salary grades and bands for civilian staff positions, the ACN(P&T) will consider and be informed by the following:
- (1) the FAM proposal, particularly having regard to the weight and merits of the business case;
 - (2) advice on the current and ongoing financial implications for the personnel budget; and
 - (3) when considered necessary by the ACN(P&T), the endorsement of the DCN.

4.3.46 Civilian Staff Salaries

- a. **Position Descriptions.** Civilian staff Position Descriptions (PDs) are the basis upon which job value is determined. PDs serve two purposes: one is to describe the position in terms that will inform and be understood readily by job incumbents and potential applicants; the other is to particularise the job content and responsibilities of the position in such specific detail as will facilitate and adequately inform job evaluation and performance management.
- b. **General Civilian Staff Salary Model.** NZDF Civilian Staff positions are graded for salary grades and bands according to the worth of the position (PD) to the Service. Performance within a position is rewarded by Proficiency Levels. Work provided beyond these limits in some cases may attract Special Duties Allowance⁹. In short, civilians are remunerated according to the

7. Manager of Human Resource Service Delivery, Personnel Branch, HQ NZDF.

8. MHRSD 'approval' occurs formally and only in response to a formal request from the ACN(P&T).

9. Some civilian contracts preclude the payment of Special Duties Allowance. Managers should seek advice from their NZDF HRA.

following model:

- (1) Salary grades and bands¹⁰ determine the value of the position within a set of remuneration ranges;
- (2) Proficiency Levels¹¹ consider the individual's performance against the requirements of the job, and
- (3) Special Duties Allowance¹² recognises duties carried out beyond the limits set within the PD.

4.3.47 Determining Salary Grades and Bands for Civilian Staff Positions

Paragraph 16 of Ref H notes that a number of requests for Salary Grade and Band evaluations appear on the face of it to be salary reviews rather than genuine job evaluation requests. Accordingly, the ACN(P&T) is to critically assess and exercise judgment and discretion as to the substantive merits of each case, prior to subjecting proposals for initial job evaluation. There are different processes for determining salary grades and bands for Navy's civilian staff positions, as follows:

- (1) **Standard Process.** The standard method for determining salary grades and bands for civilian staff positions is directed at Ref E. This method is incorporated within the processes described at "[Annex 3-F. Civilian Posts Established Change Macro Process](#)" and "[Annex 3-G. Civilian Posts Established Change Micro Process](#)".
Note: Strict adherence to the process sequence and due rigour applied both to developing the Job Descriptions and to conducting the Initial Job Evaluation (IJE) are essential to transparent, consistent and fair reviews of the salary grades and bands for civilian positions. This is particularly the case when, as is common practice, similar positions are inevitably compared by colleagues following the promulgation of changed salary band determinations.
- (2) **Variations to the Standard Process.** In accordance with Refs F and G, any variation to terms and conditions in standard employment agreements may only be approved by AC Pers. Accordingly, proposals for salaries in excess of Interim Moderating Panel¹³ (IMP) determinations, if supported, will be forwarded to AC Pers for approval.
- (3) **Job Family Process.** The following applies to the determination of salary grades and bands within a NZDF-approved Job Family:
 - (a) The 'job family' methodology is provided for and relevant steps are incorporated within the processes described at "[Annex 3-F. Civilian Posts Established Change Macro Process](#)" and "[Annex 3-G. Civilian Posts Established Change Micro Process](#)".
 - (b) Where a NZDF-authorized Job Family salary band determination is promulgated,¹⁴ remains current and includes the position under consideration, then there is no requirement for either the Initial Job Evaluation process or the subsequent Interim Moderation Panel (IMP) determination to be included within the overall salary band determination process. However, evidence of the existence of the 'job family', its currency and how and by whom it was agreed that the position has a familial equivalent must accompany the NAVEST Change Proposal.
- (4) **Innovative Solutions for Unique Situations.** Exceptionally, a civilian trade may be so specialised to the provision of military capability support that lateral recruiting efforts

10. Ref D. Currently authorised salary grades and bands are published on the NZDF intranet.

11. Ref D.

12. General Collective Agreement 2004, Article 5.1 and Ref A.

13. Ref H.

14. Job Family determinations are promulgated from time to time by Minute to the single Services and copies are held by all NZDF HRA staff.

will have proven ineffective in providing vacancy replacements. In such unique situations, an innovative solution may be proposed for approval by the DCN. A fully documented business case, including a full risk analysis and risk mitigating strategies, is to accompany the proposal.

4.3.48 Initial Job Evaluation (IJE) Process - Navy Protocol

The Initial Job Evaluation (IJE) process is prescribed at Ref E. Within Navy, the following protocol is to be observed for the constitution of IJE panels and conduct of the IJE process:

- (1) IJE panels are to comprise at least three, but no more than five evaluators, made up as follows:
 - (a) a uniformed representative from the ACN(P&T) staff is to represent the CDF and in every case report, using the format at [“Annex 3-I. Report on Conduct of Initial Job Evaluation Panel and Process”](#), on any discrepancies noted in the constitution of the panel and/or conduct of the process,
 - (b) a NZDF HRA is to provide specialist advice on technicalities and other HR matters of relevance to the IJE process,
 - (c) the NZDF HRA assigned to the IJE panel is not to participate also in the IMP determinations that subsequently evaluate the same position,
 - (d) all panelists are to be of sufficient general experience to appreciate the parameters about which the position is being evaluated (for example, it is inappropriate for relatively junior persons in the organisation to evaluate more senior positions),
 - (e) there should be a representative gender mix on the IJE panel,
 - (f) the current incumbent of the position being evaluated is not to participate in the IJE panel,
 - (g) panelists may be peer equivalents (say, from another department) but are not to be colleagues, superior¹⁵ or subordinate to the position being evaluated,
 - (h) other panelists may be selected to ensure, for example, gender balance and/or specialist industry knowledge if desirable,
- (2) all panelists are to have undertaken prior training in the job evaluation process;
- (3) IJE panelists under training may observe, but are not to participate in the IJE process;
- (4) no other attendees or participants are to be involved; and
- (5) in order to be adequately prepared for participation, panelists are to receive the relevant IJE forms a sufficient period for study prior to the convening of the panel.

4.3.49 Determining Proficiency Levels Following an Increase in Salary Band

- a. Salary grades and bands represent the value of the job to the organisation (a job evaluation and moderation process that has central NZDF oversight - see Ref D).
- b. Proficiency levels reflect the quality of performance displayed by the job-holder (a local process that follows the Civil Staff Pay Progression Process at Ref D). The rules on the award of Proficiency Levels to be determined and authorised by managers at the local level are reinforced at Ref C. It is to be noted that, in accordance with these rules, Proficiency Level 5 is not to be awarded prior to there having been two consecutive awards of Proficiency Level 4 (see Ref H, para 6).
- c. The setting of proficiency levels for incumbents following a change to the salary band for the position is to be determined on a case by case basis by the manager. In so doing, the manager

15. Superiors' inputs are included in the development of the Job Description and COMPERS job evaluation forms.

is to use the Civil Staff Pay and Progression Process, evaluating current job-holder performance against the new Position Description (PD). Earlier performance against the previous PD is irrelevant. No one should receive a pay increase without a proper assessment of their performance against the new position requirements and without that assessment being proven and consistent over a period of time. In reaching the determination for an old incumbent in a position that has a newly defined PD that has been set at a higher salary band, the manager should be guided by the foregoing and by Ref D, para 29. It should be noted that the Proficiency Level in this newly defined position and salary grade and band, typically, may be less than that in the earlier PD and salary grade and band. Should this result also in a lower overall salary, the salary standstill provisions will apply to that job-holder until in-role performance improves to a point that merits a higher assessment. That improved performance then will be reflected by the award of an increased Proficiency Level.

- d. The ACN(P&T) has discretionary authority, as the budget holder, to moderate the determining of Proficiency Levels as part of the NAVEST Change Process.

4.3.50 Summary of Requirements

- a. A FAM and their subordinate managers of civilian staff are to maintain the primary employment relationship between the employer and employees. This relationship requires FAMs and managers to be key communicators with their staff, maintaining the requisite level of reticence where applicable. They are to make decisions on issues relating to their staff, exercising their judgments within the civil staff delegations and the overall naval employment context. In these respects, FAMs and managers are to note the 'management responsibilities' outlined in Reference C when exercising to the limits of their role within the delegation.
- b. High levels of professionalism are both expected and required in the application of ethics and procedural rigour that is brought to the raising of NAVEST Change Proposals prior to them being forwarded for approval.

4.3.51 - 4.3.55 Not Allocated

*Section 5 - Posts for Projects and for Provision of Short-term Capability***4.3.56 Posts for Projects and for Provision of Short-term Capability**

- a. **Background.** At any time, a small percentage of senior officers, about 10 percent of WO and CPO and up to 20 percent of LTCDR and LT are engaged full-time in project duties, or in providing short-term capability (or support for capability). Accordingly, full-time employment of officers and senior ratings in project work and/or in provision of short-term capability is a normal state (or, 'business as usual') and should be provided for and factored into personnel planning.
- b. The practice of posting such personnel into the multi-incumbent MNEN P/L 80000 or special MNEN project posts has effectively hidden this on-going segment of normal business activity to the extent where personnel deployment for these purposes is not in the corporate view. A step towards remedying this was taken during 2005 with the introduction of the MNEN multi-incumbent P/L 97000 that separated out from the 80000 'hold-all' P/L those personnel categorised as 'additional to establishment, effective'. This had the effect of breaking out (for statistical reporting) personnel working effectively in non-established posts from the remainder of personnel posted to 80000 P/L (that is, those in transit for, or undertaking handovers for postings to EP).
- c. **Intent.** It is essential for effective personnel planning that the totality of the normal disposition of the workforce to meet Navy's roles and tasks is visible so that adequate provision for it can be made. Accordingly, the hitherto prevalent but informal career management practice of using the 80000 P/L for assigning personnel to project duties, or in providing short-term capability without transparency of high-level concurrence, is to cease. The intent is thus to enable corporate-level visibility and control of the extent of deployment of the workforce that is effectively engaged in normal business.
- d. **Policy.** Where a requirement exists for personnel to be employed full-time on authorised RNZN projects, or to provide a short-term RNZN capability, the following is to occur:
 - (1) If the project or capability is to be conducted or provided as part of, or within the normal duties of an appointment, or has a finite employment period of 28 days or less, no establishment action is necessary.
 - (2) If the capability is more appropriately accommodated by using an available augmentation (that is, by posting to an existing EP) at a higher PERSTATE than currently available¹⁶, no establishment action is necessary.
 - (3) If the project or capability requires the employment of dedicated personnel on a full-time basis for a period in excess of 28 days, EP are to be created within the establishment of the unit responsible for the activity, ensuring consistent and appropriate alignment of the 'Reports To' and 'Cost Centre'¹⁷ fields. Proposals are to be forwarded for approval to the ACN(P&T) using the format provided at ["Annex 3-H. Proposal to Establish Posts for Projects, or for Short Term Capability"](#). So long as the appropriate level of prior staffing has occurred, the issue is not overly complex and the project is aligned and funded by either strategic or operational imperatives, responses to proposals should occur within five working days of their receipt.
 - (a) For the provision of full-time Service members for projects or short-term capability, the nature of the duties is to be notified formally in posting orders (including RNZN 224) against entries for the incumbents thus posted.
 - (b) For the provision of full time civilian staff for projects or short-term capability, the position must first be established and following that approval, the EP may be filled using the Fixed Term Employment Agreements process.

16. Using the PERSTATEs increments process (currently under development).

17. See Section 3 for details for the ATLAS fields 'Reports To' and 'Cost Centre'.

- (c) *End dates for postings of full-time staff to EP created for project duties, or for providing short-term capability are to be estimated and promulgated when posting orders and RNZN 224 are published.* Such EP normally will be disestablished, effective from the promulgated end date. Responsible CO or FAM may request by signal to HQNAVY Attn: ACN(P&T) using the SIC WAM either to foreshorten the life of the EP, or for extensions beyond the dates initially notified (a minimum of 28 days' notice is required).
- (d) The responsibility for the continuance of such project or short-term capability EP once they are created within the RNZN establishment is vested in the ACN(P&T).

4.3.57 **Paraline Codification and Accounting for Project Posts and Short-term Capability Posts**

To enable the function of filtering data for reporting purposes, posts for projects and for provision of short-term capability are to be codified to conform to the principles described at "[Annex 3-B. Principles and Protocols for Paraline Alpha-Numeric Codification](#)", but using the following numbering system:

- (1) **Project Posts (800 - 819 series).** Project posts are to be numbered using the paraline figures XX800 to XX819. For example, a project post labelled PHLFPT/PHLFPTS|75803 indicates that the project is under the command of HMNZS PHILOMEL, Fleet Personnel and Training function, Support Branch department and it's an officer post and the third to be currently assigned.
- (2) **Short-term Capability Posts (820 - 849 series).** Short-term capability posts are to be numbered using the paraline figures XX820 - to XX849. For example, a short-term capability post labelled TEM/TEMO|53824 indicates that the capability is under the command of HMNZS TE MANA, Operations department and the Communications rating post is the fourth to be currently assigned.
- (3) **Personnel Accounting.** Paraline series XX800 - XX849 are not to be counted either as NAVEST EP (and are not to be reported as PERSDEFs), or as part of the MNEN counts. However, the project and short-term capability posts are to appear in the current BASEST, and provided for in the BASESTSUM summaries, being calculated in a similar manner to Navy's obligations to the tri-Service HQ' posts.

4.3.58 - 4.3.60 **Not Allocated**

Section 6 - Rank Ceilings

Reference:

A. DFO 4 Chapter 8, Section 5

4.3.61 General Limits on Promotion

Rank ceilings are restrictions placed on the number of Service personnel permitted to be promoted to the different rank levels at any time. Generally, for all ranks except officers of CDR and above, rank ceilings are set against the total numbers of EP at the progressive rank levels and branches and/or trades, in the BASEST. Internal-to-RNZN principles for the management of its rank ceilings are to accord with the following guidelines:

- (1) The BASEST is a detailed list of all the posts and positions that are required to meet the roles and tasks of the RNZN, and to meet all of the Navy's on-going commitments to external agencies. Consequently, the BASEST represents the total maximum holdings of personnel that Navy should plan to carry and sustain to meet its requirements.
- (2) The number of rank-holders at any rank level, within any branch or trade, may (and ideally should) meet, but is not to exceed the number of EP in the BASEST for that rank, branch and trade.
- (3) Establishment vacancies arising from advanced training are to be absorbed or countered using the acting rank provisions or other career management options. No promotions allowance is to be made within the BASEST for advanced training.

4.3.62 Rank Ceilings for Senior Officers

The 'rank ceiling restrictions' applied to officer ranks of CDR (E) and above, are detailed at Ref A.

4.3.63 Rank Ceilings for Other RNZN Service Personnel

a. There are no rank ceilings for:

- (1) ratings' promotion to able rating;
- (2) officer promotions to ENS, SLT and LT; and
- (3) the RNZNVR.

b. Except where limited by the provisions of Ref A, all other RNZN RF Rank Ceilings are to be limited by, and are not to exceed, the number of BASEST EP for the branch or trade at the respective rank levels.

Note: Promotions may also be authorised to 'Out of Service' posts (for example, HQ EP) mission-specified appointments (typically in support of HQJFNZ-sponsored operations) authorised Project EP and 'Out of Branch' or 'Any Branch' postings to EP.

4.3.64 Rank Ratios

- a. Traditionally military rank levels form a numerical pyramid. This pyramid can be depicted using the various rank ratios that reflect a rank level's supervisory span. The sustainability of any particular rank level is its ability to re-generate from the more numerous junior rank level. Any distortion that creates a top heavy personnel rank structure also distorts the organisation's ability to populate that structure by internal promotion (the normal method of re-generation). Any deviation from the traditional norm should consider how this change will be populated in a sustainable manner and substantiate the need for a posts particular rank level. This substantiation would show the rank below which the incumbent would not be able to perform the functions conducted by the post and in this manner determining the minimum rank for the post.
- b. For guidance, the following pyramid reflects the desirable ratio of ranks and the supervisory span expected in a future nominal RNZN work environment to provide sustainable growth:

- (1) **Officers.** In due course, RNZN establishments are to be transitioned to conform generally to the following ratios:
 - (a) For CDR and above, the establishment is set under the provisions of DFO 4.
 - (b) 1 x LTCDR = 1
 - (c) 2 x LT = 2
 - (d) While noting no ratios are stated for SLT, ENS or MID it is held as a group, that collectively a more significant personnel ratio is necessary to sustain the LT rank level.
- (2) **Ratings.** In due course, RNZN establishments are to be transitioned to conform generally to the following ratios:
 - (a) 1 x WO = 1
 - (b) 2 x CPO = 2
 - (c) 2 x PO = 4
 - (d) 3 x LDG = 12
 - (e) 3 x ABLE = 36
- c. It is not intended that establishments will follow this model slavishly. However, it is intended that the rank ratios will be used in determining classic unit structures (for example, Force Elements and training schools) where officers and senior ratings are in posts that mainly involve the use of line authority.
- d. Officer and senior rating posts that predominantly involve the use of staff functions should be allocated as follows:
 - (1) initially, on the basis of the NZDF competencies model when applied to the job description for the post;
 - (2) secondly, within that parameter, to provide posts that mitigate any sea shore ratio imbalances for that rank and trade; and
 - (3) finally, to sustain the rank and trade structures.
- e. Variations may be necessary to provide for local conditions, to meet prescribed quality assurance requirements and to reflect (for example) instructional responsibilities. However, compelling reasons will be expected to be presented in proposals to exceed the above ratios or to override the espoused principles.
- f. Appointments such as Warrant Officer of the Navy (WoN) or Marae Manager will not be included in efforts to achieve the stated desirable ratios.

4.3.65 - 4.3.69 Not Allocated

*Section 7 - RNZN PERSTATE System***4.3.70 General**

- a. The RNZN PERSTATE System is an operational-level tool, the purpose of which is to rationally assign capability-led crewing requirements and to prioritise the distribution of personnel according to changing organisational requirements. Its primary uses are to continuously adjust crewing demands according to prevailing capability and sustainability requirements and to prioritise force element crewing and support organisation staffing. The system will have particular utility for periods when there are insufficient personnel to meet Navy's total capability and overhead sustainability requirements. Normally, high-level intervention will occur no more frequently than is necessary to set the broad priorities (that is, six-monthly determinations for the period six to 18 months out) and that the normal interactions that currently occur between career management and commanding officers will continue in managing the details of implementation.
- b. The RNZN PERSTATE System provides the following functions:
 - (1) it signifies the current capability-based, short-term and longer-term personnel requirements and priorities as determined by senior leaders;
 - (2) it is a formal and authoritative guide for the ACN(P&T) and CNOCM staff in their decision-making for the posting of ratings and officers;
 - (3) it provides crewing targets for performance measurement reporting, based on substantive and current capability-based requirements; and
 - (4) by matching personnel demand to capability, it provides a defensible and fundamental basis for applying a platform-based approach to future Workforce Planning models for Navy's strategic personnel planning.
- c. Changes to Unit PERSTATE (UPS) levels will have no effect on approved overall RNZN personnel levels.

4.3.71 The RNZN PERSTATE System Concept

PERSTATEs are five 'personnel states', being levels at which crewing of ships and staffing of shore-based sub-units can be set by the senior leadership. The levels reflect escalating or diminishing degrees of required preparedness, or capability. The PERSTATE levels are consistent with (but are not the same as) the NZDF required Levels of Capability (LOC). Simple one-word descriptors for the levels are as follows:

- (1) Unit PERSTATE Level One (UPS1) = **Enhanced**, (consistent with OLOC);
- (2) Unit PERSTATE Level Two (UPS2) = **Normal** (consistent with DLOC);
- (3) Unit PERSTATE UPS Level Three (UPS3) = **Reduced** (consistent with a reduced DLOC);
- (4) Unit PERSTATE UPS Level Four (UPS4) = **Minimum** (consistent with BLOC); and
- (5) Unit PERSTATE UPS Level Five (UPS5) = **Non-operational** (consistent with NLOC).

4.3.72 Management of the PERSTATE Specification (PERSPEC)

PERSTATE Specification (PERSPEC). The table at "[Annex 3-J. Perstate Specifications \(PERSPECS\)](#)" elaborates the broad concept that defines the PERSPEC levels. Collectively, these level descriptors are the enduring PERSPEC. The PERSPEC is used to describe unit capability and from this, each Established Post (EP) within that unit is either 'turned on' or 'turned off' according to whether that post is necessary to provide the specified level of capability. This process of identifying the capability provided by individual EP is known as Post PERSTATE (PPS) Allocation. The PERSPEC is to be maintained on behalf of the CN by the ACN(P&T) where it will be used, additionally, to moderate NAVEST changes.

4.3.73 Management of Post PERSTATEs (PPS) Allocations

- a. **Post PERSTATE (PPS) Allocations.** The PERSPEC definitions are to be applied to every EP for the allocation of PPS. The outcome of this is that every EP within a unit is to have its PPS allocations loaded into the NAVEST.
- b. **Posts 'Turned On' and 'Turned Off'.** The PPS allocations detail the EP that are to be filled for a given UPS (these posts are to be referred to as 'Turned On') and those that are to be left unfilled at the UPS (or posts that are 'Turned Off'). For example, a post that is turned on (that is, must be filled) in UPS1 and UPS2, might be turned off (that is, supernumerary) for UPS3, 4 and 5. In the NAVEST tables, that post's PPS will thus be allocated as 'Yes' for UPS1 and 2 only and allocated as 'No' for UPS3, 4 and 5.
- c. **Posting Personnel to Non-allocated EP.** Personnel are not to be posted to non-allocated EP (posts that are turned off).
- d. **PPS Allocation Changes.** Proposals for PPS Allocation changes are to be raised using the NAVEST Change Process.

4.3.74 Management of Unit PERSTATEs (UPS) Assignments and Posting Priorities

- a. **Unit PERSTATEs (UPS) Assignment.** There are five UPS levels (UPS 1 - 5). The definitions for each UPS level are within the PERSPEC at Annex J. At each UPS level there are different collective definitions, for Force Elements (FE) as entire units, and for headquarters, logistics, support and training functions (within the Shore Establishments) also at unit level. All FE and Shore Establishments/Functional Units will be at separately assigned UPS, the priorities being ordered according to expected outputs, taskings and sustainability requirements.
- b. A change in UPS assignment is a change in crewing states and, *ipso facto*, denotes either an increase or decrease in a unit's current or imminently required capability. For example, a ship that is required to work up to a normal level of operations (UPS2) cannot be expected to do so while at UPS4 (minimum crewing). In that example, the ship will normally be assigned to UPS2 to coincide with the unit being appropriately crewed for the commencement of the work-up period.
- c. **Posting Priorities.** Posting priorities will be ordered according to the availability of personnel and the prevailing operational and support requirements. By these means, the senior leadership can readily, systematically, and transparently balance competing needs for the finite pool of available people.
- d. **Key Distinction between UPS and Posting Priorities.** The UPS describe the crewing states that units require to meet their current capability requirements. The UPS numbering system does not denote posting priorities. Posting priorities are to be set according to mission or tasking importance and promulgated concurrently with UPS determinations.
- e. For example: An IPV could be at UPS2 (reflecting its capability requirements when in a rotation of coastal patrolling duties) while at the same time an OPV could be at UPS3 (reflecting its capability for safe, unthreatened passage) but tasked to carry out a diplomatic cruise of the Pacific Islands. In this type of scenario, the OPV at UPS3 could have a higher posting priority than the IPV at UPS2.
- f. **Authority for Changes to UPS Assignments and/or Posting Priorities.** Changes to UPS Assignments and/or Posting Priorities are to only occur on authority of the ACN(P&T).
- g. **Mission-related UPS Variances.** UPS assignments may be modified by specification of mission-related UPS variances to that described for the default UPS in the NAVEST, that is, either more posts than are required to be filled (to be known as **UPS Increments**) or fewer posts than are required to be filled (to be known as **UPS Decrements**). As examples:
 - (1) **UPS Increment Example.** For a ship assigned at UPS3 (Reduced) the MCC might, for mission-related reasons, require the UPS to be augmented by a number of posts to be filled to provided extra force protection duties (UPS increments). In this case, the MCC will request that the CN delegate (ACN(P&T)) assign UPS3 and to specify the extra

paralines required to be turned on for that purpose.

- (2) **UPS Decrement Example.** For a ship assigned at UPS2 (Normal) the MCC might accept a risk to operate without a Communications Analysis capability. In this case, the MCC will request that the CN delegate (ACN(P&T)) assign UPS2 and specify the paralines that are not required to be filled (the UPS decrements).
- h. **Determination of UPS and Posting Priorities.** UPS and Posting Priorities are to be determined semi-annually at NLB meetings as a standard agenda item. To ensure these UPS and Posting Priorities determinations are adequately informed, they are to be scheduled to occur at NLB meetings that follow those that consider the RNZN Risk Matrices. Any subsequently required modifications to UPS and/or Posting Priorities to accommodate faster-changing business requirements may occur as follows:
- (1) for changing an entire unit or sub-unit's UPS and/or Posting Priority, at intervening NLB meetings as a formal agenda item; and
- (2) for mission-related variances to existing or forecast UPS, on application through the DCN or the MCC (as relevant) to the CN delegate, the ACN(P&T).
- i. **Promulgation of UPS Assignments and Posting Priorities.** The ACN(P&T) is to direct and promulgate the current and forecast UPS assignments and Posting Priorities as a link on the Navy Website/Current Operations/Operations - FAMT. Short-notice changes, usually providing at least three months' notice of a change to any UPS, UPS Variance and/or Posting Priority, are also to be promulgated by the ACN(P&T) on the NavyWeb, FAMT link.

4.3.75 Management of PERSTATE Implementation

- a. **PERSTATE Implementation.** Once UPS Levels have been assigned for set periods, the ACN(P&T) is to effect PERSTATE Implementation. PERSTATE Implementation involves setting the assigned UPS in the NAVEST (a ACN(P&T) responsibility). These UPS settings can (and normally will) be post-dated. Once set, the NZDF HR information management system functionality will turn on all allocated PPS and turn off all unallocated PPS at the dates specified to reflect the relevant UPS Levels.
- b. **Career Management Planning.** For purposes of career management planning, future UPS settings can be viewed and/or queried to reveal when EP either must be filled, or vacated. These reports will then inform officer career managers and Personnel and Training Commanders in their decision-making on the directed priorities for disposition of available personnel.
- c. **PERSDEFs.** The ACN(P&T) is to maintain the PERSDEF system for both officers and ratings in NZBR 38. The PERSDEF database is to report against the assigned UPS, including any specified increment or decrement variances.
- d. **Baseline Establishment (BASEST).** The BASEST represents all established positions within the RNZN that are required for the delivery of normal outputs. Accordingly, for all EP within the NAVEST, the BASEST is synonymous with UPS2 being assigned.
- e. **Career Management Priorities.** The ACN(P&T) and CNOCM are to continually prioritise ship crewing and shore staffing according to the currently assigned and forecast UPS, posting priorities and allocated PPS.
- f. **Career Management Requirements.** The following career management requirements are continually to be met:
- (1) all EP that are turned on are to be filled with personnel of the designated rank, branch and trade; and
- (2) all EP that are turned off are to be vacated.

4.3.76 - 4.3.79 Not Allocated

Section 8 - RNZN Critical Personnel List System

References:

- A. IMO Assembly Resolution A.1047(27) dated 30 Nov 11 (Principles of Minimum Safe Manning)
- B. RNZN Minimum Manning Certificates dated 16 Jul 14

4.3.80 Introduction

- a. The objectives of Ref A are *“to ensure a ship is sufficiently, effectively and efficiently crewed to provide safety and security of the ship, safe navigation and operations at sea, safe operations in port, prevention of human injury or loss of life, the avoidance of damage to the marine environment and to property, and to ensure the welfare and health of seafarers through avoidance of fatigue”*.
- b. The RNZN PERSTATE system described in Section 7 is an operational level tool, the purpose of which is to rationally assign capability led crewing requirements and to prioritise the distribution of personnel according to changing organisational requirements. Its primary uses are to continuously adjust crewing demands according to prevailing capability and sustainability requirements and to prioritise force element crewing and support organisational staffing demands. Due to its operational and organisationally specific requirements, the PERSTATE system allows for sustainability, increasingly complex operations and ship survival after damage. Because of this the PERSTATE system is not an efficient method to determine a minimum safe crewing list for RNZN Ships.
- c. To meet the goal based objectives of Ref A the Seaworthiness Authority (SwA) has delegated the development and management of Critical Personnel Lists (CPLs) for each ship to the Maritime Regulator (MARREG). These CPLs have been developed to enable RNZN ships to operate safely in defined scenarios. The CPLs and ship specific scenarios are held onboard the respective ships and by the office of the MARREG. These CPLs supersede the RNZN Minimum Manning Certificates issued at Ref B.

4.3.81 CPL Scenarios

- a. The CPL scenarios were developed to provide context in the development of CPLs for each class of ship in the RNZN.
- b. In broad terms, under CPL crewing a ship could be safely operated at sea for independent, non-operational transit under specific conditions dependent on its class. The ship will be able to provide an immediate response to internal emergencies and conduct emergency maintenance of essential equipment (generally; essential navigation equipment under SOLAS, internal and emergency communications equipment, propulsion, hotel services and emergency response (damage control and life-saving equipment)).

4.3.82 Management of CPLs

- a. The CPL list provides the personnel required by Position Identification (PID) number that must be right rank, right trade, and have the right training (R3) in order for the ship to proceed to sea. As such, posting priority is to be given to all CPL billets.
- b. The CPL scenarios and lists can be found in [“Annex 3-K. CPL Scenarios and List for ANZAC Class”](#), [“Annex 3-L. CPL Scenarios and List for HMNZS AOTEAROA”](#), [“Annex 3-M. CPL Scenarios and List for HMNZS CANTERBURY”](#), [“Annex 3-N. CPL Scenarios and List for HMNZS MANAWANUI”](#), [“Annex 3-O. CPL Scenarios and List for OPV Class”](#) and [“Annex 3-P. CPL Scenarios and List for IPV Class”](#).
- c. When a ship is crewed to a PERSTATE level there may be suitably qualified and experienced personnel (SQEP) in non-CPL positions that can substitute for CPL deficiencies to allow effective internal management of personnel. Commanding Officers (CO) may release CPL personnel for leave, training or other activities as long as there is a person at R3 in a non-CPL position onboard. This may also be done when the non-CPL replacement is the wrong rank as

long as they are fully professionally qualified for the CPL role and the CO has full confidence in their ability to fill it. In these instances MCC, as the Operational SwA (OSwA), is to be advised of the details in unit weekly reports. One CPL role cannot be used to cover for another without a MARREG waiver.

- d. In cases when there is no R3 qualified person in a non-CPL position onboard, but the CO feels the CPL requirement can be met in other ways, a waiver is to be requested through the office of the MARREG by signal. If operational expedience requires it a verbal waiver can be granted by the office of the MARREG or, if appropriate MARREG personnel unavailable, by the OSwA with a retrospective signal following at the first available opportunity.
- e. Within the office of the MARREG the following approval delegations apply:
 - (1) **MARREG Regulatory Leads:** Consider for approval CPL waiver requests where mitigations are available through personnel in non-CPL positions.
 - (2) **MARREG:** Approve or decline all other CPL waiver requests.
- e. The template for the CPL waiver signal is as follows:

To: NZDF MARITIME REGULATOR

Info: AC NAVY PERSONNEL / CFOR AUCKLAND / HQNZDF (NAVY) / MCC JFNZ / Other as required

SICs: CPV/LAV/WAW

Subject: CPL WAIVER REQUEST – [UNIT]

Text:

1. PID XXXXX
2. Position Title
3. Reason for deficiency
4. Waiver request period
5. Mitigation: This must include intended non-CPL PID(s) and position title(s) used to cover CPL position and other proposed mitigations
6. Other Comments

4.3.83 CPL Development and Review

- a. CPL lists for new capabilities are to be developed by the MARREG in consultation with ship CO's.
- b. Once developed, CPL lists are to be reviewed by the MARREG in consultation with ship CO's at least biennially.

4.3.84 Emergency Situations

In an emergency situation (i.e. short notice tsunami), nothing in this section should prevent the CO (or Officer of the Day) from sailing with whoever is available where saving the ship is paramount. The CO (or Officer of the Day) is empowered to make an assessment of the personnel requirements to sail the ship in these circumstances - informing the OSwA at the first available opportunity.

4.3.85 Point of Contact

Information and details regarding the CPLs and scenarios can be obtained from the office of the MARREG (Email: Seaworthiness@nzdf.mil.nz).

4.3.86 - 4.3.99 Not Allocated

Annex 3-A. Glossary of Acronyms and Abbreviated Terms

Term	Short Meaning
AHP	Analytical Hierarchy Process
AMLU	ATLAS Mid-life Upgrade
APS	Average Paid Strength
APSCIV	Average Paid Strength for Civilian Staff positions
APSMIL	Average Paid Strength for Military posts
APSNR	Average Paid Strength for Volunteer Reserve posts
ATLAS	NZDF personnel management information system and databases
BASEST	RNZN Baseline Establishment
Child/Children	An EP or Slot that is subordinate to another EP known as the 'Parent'
CIV	Civilian when applied to EP
CN	Chief of Navy
DLOC	Directed Level of Capability
EEZ	Exclusive Economic Zone
EP	Established Post, or Established Position
FOC	Full Operating Capability
FSU	Frigate Systems Upgrade
HADR	Humanitarian Assistance and Disaster Relief
Heritage ATLAS	ATLAS database prior to AMLU
KEA	Post-AMLU web-enabled user interface
LOSC	Littoral Operations Support Capability
MIL	Military when applied to EP
MRO	Maintenance, Repair and Overhaul
MNEN	Manpower Not Established (Navy)
MNENR	Manpower Not Established (Naval Reserves)
MPE	Master Personnel Establishment
NAVEST	RNZN Personnel Establishment
NAVESTSUM	The sum of all authorised posts and positions in the NAVEST
NGF	Navy Goal Facilitator
NGO	Non-Government Organisation
NLB	Naval Leadership Board
Non-effective Personnel	Service members are non-effective when they are not competent or eligible to occupy an established post. For example, all personnel under initial training and all personnel exercising their right to Parental Leave are non-effective personnel.
NP	Naval Police
NZDF	New Zealand Defence Force

Term	Short Meaning
OLOC	Operational Level of Capability
Orphan	Disengaged 'children' - see Section 3 Article "4.3.22 Unit and Sub-Unit Structures" para 2.
OSM	Office of Strategy Management
OPV	Offshore Patrol Vessel
Parent	An EP that has subordinate EP and/or Slots known as children
Paraline or P/L	Paragraph and Line when applied to EP descriptors
PCPM	Personnel Capability Planning Model
PERSDEF	Personnel Deficiency System - a database held within FPTO and used to monitor and remedy reported personnel gaps that arise.
PERSTATE - PS	Personnel State - five levels of staffing for shore units and sub-units, and for crewing force elements. PS is the acronym for PERSTATE (usually used in combination thus: PPS or UPS). When a UPS is assigned, all PPS with a matching allocation are to be filled.
PERSTATE Allocation - PPS	PPS are fields allocated within each EP according to the requirement for them to be filled for a UPS. PPS is the acronym for Post PERSTATE.
PERSTATE Assignment - UPS	Units and/or sub-units are assigned their PERSTATE or UPS according to the level of personnel required for the mission or role. UPS is the acronym for Unit PERSTATE.
PERSTATE Specification	The narrative descriptors for the five levels that define the PERSTATES. The PERSTATE Specification is administered by ACN(P).
PEST	Political, Economic, Social and Technological
PESTLE	Political, Economic, Social, Technological, Legal and Environment
Position	EP P/L assigned to be filled by civil staff
Post	EP P/L assigned to be filled by military personnel
Post PS - PPS	PERSTATE allocations for an EP
PPM	Portfolio Project Management
PRU	Personnel Required in Uniform
Regeneration Time	Having a distinct break from the work environment. This includes all forms of Leave and may include other forms of break away from the work environment.
RNZN	Royal New Zealand Navy
SAR	Search and Rescue
Slots	P/L assigned to be filled by MNEN or MNENR
SMP	Strategic Management Process
SPMP	Strategic, Planning and Management Process
SQEP	Suitably Qualified and Experienced Personnel
SWOT	Strengths, Weaknesses, Opportunities and Threats

Term	Short Meaning
Unit PS - UPS	PERSTATE assigned for a Unit
VR	RNZNVR when applied to EP

Annex 3-B. Principles and Protocols for Paraline Alpha-Numeric Codification**Paraline Nomenclatures for Established Posts and Positions**

1. Under Heritage ATLAS, the alphabetic segment of the alpha-numeric P/L is restricted to eight characters, but this will increase under KEA. The principles and protocols for paraline alpha-numeric codification for EP are detailed below.
2. **Established Posts.** Unit Designator (indicates Command Chain) - The first three letters of the P/L are to be the authorised three-letter unit designators for the unit to which the post belongs (for example, PHL for HMNZS PHILOMEL and TEM for HMNZS TE MANA), **followed by either** for shore establishments:
 - a. Functional Area Designator as follows:
 - (1) BASE for those EP that report through the Base Commander (thus PHLBASE);
 - (2) FPT for those EP that report through CFPT (thus PHLFPT);
 - (3) FSO for those EP that report through CFS (thus PHLFSO);
 - (4) FSC for those EP that report through the FC(N) (thus PHLFSC); or
 - (5) HOSP for those EP that report through the GMNH (thus PHLHOSP).
 - b. Sub-unit Area Designators as follows:
 - (1) C for those HQNAVY EP that report through ACN(Cap) (thus HQNAVYC);
 - (2) P for those HQNAVY EP that report through ACN(P) (thus HQNAVYP); or
 - (3) X (Extra or Executive) (X) for:
 - (a) those HQNAVY EP that do not report through ACN(Cap) or ACN(P) (thus HQNAVYX), and
 - (b) those PHL EP that do not report through the Base Commander, CFPT, CFS, FC(N) or GMNH.

or for HMNZ Ships and other Force Elements:

 - c. Department Designator (sub-units for ships) as follows:
 - (1) Operations (thus TEMO);
 - (2) Support (thus TEMS);
 - (3) Technical (thus TEMT); or
 - (4) Extra (or executive) (X) for any slots not belonging to O, S or T (thus TEMX)

and followed by:

 - d. where appropriate and to improve clarity, further descriptive identifiers with the use of sub-units may be added when the ability to use more than eight characters becomes available. For example:
 - (1) PHLFSO > SCG > CMD > WS - for HMNZS PHILOMEL, Fleet Support functional area, Supply Chain Group, Commercial Management Dept, Warehouse Section; or
 - (2) TEM > TEMT > WE > Radar - for HMNZS TE MANA, Technical department, Weapon Engineering sub-Unit, Radar Section (or sub-sub-sub-Unit).

Paraline Codification for Non-established Slots

3. **General.** Personnel not posted to EP are to be posted to unique MNEN P/L that are to be provided in all units. The only exceptions to this are described at paragraphs 5 and 6 below.

4. **Type 'E' Single-incumbent P/L.** MNE slots are to be created within all unit establishments. Slots are to be created using the MNE screens within Atlas/KEA and within the unit the slot is to be associated. The future functionalities of developing corporate applications arising from AMLU require MNE slots to be created as type E slots (single incumbent). The management and coordination of slots entails a consistent and standard approach across all branches, for officers and ratings. MNE slots are to be located within MNE sub-units (or lower) as follows:
 - a. For Support Units, sub-units etc - as described at ["Appendix 1 to Annex 3-B. MNEN Slots Alphabetic Codification for Support Units"](#).
 - b. For Fleet Units, sub-units etc - as described at ["Appendix 2 to Annex 3-B. MNEN Slots Alphabetic Codification for Force Units"](#).
 - c. The scheme for paraline numbering that allows logical grouping according to branch and trade¹ is provided (["Appendix 3 to Annex 3-B. MNEN Paraline Numbering Scheme"](#))².
5. **Type 'H' MNEN Multi-incumbent P/L.** The only MNEN type 'H' slots (that is, multi-incumbent) P/L for Navy personnel are to be (and are to be codified) as follows:
 - a. **80000.** Post Short Name followed by 80000 (for example, PHLFS|80000, or TEM|80000). These P/Ls are retained as a corporate applications requirement of the ATLAS database. It is intended that these P/L may be removed in due course under the AMLU initiatives.
 - b. **81000.** Post Short Name followed by 81000 (for example, PHLFS|81000, or TEM|81000). These P/Ls are for purposes of attachments to units³.
6. **The MNEN Unit.** The Short Post Name 'MNEN' that is used as a unit designator for 'Manpower Not Established Navy' is to remain. It is to be used only for personnel who are to be posted where no NZDF EP exists. For example, personnel posted to Antarctica (MNEN|60009) or to detention at SCE (MNEN|17503). The use of the MNEN Unit for internal to RNZN posting is to cease.

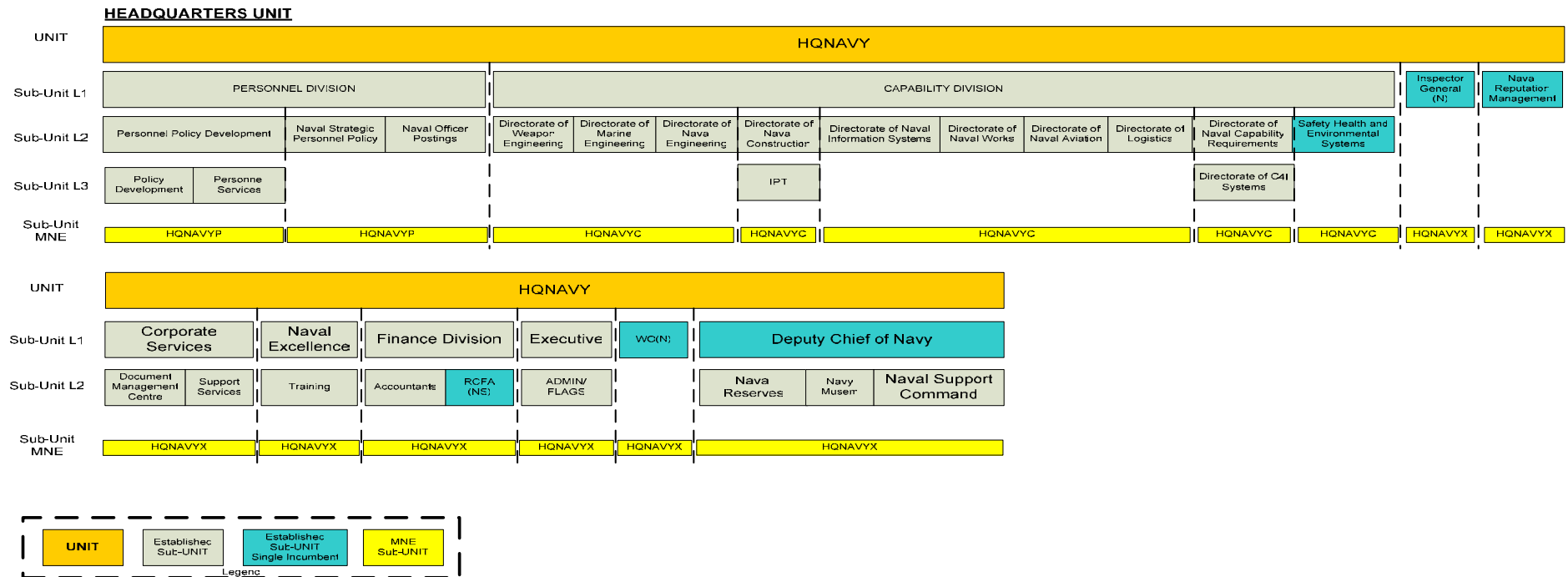
1. Grouping of MNE slots will allow simpler search capability within KEA.

2. Further sub-grouping may be directed or approved by ACN(P&T) as 'Technical' NAVEST changes, ensuring 'Cost Centres' and 'Reports To' fields are aligned.

3. See ATLAS user guide.

Appendix 1 to Annex 3-B. MNEN Slots Alphabetic Codification for Support Units

- The sub-unit structure of the RNZN is dynamic and alters to meet the current needs at the time and requires approval at the correct level to be changed. This iteration (provided for indicative purposes only) was compiled from a survey conducted Aug 06 and is therefore only a snapshot of the organisation at that time - it is not intended to maintain its currency. The current structure is contained within the Atlas sub-unit information which is the recording mechanism for all establishment changes.



RNZN SUPPORT SERVICES UNIT

UNIT	PHLBASE																		
Sub-Unit L1	Base Services												Bridge Simulator Facility	Executive					
Sub-Unit L2	NSC Legal	Base Administration			Fleet Sports			APM(N)	Movements	Base Land and Facilities Services				NPRC		Secretariat	NSSFAM FA		
Sub-Unit L3	Watch-bills	PHL Boats	Quarter-masters	Fleet Gymnasium	Fleet Pool & Court Complex	Adventure Training Centre	Fleet Naval Police		Cleaning Services Pool	Accommodation Services	Maintenance Coordination	Base Emergency Services	Technical Division	Non-Technical Division					
Sub-Unit L4						Sail Training Craft		Some aspects to be Part of JLSO											
Sub-Unit MNE	PHLNSS	PHLNSS		PHLNSS		PHLNSS	PHLNSS	PHLNSS				PHLNSS		PHLNSS	PHLBASEX				
												PHLNPRCT	PHLNPRCO	PHLNPRCS					
UNIT	PHLBASE																		
Sub-Unit L1	Base Services												Chaplaincy						
Sub-Unit L2	Base Supply Department																		
Sub-Unit L3	Fleet Hospitality Support Services				Fleet Catering Services				Naval Personnel Services (NAVPAC)										
Sub-Unit L4	Mess Management Services SRFM/JRFCNSC	NPF Administration	Wardroom Mess	Bar Services Pool	Galley Wardroom	Galley OTS	Galley NES	Galley Main	Mail & Distribution Services	Customer Services Unit									
Sub-Unit L5									Customer Services 1			Customer Services 2							
Sub-Unit L6									Overseas Pay	Operations Pay & Processing	Support Pay & Processing	Technical Pay & Processing	Release Section	Fleet Processing	Training Admin	Registry Services	Internal Control		
Sub-Unit MNE	PHLNSS					PHLNSS													
UNIT	PHLBASE																		
Sub-Unit L1	Corporate Services																		
Sub-Unit L2	Naval Security Department			Events & Visits		Directorate of Music		Naval Community Organisation				Base Communications Organisation							
Sub-Unit L3	Naval Security Guards	Kauri Pt Naval Security Guards	Security Clearance	Naval Photographic Section	Marae	RNZN Band	Social Workers	Naval Information Bureau	Base Library	Amenities Services	Housing	Community Coordination	Naval Communication Station Auckland			Base Communication Engineering	Naval Classified Distribution Organisation		
Sub-Unit L4													Alpha Watch	Bravo Watch	Charlie Watch	Delta Watch	Standby Watch	Telephone Exchange	Naval Communication Station Irirangi
Sub-Unit MNE	PHLNSS			PHLNSS		PHLNSS	PHLNSS				PHLNSS				PHLNSS	PHLNSS			

RNZN FLEET SUPPORT UNIT(FORCE ELEMENTS)

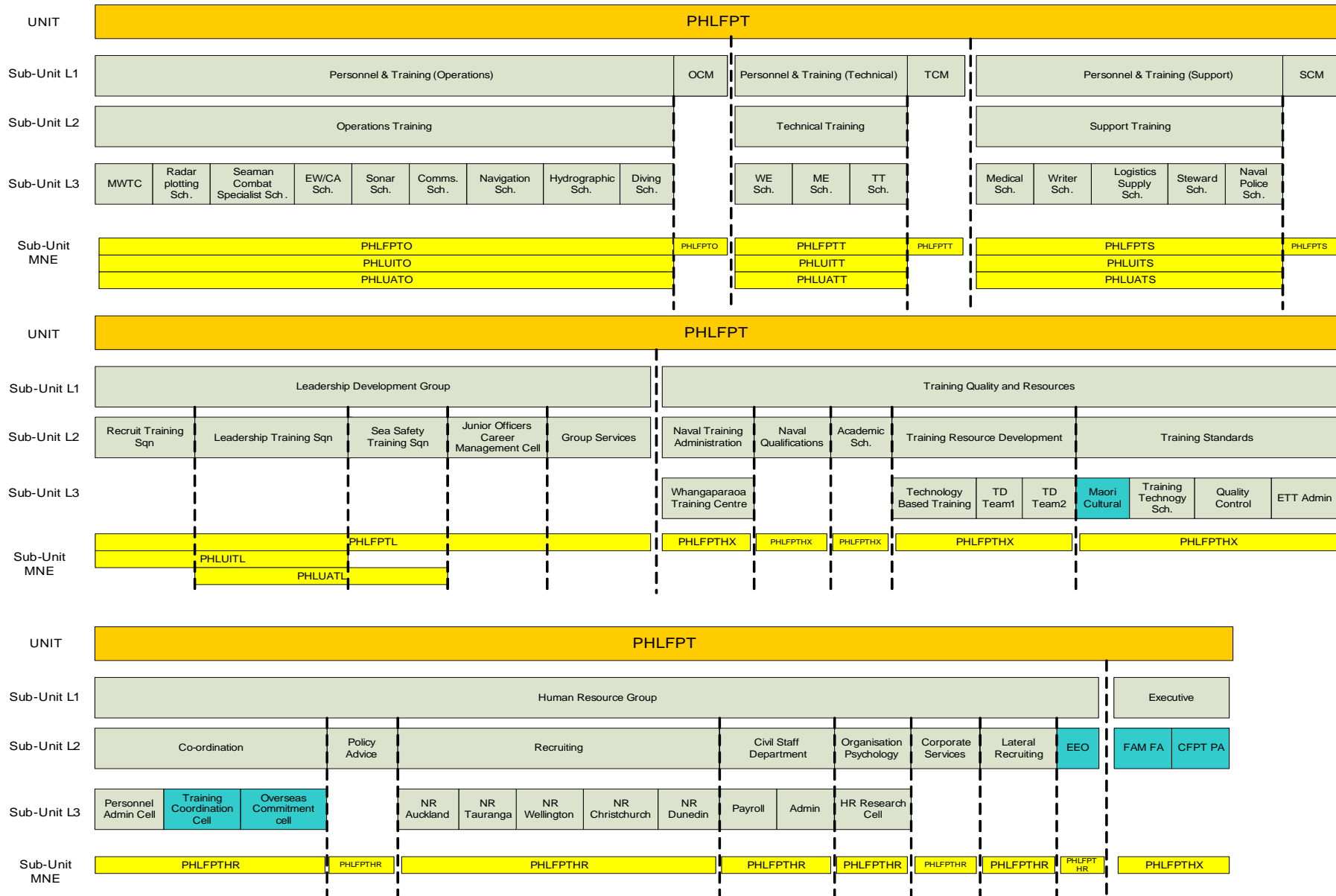
UNIT	PHLFS																					
Sub-Unit L1	Fleet Weapon Engineering Group									Fleet Marine Engineering Group			Fleet Integrated Logistic Support		VTF (DyD)	FEC Quality Assurance	Executive		Navy Occupational Safety & Health			
Sub-Unit L2	Comm. Information Systems Support		Combat System Support		FWE Change (Technical Development)		Test Evaluation Quality	RTT	C4I Test Cell	ANZAC Combat System	NIS	Base Eng.	PSE	HSE	CIAO	AMPS	FMMO	BSM	Port Services	FSBIM	FA (Log)	CFS PA
Sub-Unit L3	Fleet Weapons (CEW)	Fleet Weapons (IS)	Fleet Weapons (AI)	Fleet Weapons (W)																		
Sub-Unit MNE	PHLFSFEC		PHLFSFEC		PHLFSFEC							PHLFSFEC			PHLFSFEC		PHLFSFEC	PHLFSFEC	PHLFSX			

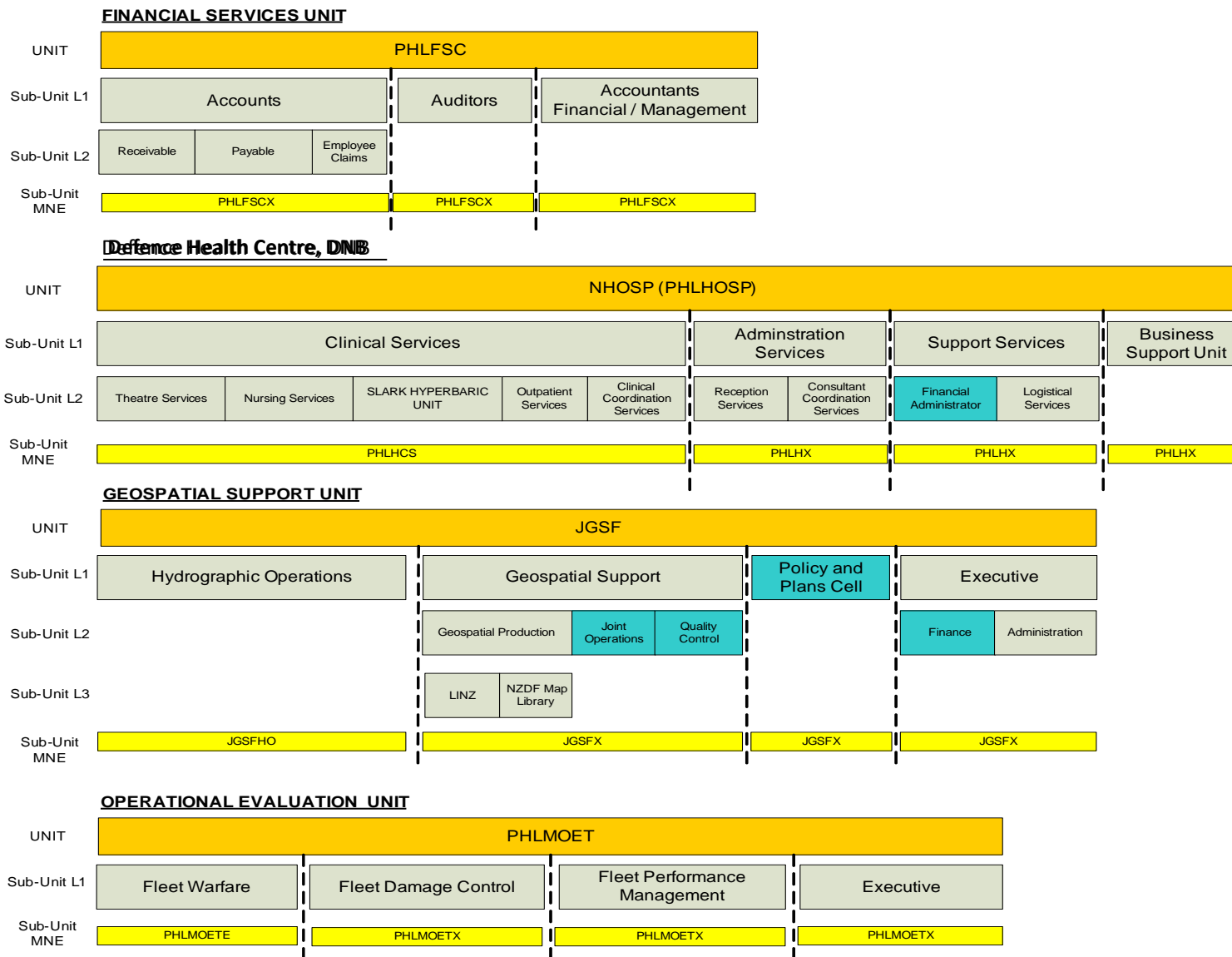
UNIT	PHLFS																			
Sub-Unit L1	Fleet Repair Group									RNZNAD					Directorate of Naval Medicine		Australian Defence College	Select Project and Training Posts		
Sub-Unit L2	SPEC Section	SG1	SG2	Ship Repair Unit							Weapons Maint.	Armament Supply	Technical Services	Explosives	Admin.	Ship Support	Medical Training	Medical Trade Admin		
Sub-Unit L3				SPSM	D/GSPM	Mach. Shp	Welding Shp	Refrid. Shp	Electrical Shp	AI Sys Maint	CEW Sys. Maint.	Carpentry Shp	Sign Writer Shp	WE Trg Slots						
Sub-Unit MNE	PHLFSFEC			PHLFSFEC							PHLFSNAD					PHLFSMED				

(Sub-Units Reporting to CFPT)

UNIT	PHLFS																	
Sub-Unit L1	SC (NSD)							CLFG				Resident Naval Officers		MCM Office (Staff Officer) (HQJFNZ)	Operational Diving Team			
Sub-Unit L2	Inventory Management		Corp. Services		Commercial Management		FLST	Codification & Tech. Support	Environmental	Construction Engineering	Facilities Maintenance	Facilities Management	RNO Christchurch	RNO Dunedin	EOD Team	IEDD Team	MCM/ROV Team	ADMIN Team
Sub-Unit L3	TLIM1	TLIM2	Ship Support Team	PUB. Team	Transport Team	Clothing Team	Warehouse Team	To be Part of JLSO					(Sub-Units Reporting to DCN)		(Sub-Units Reporting to MCC or MA to MCC)			
Sub-Unit MNE	PHLFSNSD		PHLFSNSD		PHLFSNSD		PHLFSNSD		PHLFSLG				PHLFSOP		PHLFSOP			

RNZN PERSONNEL AND TRAINING UNIT





Unit to Sub-Unit Table Description

Unit	MNE Sub-Unit	Description	Purpose	P/L Group
PHLFPT	PHLFPTHX	Additional to Established Post/Position		
	PHLFPTHHR	Additional to Established Post/Position (HR Specific)		
	PHLFPTL	Additional to Established Post/Position (LDG Specific)		
	PHLFPTO	Additional to Established Post/Position (OPS Specific)		
	PHLFPTS	Additional to Established Post/Position (SUP Specific)		
	PHLFPTT	Additional to Established Post/Position (TECH Specific)		
	PHLUITL	Under Initial Training Leadership	BCT, JOT	XX000 – XX099
	PHLUITO	Under Initial Training OPS	BBT	5X100 – 5X199
	PHLUITS	Under Initial Training SUP	BBT	6X100 – 6X199
	PHLUITT	Under Initial Training TECH	BBT	7X100 – 7X199
	PHLUATL	Under Advanced Training Leadership	SSTS, LTS	XX500 – XX599
	PHLUATO	Under Advanced Training OPS	Branch Trg	5X600 – 5X699
	PHLUATS	Under Advanced Training SUP	Branch Trg	6X600 – 6X699
	PHLUATT	Under Advanced Training TECH	Branch Trg	7X600 – 7X699
HQNAVY	HQNAVYP	Additional to Established Post/Position (Pers Specific)		
	HQNAVYC	Additional to Established Post/Position (Cap Specific)		
	HQNAVYX	Additional to Established Post/Position		
PHLFS	PHLFSFEC	Additional to Established Post/Position (FEC Specific)		
	PHLFSRU	Additional to Established Post/Position (SRU Specific)		

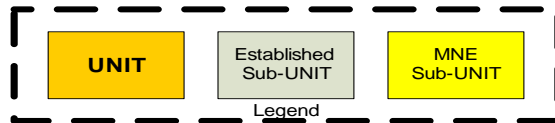
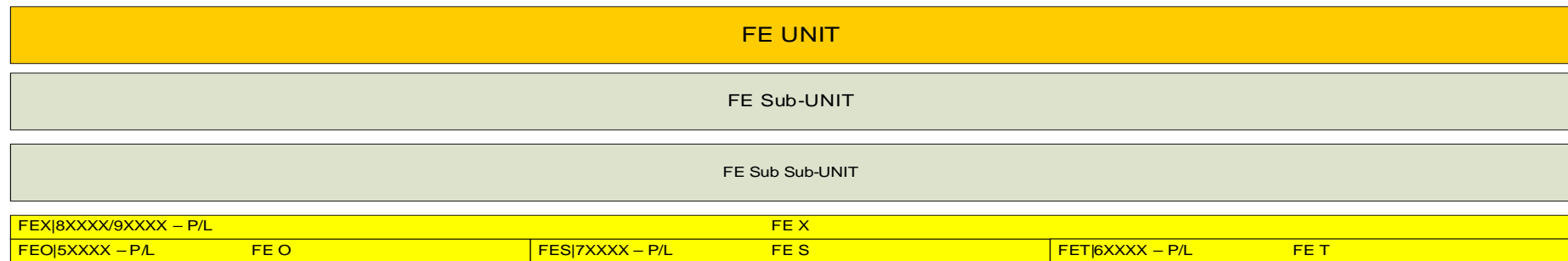
Unit	MNE Sub-Unit	Description	Purpose	P/L Group
	PHLFSNAD	Additional to Established Post/Position (NAD Specific)		
	PHLFSNSD	Additional to Established Post/Position (NSD Specific)		
	PHLFSOP	Additional to Established Post/Position (FE Specific)	MCM, ODT	
	PHLMED	Additional to Established Post/Position (DOM Specific)		
	PHLFSX	Additional to Established Post/Position		
PHLBASE	PHLNSS	Additional to Established Post/Position (NSS Specific)	Support Svcs Specific	
	PHLNPRCO	Additional to Established Post/Position (NPRC Specific)	OPS Branch	5X600 – 5X699
	PHLNPRCS	Additional to Established Post/Position (NPRC Specific)	SUP Branch	6X600 – 6X699
	PHLNPRCT	Additional to Established Post/Position (NPRC Specific)	TECH Branch	7X600 – 7X699
	PHLBASEX	Additional to Established Post/Position		
PHLFSC	PHLFSCX	Additional to Established Post/Position		
NHOSP	PHLHCS	Additional to Established Post/Position (CS Specific)	Clinical Services	
	PHLHX	Additional to Established Post/Position		
PHLMTG	PHLMTGE	Additional to Established Post/Position (FW Specific)	Fleet Warfare	
	PHLMTGX	Additional to Established Post/Position		
JGSF	JGSFHO	Additional to Established Post/Position (HO Specific)	Hydrographic Ops	
	JGSFX	Additional to Established Post/Position		

Appendix 2 to Annex 3-B. MNEN Slots Alphabetic Codification for Force Units

- The sub-unit structure of the RNZN is dynamic and alters to meet the current needs at the time and requires approval at the correct level to be changed. The Force Element (FE) iteration (provided for indicative purposes only) is a generic structure to be applied across all FEs and is therefore only a model on which to initiate a starting baseline of the organisation. The current structure of established FEs is contained within the Atlas sub-unit information which is the recording mechanism for all establishment changes.

Thursday, December 07, 2006

FORCE ELEMENT MNE SUB-UNIT ORGANISATION



UNIT	MNE Sub-Unit	Description	Purpose	P/L Group
FE	FEO	Additional to Established Post/Position (OPs Specific)	OPs Branch	5XXXX
	FES	Additional to Established Post/Position (SUP Specific)	SUP Branch	7XXXX
	FET	Additional to Established Post/Position (TECH Specific)	TECH Branch	6XXXX
	FEX	Additional to Established Post/Position		8XXXX/9XXXX

Appendix 3 to Annex 3-B. MNEN Paraline Numbering Scheme

			P/L #					
BRANCH		TRADE	B	T	S	#	#	Description
OPs	5	Other	5	0	X	X	X	Army/RNZAF/etc
		HSO/HST	5	1	X	X	X	Hydrography
		DVR	5	2	X	X	X	Diving
		COMMS	5	3	X	X	X	Communications/CO/Radio/Signals
		CA/EW	5	4	X	X	X	Comms Analyst / Electronic Warfare
		Officer	5	5	X	X	X	
		CSS	5	6	X	X	X	Radar/Sonar/
		SCS	5	7	X	X	X	Gunnery/Seaman
			5	8	X	X	X	
		HCM	5	9	X	X	X	Helicopter Crewman
TECH	6	Other	6	0	X	X	X	Army/RNZAF/etc
		ME	6	1	X	X	X	Marine Engineering
		WE	6	2	X	X	X	Weapon Engineering
		Officer	6	5	X	X	X	
SUPP	7	Other	7	0	X	X	X	Army/RNZAF/etc
		WTR	7	1	X	X	X	Writer
		SA	7	2	X	X	X	Stores
		CHEF	7	3	X	X	X	Chef
		STD	7	4	X	X	X	Steward
		Officer	7	5	X	X	X	
		PTI	7	6	X	X	X	Physical training
		MED	7	7	X	X	X	Medical/Dental
		NP	7	8	X	X	X	Naval Police/Regulating
		BAND	7	9	X	X	X	Band

			P/L #					
BRANCH		TRADE	B	T	S	#	#	Description
ANY	8		8	0	0	0	0	Awaiting P/L (current multi-incumbent)
			8	1	0	0	0	Attachment P/L (current multi-incumbent)
		Exec.	8	2	X	X	X	Executive functions
			8	3	X	X	X	Awaiting release (PHLBASE)
		Other	8	4	X	X	X	Army/RNZAF/etc
		Officer	8	5	X	X	X	
		Inspec.	8	6	X	X	X	Staff Visit/MOET/Evaluation
Project			9	7	5	X	X	Project Slots
Capability			9	7	6	X	X	Short-term Capability

Examples:

UNIT\SUBUNIT P/L #	Branch	Trade	Sect./ SubTrade	Number	Number	
						Additional PTI Posted/Attached to HMNZS TE KAHA
TEK\TEKS	7	6	X	X	X	Example of a P/L Number for - TEK\TEKS
						(MNE PTI on HMNZS TE KAHA)
						A person is posted (fm Fleet) to a course at a Tech School (ME)
PHLFPT\PHLUATT	6	1	X	X	X	Example of a P/L Number for - PHLFPT\PHLUATT
						A person joins for Initial Rating Training (a communicator)

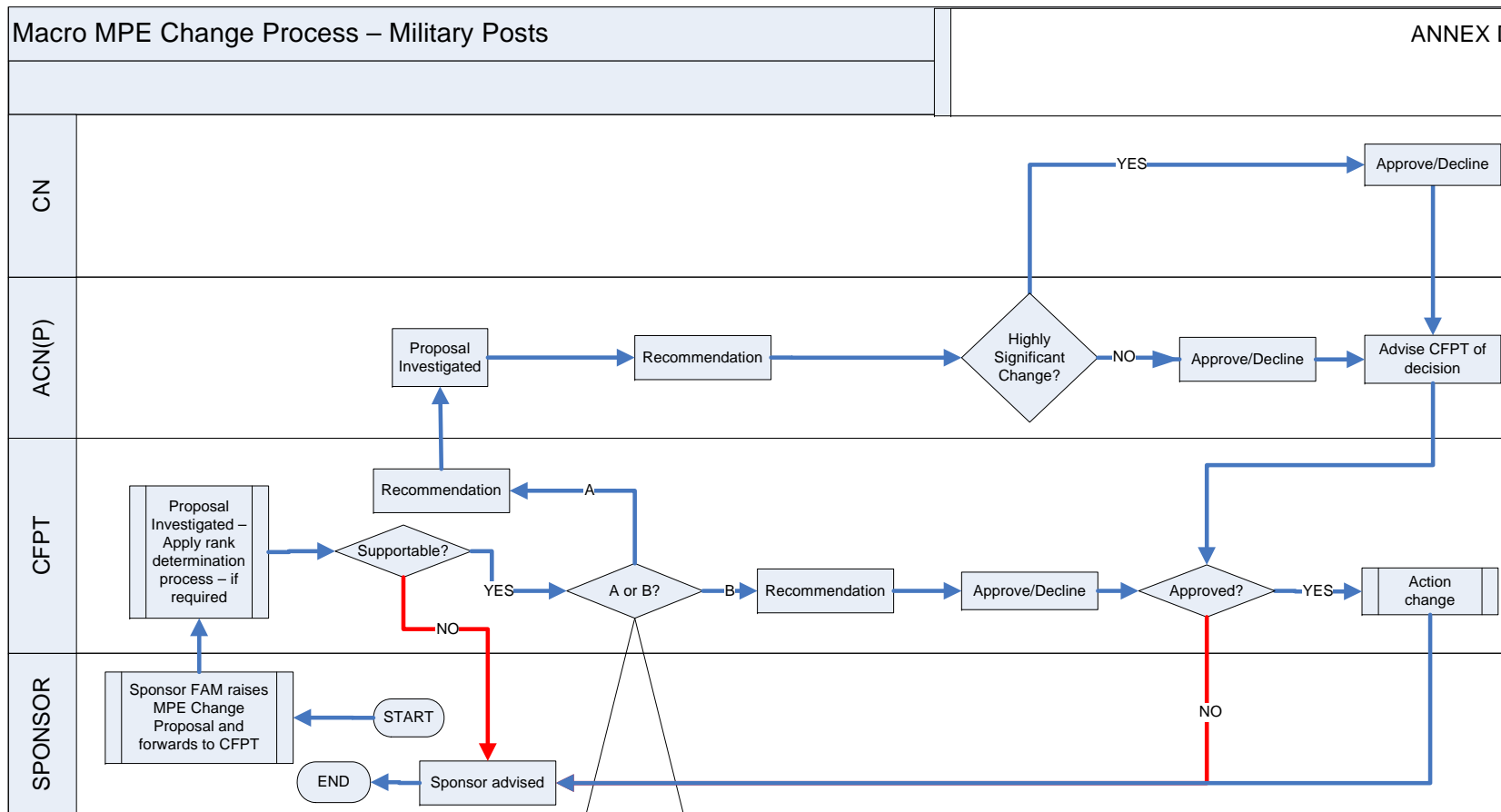
UNIT\SUBUNIT P/L #	Branch	Trade	Sect./ SubTrade	Number	Number	
PHLFPT\PHLUITL 	5	4	X	X	X	Example of a P/L Number for - PHLFPT\PHLUITL
						A person posts for BBT Training (a Chef)
PHLFPT\PHLUITS 	7	3	X	X	X	Example of a P/L Number for - PHLFPT\PHLUITS
						A person is sent for non specific short term capability to ENVR
ENVR\ENVRX 	9	7	6	X	X	Example of a P/L Number for - ENVR\ENVRX
						A person is sent for a specific personnel project to HQNAVY
HQNAVY\HQNAVYP	9	7	5	X	X	Example of a P/L Number for - HQNAVY\HQNAVYP
						A person joins for Initial Officer Training (Tech Officer)
PHLFPT\PHLUITL 	6	5	X	X	X	Example of a P/L Number for - PHLFPT\PHLUITL

Annex 3-C. Heritage Atlas Establishment Data Fields

The following data fields are populated for each Unit Post record on the personnel information management system (ATLAS). To facilitate establishment amendment action, all fields that are affected by a proposed change are to be included in the establishment proposal.

Data Field	Description
Unit Post	The identification of the post. It includes the unit name, concatenation, and the five digit paraline number (e.g. PHLBASE 01010).
Post Short Name	A free text field to allow an appropriate short description of the post (e.g. Navigating Officer). Maximum of 15 characters.
Paraline	Full name of the post (e.g. Captain Fleet Personnel and Training). Free text, maximum of 57 characters.
Reporting To	The post's immediate superior, identified by their Unit Post field.
Location	The physical location of this post.
Service	The Service that is responsible for the staffing of the post (required if the Service is not Navy).
Section	The section within the establishment. Free text, maximum of 30 characters (e.g. registry section).
Post Type	Options are MIL, MIL may be CIV, CIV, or CIV may be MIL
Rank	Established rank for military posts.
Alternative Rank	One or more alternative ranks (not normally used).
Established Percent	Allows for full-time (100 per cent) or part-time employment. Assumed to be 100 per cent unless otherwise stated.
Occupational Class	For civilian posts, the salary band from the General Collective Employment Agreement.
Alternative Occupational Class	Alternative salary band.
Count Post	Either Yes or No. Only No when the post is counted on another unit's establishment. (Shadow or supernumerary posts.)
Branch/Corps	The established branch for the post.
Alternative Branch/Corps	One or more alternative branches.
Security Level	The required security level for the established post.
Trade/Spec	The primary trade or specialisation for the established post.
Alternative Trade/Spec	One or more alternative trades/specialisations.
Cost Centre	The cost centre against which salary and allowances will be charged.

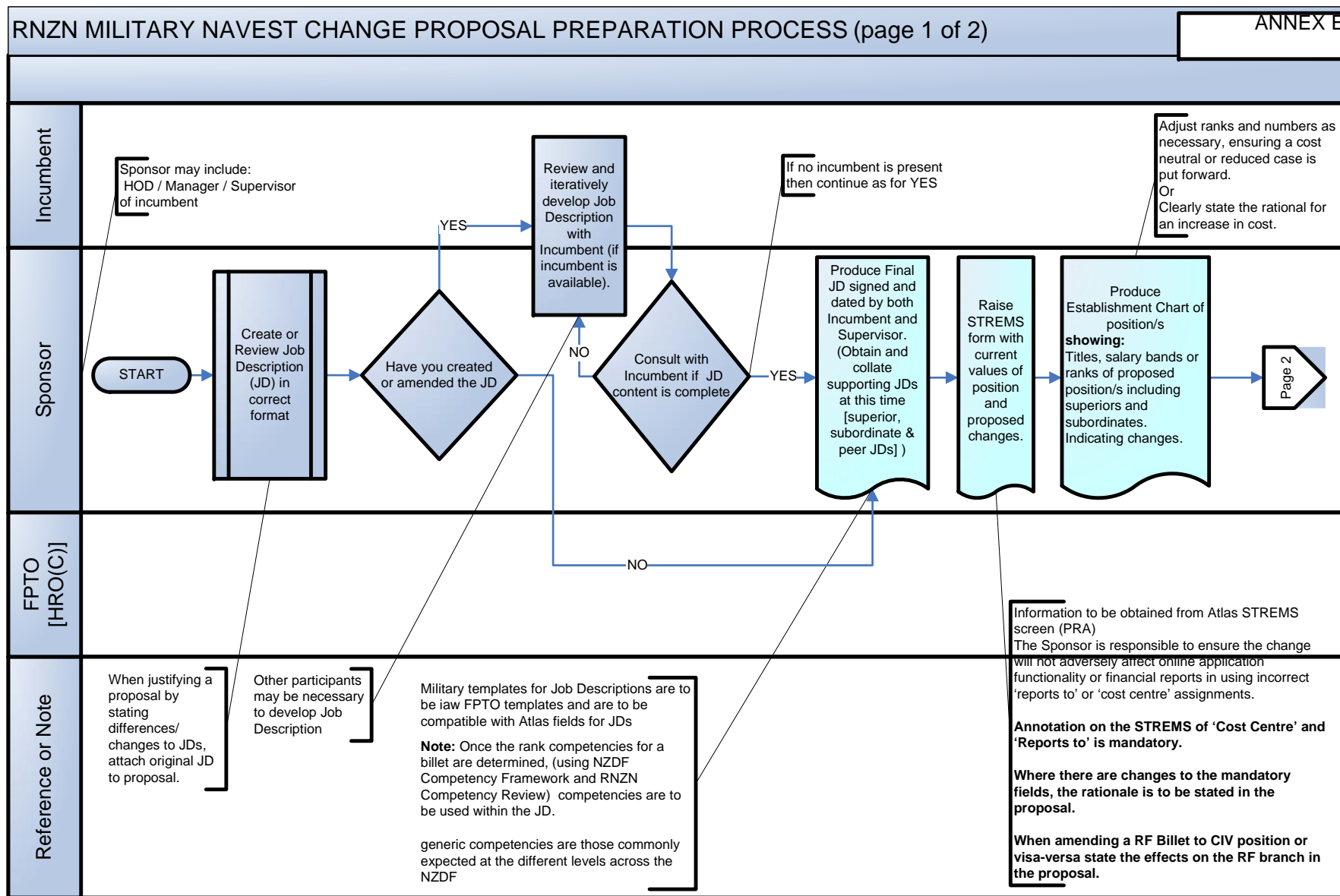
Annex 3-D. Military Posts Established Change Macro Process

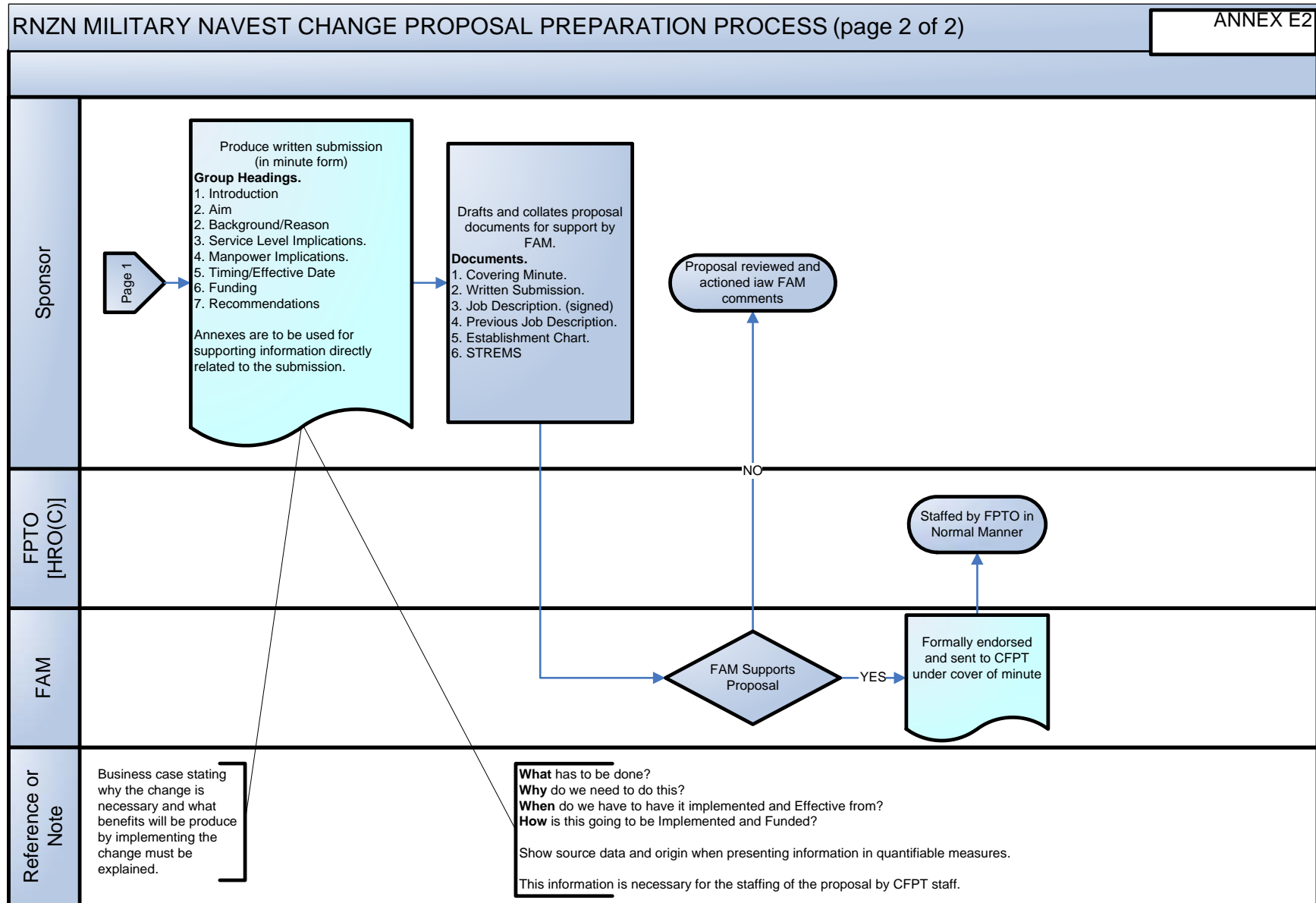


- A: Nature of Change Proposal - SIGNIFICANT:**
- ∟ Officer or WO post
 - ∟ Add/delete P/Ls
 - ∟ Rank
 - ∟ Post Type
 - ∟ Trade
 - ∟ JVF/SJVF
 - ∟ CIV Salary Band
 - ∟ Beyond current limits of budgetary delegation

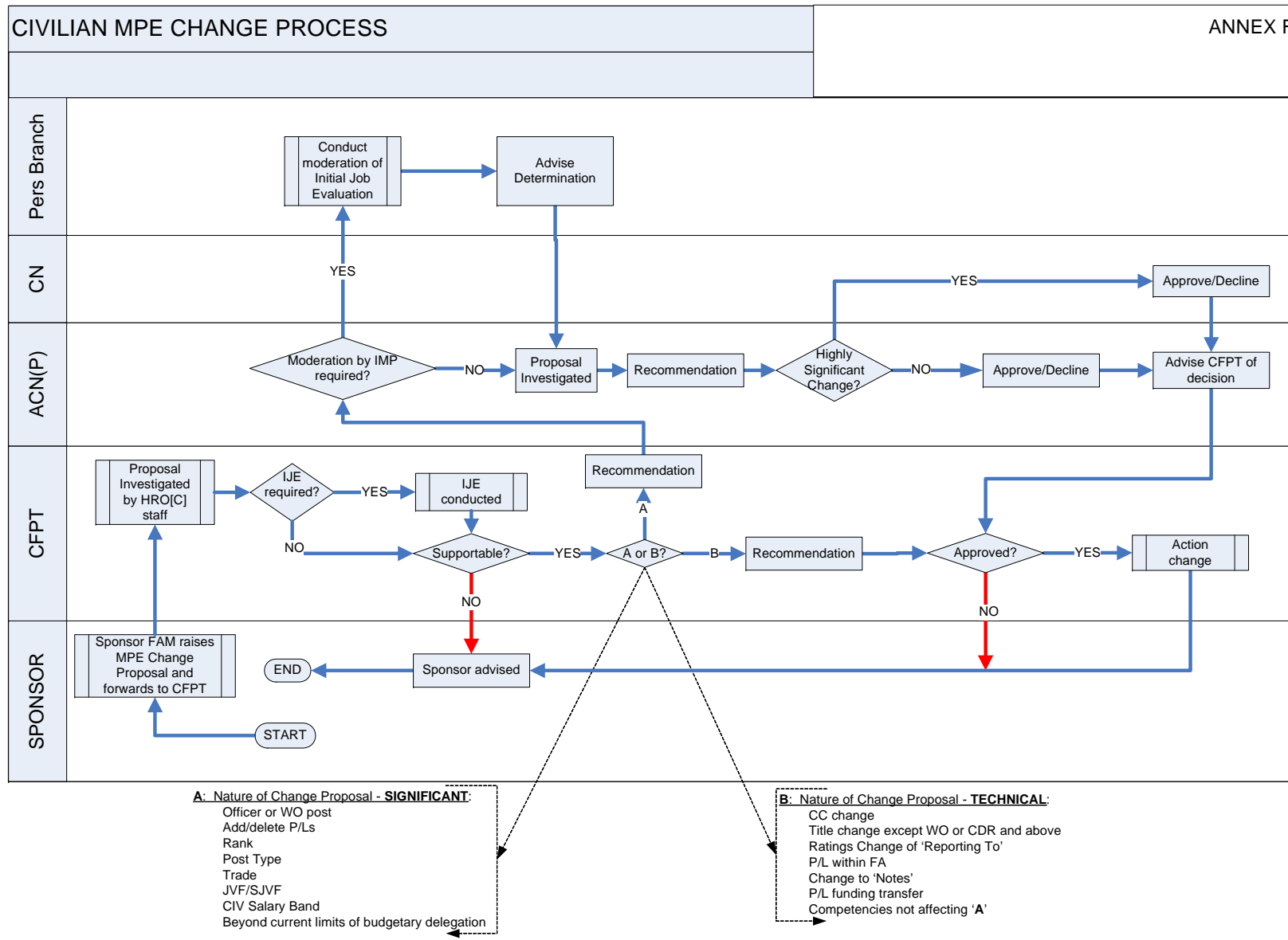
- B: Nature of Change Proposal - TECHNICAL:**
- ∟ CC change
 - ∟ Title change except WO or CDR and above
 - ∟ Ratings Change of 'Reporting To'
 - ∟ P/L within FA
 - ∟ Change to 'Notes'
 - ∟ P/L funding transfer
 - ∟ Competencies not affecting 'A'

Annex 3-E. Military Posts Established Change Micro Process

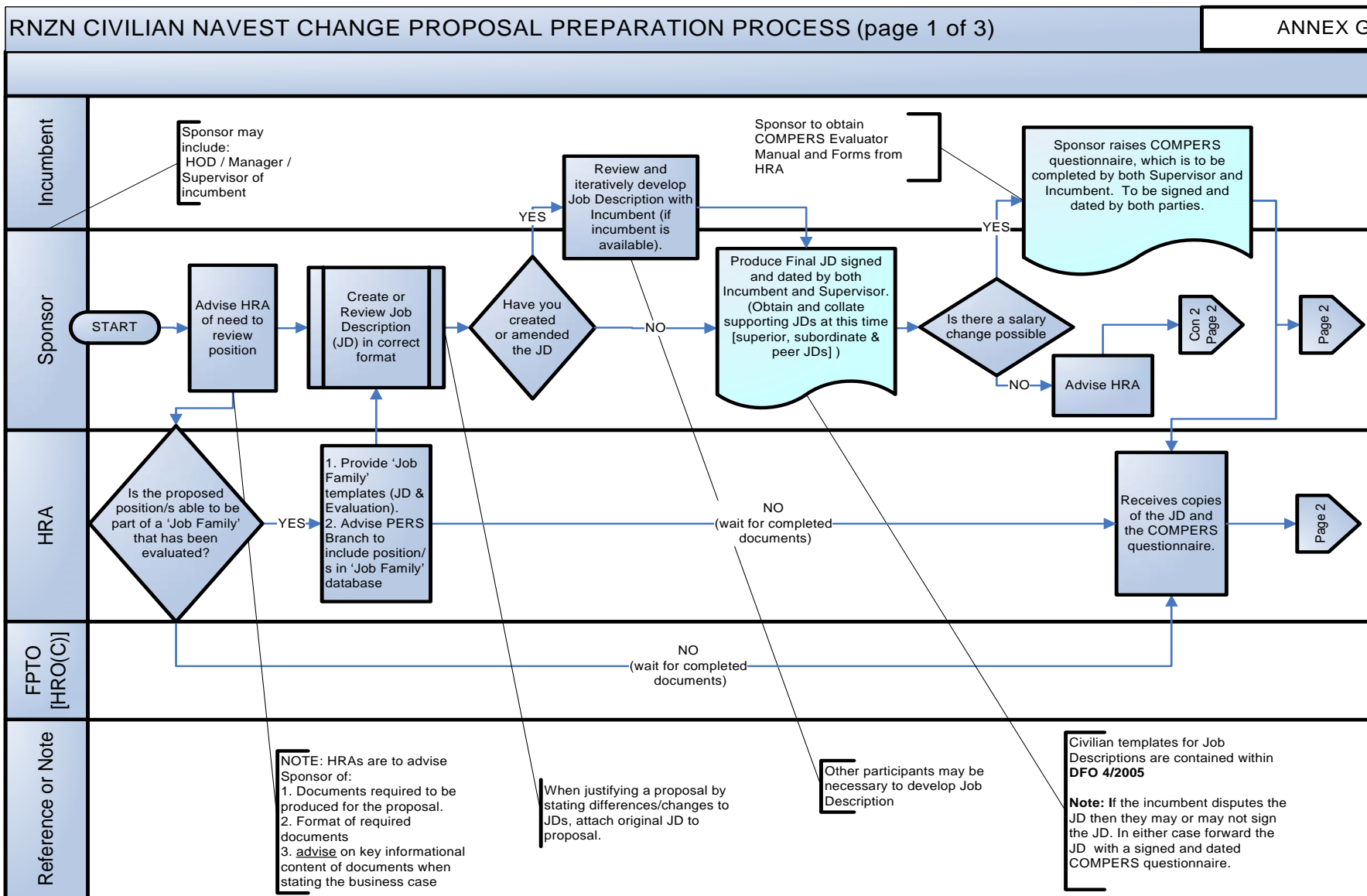




Annex 3-F. Civilian Posts Established Change Macro Process

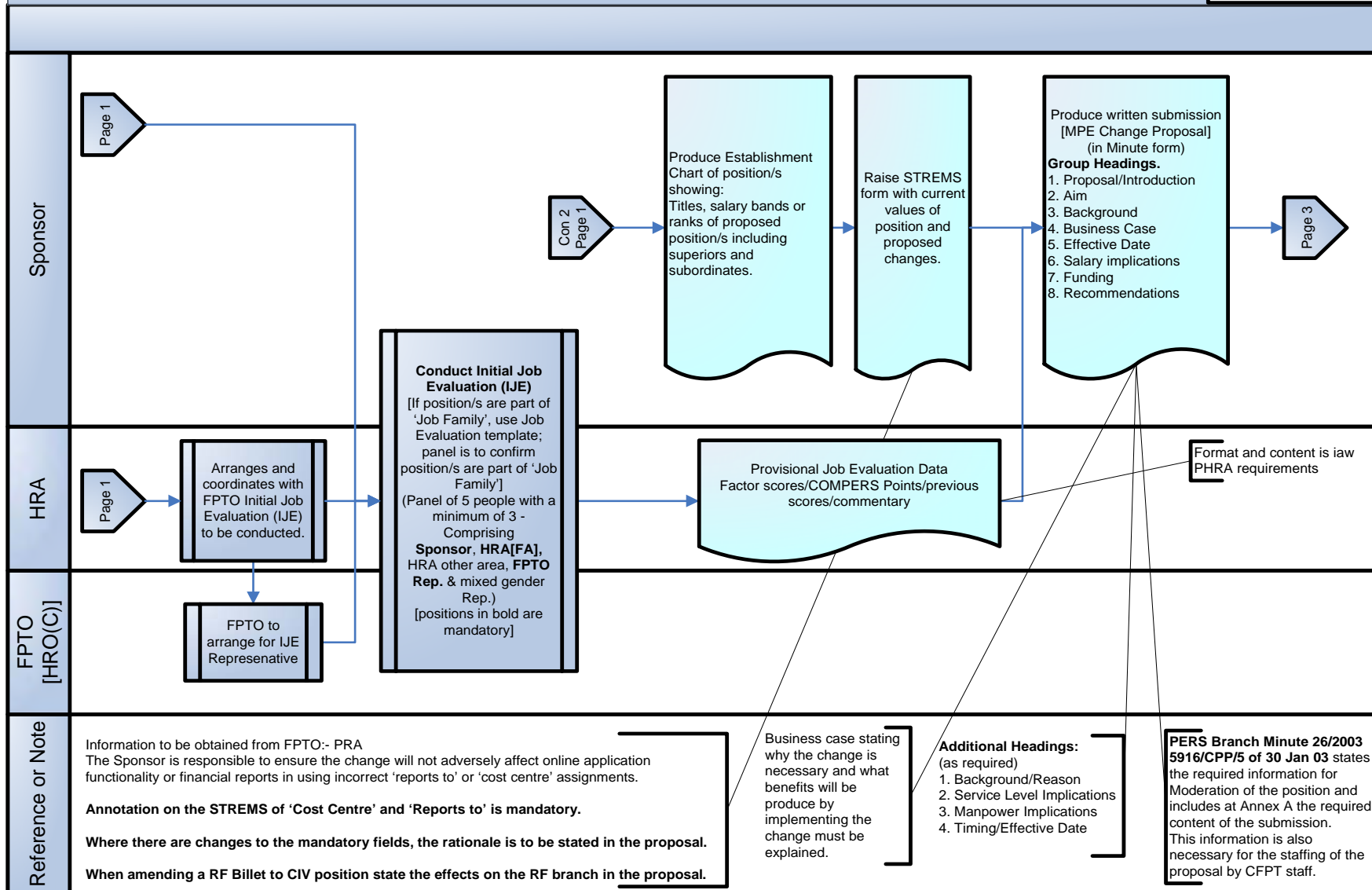


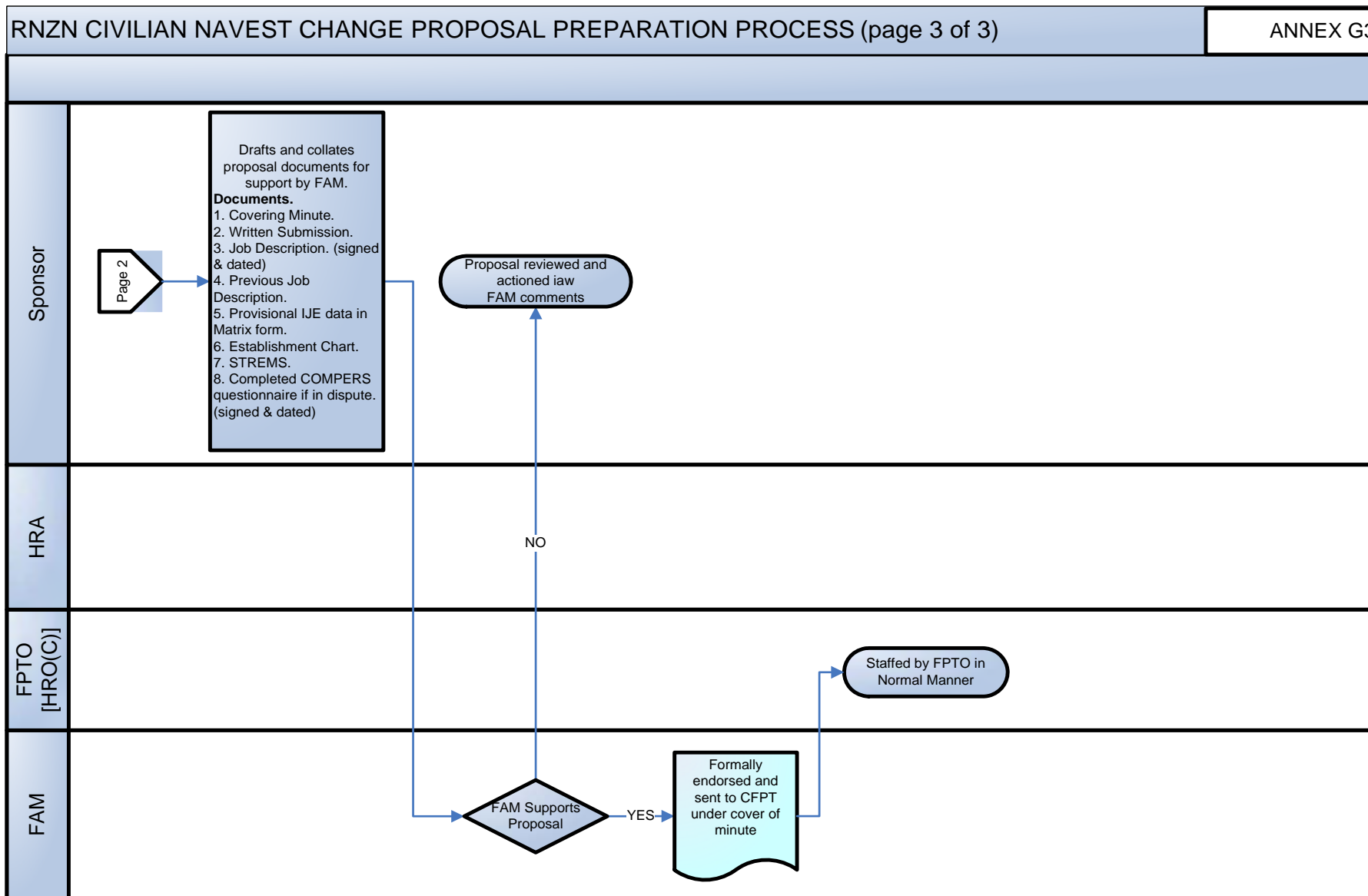
Annex 3-G. Civilian Posts Established Change Micro Process



RNZN CIVILIAN NAVEST CHANGE PROPOSAL PREPARATION PROCESS (page 2 of 3)

ANNEX G2





Annex 3-H. Proposal to Establish Posts for Projects, or for Short Term Capability

(Use a separate sheet for each proposed post)

Purpose of the Post (in full)

1.

Sponsor: _____

Unit/Location of the Proposed Post	
Post Rank, Branch and Trade	
Post 'Reports To'	
Post 'Cost Centre'	

Estimated Duration of Post: Effective from _____ to _____

Recommended/Approval**ACN(P&T)/DNOP** Supported/Not Supported _____

(as appropriate) Signature: _____

Date: _____

ACN(P) Approved/Not Approved _____

Signature: _____

Date: _____

For PERSDIV use only:

Date Post Established		Bring Up for Disestablishment	
Extensions Approved		Date Post Disestablished	

Annex 3-I. Report on Conduct of Initial Job Evaluation Panel and Process

A copy of this report is to accompany all NAVEST Change Proposals for which an Initial Job Evaluation has occurred.

Position Description		Notice Period for IJE Panel	
Date of Convening IJE Panel		Period provided for pre-panel documentation study	

PANELISTS' TITLES	ROLE	Trained Evaluator Yes/No	REMARKS
1.	Appointed Navy Representative		
2.	NZDF HRA		
3.			
4.			
5.			

OBSERVERS PRESENT	PURPOSE	GENERAL REMARKS ON OVERALL PROCESS

Annex 3-J. Perstate Specifications (PERSPECS)

PERSTATEs Specifications to be Maintained by ACN(Pers)			
PERSTATE Levels	Descriptors	Force Elements	Headquarters, Support, Logistics and Training Functions
		Assignment by MCC HQJFNZ	Assignment by DCN HQNAVY
1	Enhanced (OLOC)	<ul style="list-style-type: none"> Crewed to PERSTATE 2 plus additional personnel as required by MCC JFNZ to provide capability to meet mission requirements. 	<ul style="list-style-type: none"> Staffed to meet all current and future logistic support requirements. Capacity exists to progress future initiatives. Training organisations are staffed to meet current training delivery and development. Capacity exists to progress future initiatives.
2	Normal (DLOC)	<ul style="list-style-type: none"> Normal level of operational capability to meet DLOC. No additional mission-specific crew augmentation carried. 	<ul style="list-style-type: none"> Staffed to meet all current logistic support requirements. Some capacity exists to progress future initiatives. Training organisations are staffed to meet current training delivery and maintenance of training development.
3	Reduced (DLOC)	<ul style="list-style-type: none"> Reduced level of operational capability. Ship can be safely operated for normal peacetime activities (i.e. Deployment, exercise, EC 1-2 operations). Reduction in capability may include single activity serials with sufficient maintainer management time between serials. It is likely that additional logistic support will be required to support deployed ships. 	<ul style="list-style-type: none"> Staffing level reduced to meet current logistic support requirements. Progression of future initiatives may adversely affect current logistics support. Training organisations are staffed to meet initial and medium-high priority training. Progression of future training development initiatives may adversely affect current training delivery.
4	Minimum (BLOC)	<ul style="list-style-type: none"> Ship can be safely operated at sea and deal with maritime emergencies and low-level tasking (e.g. SAR). Additional logistics support will be required to support ship if deployed. 	<ul style="list-style-type: none"> Minimum operating staffing level to meet high priority current operational and logistic support requirements only. Training organisations staffed to meet initial and high-priority training. Training development is likely to be adversely affected.

PERSTATEs Specifications to be Maintained by ACN(Pers)			
PERSTATE Levels	Descriptors	Force Elements	Headquarters, Support, Logistics and Training Functions
		Assignment by MCC HQJFNZ	Assignment by DCN HQNAVY
5	Non-Operational (NLOC)	<ul style="list-style-type: none"> • Crewed or staffed to a level commensurate with duty-watch and safety requirements. • PERSTATE 5 specification is heavily dependent on reason for PERSTATE and is therefore not pre-defined. 	

Annex 3-K. CPL Scenarios and List for ANZAC Class

ANZAC Scenario

1. The ANZAC CPL is based on the following scenario parameters:
 - a. Transit - NZ Coastal Limits.
 - b. Conditions - 24 hr watches for up to 5 days at sea in a 3 watch system for permanently attended stations (i.e. BWK & MEWK).
2. The CPL scenario does not require crewing for harbour watches; or logistics and maintenance support outside of the specified scenario period above.

CPL for HMNZS TE KAHA

HMNZS TE KAHA - CRITICAL PERSONNEL LIST (OCT 22)											
Details						Seamanship			Damage Control		General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
Command and Executive											
1	7291	CDR	GLX	Commanding Officer	CO	Bridge	Bridge	Bridge	CMD	CMD	Command / Admin
2	7292	LTCDR	GLX	Executive Officer	XO	Bridge	Bridge	Bridge	Roving	Roving	Command / Admin
3	7431	A - CPO	MED	Senior Medic	SNR MED	SMET	SMET	SMET	SMET	SMET	Medic
Operations											
4	7295	LT	GLX	Navigating Officer	NO	Bridge	Bridge	Bridge		Bridge	BWK
5	7296	SLT	GLX	Bridge Watchkeeper	BWK	Aft Steering	Aft Steering	Bridge		Spare	BWK
6	7316	PO - CPO	CSS	Operations Room Supervisor	ORS	Bridge QM	Bridge QM	Bridge QM	Bridge QM	Bridge QM	WSC / Programme
7	7305	CPO	SCS	Chief Bosun's Mate	CBM	Bridge	Bridge	Safety I/C		Spare	QM
8	7306	PO	SCS	Petty Officer of the Deck	POS I/C	FX	FX	I/C		Spare	QM
9	7311	PO	CSS	Petty Officer of the Deck	POS I/C	AX		EVO		Spare	QM
10	7307	L	SCS	Mariner	POS 2 I/C	FX	FX	COXN		Spare	QM
11	7312	L	CSS	Mariner	POS 2 I/C	AX		EVO		Spare	QM
12	7308	A	SCS	Mariner	POS	FX	FX	Bowman		Spare	BM
13	7309	A	SCS	Mariner	POS	AX		Swimmer		Spare	BM
14	7314	A	CSS	Mariner	POS	FX	FX	EVO		Spare	BM
15	7324	A	CSS	Mariner	POS	AX		EVO		Spare	BM
16	22831	A	HSO	Mariner	NAVSYEO	Bridge BM	Bridge BM	Bridge BM	Bridge BM	Bridge BM	BM
17	7341	L	CWS	Communicator	COMMS	Bridge	Bridge	Bridge		CMD	COMCEN
18	7347	A	CWS	Communicator	COMMS			Shark Rifle	IBO	IBO	COMCEN
Marine Engineering											
19	7300	LTCDR	GLE (ME)	Marine Engineering Officer	MEO	MCR	MCR		DCO	DCO	Admin
20	7352	WO	MT(P)	Marine Engineering Warrant Officer	WOMT	MCR	MCR			MCR	Admin / Maintenance Manager
21	7366	CPO	MT(L)	Marine Engineering Section Supervisor	CPO(ELEC)	MCR	MCR			MCR	ME Maintenance
22	7361	PO	MT(P)	Marine Engineer	CRWC(P)	MCR	MCR			MCR	ME Maintenance
23	7367	PO	MT(P)	Marine Engineer	CRWC(P)	AFT DC	AFT DC			Spare	ME Maintenance
24	7368	PO	MT(L)	Marine Engineer	CRWC(L)	FWD DC	FWD DC			MCR	ME Maintenance
25	7356	L	MT(P)	Marine Engineer	LHOW(P)	MCR	MCR			Spare	ME Maintenance
26	7362	L	MT(P)	Marine Engineer	LHOW(P)	FX		EVO		Spare	ME Maintenance

HMNZS TE KAHA - CRITICAL PERSONNEL LIST (OCT 22)											
Details						Seamanship			Damage Control		General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
27	11279	L	MT(L)	Marine Engineer	LHOW(L)	AX		EVO		Spare	ME Maintenance
28	7359	A	MT(P)	Marine Engineer	ABOW(P)	FX		EVO		Spare	ME Maintenance
29	7364	A	MT(P)	Marine Engineer	ABOW(P)	AX		EVO		Spare	ME Maintenance
30	7372	A	MT(L)	Marine Engineer	ABOW(L)	MCR	MCR		BA ATT	BA ATT	ME Maintenance
31	7375	A	MT(P)	Marine Engineer	FUEL SYS	AFT Steering	AFT Steering	EVO	Single Hose Attack	Single Hose Attack	ME Maintenance
Weapons Engineering											
32	7377	WO	ET / WT	Weapons Engineering Warrant Officer	WEWO					Spare	Admin / Maintenance Manager
33	7393	PO	ET	Weapons Engineer	PO(IS)				SL	SL	WE Maintenance / LAN
34	7383	PO	ET	Weapons Engineer	PO(NAV)				I/C CONT	I/C CONT	WE Maintenance
35	7394	L	ET	Weapons Engineer	COMMS			EVO	IA	IA	WE Maintenance
36	7385	L	ET	Weapons Engineer	RADAR	AFT Steering	AFT Steering	Crane Driver		Spare	WE Maintenance
37	7389	A	ET	Weapons Engineer	NAV	FX		EVO		Spare	WE Maintenance
38	7397	A	ET	Weapons Engineer	COMMS	AX		EVO	BA ATT	BA ATT	WE Maintenance
Support											
39	7413	L	CH	Chef	CH	FX			BA CON	BA CON	Chef
40	7414	L	CH	Chef	CH	AX				Spare	Chef
41	7415	A	CH	Chef	CH	FX				Spare	Chef
42	7416	A	CH	Chef	CH	AX				Spare	Chef
43	7408	L	LSS	Logistics Supply Specialist	LSS	FWD DC	FWD DC	EVO	Single Hose Attack TL	Single Hose Attack TL	Stores
44	7409	A	LSS	Logistics Supply Specialist	LSS	AFT DC	AFT DC	EVO	IA	IA	Stores

CPL for HMNZS TE MANA

HMNZS TE MANA - CRITICAL PERSONNEL LIST (OCT 22)											
Details						Seamanship			Damage Control		General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
Command and Executive											
1	7438	CDR	GLX	Commanding Officer	CO	Bridge	Bridge	Bridge	CMD	CMD	Command / Admin
2	7439	LTCDR	GLX	Executive Officer	XO	Bridge	Bridge	Bridge	Roving	Roving	Command / Admin
3	7556	A - CPO	MED	Senior Medic	SNR MED	SMET	SMET	SMET	SMET	SMET	Medic
Operations											
4	7441	LT	GLX	Navigating Officer	NO	Bridge	Bridge	Bridge		Bridge	BWK
5	7443	SLT	GLX	Bridge Watchkeeper	BWK	Aft Steering	Aft Steering	Bridge		Spare	BWK
6	7459	PO - CPO	CSS	Operations Room Supervisor	ORS	Bridge QM	Bridge QM	Bridge QM	Bridge QM	Bridge QM	WSC / Programme
7	7451	CPO	SCS	Chief Bosun's Mate	CBM	Bridge	Bridge	Safety I/C		Spare	QM
8	11165	PO	SCS	Petty Officer of the Deck	POS I/C	FX	FX	I/C		Spare	QM
9	7455	PO	CSS	Petty Officer of the Deck	POS I/C	AX		EVO		Spare	QM
10	11173	L	SCS	Mariner	POS 2 I/C	FX	FX	COXN		Spare	QM
11	7456	L	CSS	Mariner	POS 2 I/C	AX		EVO		Spare	QM
12	7452	A	SCS	Mariner	POS	FX	FX	Bowman		Spare	BM
13	7453	A	SCS	Mariner	POS	AX		Swimmer		Spare	BM
14	10744	A	CSS	Mariner	POS	FX	FX	EVO		Spare	BM
15	7466	A	CSS	Mariner	POS	AX		EVO		Spare	BM
16	22827	A	HSO	Mariner	NAVSYEO	Bridge BM	Bridge BM	Bridge BM	Bridge BM	Bridge BM	BM
17	7480	L	CWS	Communicator	COMMS	Bridge	Bridge	Bridge		CMD	COMCEN
18	7483	A	CWS	Communicator	COMMS			Shark Rifle	IBO	IBO	COMCEN
19	7445	LTCDR	GLE (ME)	Marine Engineering Officer	MEO	MCR	MCR		DCO	DCO	Admin
20	7488	WO	MT(P)	Marine Engineering Warrant Officer	WOMT	MCR	MCR			MCR	Admin / Maintenance Manager
21	7501	CPO	MT(L)	Marine Engineering Section Supervisor	CPO(ELEC)	MCR	MCR			MCR	ME Maintenance
22	7496	PO	MT(P)	Marine Engineer	CRWC(P)	MCR	MCR			MCR	ME Maintenance
23	7502	PO	MT(P)	Marine Engineer	CRWC(P)	AFT DC	AFT DC			Spare	ME Maintenance
24	10954	PO	MT(L)	Marine Engineer	CRWC(L)	FWD DC	FWD DC			MCR	ME Maintenance
25	7492	L	MT(P)	Marine Engineer	LHOW(P)	MCR	MCR			Spare	ME Maintenance
26	7497	L	MT(P)	Marine Engineer	LHOW(P)	FX		EVO		Spare	ME Maintenance
27	7507	L	MT(L)	Marine Engineer	LHOW(L)	AX		EVO		Spare	ME Maintenance
28	7494	A	MT(P)	Marine Engineer	ABOW(P)	FX		EVO		Spare	ME Maintenance
29	7499	A	MT(P)	Marine Engineer	ABOW(P)	AX		EVO		Spare	ME Maintenance
30	7508	A	MT(L)	Marine Engineer	ABOW(L)	MCR	MCR		BA ATT	BA ATT	ME Maintenance
31	7511	A	MT(P)	Marine Engineer	FUEL SYS	AFT Steering	AFT Steering	EVO	Single Hose Attack	Single Hose Attack	ME Maintenance
Weapons Engineering											
32	7513	WO	ET / WT	Weapons Engineering Warrant Officer	WEWO					Spare	Admin / Maintenance Manager
33	7525	PO	ET	Weapons Engineer	PO(IS)				SL	SL	WE Maintenance / LAN

HMNZS TE MANA - CRITICAL PERSONNEL LIST (OCT 22)											
Details						Seamanship			Damage Control		General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
34	7516	PO	ET	Weapons Engineer	PO(NAV)				I/C CONT	I/C CONT	WE Maintenance
35	11936	L	ET	Weapons Engineer	COMMS			EVO	IA	IA	WE Maintenance
36	7518	L	ET	Weapons Engineer	RADAR	AFT Steering	AFT Steering	Crane Driver		Spare	WE Maintenance
37	7522	A	ET	Weapons Engineer	NAV	FX		EVO		Spare	WE Maintenance
38	7528	A	ET	Weapons Engineer	COMMS	AX		EVO	BA ATT	BA ATT	WE Maintenance
Support											
39	7539	L	CH	Chef	CH	FX			BA CON	BA CON	Chef
40	7540	L	CH	Chef	CH	AX				Spare	Chef
41	7541	A	CH	Chef	CH	FX				Spare	Chef
42	7542	A	CH	Chef	CH	AX				Spare	Chef
43	7534	L	LSS	Logistics Supply Specialist	LSS	FWD DC	FWD DC	EVO	Single Hose Attack TL	Single Hose Attack TL	Stores
44	7535	A	LSS	Logistics Supply Specialist	LSS	AFT DC	AFT DC	EVO	IA	IA	Stores

Annex 3-L. CPL Scenarios and List for HMNZS AOTEAROA

ROA Scenario

1. The CPL for ROA is based on the following scenario parameters:
 - a. Transit - NZ Coastal Limits.
 - b. Conditions - operate underway for up to 5 days at sea in a 3 watch system for permanently attended stations (i.e. Officer of the Watch).
2. The CPL scenario does not require crewing for harbour watches; or logistics and maintenance support outside of the specified scenario period above.

CPL for HMNZS AOTEAROA

HMNZS AOTEAROA - CRITICAL PERSONNEL LIST (JUL 22)											
#	PID	Rank	Trade	Position Title	Short Title	Seamanship			Damage Control		General
						SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
Command and Executive											
1	103968	CDR	GLX	Commanding Officer	CO	Bridge	Bridge	Bridge	CMD	CMD	Command / Admin
2	103969	LT CDR	GLX	Executive Officer	XO	Bridge	Bridge	Bridge/Safety I/C	Roving	Roving	Command / Admin
3	104231	L	MED	Senior Medic	SNR MED	FX5	Medic	Medic	Medic	Medic	Medic / DWSC
Operations											
4	103970	LT	GLX	Navigating Officer / Bridge Watchkeeper 1	NO	Bridge	Bridge	Bridge		Bridge	BWK
5	103971	SLT	GLX	Bridge Watchkeeper 2	BWK	OOW	OOW	Bridge		Spare	BWK / Programme
6	103972	SLT	GLX	Bridge Watchkeeper 3	BWK	ECPINS	ECPINS	Bridge		I/C DC SB	BWK
7	104176	CPO	SCS	Chief Bosun's Mate	CBM/POS I/C	FX 1	FX 1	I/C	SL	SL	WSC
8	104184	L	SCS	Mariner	POS I/C	AX1 / Aft Steering	AFT Steering	COX'N	Single Hose Attack TL	Single Hose Attack TL	QM
9	104180	A	SCS	Mariner	POS	FX 2	FX 2	Bowman	Single Hose Attack	Single Hose Attack	QM
10	104185	A	SCS	Mariner	POS 2 I/C	AX 2		Swimmer		Spare	BM
11	104181	A	SCS	Mariner	POS	FX 3	FX 3	EVO	BA CON	BA CON	BM
12	104186	A	SCS	Mariner	POS	AX 3		EVO	BA ATT	BA ATT	BM
13	103973	A	HSO	Mariner	NAVSYEO	Bridge BM	Bridge BM	Bridge BM		Bridge	QM
14	104191	L	CWS	Communicator	COMMS OP	Bridge	Bridge	Shark Rifle	IBO	IBO	COMCEN
Marine Engineering											
15	104195	LT CDR	GLE (ME)	Engineering Officer	EO	MCR	MCR		DCO	DCO	Admin
16	104196	WO	MT(P)	Marine Engineering Warrant Officer	WOMT	MCR	MCR			MCR	Admin
17	104207	CPO	MT(P)	Senior Propulsion System Maintainer	CPOMT(P)	MCR	MCR			MCR	ME Maintenance
18	104197	PO	MT(L)	Senior Electrical System Maintainer	POMT(L)	FWD DC	FWD DC			MCR	ME Maintenance
19	104198	L	MT(L)	Electrical System Maintainer	LMT(L)	MCR	MCR		BA ATT	BA ATT	ME Maintenance
20	104210	A	MT(P)	Marine Engineer	PROP	AFT Steering	AFT Steering	EVO		Spare	ME Maintenance
21	104211	A	MT(P)	Marine Engineer	ABOW(P)	MCR	MCR	EVO		MCR	ME Maintenance
Weapons Engineering											
22	104213	PO	ET	Senior Weapons Engineering Maintainer	POET	On call	On call	EVO	CMD Advisor	CMD Advisor	WE Maintenance
23	104216	L	ET	Weapons Engineer/LAN Maintainer	COMMS MAINT	On call	On call	EVO	IA	IA	WE Maintenance
24	104214	A	ET	Weapons Engineer	AI MAINT	FX 4	FX 4	EVO	IA	IA	WE Maintenance
Support											
25	104220	PO	LSS	I/C Stores	LSS	AFT DC	AFT DC	EVO	I/C CONT	I/C CONT	Stores
26	104226	A	CH	Chef	CH	AX 4		SMET	SMET	SMET	Chef

Annex 3-M. CPL Scenarios and List for HMNZS CANTERBURY

CAN Scenario

1. The CPL for CAN is based on the following scenario parameters:
 - a. Transit - from Auckland to Australia (for emergency docking).
 - b. Conditions - operate underway for up to 5 days at sea in a 3 watch system for permanently attended stations (i.e. Officer of the Watch).
2. The CPL scenario does not require crewing for harbour watches; or logistics and maintenance support outside of the specified scenario period above.

CPL for HMNZS CANTERBURY

HMNZS CANTERBURY - CRITICAL PERSONNEL LIST (JUL 22)											
Details						Seamanship			Damage Control		General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
Command and Executive											
1	27087	CDR	GLX	Commanding Officer	CO	Bridge	Bridge	Bridge	CMD	CMD	Command / Admin
2	29805	LTCDR	GLX	Executive Officer	XO	Bridge	Bridge	Bridge	Roving	Roving	Command / Admin
3	29406	PO	MED	Senior Medic	SNR MED	SMET 1	SMET 1	SMET 1	SMET 1	SMET 1	Medic / DWSC
Operations											
4	29807	LT	GLX	Navigating Officer (Watchkeeper 1)	NO	Bridge	Bridge	Bridge		Bridge	BWK
5	48326	LT	GLX	Bridge Watchkeeper 3	BWK	Bridge	Bridge	Bridge		Spare	BWK
6	29405	SLT	GLX	Bridge Watchkeeper 2	BWK	Aft Steering	Aft Steering	Bridge		Spare	BWK
7	29403	CPO	SCS	Chief Bosun's Mate	CBM	Bridge	Bridge	Safety I/C		Spare	QM
8	48331	PO	SCS	Petty Officer of the Deck	POS I/C	FX 1	FX	I/C	SL	SL	QM
9	28716	PO	SCS	Petty Officer of the Deck	POS I/C	AX 1		EVO		Spare	QM
10	48327	L	SCS	Mariner	POS 2 I/C	FX 2	FX	COXN		Spare	QM
11	28714	L	CSS	Operations Room Assistant	POS 2 I/C	AX 2		EVO		Spare	QM
12	27160	A	SCS	Mariner	POS	FX 3	FX	Bowman		Spare	BM
13	27159	A	SCS	Mariner	POS	AX 3		Swimmer		Spare	BM
14	27161	A	SCS	Mariner	POS	FX 4	FX	EVO		Spare	BM
15	27158	A	SCS	Mariner	POS	Bridge BM	Bridge BM	Bridge BM	Bridge BM	Bridge BM	BM
16	29454	L	HST	Mariner	NAVSYEO	Bridge QM	Bridge QM	Bridge QM	Bridge QM	Bridge QM	QM
17	28720	L	CWS	Communicator	COMMS	Bridge	Bridge	Shark Rifle		CMD	COMCEN
18	27146	A	CWS	Communicator	COMMS	AX 4		EVO	IBO	IBO	COMCEN
19	29804	LTCDR	GLE (ME)	Engineering Officer	EO	MCR	MCR		DCO	DCO	Admin
20	29396	WO	MT(P)	Marine Engineering Warrant Officer	WOMT	MCR	MCR			MCR	Admin
21	28719	CPO	MT(P)	Plant Maintenance Manager	CPOMT	MCR	MCR			MCR	ME Maintenance
22	27148	PO	MT(L)	Senior Electrical System Maintainer	PO(ELEC)	MCR	MCR			MCR	ME Maintenance
23	27143	PO	MT(P)	Propulsion Hull and Auxiliary Supervisor	CRWC(P)	FWD DC	FWD DC			MCR	ME Maintenance
24	48333	PO	MT(P)	PO Propulsion Marine Engineer	CRWC(P)	AFT DC	AFT DC			Spare	ME Maintenance
25	27314	A	MT(L)	Marine Engineer	ABOW(L)	MCR	MCR		BA ATT	BA ATT	ME Maintenance
26	27313	A	MT(P)	Marine Engineer	FUEL SYS	AFT Steering	AFT Steering	EVO	Single Hose Attack	Single Hose Attack	ME Maintenance
Weapons Engineering											
27	27145	PO	ET	Weapons Engineer	POET				I/C CONT	I/C CONT	WE Maintenance

HMNZS CANTERBURY - CRITICAL PERSONNEL LIST (JUL 22)											
Details						Seamanship			Damage Control		General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
28	48329	L	ET	Weapons Engineer/LAN Maintainer	LET			EVO	IA	IA	WE Maintenance
29	27435	A	ET	Weapons Engineer	COMMS	FX 5		EVO	BA ATT	Spare	WE Maintenance
Support											
30	28724	L	CH	Chef	CH Watch 1	AX 5			BA CON	BA CON	Chef
31	27153	A	CH	Chef	CH Watch 2	AX 6			IA	IA	Chef
32	48330	L	LSS	I/C Stores	LSS	FWD DC	FWD DC	EVO	Single Hose Attack TL	Single Hose Attack TL	Stores

Annex 3-N. CPL Scenarios and List for HMNZS MANAWANUI

MAN Scenario

1. The CPL for MAN is based on the following scenario parameters:
 - a. Transit - NZ Coastal Limits.
 - b. Conditions - operate underway for up to 5 days at sea in a 3 watch system for bridge staff and a 2 watch system for engineering staff.
2. The CPL scenario does not require crewing for harbour watches; or logistics and maintenance support outside of the specified scenario period above.

CPL for HMNZS MANAWANUI

HMNZS MANAWANUI - CRITICAL PERSONNEL LIST (JUL 22)												
Details						Seamanship			Damage Control		General	
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties	
Command and Executive												
1	102794	LTCDR	GLX	Commanding Officer	CO	Bridge	Bridge	Bridge	CMD	CMD	Command / Admin	
2	102799	LT	GLX	Executive Officer	XO	Bridge	Bridge	Bridge	Roving	Roving	Command / BWK	
3	102932	L	MED	Medic	MED	AX	AX	SMET	SMET	SMET	Medic	
Operations												
4	102795	LT	GLX	Navigating Officer	NO/DPO	Bridge	Bridge	Bridge	Bridge	Bridge	BWK	
5	102796	SLT	GLX	Bridge Watchkeeper	OOW	Bridge	Bridge	Bridge	Bridge	Bridge	BWK	
6	102901	PO	SCS	Chief Bosuns Mate	CBM / POS IC	FX IC	FX IC	IC	IC Cont	IC Cont	WSC	
7	102902	L	ANY	Boat Coxswain	POS IC	AX IC	AX IC	EVO	Bridge QM	Bridge QM	QM	
8	102903	A	ANY	Mariner	SEA	AX	AX	EVO	IA/TT1	IA/TT1	BM	
9	102904	A	ANY	Mariner	SEA	FX	FX	EVO	BA ATT/TT2	BA ATT/TT2	BM	
10	102906	A	ANY	Mariner	SEA	FX	FX	EVO	BA CON	BA CON	QM	
11	102907	A	HSO	Navigators Yeoman	NAV YEO	AX	AX	EVO	Single Hose Attack	Single Hose Attack	QM/Chart Maintenance	
12	102908	A	CWS	Communications Watchkeeper	COMMSWK	Bridge	Bridge	GOW	IBO	IBO	BM	
Engineering												
13	102910	LT	GLE (ME)	Engineering Officer	EO	Bridge	Bridge	Bridge	IBC/DCO	IBC/DCO	Admin	
14	102911	WO	MT(P)	Platform Systems Manager	PSM	MCR	MCR	MCR	Prop Mnger	Prop Mnger	Admin	
15	102912	PO	MT(P)	Mechanical Systems Manager	MSM	MCR	MCR	MCR	EOOW	EOOW	ME Maintenance	
16	102916	PO	MT(L)	Electrical Systems Manager	ESM	MCR	MCR	MCR	Switchboard	Switchboard	ME Maintenance	
17	102917	L	MT(L)	Electrical Systems Maintainer	ESM	MCR	MCR	MCR	Single Hose Attack TL	Single Hose Attack TL	ME Maintenance	
18	102914	A	MT(P)	Propulsion HVAC and Aux System Maintainer	PHASM	MCR	MCR	MCR	IA/TT1	IA/TT1	ME Maintenance	
19	102921	PO	ET	Navigation Systems Manager	NSM	Bridge	Bridge	EVO	Scene Leader	Scene Leader	WE Maintenance	
Support												
20	102927	L	CH	Chef	CH	FX	FX	EVO	BA ATT/TT2	BA ATT/TT2	Chef	

Annex 3-O. CPL Scenarios and List for OPV Class

OPV Scenario

1. The CPL for the OPVs is based on the following scenario parameters:
 - a. Transit - NZ Coastal Limits.
 - b. Conditions - operate underway for up to 5 days at sea in a 3 watch system for permanently attended stations (i.e. Officer of the Watch).
2. The CPL scenario does not require crewing for harbour watches; or logistics and maintenance support outside of the specified scenario period above.

CPL for HMNZS OTAGO

HMNZS OTAGO - CRITICAL PERSONNEL LIST (JUL 22)											
Details						Seamanship			Damage Control		General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
Command and Executive											
1	27120	LTCDR	GLX	Commanding Officer	CO	Bridge	Bridge	Bridge	CMD	CMD	Command / Admin
2	29862	LT	GLX	Executive Officer	XO	Bridge	Bridge	Bridge	Roving	Roving	Command / Admin
3	29863	L	MED	Medic	SNR MED	SMET	SMET	SMET	SMET	SMET	Medic / DWSC
Operations											
4	29863	LT	GLX	Navigating Officer	NO	Bridge	Bridge	Bridge		Bridge	BWK
5	91834	SLT	GLX	Bridge Watchkeeper	BWK	Aft Steering	Aft Steering	GOW		I/C CONT	BWK
6	29429	PO	CSS	Operations Room Supervisor	ORS	Bridge QM	Bridge QM	Bridge QM	Bridge QM	Bridge QM	Programme / QM
7	29432	CPO/PO	SCS	Chief Bosun's Mate	CBM	Bridge	Bridge	Safety I/C		Section Base IC	WSC
8	28772	L	SCS	Mariner	POS I/C	FX	FX	COXN	IBO	IBO	QM
9	28706	L	SCS	Mariner	POS I/C	AX	FX	Crane Driver	Single Hose Attack TL	Single Hose Attack TL	QM
10	28771	A	SCS	Mariner	POS	FX	FX	Bowman	Single Hose Attack	Single Hose Attack	BM
11	28707	A	SCS	Mariner	POS	AX	FX	Swimmer	BA ATT	BA ATT	BM
12	29440	A	HSO	Mariner	NAVSIEO	Bridge BM	Bridge BM	Bridge BM	Bridge BM	Bridge BM	BM
13	28764	A	CWS	Communicator	CWS	Bridge BM	Bridge BM	GOW	IBO	IBO	Comms/Admin
Marine Engineering											
14	29434	LT	GLE (ME)	Engineering Officer	EO	BRIDGE	BRIDGE	BRIDGE	IBC/DCO	IBC/DCO	Admin
15	28709	CPO	MT(P)	Plant and Maintenance Manager	PMM	MCR	MCR	MCR	MCR	MCR	Admin
16	27758	PO	MT(L)	Electrical System and C+M Maintainer	SESM	MCR	MCR	MCR	MCR	MCR	ME Maintenance
17	27756	L	MT(P)	Propulsion HVAC and Aux System Maintainer	PHASM	AX	MCR	EVO		Containment	ME Maintenance
18	27434	L	MT(L)	Electrical Systems Maintainer	ESM	FX		EVO		Section Base	ME Maintenance
19	27436	A	MT(P)	Propulsion HVAC and Aux System Maintainer	PHASM	AFT Steering	AFT Steering	EVO		Section Base	ME Maintenance
20	27311	A	MT(L)	Electrical Systems Maintainer	ESM	AX	MCR	EVO	BA ATT	BA ATT	ME Maintenance
Weapons Engineering											
21	28705	PO	ET	Senior Electrical Technician	SET	FX			SL	SL	WE Maintenance / LAN
22	27757	L	ET	Electrical Technician	ET	AFT Steering	AFT Steering	EVO	IA	IA	WE Maintenance
Support											
23	28770	A	CH	Chef	CH	AX		EVO	BA CON	BA CON	Chef
24	28773	A	CH	Chef	CH	FX		EVO	IA	IA	Chef

CPL for HMNZS WELLINGTON

HMNZS WELLINGTON - CRITICAL PERSONNEL LIST (JUL 22)											
Details						Seamanship			Damage Control		General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
Command and Executive											
1	27119	LTCDR	GLX	Commanding Officer	CO	Bridge	Bridge	Bridge	CMD	CMD	Command / Admin
2	29824	LT	GLX	Executive Officer	XO	Bridge	Bridge	Bridge	Roving	Roving	Command / Admin
3	29387	L	MED	Medic	SNR MED	SMET	SMET	SMET	SMET	SMET	Medic / DWSC
Operations											
4	29825	LT	GLX	Navigating Officer	NO	Bridge	Bridge	Bridge		Bridge	BWK
5	91842	SLT	GLX	Bridge Watchkeeper	BWK	Aft Steering	Aft Steering	GOW		I/C CONT	BWK
6	29384	PO	CSS	Operations Room Supervisor	ORS	Bridge QM	Bridge QM	Bridge QM	Bridge QM	Bridge QM	Programme / QM
7	29385	CPO/PO	SCS	Chief Bosun's Mate	CBM	Bridge	Bridge	Safety I/C		Section Base IC	WSC
8	28737	L	SCS	Mariner	POS I/C	FX	FX	COXN	IBO	IBO	QM
9	28749	L	SCS	Mariner	POS I/C	AX	FX	Crane Driver	Single Hose Attack TL	Single Hose Attack TL	QM
10	28746	A	SCS	Mariner	POS	FX	FX	Bowman	Single Hose Attack	Single Hose Attack	BM
11	28745	A	SCS	Mariner	POS	AX	FX	Swimmer	BA ATT	BA ATT	BM
12	29382	A	HSO	Mariner	NAVSYEO	Bridge BM	Bridge BM	Bridge BM	Bridge BM	Bridge BM	BM
13	28741	A	CWS	Communicator	CWS	Bridge BM	Bridge BM	GOW	IBO	IBO	Comms/Admin
Marine Engineering											
14	29380	LT	GLE (ME)	Engineering Officer	EO	BRIDGE	BRIDGE	BRIDGE	IBC/DCO	IBC/DCO	Admin
15	28731	CPO	MT(P)	Plant and Maintenance Manager	PMM	MCR	MCR	MCR	MCR	MCR	Admin
16	27730	PO	MT(L)	Electrical System and C+M Maintainer	SESM	MCR	MCR	MCR	MCR	MCR	ME Maintenance
17	27726	L	MT(P)	Propulsion HVAC and Aux System Maintainer	PHASM	AX	MCR	EVO		Containment	ME Maintenance
18	27294	L	MT(L)	Electrical Systems Maintainer	ESM	FX		EVO		Section Base	ME Maintenance
19	27295	A	MT(P)	Propulsion HVAC and Aux System Maintainer	PHASM	AFT Steering	AFT Steering	EVO		Section Base	ME Maintenance
20	27315	A	MT(L)	Electrical Systems Maintainer	ESM	AX	MCR	EVO	BA ATT	BA ATT	ME Maintenance
Weapons Engineering											
21	28732	PO	ET	Senior Electrical Technician	SET	FX			SL	SL	WE Maintenance / LAN
22	27727	L	ET	Electrical Technician	ET	AFT Steering	AFT Steering	EVO	IA	IA	WE Maintenance
Support											
23	28739	A	CH	Chef	CH	AX		EVO	BA CON	BA CON	Chef
24	28740	A	CH	Chef	CH	FX		EVO	IA	IA	Chef

Annex 3-P. CPL Scenarios and List for IPV Class

IPV Scenario

1. The CPL for the IPVs is based on the following scenario parameters:
 - a. Transit - NZ Coastal Limits.
 - b. Conditions - able to be operated for up to 48 hrs at sea, or 5 days when anchoring overnight in a 3 watch system for permanently manned stations (i.e. BWK & MEWK).
2. The CPL scenario does not require crewing for harbour watches; or logistics and maintenance support outside of the specified scenario period above.

CPL for HMNZS HAWEA

HMNZS HAWEA - CRITICAL PERSONNEL LIST (JUL 22)											
Details						Seamanship			Damage Control		General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties
Command and Executive											
1	27124	LT	GLX	Commanding Officer	CO	Bridge	Bridge	Bridge (OOW)	CMD	CMD	Command / Admin
2	29841	SLT	GLX	Executive Officer	XO	Bridge	Bridge	GOW Supr	Roving	Roving	Command / Admin
Operations											
3	29843	SLT	GLX	Navigating Officer (Watchkeeper 1)	NO	Bridge	Bridge	Bridge	OOW / QM	OOW / QM	BWK
4	29447	PO	SCS	Chief Bosun's Mate/COXN	CBM	Bridge	Bridge	Safety I/C	IC Cont	IC Cont	Admin
5	28697	L	SCS	I/C FX POS	FX POS LH	FX	FX	I/C	BAA	BAA	QM
6	28701	L	CSS	I/C AX POS/ OPS COORD	AX POS LH	AX	FX	Boat Coxn / EVO	IA / Single Hose Attack	IA / Single Hose Attack	QM
7	28699	A	SCS	Mariner	SEA	FX	FX	Bowman / SOW	BA CON	BA CON	QM
8	29845	L	CWS	Communications Supervisor	CS	Bridge (QM)	Bridge (QM)	GOW	IBO	IBO	COMCEN
Engineering											
9	29452	CPO	MT(P)	Engineering Officer	EO	MCR (Bridge)	MCR (Bridge)	MCR (Bridge)	DCO	DCO	Admin
10	28702	L	MT(L)	Senior Electrical System Maintainer	L	S/G	S/G	EVO	Isolations	Isolations	ME Maintenance
11	27747	A	MT(P)	Propulsion and Auxiliary Maintainer	MEM	S/G	S/G	EVO	IA / Single Hose Attack	IA / Single Hose Attack	ME Maintenance
12	27748	A	MT(L)	Electrical Systems Maintainer	ESM	AX	FX	EVO	BAA	BAA	ME Maintenance
13	28703	PO	ET	Senior Electronics Technician	POET	Spare	FX	SL / EVO	SL	SL	WE Maintenance
Support											
14	28696	L	CH	Chef	CH	AX	SMET	SMET (Boat)	SMET	SMET	Chef

CPL for HMNZS TAUPO

HMNZS TAUPO - CRITICAL PERSONNEL LIST (JUL 22)												
Details						Seamanship			Damage Control			General
#	PID	Rank	Trade	Position Title	Short Title	SSD	RSSD	MOB / Evo	SSEP	EM Stations	General / Other Duties	
Command and Executive												
1	27121	LT	GLX	Commanding Officer	CO	Bridge	Bridge	Bridge (OOW)	CMD	CMD	Command / Admin	
2	29858	SLT	GLX	Executive Officer	XO	Bridge	Bridge	GOW Supr	Roving	Roving	Command / Admin	
Operations												
3	29857	SLT	GLX	Navigating Officer (Watchkeeper 1)	NO	Bridge	Bridge	Bridge	OOW / QM	OOW / QM	BWK	
4	29358	PO	SCS	Chief Bosun's Mate/COXN	CBM	Bridge	Bridge	Safety I/C	IC Cont	IC Cont	Admin	
5	28755	L	SCS	I/C FX POS	FX POS LH	FX	FX	I/C	BAA	BAA	QM	
6	28751	L	CSS	I/C AX POS/ OPS COORD	AX POS LH	AX	FX	Boat Coxn / EVO	IA / Single Hose Attack	IA / Single Hose Attack	QM	
7	28756	A	SCS	Mariner	SEA	FX	FX	Bowman / SOW	BA CON	BA CON	QM	
8	29831	L	CWS	Communications Supervisor	CS	Bridge (QM)	Bridge (QM)	GOW	IBO	IBO	COMCEN	
Engineering												
9	29328	CPO	MT(P)	Engineering Officer	EO	MCR (Bridge)	MCR (Bridge)	MCR (Bridge)	DCO	DCO	Admin	
10	28794	L	MT(L)	Senior Electrical System Maintainer	L	S/G	S/G	EVO	Isolations	Isolations	ME Maintenance	
11	27740	A	MT(P)	Propulsion and Auxiliary Maintainer	MEM	S/G	S/G	EVO	IA / Single Hose Attack	IA / Single Hose Attack	ME Maintenance	
12	27738	A	MT(L)	Electrical Systems Maintainer	ESM	AX	FX	EVO	BAA	BAA	ME Maintenance	
13	28795	PO	ET	Senior Electronics Technician	POET	Spare	FX	SL / EVO	SL	SL	WE Maintenance	
Support												
14	28796	L	CH	Chef	CH	AX	SMET	SMET (Boat)	SMET	SMET	Chef	

Chapter 4 - Disposal of Pay and Effects

Section 1 - Deceased Personnel

References:

- A. DFO 3 - Part 12, Chapter 8
- B. Naval Forces General Orders
- C. NZBR 25 - RNZN Cash Accounting Instructions

Note:

In this section the term 'person entitled' means the person who has been ascertained to be entitled *by law* to receive the deceased's naval assets and effects, and to administer their estate. It should be noted that such entitlement has no connection with the nomination of a person as nearest friend or relative.

4.4.01 Collection and Inventory of Effects

- a. **Immediate Action.** Immediately on the death of any member of the NZDF (Regular or Reserve Force) on board one of HMNZ Ships or establishments, the Commanding Officer (CO) is to have all the clothes and other effects of the deceased collected by a responsible person and delivered to the Maritime Logistics Officer (MLO).
- b. Where no MLO is borne, an officer is to be appointed for this purpose.
- c. **Effects not on Defence Property.** No action is required in relation to personal effects belonging to the deceased that are not on Defence property, or are in an occupied married quarter. These are to be regarded as being in the custody of the spouse or occupier.
- d. **Inventory Action.** The MLO, or officer appointed for this purpose, is to prepare an inventory (two copies) of all the effects and valuables; care being taken to ensure that no money is left in the pockets of clothing or in wallets and such like. Any money found is to be taken on charge in the cash account (NZBR 25 - RNZN Cash Accounting Instructions) and its disposal recorded on the inventory list, noting the official receipt number. Any other amounts received by the MLO, or officer appointed for this purpose, such as debts collected from private individuals, are likewise to be taken on charge and recorded on the inventory.
- e. **Inventory Details.** The following directions are to be observed in preparing the inventory of effects:
 - (1) **Verification.** For a deceased officer the inventory is to be verified and signed (including the duplicate) by two or more officers, and for all others by an officer and a senior rating of the Naval Police. Should there be no effects, these persons are to provide a certificate to that effect.
 - (2) **Service Effects.** Any official documents or publications, loan clothing, flying clothing, mess gear, naval stores or other Service property found with the deceased's effects is to be removed and taken on charge by the MLO, or officer appointed for this purpose. Any permanent loan or other inventory records held by the deceased should be mustered at the earliest opportunity and transferred to a new custodian. Debit notes for items of clothing, stores or other NZDF property on loan to deceased personnel which are not recovered are to be forwarded through the Director Co-ordination (Navy) (DCoord(N)) to the NZDF HR Service Centre.
 - (3) **Firearms and Ammunition.** If any firearms or ammunition are found amongst the deceased effects, those that can clearly be identified as Service property are to be returned to store. Private firearms are to be packed separately and held in the ship's armoury until released, iaw Article "[4.4.03 Release or Disposal of Effects](#)" paragraph 5. All live ammunition is to be handed over to the Weapons Engineering Officer (WEO) on a ship or Executive Officer (XO) of an establishment or ship where no WEO is borne, for

destruction.

- (4) **Wills or Testamentary Documents.** The persons preparing the inventory are to take particular care to ascertain whether there is any will or document of a testamentary nature amongst the effects and are to state on the inventory whether or not any such document has been found. If any such document is found, it is to be forwarded at once by registered post to the DCoord(N) and a certified copy retained onboard. The DCoord(N) is to be informed by signal whether or not a will has been found, giving dispatch details where applicable.
 - (5) **Valuable Private Documents and Articles.** Private documents and papers, such as cheque books, insurance policies, uncashed cheques and private articles of value such as watches, binoculars, cameras, jewellery, are to be listed separately. The MLO, or officer appointed for this purpose, and other persons preparing the inventory are to certify this list and to see these effects sealed up in their presence; the effects are then to be retained by the MLO, or officer appointed for this purpose, for safe custody until instructions are received from the DCoord(N) for their disposal. The list is to include any serial numbers or other identifying numbers on the documents or articles, and in the case of uncashed cheques, the name and address of the bank and the name of the drawer of each cheque. Any documents (including private letters of a compromising nature, or likely to cause distress to the relatives of the deceased) are to be separated from the other effects and forwarded to the DCoord(N), who will decide their disposal. A passport, if found, is to be sent by safe means without delay to the nearest NZ passport office, and not shown in the inventory.
- f. **Forwarding Action.** The original inventory is to be forwarded to the DCoord(N); the duplicate is to be kept with the effects, and a copy is to be retained by the MLO, or officer appointed for this purpose.

4.4.02 Custody, Packing and Shipment of Effects

- a. All effects of deceased personnel, pending instructions as to their final disposal, are to be dealt with as follows:
 - (1) **Ships Overseas:**
 - (a) When the entitled person is resident in New Zealand, the effects are to be retained on board unless the ship will not be returning to New Zealand for some time or storage on board is undesirable. If the ship is not programmed to return to Auckland within 60 days, advice is to be sought from the MCC.
 - (b) When the entitled person's permanent place of residence is not New Zealand, ships are to retain the effects until return to New Zealand at which time they are to be landed into the safe custody of the Base MLO (BMLO) PHILOMEL pending release to the entitled person.
 - (2) **Ships and Establishments in New Zealand:**
 - (a) Ships in New Zealand waters are to land the effects into the safe custody of the BMLO PHILOMEL.
 - (b) Establishments are to retain the effects.
 - (c) Where the deceased was a member of the RNZNVR, the effects are to be forwarded to the CO of the division concerned.
- b. All soiled clothing included in the effects is to be cleaned before packing. This is particularly important where the clothing is likely to be a considerable time in transit, e.g. from overseas.
- c. **Inventory Handling and Receipt of Effects.** The inventory is to be accompanied by a statement certifying that the contents are personal effects only. The duplicate of the inventory is to be enclosed with the effects, and a copy is to be sent under separately to the

BMLO PHILOMEL or the CO of the RNZNVR Division concerned. A copy should be retained by the forwarding MLO (the original inventory will have been forwarded to the DCoord(N) - refer Article "4.4.01 Collection and Inventory of Effects"). On receipt the containers are to be checked to ensure that they are unbroken and do not appear to have been tampered with. The BMLO PHILOMEL or the CO of the RNZNVR Division concerned is to advise the DCoord(N) by signal of the receipt of the effects.

- d. **Effects Held Overseas.** Should it be necessary to consign the effects to New Zealand in advance of the ship's return it is unlikely that RNZAF transport will be available. If civil air or sea consignment is being contemplated, the CO should seek guidance from the MCC. In all cases, the CO is to ensure that all requisite shipping and customs documentation is properly completed.
- e. **Security of Packaging.** Officers mustering effects are to personally supervise the packing and to satisfy themselves of the security of the packages; bearing in mind that these may be transhipped several times before reaching their destination.
- f. In order to lessen the risk of pilferage; parcels, attaché cases, suitcases and kitbags are to be securely tied and/or locked and sealed. The name, rank and Service number of the late owner are to be marked clearly on each package, which should also bear the appropriate address as in para 1. As far as possible new cases, or at least sound cases with new lids, should be used since the existence of old nail holes makes the detection of tampering more difficult. The cases should also be securely wire banded where possible. Several packages can be included in one case, but the effects of one person are to be kept together.
- g. **Valuable Private Documents and Articles.** Special care is to be taken with private papers of value. In no circumstances are such articles to be dispatched with articles of clothing, and other less valuable or significant items. They are to be packed separately and sent by safe hand, courier or registered post, or boxed and sent by such other means as would ensure a reasonable security against pilferage. When a fairly large quantity of valuables is involved they should be packed in a wooden case, nailed down, battened and wire banded. A stout attaché case or suitcase may be used for valuables sent by courier or registered post provided that it can be securely locked and sealed, but several packages of valuables dispatched to the same consignee should always be sent in a wooden box, nailed down, battened and wire banded. On no account are reserved effects to be sent in unlocked suitcase or attaché cases unless they are contained in secure outer boxes.
- h. **Dispatch Advices.** The dispatch of reserved effects or valuables is to be advised to the consignee, requesting acknowledgment of receipt of the consignment. If a receipt does not come to hand within a reasonable time inquiry is to be made of the consignee. The dispatch advice is to be accompanied by the keys of any locked containers and sent by safe hand, courier or registered post to the consignee. If the dispatch advice is signalled, keys of any locked containers are to be sent by safe hand, courier or registered post to the consignee.

4.4.03 Release or Disposal of Effects

- a. **Authority.** None of the effects of a deceased officer, or the reserved effects of a deceased rating, is on any account to be handed over or sent to any person until specific authority for such action is received from the authorised officer (refer Part 4, Chapter 6 of Ref B). No payment is ever to be made locally without specific approval, in respect of any debt owing by the deceased or due from the estate. Such debts are entirely a matter for the person entitled to the estate or executor of a will.
- b. **Security.** Before any diaries, books or photographs of Service interest that may be found in the effects are dispatched to the person entitled, the CO is to ensure that they contain no information contrary to security regulations. In case of doubt, the MCC for ships and the DCN for establishments should be consulted.
- c. **Action Following Authority for Release.** When instructions for the release of effects are

given, a copy of the inventory is to be prepared together with a suitable voucher for acknowledgment of receipt. The inventory is to be prepared in duplicate if the cases of effects have not been opened since they were packed at the ship or establishment in which death occurred, or in triplicate if the cases of effects have been opened (e.g. by the customs, or to extract special items). In the latter situation, the inventory originally included with the effects is to be removed and replaced with the triplicate copy. Only the articles actually found are to be shown on the new inventory.

- d. A letter is to be sent with the inventory advising dispatch and requesting that one copy be receipted and returned; this copy is to be sent to the DCoord(N).
- e. **Private Firearms.** Private firearms cannot be released until all necessary requirements regarding licences have been completed. In cases of doubt, the police are to be consulted.

4.4.04 Deaths in Hospital

When a Serviceperson dies in a Service hospital, action is to be taken as follows:

- (1) **Inventory.** An inventory of the deceased's effects is to be prepared by the MO.
- (2) All effects are to be disposed of iaw Article "[4.4.03 Release or Disposal of Effects](#)", para 1.
- (3) When an inventory is forwarded from a Service hospital direct to the DCoord(N), separate inventories showing any other assets and effects onboard the deceased's ship are to be forwarded as directed in Article "[4.4.02 Custody, Packing and Shipment of Effects](#)", para 3 by the MLO, or officer appointed for this purpose, of the ship concerned.

4.4.05 Personnel of Foreign Navies

- a. If the deceased is a member of a Commonwealth or other overseas force, notification is to be made in accordance with Part 4, Chapter 6 Ref B.
- b. The foregoing instructions are to be modified to the extent that the original inventory is to be forwarded to the DCoord(N) for transmittal to the appropriate national authority in New Zealand with a request for disposal instructions. All the effects are to be retained until the wishes of the foreign authority are known, but if any will or document of a testamentary nature is found, it is to be sent with the original inventory and a certified copy retained on board.

4.4.06 Members of the NZ Army and RNZAF (Regular or Reserve)

- a. On the death of a member of the New Zealand Army or RNZAF, notification is to be made in accordance with Part 4, Chapter 6 of Ref B. The instructions in Article "[4.4.01 Collection and Inventory of Effects](#)" are generally to be followed. All the effects are to be mustered and noted on an inventory, regardless of whether they appear to be Service issue or personal items. The only exception is that any item of naval stores or equipment issued by the ship in which the deceased was serving is to be brought on charge in the appropriate stores account.
- b. Effects are to be secured and held pending instructions from the appropriate parent Service HQ. Ships may land crated and sealed containers of effects into the safe custody of the BMLO PHILOMEL for safe custody.

4.4.07 - 4.4.20 Not Allocated

Section 2 - Personnel Missing, Held as Prisoner of War or Internee

Reference:

A. Naval Forces General Orders

4.4.21 Effects of Missing Persons

In this article the term 'missing person' is to be taken as including personnel who are reported missing, taken Prisoner of War (POW), or interned in a neutral country. The effects of missing persons are to be dealt with in the same way as those of persons deceased, iaw Articles "4.4.01 Collection and Inventory of Effects" and "4.4.02 Custody, Packing and Shipment of Effects", subject to the following modifications:

- (1) **Cash Found.** Cash found in effects is to be 'taken on charge' and the HR Service Centre is to be advised so that it can be credited to the missing person's pay account. Particulars of cash found amongst effects, a statement that it has been brought on charge and confirmation from the HRSC that it has been included on the missing person's balance of pay, are to be noted on the inventory.
- (2) **Inventory.** The inventory is to record all effects, both reserved and unreserved. The unreserved effects of naval ratings are not on any account to be sold before receipt of notification of official presumption of death.
- (3) In ships and establishments in New Zealand the effects of missing persons are to be dealt with as in Article "4.4.02 Custody, Packing and Shipment of Effects", but the original and duplicate copies of the inventories are to be sent under separate cover to the CO PHL instead of to the CN.
- (4) **Missing Persons Overseas.** The effects of persons who are reported missing from ships overseas are to be retained on board, or landed to a suitable military depot for safe custody for three months or until the persons concerned are reported to be prisoners of war or interned. They are then to be dealt with iaw Article "4.4.02 Custody, Packing and Shipment of Effects". The name of the authority in whose charge the effects have been placed is to be reported by the ship concerned to the CO PHL and the DCN.

4.4.22 Release of Effects of Persons Reported Missing

- a. When death has been officially presumed the arrangements for the release and despatch of effects are as laid down in Article "4.4.03 Release or Disposal of Effects", except that the receipt obtained from the consignee is to be attached to the original copy of the inventory and forwarded to the CN. Any compromising documents are to be dealt with as in Article "4.4.01 Collection and Inventory of Effects".
- b. In accordance with Part 4, Chapter 6 of Ref A, the CN may give specific approval for the release of reserved effects before official presumption of death. If this is done, any documents of value are to be excluded from the effects released and retained in naval custody.

4.4.23 Release of Effects of Prisoners of War and Internees

When a person is reported to be a POW or interned, the person officially recorded as their nearest relative or friend will be informed, as part of the casualty procedure as to how application should be made for the release of the effects of the person concerned. On receipt of such application, but not otherwise, the effects can be released. Confidential or compromising documents are not to be sent with the effects unless the application from the nearest relative or friend is accompanied by a written authority for the release of these confidential effects signed by the POW or internee. Release of effects is to be carried out iaw Article "4.4.03 Release or Disposal of Effects", but the receipt obtained from the nearest relative or friend, accompanied by the original inventory, is to be sent to the CN.

4.4.24 Effects of Deceased Prisoner of War or Internee

When notification is received of the death of a POW or internee, and action has not already

been taken as in Article “4.4.22 Release of Effects of Persons Reported Missing”, the procedure for release of effects is as in Article “4.4.03 Release or Disposal of Effects”. If release of effects has already been made, the authority holding the receipts and original inventory is to send these documents to the CN.

4.4.25 - 4.4.99 Not Allocated

Chapter 5 - Correspondence

References:

- A. ADFP 102 - Australian Defence Force Publication for Service Writing
- B. NZSUPP to ADFP 102
- C. DFO 51 - Defence Force Orders for Security
- D. Naval Forces General Orders - Part 4, Chapter 7
- E. DFO 108 - Defence Force Orders for Signal Preparation, Message Addressees and Indication Groups

4.5.01 Authorised Channels

The approved channels for the handling of Service correspondence in the RNZN are detailed in Naval Forces General Orders.

4.5.02 Defence Service Writing Templates

- a. Ref A is approved for use in the RNZN. For organisational, security, legal, operational and cultural reasons, however; not all of the content of Ref A is appropriate for use in the NZDF. Ref B details the approved NZDF changes to Ref A standards.
- b. Correspondence templates to be used are contained in Refs A and B.

4.5.03 The Use of Letterhead

- a. Navy pre-printed letterhead paper is only to be used for external correspondence. It is not to be used internally within the RNZN or between Services. No other unit badges or logos are to be used on internal or external correspondence.
- b. Letters containing the Navy logo are not to be stored electronically unless there is a legal or contractual reason for doing so¹. A monochrome Navy logo is available for use on paper file copies and external faxes if required.

4.5.04 The Conduct of Correspondence

- a. A copy of all correspondence sent from a ship or establishment, together with any enclosures, is to be retained on an appropriate file in the originating unit.
- b. COs and managers are to ensure that acceptable standards are maintained in respect of all official correspondence sent over their signature or on their behalf.

4.5.05 Correspondence Register

- a. A register of the receipt and despatch of all official correspondence is to be maintained in every ship and establishment.
- b. The register is to be under the control of the COs secretary or senior administration staff member, and all entries made in the register are to be retained for a period of three years from the date of their entry.

4.5.06 Parliamentary Inquiries

Parliamentary inquiries are to be dealt with in accordance with Part 6, Chapter 5 of Ref D.

4.5.07 Trademarks and Trade Names

- a. To avoid any accusations of improper use of registered trademarks in drawings and other documents and possible consequent embarrassment to the Service, personnel are reminded that the use of a registered trademark to describe a similar article which is not made by the

1. Unnecessary use of electronic badges and logos greatly increases the transmission and storage capacity required for electronic documents.

owner of the registered trademark is an infringement of that owner's statutory, rights for which damages can be recovered. In addition, in certain circumstances, unregistered trademarks and trade names are also protected by common law.

- b. It is therefore necessary to avoid the improper use of trademarks (registered or unregistered) and trade names in official documents, drawings or publications of any word or device.
- c. An article should normally be identified by its ordinary trade description (e.g. heavy duty electrical socket); any other description should be regarded with suspicion, especially if it includes an invented word, a word used other than with its ordinary dictionary meaning (e.g. 'whale' for pumps) or a surname or a company name (e.g. 'Hoover').
- d. In cases of doubt the matter should be referred to the DCN for guidance.

4.5.08 Code Names

- a. So that offence cannot be caused to another country or to any specific race, creed, or colour, particular care is to be taken when selecting code-names to be used for the designation of operations, exercises, movements, forces, and such like. In addition, scenarios for operations and exercises are to be developed in such a way that they cannot be construed as having any similarity to any particular country or actual incident.
- b. If colours are used as part of the code name to describe a country or force in a scenario, then colours such as brown, yellow, white and black are not to be used.

4.5.09 Classified Documents

The instructions contained in Ref C for the handling and custody of classified documents are to be complied with.

4.5.10 Precedence

Guidance on the use of the authorised indications of precedence is given in Ref E for both correspondence and signal traffic.

4.5.11 Time

In all official documents time is to be expressed by the use of the 24 hour clock.

4.5.12 Signatures and Release Authority

- a. Personnel are to sign their names, legibly, stating their rank after their signature in all documents.
- b. Except as provided in Part 4, Chapter 7, Article 4.7.4 of Ref D, all correspondence connected with the ship is to be signed by the CO. Reports from HoDs or other specialist personnel dealing with special or technical details are to be enclosed with the letter only if necessary for clarification.
- c. **Release of Signals.** The CO may deputise officers to release signal messages on their behalf, and may issue such restrictions concerning the release of signal messages as is considered desirable or appropriate. Personnel authorised to release signals are to be reminded that in accordance with the custom of the Service, that they do so in the name of the CO.

4.5.13 Description of Personnel

- a. **Service Numbers.** Each individual's Service number is to be shown on all entry, Service and personal documents.
- b. **Correspondence.** The following is the style to be used when describing personnel in formal or general correspondence and signals:
 - (1) Naval officers are to be described by rank, initials, surname, decorations and service.
 - (a) If on the retired list, the abbreviation '(Rtd)' is to be appended:

- i. Lieutenant A.S. Browne, RNZN.
 - ii. Temporary Lieutenant Commander J.R. Roberts, RNZNVR.
 - iii. Captain O.L.D. Salt, OBE, RNZN (Rtd).
 - (b) In formal documents all details are to be given in full:
 - i. Sub Lieutenant Harold Johnston, Royal New Zealand Navy.
 - (c) The full description is to be used on the first occasion of mentioning the officer; thereafter a shortened description comprising rank and surname may be used:
 - i. Lieutenant Browne.
 - ii. Lieutenant Commander Roberts.
 - iii. Captain Salt.
- (2) Form of address for ratings are to be described by rank, initials, surname, Service number and decorations. Specialist qualification or trade can be added where appropriate:
 - (a) Leading Seamanship Combat Specialist R. A. Brown, G106897, NZOM.
 - (b) In formal documents all details are to be given in full:
 - i. Leading Seamanship Combat Specialist Reginald Arnold Brown, Service Number G106897.
 - (c) The full description is to be used on the first occasion of mentioning the rating; thereafter a shortened description may be used. In the case of JRs this can be only the surname. For SRs it is to be the rank and surname.
- (3) Personnel of other Services should be described iaw the practice or requirements of their Service.
- c. On accounting and administrative documents, correspondence or messages the Service number, surname, initials and rank of the person is to be shown. On preprinted forms these details are to be entered wherever indicated; blank fields are not permitted. Where no fixed format is given, the general form to be adopted is:
 - (1) **Officers:** the Service number is to be added to the standard description:
 - (a) Lieutenant A.S. Browne, RNZN (W23669).
 - (2) **Ratings:** the standard description is to be used.
- d. **Gender.** Where, exceptionally, it is necessary to differentiate between males and females to avoid possible embarrassment, the annotation '(W)' should be inserted after the rank in the description of females and '(M)' inserted after the rank in the description of males.

4.5.14 Three Letter Unit Designators

To enable originators of correspondence to be readily identified from their references, and to facilitate subsequent referral to any written communication, each ship and establishment is allocated a three/four digit unit designator as shown in "[Annex 5-A. File References](#)". These designators are authorised for use in signals, emails, minutes and other intra NZDF correspondence.

4.5.15 Correspondence with the Dockyard Manager

- a. All matters of a policy nature concerning the Dockyard Management Contract (DMC) for the management of HMNZ Dockyard, or the relationship between the Contractor (Dockyard Manager) and the RNZN are to be addressed to the Logistics Command (Maritime) (LC(M)).
- b. Correspondence concerning work which the Dockyard Manager undertakes for the RNZN is to be addressed to:

- (1) **Routine Matters.** The Chief Executive, Babcock NZ Ltd, Private Bag 32-902, Devonport, North Shore 0744 and should be marked '*For attention*' the appropriate manager, as indicated below:

Operations Manager	General Operational Matters Project Management Production Resource Planning and Maintenance Technical Queries Routine Refit/DED/Project Administration
Technical Services Manager	Naval Architecture Drawing Design and Feasibility Studies Technical Information Management (TIMs)
Quality Systems Manager	Quality Assurance Security Environmental Facilities and Property Executive Support
Business Development Manager (Defence)	Defence Business Development BNZL/RNZN Relationship Issues DMC Contractual Issues Marketing
Human Resource Manager	Health and Safety HR Management
Supply Chain Manager	Purchasing Repair of Stock or Inventory
Estimating and Contracts Manager	Project Estimation and Ship Contracts
Finance Manager	Fiscal Issues Information Systems

- (2) **Contentious Issues.** Correspondence concerning major disruptions to ships programs, warranty claims in excess of \$100K or issues of significant risk to the RNZN are to be marked '*For Attention: The Managing Director*' and are to be released to LC(M) only.

4.5.16 Reclassification of Explosive Stores

The MDAD, as inspector of naval ordnance (New Zealand), is authorised to issue instructions on behalf of the CN regarding any action required to re-classify explosive stores. Such instructions may require to be promulgated by a Navy Order, in which case they are to be referred to the CN. Urgent re-classifications should be signalled directly to those concerned, with the MCC as an information addressee.

4.5.17 - 4.5.99 Not Allocated

Annex 5-A. File References

Description	Prefix
<i>Ships</i>	
HMNZS TE KAHA	TEK
HMNZS TE MANA	TEM
HMNZS CANTERBURY	CAN
HMNZS AOTEAROA	ROA
HMNZS OTAGO	OTA
HMNZS WELLINGTON	WGN
HMNZS MANAWANUI	MAN
HMNZS HAWEA	HAW
HMNZS PUKAKI	PUK
<i>Fleet Establishments</i>	
HMNZS PHILOMEL	PHL
HMNZS WAKEFIELD	WKF
Devonport Naval Base	DNB
<i>RNZNVR Headquarters</i>	
HMNZS NGAPONA	NGA
HMNZS OLPHERT	OLP
HMNZS PEGASUS	PEG
HMNZS TOROA	TOR
<i>Authorities</i>	
The Chief of Navy	NHQ
The Maritime Component Commander	MCC
The Naval Support Command	NSC
RNO CHCH	RCH
<i>Other</i>	
Littoral Warfare Unit	LWU
Maritime Training Group	MTG

Chapter 6 - Customs and Quarantine

Section 1 - Customs Requirements for Ships

References:

- A. Armed Forces Discipline Act 1971
- B. Customs and Excise Act 1966
- C. Convention on International Trade in Endangered Species of Wild Flora and Fauna
- D. Naval Forces General Orders - Part 4, Chapter 12

4.6.01 Customs Regulations

- a. Declarations. All dutiable, taxable, prohibited or restricted articles must be declared (and if necessary produced) to a customs officer, and must be shipped, unshipped or landed only iaw the instructions in this chapter or in the customs regulations.
- b. **Forms.** The information required by customs officers is to be given on the proper forms. Supplies of appropriate New Zealand customs forms are to be held on board all ships likely to depart from New Zealand waters; declaration forms required for overseas ports will generally be provided through the ship's providore or port liaison.

4.6.02 General

- a. The current New Zealand Customs forms are to be found on the following website:
www.customs.govt.nz (Phone: 0800 428 786)
- b. The New Zealand Customs requirements apply to all personnel arriving in New Zealand.
- c. Personnel departing New Zealand for an overseas port(s) are responsible for ensuring that they are aware of the customs provisions of that port or ports.

4.6.03 Assistance to Customs Officers

- a. A New Zealand Customs Officer has the right to board HMNZ Ships and search every part for prohibited and un-accustomed goods. The CO is to render all necessary assistance to the customs officers in carrying out such searches. Customs officers will exercise their right of search with discretion, and will only proceed to a detailed and exhaustive search on receiving information that would make such a course necessary.
- b. Customs officers undertaking searches in HMNZ Ships are to be accompanied by an officer or senior rating throughout the search.

4.6.04 Improper Handling of Dutiable Goods

- a. **Trafficking.** Personnel are not to:
 - (1) sell or give away to any person not entitled to receive them, duty-free tobacco or other dutiable goods on which duty has not been paid; or
 - (2) receive duty-free tobacco or other dutiable goods on which duty has not been paid unless entitled to do so.
- b. **Landing.** Personnel are not to unship or land dutiable goods unless duty has previously been paid to a customs officer on board, in which case the receipt for the payment must accompany the goods.
- c. **Payment of Duty on Board.** Special visits of customs officers to HMNZ Ships or establishments for the purpose of taking duty can be arranged by the CO with the local customs officials. Where duty has been paid on board, a landing pass is not required but the receipt issued by the customs officer must be produced on request on or after landing.
- d. **Re-landing of Stores.** If it is desired to re-land any dutiable stores, other than rations or naval

stores (for example, mess and canteen stores for return to the merchant supplying them), prior notice is to be given to the customs officers at the intended port of landing, who will then make the necessary arrangements for clearance. Before any dutiable goods, which are the property of a private or official person, are landed at the conclusion of a voyage in one of HMNZ Ships, the same procedure is to be followed.

4.6.05 Conveyance of Packages

- a. Packages are not to be received on board any HMNZ Ships for conveyance without the knowledge and approval of the CO, and unless they are properly entered on the Requisition for Freight Movement Form (MD 460), that is to be presented with the packages.
- b. Shipment of merchandise on behalf of individuals, private firms or contractors, without prior approval from the MCC is forbidden.
- c. The NZDF accepts no responsibility for damage or loss by pilfering or otherwise for goods purchased from private firms for individual persons, messes etc, deposited in a NZDF establishment, or conveyed as indulgence freight in any of HMNZ Ships. Any expenses incurred in connection with the handling of such goods will be recoverable from the person or persons concerned.
- d. If not intended to be cleared with baggage on arrival, the marks and stated contents, with the names and addresses of the shippers and consignees, are to be entered in the parcels book. This form is to be initialled by the CO at each port of shipment and is to be produced, if required, to customs at the port of delivery.
- e. Unless previously cleared on board by customs, all packages and parcels must be landed within 48 hr of the ship's arrival in harbour, and removed to an approved bond store, to await authority of the customs for delivery.

4.6.06 Arrival from an Overseas Port

- a. **Returns.** On arrival of HMNZ Ships in New Zealand from an overseas port, the CO is to make the following returns to the Customs Boarding Officer (CBO) before any goods that have been shipped are taken off the ship:
 - (1) A nominal list of all persons on board, including civilians, together with a list of any personal effects carried on behalf of any person who has left the ship overseas.
 - (2) An account of all cargo and of all packages and parcels of goods carried in the ship (see para 3).
 - (3) A complete list of stocks of tobacco, liquor and any other high dutiable items held by the canteen or various messes.
 - (4) A list of dutiable goods in the possession of each passenger prepared in duplicate on a passenger's baggage declaration.
- b. These returns are to be given to the CBO on their boarding the ship or, if they fail to do so within 24 hours of the ship's arrival, forwarded direct to the Collector of Customs at the port. The CO is to ensure that these returns are completed before arrival at the first port of call in New Zealand.
- c. It is necessary that the list of cargo and packages are to contain particulars of all stores, equipment and unaccompanied baggage shipped as general cargo, as well as of miscellaneous small packages listed in the parcels book iaw Article "4.6.05 Conveyance of Packages".
- d. Where a considerable amount of cargo is carried as freight it will probably be more convenient to attach a copy of the bill of landing (or of the cargo manifest) to the list rather than to enter details of every package. Where bills of landing are used they must be legible and securely fastened to the list, each page of the account as finally constituted being numbered consecutively and a covering certificate given in the list of the number of pages forming the account.

- e. **Civilian Passengers.** Any civilian passenger embarked in ports outside New Zealand must be examined by the immigration authorities on landing in New Zealand, and must comply with the usual formalities at the port of disembarkation. No exception to this rule is to be made, even if the integrity of the passenger is known to be beyond all doubt. Should the immigration authorities not be easily available, the presence of such passengers should be reported to an officer of the customs department.
- f. **Sailing Yachts in RNZN Service.** Customs and immigration regulations apply to sail training craft in naval service, and returns must be submitted iaw para 1. Whenever possible the customs authority must be notified beforehand of a yacht's arrival from any foreign port. If prior notification is not possible, arrival is to be made known to the local customs authorities without delay.

4.6.07 Aircraft

All ships which intend to fly off aircraft before arrival in New Zealand are to give notice as early as possible (by signal if necessary) to the CO of the RNZAF base where the aircraft will land, so that advance notice may be given to the customs and Immigration authorities. If it is necessary to disembark to a civil airfield, MCC should be requested to notify the appropriate authorities. Refer also to Naval Forces General Orders Part 3, Chapter 3.

4.6.08 RNZN Canteen Customs Requirements

- a. The CO of a ship arriving in New Zealand from overseas is to ensure that the following procedure is followed by the canteen manager:
 - (1) A complete list of goods in the ship's canteen store at the time of arrival, certified by the CO, is to be given to the CBO. This list is to include the make, model and serial number of electronic goods and watches. The unit value of such goods is to be supplied and invoices to substantiate the values are to be available if required.
 - (2) Canteens are to be closed for business whilst customs officers are on board.
 - (3) On the ship's arrival, the canteen itself is to only contain day to day necessities. These are to be restricted to such items as sweets, toilet gear, t-shirts, soft drinks, stationery and sewing materials. All other goods are to be in the canteen store ready for checking and sealing (if required).
 - (4) Any goods sold on credit or not uplifted at the time of sale, are to be in the purchaser's possession prior to the arrival of the CBO. The purchaser is responsible for declaring the items; they are not to be held in the canteen or the canteen store.
- b. Stores placed in bond are to remain in the canteen store. If for any reason it is necessary to remove bonded stores from the ship, the following is to apply:
 - (1) The seal on the store is only to be removed by a customs officer.
 - (2) The goods must be removed under customs supervision to a secure area approved by the NZ Customs Service and again be placed under seal.
 - (3) If it is desired to remove the goods from the approved stowage for further transfer, including return to the ship, a customs officer must be present to break the seal and supervise the transfer.
 - (4) A customs officer must supervise the transfer of bonded goods from ship to ship, whether or not the goods have been placed under seal.

4.6.09 The Prevention of Smuggling

- a. The crews of ships arriving in a NZ port from foreign ports are not to proceed on leave until customs officers have been on board and the ship granted customs clearance.
- b. All serious cases of contravention of customs regulations, whether punished or not, are to be reported to the MCC.

- c. Families and friends meeting ships on arrival are not to be allowed on board until the ship has been customs cleared. They are to use the main gate on departure and will be liable to scrutiny at the main gate by the customs officials.
- d. All 'rabbits', irrespective of where they are stowed throughout the ship, must be clearly marked with the owner's name and mess deck number. Any unmarked parcels will be liable to confiscation by NZ Customs Service officers.
- e. Every facility and the fullest co-operation is to be given to customs officials at all times.
- f. The CN will provide assistance to the NZ Customs Service in the enforcement of the customs regulations, and takes a grave view of any person being discovered with dutiable goods that do not have the appropriate authority or clearance.
- g. Personnel are warned of the serious consequences, both naval and civil of the failure to declare dutiable goods in their possession on arrival in New Zealand. The CO of a ship proceeding overseas is to bring to the notice of their ship's company the requirements of the Customs and Excise Act and careful period searches and checks are to be made of persons leaving ships. Any offences detected are to be dealt with before the offender is permitted to proceed ashore (refer also to Ref D).

4.6.10 - 4.6.14 Not Allocated

Section 2 - Customs Provisions and Quarantine Requirements for Travellers

4.6.15 General

- a. The current New Zealand Customs forms and quarantine requirements are to be found on the following websites:

www.customs.govt.nz (Phone: 0800 428 786)

www.mpi.govt.nz (Phone: 0800 008 333)

- b. Personnel who have been serving in shore posts overseas, whether in an established post, on exchange or under training, are to be cautioned to seek advice from the New Zealand Customs Service as to their entitlements, as part of the preparations for their return to New Zealand.
- c. The New Zealand customs and quarantine requirements apply to all personnel arriving in New Zealand.
- d. Ships departing NZ for an overseas port(s) are responsible for ensuring that they are aware of the customs provisions and quarantine requirements of that port or ports.

4.6.16 Personnel on Loan or Exchange with RNZN

Advice is to be sought from the NZDF Defence Shared Services Centre, Travel Management Section regarding any specific customs provisions for defence personnel on loan or exchange.

4.6.17 - 4.6.20 Not Allocated

Section 3 - Quarantine Requirements for Ships

References:

- A. BR 69 - International Code of Signals
- B. Biosecurity Act 1993
- C. Food Hygiene Regulations 1974
- D. Naval Forces General Orders - Part 4, Chapter 12

4.6.21 Quarantine Regulations

- a. Ships arriving at ports overseas or in a New Zealand port from abroad are to be guided by the international health regulations.
- b. At ports overseas, all local quarantine regulations are to be strictly observed. In case of doubt, and when the local regulations may not be known, no communication should be held with the shore, or with boats or other ships, until a sufficient time has elapsed to allow for a visit by the local health authority.
- c. Every facility is to be afforded to the local health authorities in the performance of their duties.

4.6.22 Quarantine Signals

The signals to be used by ships arriving in port are given in BR 69 - International Code of Signals, Appendix C. The appropriate signal is to be hoisted by any ship that has not received pratique, and kept flying until pratique is granted.

4.6.23 Port Health Inspections and Pratique

- a. The Director General of Health permits free pratique to be granted to all ships belonging to the following navies arriving in New Zealand where a Health Services Officer (HSO) is carried or is in company, and there are no infectious diseases on board before arrival:
 - (1) Royal New Zealand Navy.
 - (2) Royal Navy.
 - (3) Royal Australian Navy.
 - (4) Royal Canadian Navy.
 - (5) United States Navy.
- b. Ships which do not carry, or are not in company with a ship carrying an HSO, with suspected infectious disease(s) on board, should notify by signal:
 - (1) The MCC, if arriving in Auckland.
 - (2) The local port health officer if arriving at other New Zealand ports.
- c. The signal is to be made no later than 12 hours and no earlier than 24 hours before the expected time of arrival in port.
- d. In the event of any New Zealand port being declared 'infected', ships proceeding from that port to other New Zealand ports, are to observe the above regulations.
- e. In all cases, until freedom of entry has been granted the requisite 'International Code of Signals' flag (or flags) are to be flown by day and signal lights hoisted by night.
- f. In a naval port, pratique is normally given automatically by the naval medical authority if the answers in the maritime declaration of health are satisfactory. In the logistic requirements message made before arrival the state of the health on board should be reported, stating foreign ports visited during the previous four weeks and asking for pratique or quarantine inspection.

4.6.24 Quarantine Control in New Zealand

- a. Details of applicable legislation are available on the Ministry for Primary Industries (MPI) website or by contacting the toll free number 0800 008 333). All fresh or frozen meats, eggs, dairy products, fruits and vegetables, from whatever source, on board a ship arriving from overseas will be subject to quarantine garbage disposal instructions.
- b. Accordingly, the provisions of these instructions (which reflect the provisions of the regulations) are to be strictly complied with in all circumstances.
- c. In order to ensure that a ship returning from overseas is quarantine cleared as expeditiously as possible, and to minimise the costs associated with quarantine garbage disposal, the CO is to ensure that, to the greatest extent possible, fresh and frozen provisions carried on board are exhausted by the planned date of the ship's arrival at the first New Zealand port.
- d. Where exhaustion of ration stocks is not possible, the instructions in the following paragraphs are to be followed:
 - (1) **Meat.** All meat held on board is to be strictly subject to quarantine garbage disposal procedures; unless otherwise specifically authorised by a NZ biosecurity officers. This includes meat of any origin, whether from New Zealand or overseas. Special dispensation may be available where the biosecurity officer can be satisfied that no foreign produce of any nature has been stowed in meat lockers; this should be clarified prior to sailing from New Zealand if the ship's programme indicates that it is unlikely foreign produce will be embarked during the deployment.
 - (2) **Other Ration Stores.** Any provisions on board a ship returning from overseas which are considered by biosecurity inspectors to constitute a quarantine risk are to be disposed of in the manner prescribed by them. Provisions that do not constitute a quarantine risk may, once the ship has been cleared by biosecurity inspectors, be landed. Certification of clearance will be provided in writing by MPI - Biosecurity NZ in the format specified by MPI at www.mpi.govt.nz. All storerooms or compartments in which ration stocks have been held are to be cleaned thoroughly and disinfected to the satisfaction of MPI officials.
- e. **Disposal of Garbage on Berthing.** The notice 'NO GARBAGE OR WASTE TO BE LANDED' will be provided by the port services staff on the ship's arrival. Such notice is to be displayed at all times prior to clearance by the Biosecurity NZ. Prior to clearance all garbage is to be disposed of iaw MPI - Biosecurity NZ directions.
- f. Once a ship has been cleared in writing by MPI - Biosecurity NZ, garbage from the ship and from within the DNB, is to be disposed of iaw the following provisions:
 - (1) Garbage bins will be placed at convenient locations throughout the naval base for the disposal of all wet and dry garbage. Such garbage will be collected on a regular basis by a contractor, and is to be dumped at landfill tips approved by the MPI - Biosecurity NZ.
 - (2) The term 'garbage' includes the following:
 - (a) All waste foodstuffs (also known as wet garbage).
 - (b) All dry litter, in particular:
 - i. cartons and packaging material used for the supply of ships' provisions,
 - ii. dry sweeping from throughout the ship, and
 - iii. drink containers which have been in contact with garbage in sub-para a and b (except those which have been held separately in clean crates or boxes and which are inspected by biosecurity officer and found clean; they can be disposed of in any way).
 - (3) Under no circumstances whatsoever is garbage from the DNB to be used as swill for

animals.

- (4) In other New Zealand ports, MPI - Biosecurity NZ will direct the disposal of all garbage from overseas ships, including visiting warships and submarines.
 - (5) **Oily Materials and Waste.** The only waste materials that may be landed from ships returning from an overseas deployment in the Devonport Naval Base without specific biosecurity clearance are engine room waste, oily waste, paint, paint tins and other similar materials. Tip buckets of 400 gallons (1818 l) capacity painted black and marked 'OIL WASTE' will be provided, removed and emptied on application to the port services staff.
 - (6) **Enforcement.** The COs of all ships are to ensure that the Animal Diseases Prevention (Port and Airport Facilities) Regulations 1977 and these orders are complied with by all personnel under their command. Clear instructions regarding restrictions are to be issued to QMs of all overseas ships and ships not cleared in writing by the NZ biosecurity inspectors.
- g. **Cross Contamination.** To avoid quarantine contamination, under no circumstances are foodstuffs of any kind to be transferred from a ship that has not been quarantine cleared, to a ship that has been quarantine cleared. Any food stores or other items normally subject to quarantine inspection loaded on to a vessel not quarantine cleared, will need to be quarantine cleared prior to disembarkation.
- h. Every endeavour is to be made to avoid berthing a ship that has not been quarantine cleared alongside a ship that has been cleared. In the event that an uncleared ship is berthed alongside (outboard or inboard) a cleared ship, both ships are to be regarded as 'uncleared'. In such circumstances, the rules relating to the disposal of contaminated ships apply to the disposal of garbage on both ships.
- i. No garbage is to be thrown overboard within the territorial limits of New Zealand (or any other country) from any ship returning from overseas.
- j. Once the ship has been cleared by MPI officials, and any quarantine garbage disposed of correctly, all other garbage is to be disposed of iaw normal procedures governing the particular port at which the ship is berthed.
- k. **Plant Quarantine.** The regulations governing plant quarantine are designed to prevent the importation of insect and plant diseases and generally prohibit the import of all plant products. If there is a desire to import specific items, information is to be sought from the local agriculture quarantine officer prior to departure from New Zealand.
- l. **Motor vehicles and helicopters.** HMNZ Ships which carry motor vehicles and helicopters are to observe the following:
- (1) Motor vehicles are to be steam cleaned or water blasted, to remove all mud, dirt and all other organic debris/matter from the chassis and bodywork (including tyres, vents, external fittings). The interior of the vehicle is to be thoroughly cleaned, the contents of which are to be treated as prohibited garbage. No vehicle is to be landed until cleared by a biosecurity inspector. Any vehicle not cleaned to the satisfaction of the biosecurity inspector is to be re-cleaned under their direction.
 - (2) Aircraft undercarriage is to be washed free of soil and the interior is to be thoroughly cleaned, the contents of which are to be treated as quarantine garbage. The cabin interior will be sprayed with an insecticide by MPI officials on arrival in New Zealand. Refer also to Naval Forces General Orders Part 3, Chapter 3.
- m. **Advice of Movements.** The MCC, RNO, or other senior officer is to advise the local MPI - Biosecurity NZ office of the anticipated date of arrival of naval vessels from overseas and to arrange for their inspection. Where appropriate, Biosecurity NZ officers and the NZ Customs Service officers will board the ship and carry out their inspections at the same time.

4.6.25 On Board Storage of Quarantined Rations Stores

- a. Frozen foodstuffs can be stored in one of the ships' freezers or in a container on board HMNZS CANTERBURY (CAN). Any conditions laid down by MPI - Biosecurity NZ are to be adhered to at all times. Generally, these conditions will include, but may not be limited to:
- (1) The freezer/container must be securely padlocked and sealed with a biosecurity seal by a Biosecurity NZ inspector.
 - (2) Transfer of frozen stores from ships arriving from overseas to containers on board CAN must be under the supervision of a Biosecurity NZ officer, at the ship's expense.
 - (3) Only unopened packets may be stored or transferred.
 - (4) Any emergency opening of the freezer/container whilst in New Zealand territorial waters must be immediately reported to the nearest MPI - Biosecurity NZ office.
 - (5) Any frozen stores that have originated from vessels arriving from overseas and stored in containers on CAN may only be transferred to a ship's freezers outside New Zealand territorial waters.
- b. The CO of the ship is to nominate an individual to be responsible to them for the locking and security of the quarantine stores. The CO is accountable for the secure custody and ongoing compliance with MPI - Biosecurity NZ requirements.

4.6.26 - 4.6.99 Not Allocated

Annex 6-A. Ministry of Primary Industries - Biosecurity NZ - RNZN Ship Quarantine Clearance

I, the Commanding Officer of HMNZS _____

hereby certify that:

- a. all fridges/freezers are empty of foodstuffs;
- b. no fresh or frozen meats, eggs, dairy products, fruits or vegetables are carried on board; or
- c. fresh or frozen foodstuffs as detailed on the attached list are carried on board;
- d. all storerooms or compartments, including cafeterias, galleys and vegetable lockers in which ration stocks have been held have been thoroughly cleaned and disinfected as appropriate; and
- e. no plants or animals are carried other than those belonging to individuals who have been instructed to declare them separately.

To the best of my knowledge and my belief the foregoing statements are true and correct in every particular.

Dated this _____ day of _____ 20__

at _____ Signature _____

Commanding Officer

Having satisfied myself as to the correctness of the above that items subject to quarantine restrictions have been disposed of or treated as directed and confirmed that other foodstuffs remaining onboard are not subject to any quarantine restrictions,

HMNZS _____ is no longer classified as an 'overseas' ship and is cleared of all quarantine restrictions until such time as it again proceeds overseas, embarks any foodstuffs subject to quarantine restrictions or is berthed alongside an 'overseas' ship.

Date _____ Signature _____

Name _____

For Ministry of Primary Industries

Chapter 7 - Messing and Accommodation

Section 1 - Royal New Zealand Navy Messes

References:

- A. Naval Forces General Orders Part 4, Chapter 14
- B. NZBR 24 - RNZN Non Public Funds Manual
- C. DFO 3 - New Zealand Defence Force Human Resource Manual
- D. Naval Forces General Orders - Part 1, Chapter 8

4.7.01 Mess Rules

Mess rules are to be drawn up by the committee to suit local conditions and in conformance with the mess constitution. Rules are to be referred to a general meeting for endorsement and then submitted to the CO for approval.

4.7.02 Mess Membership

- a. Membership of naval messes is controlled by mess committees iaw respective mess rules.
- b. Approved membership types include, but are not limited to:
 - (1) full members;
 - (2) affiliated members;
 - (3) honorary members;
 - (4) associated members; and
 - (5) life members.
- c. The mess rules/constitution should contain a detailed description of each type of membership as it pertains to the specific mess.
- d. Every senior rating posted within Devonport Naval Base or serving in HMNZ Ships is to be a member of the Senior Ratings' Fleet Mess (SRFM).

4.7.03 Mess Committees

- a. In accordance with Ref A, the mess is to form a committee, which is to manage the affairs of the mess.
- b. The mess committee is to be made up of full mess members and consist of:
 - (1) a president;
 - (2) a secretary;
 - (3) a treasurer; and
 - (4) other members, as required by the mess constitution.
- c. Where a mess manager is complemented, such positions are not elected but are to be ex-officio members of the committee. Mess managers have no voting powers unless otherwise provided in the mess constitution.
- d. The president of a mess is not to also hold the office of secretary or treasurer of that mess, except in special circumstances with the CO's specific approval. The offices of secretary and treasurer are normally to be held by separate persons, but can be combined with the CO's approval.
- e. **Wardroom President and Mess Committees.** The president of the wardroom shall be the officer appointed as the XO. The senior officer of commanders rank or below borne for ship's duties (i.e. not additional or for staff duties) shall be the vice-president and shall act for the

president in the XO's absence.

- f. The make-up of the wardroom mess committee is to be in accordance with the above instructions with the addition of the following: The SO (if not already a member by virtue of election or mess office) is to be a member, so that they can adequately discharge their responsibilities to their messmates and their department under Article ["1.4.30 Rationing and Catering"](#). If the mess should fail to elect representatives to the committee, the HoDs shall replace the elected element of the committee and shall be responsible for the proper management of the mess.
- g. **Responsibilities.** The internal management of the wardroom is to be conducted by the mess committee, but all irregularities are to be checked by the president or, in their absence, the senior officer present. If necessary, such irregularities are to be reported to the CO.
- h. **Ratings' Mess Presidents.** Each mess is to have a president elected by the members and approved by the CO. The president is to have disciplinary authority over all other members of the mess, regardless of their seniority, in all matters concerning the proper administration of the mess. The president is to be accountable to the CO through the XO, for the maintenance of good order, discipline and proper administration within the mess. The president shall have the authority to debar any member of their mess from using the amenities and bar facilities provided, where the misconduct or insobriety of the member has made this measure necessary.

4.7.04 Election of Mess Committee Members

Except for in wardrooms, where the executive officer traditionally holds the appointment of mess president, all other members of mess committees are to be elected at a general meeting. Nominations for the positions of president and members of mess committees are to be elected at a general meeting. Nominations for the position of president and treasurer are to be approved by the CO prior to the election taking place; this includes wardrooms where no XO is borne.

4.7.05 Term of Office

The term of office for the mess committee will normally be 12 months, unless otherwise specified in the mess constitution. The exception to this rule is the mess president of the wardroom, who will hold this appointment while posted as XO.

4.7.06 Vacancies of the Mess Committee

Should a vacancy on the committee occur, it is to be filled by election at a general meeting iaw Article ["4.7.04 Election of Mess Committee Members"](#).

4.7.07 Supervising Officers

In accordance with Ref A, the CO is to appoint supervising officers for ratings' messes. Supervising officer's duties are detailed in Ref B.

4.7.08 General Meetings

General meetings are to be held at least annually and are to be regarded as a duty for full members. Associate members are to be encouraged to attend. Notice of such meetings, together with agenda and financial statements, are to be published at least seven days before the date of the meeting.

4.7.09 Extraordinary or Special Meetings

Extraordinary or special meetings to discuss important matters of an urgent nature can be called by the mess committee at any time. Notice of such meetings is to be advised to all members.

4.7.10 Minutes

In accordance with Ref A, minutes are to be taken for all mess meetings. Minutes of the

proceedings are to be recorded iaw Ref B.

4.7.11 Mess Fees

- a. In accordance with Ref A, mess fees are to be levied against members of the wardroom and senior ratings' messes. Mess fees are not to be levied in junior ratings' messes. The mess rules of each mess should include details on setting and reviewing mess fees (for each type of membership), payment frequency and method, and the mess credit policy as appropriate.
- b. **Wardrooms.** Full and associate members of an officers' mess are to pay a fee to defray the ordinary expenses of the mess at a rate to be authorised by the CO. The fees are to be charged from the date of joining and are to be charged monthly in arrears. Members leaving the mess are to be charged prior to their departure. Where annual fees are set, they are to be charged from the beginning of the period and paid within three months of the commencement of that period.
- c. Subject to the approval of the CO, the wardroom mess committee may charge special levies, and exemptions for payment of those levies may be granted to members at the discretion of the CO.
- d. **Senior Ratings' Messes.** Members of the SRFM are to pay monthly subscription as determined by the mess committee and as stated in the SRFM Constitution. Senior ratings who are posted out of the Devonport Naval Base and who become a member of a mess in other Defence Force establishments out of the Auckland Region are not required to pay mess fees to the SRFM.

4.7.12 Provision of Credit

- a. In accordance with Naval Forces General Orders Part 4, Chapter 14, the CO may approve mess credit as follows:
 - (1) **Sea-going Units.** The CO may approve the provision of credit to members of their wardroom or senior ratings messes only.
 - (2) **Shore-based Messes.** The CO may approve the provision of credit to members of their wardroom.
- b. **Limit to Mess Bills.** The CO is to limit or stop the use of any mess bills which they consider excessive or extravagant, having regard to the description of alcohol consumed and the amount of hospitality exercised. COs may limit the mess bill for the purchase of alcohol of junior officers as they consider necessary, taking into consideration official functions and guests entertained.
- c. **Payment of Mess Bills.** The CO is to see that all mess bills are settled monthly by each member. Members of the mess are normally required to pay their accounts by the 20th of the month. The CO is to limit or stop the provision of credit to those members unable or unwilling to pay their mess bills in a timely manner.
- d. **Private Cheques.** The mess committee may arrange, at their discretion and subject to the limits laid down in Ref B, for the cashing of private cheques from mess funds for which they are responsible, on the understanding that the members of the mess as a whole assume all financial responsibility in connection with such transactions.
- e. **Outstanding Debts on Posting.** The president of the mess is to report to the CO if a mess member is in debt to the mess on posting or on release from the Service and the CO is to take such action as may be appropriate to recover the debt.
- f. **Deserters.** The balance of pay of a deserter, other than money which should have been paid, but was not paid, on the last regular pay day prior to desertion, cannot be appropriated for payment of mess bills. If it should be considered desirable to recover a mess debt from the proceeds of the sale of the deserter's effects, prior approval from the CN must be obtained.
- g. Further criteria for the provision of credit to mess members is laid down in Ref B.

4.7.13 Inspection of Mess Bills

- a. Bar and associated accounts are to be kept as provided in Ref B and are to be produced whenever called for by a competent authority.
- b. The CO of a sea-going unit is to inspect the mess bills of the wardroom members no less than quarterly and at any other time they think fit. After each inspection of the mess bills, the CO is to initial the summary page as evidence that the accounts therein have been examined. Officers' mess bills in Fleet establishments need not be inspected by the CO unless they deem it exceptionally to be necessary. Refer to Article "4.7.12 Provision of Credit" (para 2) regarding the power of the CO to limit or stop mess bills.
- c. The supervising officer of a senior ratings' mess is to inspect the bar accounts of the members as part of their monthly checks. The supervising officer is to report to the CO any concerns they have over any of the bar accounts of members of the mess for which they are the supervising officer. The CO may take action iaw Article "4.7.12 Provision of Credit" with regard to limiting or stopping credit as they see fit.
- d. When a ship is inspected, statements of the condition of all NPFs are to be produced with the individual mess bills to enable the inspecting officer to ascertain whether or not the instructions relating to bar accounts have been complied with.
- e. **Disposal of NPFs.** Refer Chapter 1 of Ref B regarding the disposal of balances in NPFs on entering extended maintenance periods, winding up or loss of the ship.

4.7.14 Sale and Supply of Alcohol

Messes are not established exclusively for the supply and/or sale of alcohol. This function is to remain secondary to the main purpose of providing recreational and social activity. The supply and sale of alcohol in messes is to be limited to the hours of operation as defined in local orders, and such trading activity is to conform to the requirements of Part 12, Chapter 7 of Refs C and D.

4.7.15 Insurance Cover

Refer to Ref D.

4.7.16 Mess Security

Mess rules are to contain adequate provisions for the control and security of the mess, its property and stock.

4.7.17 Dress

The mess committee is to ensure that members and guests maintain the appropriate standard of dress as is prescribed by mess rules. Such mess rules are not to contravene local orders concerning dress standards in Defence establishments.

4.7.18 Guests

Members of respective messes are responsible for the conduct of their guests and any expenses incurred. Mess rules are to contain instructions for the admittance and conduct of guests in the mess.

4.7.19 Mess Personnel

In a shore establishment, a sufficient number of appropriate staff members are to be employed or assigned to the respective messes.

4.7.20 Mess Managers

The CO of a Fleet establishment may authorise the president to delegate day-to-day administration of the mess to a nominated SR or civilian of equivalent status, who will be known as the mess manager.

4.7.21 - 4.7.24 Not Allocated

Section 2 - Messing of Officers

References:

- A. Naval Forces General Orders - Part 4, Chapter 14
- B. NZBR 24 - RNZN Non Public Funds Manual
- C. NZBR 25 - RNZN Cash Accounting Instructions

4.7.25 Table of the Captain

Captains and commanders in command may keep a separate table wherever deemed practical and/or appropriate. Where a separate mess is provided, a lieutenant commander in command can keep a separate table if desired, but no additional domestic staff members are to be provided for this purpose.

4.7.26 Conduct of the Wardroom

The CO is to take care that the wardroom is conducted in an orderly and economical manner so as to be within the means of every member. If the CO should discover that excess, extravagance, or irregularity has occurred, either in the case of any mess generally or in that of individual officers, they are to give such directions to prevent a repetition of such behaviour and, if necessary, report the matter to the MCC or DCN (as appropriate).

4.7.27 Closing of Bars and Pantries of Sea-going Units

- a. No refreshments are to be served in a wardroom after 2300 without the express permission of the president of the mess (or in their absence, the vice-president).
- b. Notwithstanding the expectation that officers will behave in a responsible manner, the mess president is responsible for the proper conduct of the bar in the mess and for ensuring compliance with instructions concerning the consumption and stowage of alcohol and for the maintenance of proper accounts.
- c. The wardroom is to be closed as directed by the CO.

4.7.28 Debts Incurred in Officers' Messes Overseas

- a. Officers who are granted temporary membership of a wardroom or officers' mess outside New Zealand, other than in the circumstances in para 2 below, are to personally settle all mess bills incurred by them prior to departure from the country concerned. It is the duty of individual officers to ascertain the extent of such mess bills and to make appropriate arrangements for settlement from their personal finances.
- b. Where HMNZ Ships overseas are required to undergo maintenance which involves the messing and/or accommodation of RNZN personnel on shore in messes under the control of the armed forces of another country, mess treasurers are to ensure that all mess bills are settled in full before the ship departs from the area concerned. In these circumstances the treasurer may be permitted to settle all individual accounts from mess funds and subsequently charge the debts to individual mess accounts.

4.7.29 - 4.7.33 Not Allocated

Section 3 - Officers' Cabins

Reference:

A. Naval Forces General Orders - Part 4, Chapter 14

4.7.34 Allocation of Cabins

Sea-going Units

- a. In accordance with Ref A, cabins will be allocated in the following manner.
- (1) **Named Cabins.** Named cabins will be shown on the ship's drawings for officers appointed to perform the following duties:
 - (a) CO,
 - (b) XO,
 - (c) SO,
 - (d) MEO,
 - (e) WEO, and.
 - (f) NO.
 - (2) **Officers with Specified Duties.** Cabins will be allocated to other officers in order of seniority, except that officers appointed to carry out the following duties are to be provided with a single cabins as they are available (the list is not in order of preference):
 - (a) FLT CDR,
 - (b) OPSO,
 - (c) MO,
 - (d) Chaplain, and
 - (e) Captain's Secretary (when posted as such).
 - (3) **By Seniority.** Cabins will be provided for the remaining officers in order of seniority, subject to the following considerations:
 - (a) Officers regularly employed on watch-keeping duties are to take precedence over other officers of the same rank insofar as this may be necessary to provide them with single cabins.
 - (b) In allocating of numbered cabins the CO should take into account the desirability of some dispersal of officers to reduce the effects of war or other damage.
- b. An officer allowed by establishment is normally to take precedence in cabin allocation over an officer of whatever rank who is supernumerary, additional, or for passage. The CO can; however, make an exception in cases where officers are posted additionally to perform some special and important service.
- c. An officer who elects to occupy a cabin to which they are not normally entitled is to do so on the clear understanding that they may be required to vacate it at short notice or move to another allocated cabin as may then be vacant, in order to cause the minimum disruption to other officers.
- d. An officer posted in lieu of one of higher or lower rank is to be considered for cabin accommodation in respect of their actual rank, except when specifically posted to one of the named posts in para 1.

Shore Establishments

- e. The CO is to allocate cabins as they see fit based on similar principles as for sea-going units, as is applicable.

- f. The CO PHL is to ensure there is suitable accommodation available for VIPs and senior officers on, or in the vicinity of the DNB.

4.7.35 Officers under Training at Sea

- a. Junior officers undergoing Stage 3 Training at sea, other than those CFR or entered under a DE scheme, are to mess in the gunroom where one is provided.
- b. Other officers under training may be allocated a single cabin if one is available, but under no circumstances are they to displace a ship's officer.

4.7.36 - 4.7.39 Not Allocated

Section 4 - Messing of the Ship's Company

Reference:

A. Naval Forces General Orders - Part 4, Chapter 14

4.7.40 Accommodation and Messing of the Ship's Company

Sea-going Units

In accordance with Ref A, ship's company will be accommodated at the CO's discretion with the following guidance:

- (1) As far as is practicable, separate messes are to be provided for SRs. In ships with cabin allocation for SRs, WOs are to take precedence for the allocation of single cabins.
- (2) The MAA or coxswain is, regardless of rank, to be provided with a separate cabin whenever possible.
- (3) SRs will be provided with a SRs' dining room or an area within their respective messes.
- (4) In allocating accommodation to the ship's company, the CO is to give consideration to the desirability of dispersing ratings of each branch through the various messes provided, in order to reduce the effect of war or other damage or to achieve proximity to a rating's action station. This is to be balanced with the desirability of ratings of the same branch or division being accommodated together.
- (5) Accommodation of mixed genders. Except in extreme circumstances, male and female ratings are not to be assigned to the same cabin or enclosed mess.
- (6) The principles set out in "[Section 2 - Messing of Officers](#)" in relation to officers are to be applied as appropriate to SRs' messes.

4.7.41 Conduct of Senior Ratings' Messes

- a. **Commanding Officers' Responsibilities.** The CO through the XO and the mess supervising officer, is to take care that SRs' messes are conducted in an orderly and economical manner so as to be within the means of every member. If the CO should discover that excess, extravagance or irregularity has occurred, either in the mess generally or on the part of individual members, they are to give such directions to prevent a repetition of such behaviour.
- b. Notwithstanding the expectation that senior ratings will behave in a responsible manner, the mess president is responsible for the proper conduct of the bar in the mess and for ensuring compliance with instructions concerning the consumption and stowage of alcohol and for the maintenance of proper accounts.

4.7.42 Closing of Bars in Senior Ratings' Messes

Alcohol is not to be consumed in SRs' messes, whether at sea or in harbour, after 2300.

4.7.43 Shore Establishments

The CO of a shore establishment is to allocate cabins as they see fit based on similar principles as for sea-going units, where applicable.

Section 5 - Service Housing

References:

- A. DFO 3 - Part 8, Chapter 8
- B. Naval Forces General Orders - Part 1, Chapter 7, Section 4
- C. Residential Tenancies Act 1986

4.7.44 NZDF Accommodation Policy: Housing

- a. The policy governing the provision of Service housing for members of the NZDF is contained in Ref A.
- b. Ref A includes direction on the following topics not expanded on in these instructions:
 - (1) waiting lists;
 - (2) designated housing;
 - (3) declining a Service house;
 - (4) allocation of housing to non-NZDF personnel;
 - (5) priority for allocation for Service housing;
 - (6) tenancies of the civil staff;
 - (7) service rental charges and the rental review process (including specific direction on Service tenancy rental charges for naval housing at Devonport - refer to Article 8.9.53 of Ref A; and
 - (8) directed tenancies.

4.7.45 Residential Tenancies Act 1986

- a. The provisions of Ref C are binding on the Crown. The NZDF tenancy agreement and local conditions applied to Service housing have been drafted in accordance with this Act. For the purpose of the Devonport Service Housing Tenancy Agreement the CO PHL is the landlord's representative, and the Service member who signs the agreement is the 'Tenant' for intents and purposes of that tenancy.
- b. Ref C provides for access to the Tenancy Tribunal where disputes arise.

4.7.46 Organisation

The CO PHL is responsible for the administration and allocation of Service housing in the Devonport/North Shore area.

4.7.47 Service Housing Maintenance

The Defence Shared Services (DSS) Property Group, through Facilities Maintenance Services (FMS) (Devonport), is responsible for the maintenance, redecorating and upgrading of all Service houses.

4.7.48 Eligibility

- a. For Service personnel to be eligible for Service housing in the Devonport/North Shore area they must have completed three years NZDF Military Service and meet at least one of the following criteria:
 - (1) Married or in a recognised relationship (as defined in Ref A).
 - (2) Have 50% or more shared care responsibility of children and submit a legal document verifying the custodial arrangements in support of their application.
 - (3) Designated as the 'principal provider', which is someone with the greatest responsibility for a person and the provider of ongoing daily care for that person. Where there is no

agreement as to who is the principal provider, then the following guidelines shall apply. Either:

- (a) the Director General of Social Welfare determines that person has primary responsibility for the individual under Section 70B of the Social Security Act 1964, then that person shall be regarded as the principal provider, or
 - (b) the principal provider has been determined by a naval social worker.
- (4) Expectant mothers who are at least six months into their pregnancy and who submit a medical certificate verifying the estimated date of delivery in support of their application. No allocation will be made prior to six months into the pregnancy.
 - (5) RNZAF and New Zealand Army personnel who meet the requirements outlined in this article, and who are posted to Devonport Naval Base (excluding personnel on a tour of duty), are eligible to apply.
- b. A waiver for the eligibility criteria at para 1 may be requested in writing to the CO PHL. Specific reasons for the application are to be included in the request for a waiver.
 - c. In exceptional circumstances, and subject to housing availability, the requirement at para 1, to have completed three years' NZDF Military Service, may be waived for re-entrants, lateral and direct entry recruits if the individual's recruitment is critical to organisational needs and non-eligibility for Service housing acts to preclude enlistment. All other provisions will still apply. Re-entrants who have previously lived in Service housing will have their eligibility determined as follows:
 - (1) Six years, less complete years in Service housing (C), plus complete years from terminal date to re-entry date (R), determines eligibility (E) (maximum six years). This is represented by the formula $6-C+R=E$.
 - (2) Service housing may be allocated to non-NZDF tenants iaw Article 8.9.56 of Ref A.

4.7.49 Ineligibility for Service Housing

The following Service members are, or will become, ineligible for Service housing:

- (1) Personnel who do not satisfy any of the eligibility criteria (Article "4.7.48 Eligibility"), or whose eligibility ceases.
- (2) Personnel who are within seven days of their terminal date.
- (3) A person or their partner by marriage or recognised relationship who owns or purchases a financial interest in a dwelling within 50 km radius of their place of duty (deemed to be DNB for personnel serving at sea). For the purpose of this assessment, a beneficial interest in a house which is legally owned by a trust or LAQC will also render personnel ineligible for a Service house.
- (4) Personnel who proceed on more than 90 days' LWOP.
- (5) Personnel who have completed six years' residency in Service housing, unless re-eligible under Article "4.7.48 Eligibility" para 3. above.
- (6) Personnel who post out of the Auckland region (except those who are posted unaccompanied).

4.7.50 Special Fixed Tenancies

- a. If the number of houses exceeds demand, or compassionate reasons exist, eligibility criteria may be relaxed. Applications for special fixed tenancies will then be considered on a case-by-case basis. Tenancies under this clause will not accrue tenancy duration in Service housing.
- b. Fixed tenancies will be for a period of six months; however, this may be reviewed and extended to 12 months if the availability of Service houses still exceeds demand, or the compassionate grounds continue to exist.

- c. Applications for a fixed tenancy are to be forwarded to the DSS Service Delivery Manager (SDM) through the DSS Service Delivery Centre accommodation team. Personnel wishing to claim compassionate grounds in support of their application will be interviewed by a RNZN social worker, and a report including a recommendation on the individual's suitability is to be rendered with their application.

4.7.51 Termination of Tenancy

- a. Service housing tenancy may be terminated by either the Landlord or the Tenant in accordance with the termination provisions in the tenancy agreement.
- b. Personnel who cease to be eligible for Service housing in accordance with the eligibility provisions at Articles "4.7.48 Eligibility" and "4.7.49 Ineligibility for Service Housing" during the course of their tenancy are to immediately advise the SDM in writing of their change in eligibility status. A notice to terminate the tenancy in accordance with the appropriate notification period will be issued by the DSS accommodation team, unless the Tenant advises the SDM in writing of a notice to terminate in a lesser time period than that prescribed by the Customer Support Agent - Housing Officer (CSA-HO). The SDM is not obligated to, but may accept a notice to terminate from the tenant at less than 21 days' notice.
- c. Should compassionate circumstances cause the loss of eligibility, notice to terminate may be extended to 90 days. The Tenant will be referred to a RNZN social worker, who will provide advice to the SDM on whether or not the tenant's circumstances warrant an extension.
- d. Notwithstanding any of the above, a person who is administratively or medically discharged will, on application, be provided with an extension of tenancy to one week beyond their terminal date. Prior to terminal date, the tenant will be required to lodge funds to cover rent and potential damage liability, with the CSA-HO.
- e. The CSA-HO will issue a notice to vacate at least 42 days prior to the six year anniversary of the tenancy. It is the responsibility of tenants to be aware of that date and make appropriate and timely alternative housing arrangements.

4.7.52 Term of Tenancy

The duration of a normal tenancy in the Devonport/North Shore area is limited to an aggregate of six years occupancy in Service housing, regardless of the location of previously tenanted Service housing. If the partner by marriage or recognised relationship is also a Service member, the six year aggregate is the total number of years' occupancy of a Service house by either the Tenant or partner, regardless of who holds the tenancy. The time spent in Service housing by the partner with the longest period of tenancy will be the time used to assess the remaining period of entitlement, regardless of which person is the nominated Tenant.

4.7.53 Pets

Service housing occupants may make application to keep one dog (except any housing units specifically excluded by the DSS SDM) and other pets in accordance with the HMNZS PHILOMEL Base Standing Orders.

4.7.54 - 4.7.59 Not Allocated

Section 6 - Barrack Accommodation

References:

- A. DFO 3 - New Zealand Defence Force Human Resource Manual
- B. Naval Forces General Orders - Part 1, Chapter 7, Section 4

4.7.60 Residential Tenancies Act 1986

The Residential Tenancies Act does not apply to premises which constitute barracks conducted by the Armed Forces for the accommodation of personnel subject to the AFDA 1971.

4.7.61 NZDF Accommodation Policy: Barracks

- a. The policy governing the provision of Service barrack accommodation for members of the NZDF is contained in Ref A.
- b. Ref A includes direction on the following relevant topics not expanded on in these instructions:
 - (1) occupation of barrack accommodation by civil staff;
 - (2) priority for allocation;
 - (3) barrack charges and the review process;
 - (4) standard of barrack accommodation;
 - (5) accommodation assistance when living-in; and
 - (6) notice for occupants of barrack accommodation.

4.7.62 Eligibility for Barrack Accommodation

- a. All RF personnel and members of other armed forces are eligible to occupy RNZN barrack accommodation, subject to availability.
- b. Barrack accommodation may be provided for non-NZDF personnel on a case-by-case basis.

4.7.63 Personnel Directed to Live in Barracks

- a. The CO PHL may direct personnel to live in or out of barrack accommodation as appropriate.
- b. In specific circumstances, personnel will be required to live onboard, in which case barrack accommodation will be provided for those personnel. Personnel directed to live onboard will normally be in one of the following categories:
 - (1) personnel under training or instruction, or required to supervise trainees;
 - (2) duty personnel required to remain on board for emergency or safety purposes, or to facilitate call-out;
 - (3) personnel under certain types of punishment; and
 - (4) patients in the DHC, DNB.

4.7.64 - 4.7.99 Not Allocated

Chapter 8 - Historical Artefacts and Records

Section 1 - Historical Artefacts and Records: General

References:

- A. Public Records Act 2005
- B. Naval Forces General Orders - Part 4, Chapter 19

4.8.01 The National Museum of the Royal New Zealand Navy

- a. The Navy Museum is situated at Torpedo Bay Devonport Auckland. The Museum is normally open 1000-1700 daily and is only closed on Christmas Day, Boxing Day and Good Friday. The Navy Museum is also available to be used for functions.
- b. The Museum collection is housed in a purpose built collections store located in the North Yard of HMNZS PHILOMEL.

4.8.02 Historical Records

Reference A requires that the RNZN preserves all documents relating to the activities and undertakings of the Service. When no longer required for use, all correspondence files and records must be offered to Archives NZ for inclusion in the holdings of that organisation (see ["Section 2 - Retention and Disposal of Records"](#)).

4.8.03 Reports of Proceedings

In addition to normal correspondence files, an historical narrative is to be kept by the HQ, and all ships and establishments. Where ships and establishments render reports of proceedings iaw Naval Forces General Orders Part 0, Chapter 7, Article 0.7.15, those reports together with the ship's log, record sufficient detail to comply with this requirement. A copy of the report of proceedings is to be retained in the ship in a suitable file that is to be clearly marked 'HISTORICAL RECORDS - DO NOT DESTROY'. COs are to ensure that one copy of the report of proceedings for the HQs, and all ships and establishments is deposited with the Navy Museum (Attention: Researcher).

4.8.04 Unit History Sheets

- a. The organisations and establishments which are to maintain a Unit History Sheet (UHS) are listed in Ref B.
- b. COs are to appoint an officer to be unit historian. This officer is to be responsible for completing the UHS, which is to be verified monthly by the CO.
- c. The objective of the UHS is for it to be a complete historical record of the organisation, including an accurate record of each operation carried. Unit historians are to ensure that the entries made are sufficient to achieve this objective, see ["Annex 8-A. Instructions for the Preparation of Unit History Sheets"](#).
- d. Entries in UHS are to include:
 - (1) A chronology of important dates in the unit or organisation's history.
 - (2) The organisation and responsibilities of the unit, including personnel establishments and strengths.
 - (3) Subsequent changes in location, function, organisation, strength, command, accommodation, equipment, and such like (with references).
 - (4) A summarised account, on at least an annual basis, of all operations or activities and important conferences or exercises (with reference to relevant orders).
 - (5) A record of significant promotions, awards, casualties particularly those relating to senior officers and SRs.

- (6) Reference to any individual exploit of outstanding interest or merit by personnel.
 - (7) The names of distinguished visitors and the purpose of the visit.
 - (8) Notes on works plans and activities in the case of establishments.
 - (9) Notes on social, sporting and welfare activities.
 - (10) Maps showing the location of the unit, its boundaries, installations, buildings, and all subsequent major alterations and additions. A copy of the fixed asset register (or extracts) applying to the unit should be included.
 - (11) Photographs of personnel, buildings, equipment and events.
- e. Full use should be made of annexes to UHS where necessary or appropriate to ensure that all relevant material is included.
 - f. **Classification.** In order to include all important occurrences or events, generally, UHSs should not be given a security classification unless absolutely necessary. In time of war, UHS are to be given an appropriate classification.
 - g. **Disposal of UHS.** UHS are to be forwarded monthly, complete with annexes and other material, to the CO PHL, DNR (as applicable) and Navy Museum (Attention: Researcher). A copy of the UHS is to be forwarded to and retained by the Navy Museum. A further duplicate is to be provided to CN.
 - h. When a war diary is being maintained iaw Article [“4.8.06 War Diaries”](#) the information entered into the UHS need not include operational or other matters that are recorded in the war diary. The continued completion of basic details in UHS is, however, necessary to maintain continuity of the physical history of the unit.

4.8.05 Navigational Data Books

The CO is to forward to the Navy Museum by 31 Mar of each calendar year, a copy of the narrative section of the navigational data book for the preceding calendar year.

4.8.06 War Diaries

- a. War diaries are to be maintained in accordance with Ref B. War diaries are required to facilitate research into the effects of wartime policy, measures and operations and to provide material for the compilation of staff histories.
- b. The diary is to be completed in the form at [“Annex 8-B. Instructions for the Preparation of War Diaries - Form RNZN059”](#). Sections 1 and 5 are obligatory for ships and establishments. Sections 2-4 are to be rendered by the MCC and other formation commanders as appropriate or as instructed.
- c. War diaries are to be forwarded monthly to the MCC, with a copy to the CN and the Navy Museum (Attention: Researcher).
- d. Notwithstanding that a war diary is being maintained, ships are to continue to render reports of proceedings.
- e. **Keeping of War Diaries in Peacetime.** In peacetime the keeping of a war diary may be ordered by the MCC for specific operations/ exercises; however, this does not preclude COs initiating the keeping and submission of a war diary should the need be apparent.

4.8.07 - 4.8.30 Not Allocated

Section 2 - Retention and Disposal of Records

Reference:

A. Public Records Act 2005

4.8.31 Correspondence and Other Records

- a. Under the Public Records Act all records originated by government departments must be retained in their entirety and offered to Archives New Zealand when no longer required. The Archives New Zealand will then appraise the records and determine which are to be accepted and which may be destroyed. Files not accepted by Archives New Zealand are to be offered to the Navy Museum before destruction. Files passed to the Archives New Zealand may be recalled on temporary loan if required.
- b. The coordinating officer for the disposal of RNZN records is the Director Co-ordination (Navy) (DCoord(N)).

4.8.32 Unit Records

- a. Files containing the official correspondence of an HQ, ship or establishment, including the correspondence of departmental heads, in ships and establishments are not to be 'weeded' or destroyed without the requirements of the Public Records Act first having been complied with. Ships are to retain closed files on board. At suitable intervals, generally of about 12 months, a schedule of files no longer required is to be forwarded to the (DCoord(N)) who will seek advice from Archives NZ. The schedule is to contain the number and subject matter of the file, the date on which it was opened and the date on which it was closed. Arrangements will then be made by the DCoord(N) for the transfer of files to Archives NZ, or other disposal. Files not accepted by Archives NZ are to be offered to the Navy Museum before disposal.
- b. **Signals.** Due to the volume of signal traffic there is not the facility to retain a copy of every signal sent or received. To ensure that the historical record is as complete as possible, copies of signals should be placed on the relevant correspondence subject files iaw good naval administrative practices. Where a signal may be deemed to be of historical significance, a copy is to be offered to the Navy Museum.
- c. **Email and Facsimile Messages.** Care must be taken to ensure that emails and facsimile messages are treated in the same manner as other means of correspondence and placed on the relevant subject files. Due to some method of image transfer used in facsimile receivers, documents produced through this equipment may be liable to fade after a short time, regardless of where stored. Accordingly, photocopies of facsimile messages are to be placed on file as the permanent copy.
- d. **Ships Paying Off.** Ships paying off are to place all maintenance documentation in the appropriate filing systems. All books (other than books of reference, which are to be returned through the store account) and documents are to be collected together and stowed in a secure place. This deposit is to include a completed copy of all watch, quarter and station bills, navigational data book, AIO data book, and other organisation forms, general and detailed orders for the internal economy, and such like of the ship and all non-Service and/or ship made drawings and other technical information. Should the ship be subsequently put up for disposal, all these records are to be landed at Naval Staff. A schedule containing the number and subject matter of the file, the date on which it was opened and the date on which it was closed is to be forwarded to the DCoord(N) to facilitate the assessment of records appropriate for transfer to Archives NZ. Unclassified records that are released by Naval Staff should be offered to the Navy Museum.

4.8.33 Accounting Documents

Accounting documents are to be retained and disposed of iaw the instructions contained in the relevant publications. In cases of doubt, advice is to be sought from the Inspector General (Maritime).

4.8.34 - 4.8.99 Not Allocated

Annex 8-A. Instructions for the Preparation of Unit History Sheets

1. Unit histories are compiled to provide a permanent record of the ship or establishment's activities and are a source from which future writers of historical publications can draw their information. It is essential therefore, that details are recorded in full, are accurate and easily understood by readers who are not familiar with the tasks of the unit. The history should be in narrative form, not just a list showing events. It should include places, names and facts of principal interest.
2. **Abbreviations.** The use of abbreviations is to be avoided wherever possible. It must be appreciated that, in time, these current abbreviations will be altered or become forgotten so that future historians when endeavouring to read the history will have to decipher what the abbreviations are meant to represent. Short forms of address or title, such as usually used in signals, should be avoided.
3. **Style.** Unit histories comprise a permanent record of the unit's activities. They should be written in an interesting manner and with a natural writing style.
4. The Unit History Sheet is to be completed as follows:
 - a. **Page Numbering.** The page number, total number of pages and the month to which the page relates are to be entered on each page. Each sheet of the UHS consists of two pages, the front always being identified with odd numbers and the reverse with even numbers. The page numbers of any annexes should follow on from those of the narrative and are to be included in the total.
 - b. **Identity.** The full title of the HQ, ship or establishment is to be entered.
 - c. **Place.** This is to be the usually accepted name of the place where the activity occurs.
 - d. **Date and Time.** The date and local time when the activity or event commenced is to be entered.
 - e. **Diary of Events.** A concise, but complete record of the unit's activities and other items of interest during the month under report is to be recorded in narrative form. The diary may conclude with a brief summary under the heading 'remarks by CO'.
 - f. **References to Annexes.** The references of any annex accompanying the history sheet is to be entered on the same line as the narrative annotation relating to it.
 - g. **Signatures.** The history sheet is to be signed by the unit historian and the CO on completion of the entries for the month.
 - h. **Annexes.** Annexes are to be prepared in the following way:
 - (1) Photographs are to be mounted on pages separately from the narrative and are to be listed as annexes.
 - (2) Attached papers such as operation orders are to be attached securely to a separate form by means of staples and are to be kept clear of the pre-punched filing holes.
 - (3) Details such as page numbers, number of pages, month and title of unit are to be completed on the sheets supporting annexes in the same manner as for the main history.

Annex 8-B. Instructions for the Preparation of War Diaries - Form RNZN059

Section 1. Day by Day Record of Events

1. A daily record of events should be written up on the standard form 'War Diary' as a continuous summary of important events, intentions and information. This should include the dispositions and movements of HMNZ Ships, the fleet or formation daily state, and brief statements on enemy activity within commands and countermeasures taken.
2. **Signals and Messages.** Important signals should be concisely summarised under an appropriate heading, with the originator and the DTG of the message being entered as the reference. Additionally, a record should be made of any important telephone conversations or messages, with a short summary and the time. A log of important signals, including those with privacy caveats relating to operations, should also be kept in DTG order, as an annex to the diary.
3. In HQs, the agenda and minutes of relevant committees and meetings should also be retained as annexes to the diary.
4. **Assessment/Remarks.** This column should be used for supporting, illuminatory or explanatory information in connection with other entries. Immediate verbal reactions to situations should also be noted here.
5. **Numbering.** Each diary entry is to be identified by a unique five-figure number, the first two digits being the day of the month. Diary forms should be completed with consecutive page numbers, the name of the diarist, and the date. Entries are to be in the order of receipt as far as possible. Additional entries for earlier days may be inserted using an alphabetic suffix to the appropriate page number.

Section 2. Daily Summary

A daily summary outlining the major events of the previous 24 hours should contain an explanation of the origin and progress of principal occurrences and activities within the command. Reference to operations reports and administrative messages should be made. The summary should normally be available for distribution by 1100 local time.

Section 3. Monthly Summary of Losses and Damage to New Zealand and Allied Ships

The monthly summary of losses and damage to NZ and Allied ships should include the loss of, and damage to HMNZ Ships and damage to merchant ships within the command. It should include whether damaged merchant ships were in convoy or sailing independently.

Section 4. Monthly Summary of Shipping Movements

The monthly summary of shipping movements is to include the arrival and departure of convoys and independently routed merchant ships.

Section 5. The Standing Orders Issued in the Command

The standing orders issued in the Command are additional to any copies required to be forwarded under normal administrative procedures. Once a set of orders has been forwarded, it is only necessary to forward changes and alterations with subsequent monthly diaries.

Chapter 9 - Gifts and Hospitality

Section 1 - Exchange of Presents and Gifts

4.9.01 - 4.9.04 To be issued

4.9.05 Royal New Zealand Navy Challenge Coins

Introduction

- a. The exchange of Challenge Coins has become a widespread gesture across many military forces. This section provides direction for the production of Ship's/RNZN Challenge Coins but does not include direction for coins deemed to be 'Senior Officer Personal Challenge Coins'.

Ship's/RNZN Challenge Coin Design

- b. The design of the Ship's/RNZN Challenge Coins can be individualised for specific trades, branches, ranks, ships or significant RNZN events or activities. Branch, rank and trade Challenge Coins need to have consensus of the members of the relevant branch, rank and trade.
- c. All RNZN Challenge Coins are to have either the RNZN Badge or Ship's Badge on one side, with the reverse side of the coin being an individualised design which may include a motto or phrase appropriate to a particular trade, branch, rank, mess or event/activity.
- d. Specific features of the RNZN Challenge Coin include:
- (1) either the RNZN Badge¹ or the Ship's Badge² on one side;
 - (2) the trade, branch or specific design on the reverse side;
 - (3) being 45mm in diameter;
 - (4) adherence to NZBR 002 - RNZN Brand and Logo Guidelines;
 - (5) utilisation of antique brass or bright brass electroplating; and
 - (6) being smooth edged.

Designs of the Ship's/RNZN Challenge Coins

- e. The standard 'Front Side Design' for the Ships and RNZN Challenge Coins:



1. Encircled with Royal New Zealand Navy and Te Taua Moana O Aotearoa or the RNZN Core Values.
2. Encircled with the ship's motto in English and Te Reo Maori.

- f. Examples of 'Reverse Side Design' for the Ships and RNZN Challenge Coins:



Approval of the Ship's/RNZN Challenge Coin Designs

- g. Design applications for Ship's/RNZN Challenge Coins are to be forwarded to the Warrant Officer of the Navy who is the approving authority.

Finance

- h. Individuals may purchase, at their own cost, any of the approved RNZN coin(s) which may be gifted or presented to anyone of their choosing.
- i. The cost for the initial set up and ongoing purchases of Ship's/RNZN Challenge Coins are to be borne by the originator. No public money is to be spent on the production, set up, or purchasing of challenge coins for sale to individuals.
- j. The cost of the initial set up of approved Ship's/RNZN Challenge Coins that are specifically produced for official use of the RNZN can be paid for at public expense with the appropriate CC Manager's approval. This is limited to the offices of the CN, DCN, MCC, the WON and SOTY.

Ordering and Supply of Challenge Coins

- k. There are numerous suppliers within New Zealand and offshore that produce Challenge Coins of which any can be used, as long as the specific guidance is adhered to in the design of the Challenge Coins to be produced.
- l. The electronic graphic design of the Challenge Coins from the chosen manufacturer will be required to be produced as part of the approval before any set up and production is commenced.
- m. The minimum number of Challenges Coins ordered will be negotiated between the originator and the manufacturer and appropriate costs incurred will be borne by that individual.

4.9.06 - 4.9.99 Not Allocated

PART FIVE - PLANNING, CORPORATE AND STRATEGIC

Chapter 1 - RNZN Strategic Planning and Management Process

Section 1 - Principles of the RNZN Strategic Planning and Management Process

5.1.01 Introduction

The NZDF introduced the RNZN Strategic Planning and Management Process (SPMP) in 2017. The SPMP identifies and formalises the key planning components required to develop organisational strategies and the accompanying essential management functions required for successful implementation. Comprehensive strategic planning enables the RNZN to successfully execute its mission statement, which is to:

‘Advance New Zealand’s interests from the sea’.

5.1.02 Foundations of the SPMP

The SPMP commences by examining how the RNZN can achieve its mission holistically. Planning is initially future focussed and involves developing a vision for the RNZN that aligns with the overall mission statement. The planning process then considers the steps required to meet each organisational goal that support the agreed vision. The SPMP is broken down into the following outputs:

- (1) Strengths, Weaknesses Opportunities and Threats (SWOT) analysis;
- (2) identification and prioritisation of goals;
- (3) a review and update of the mission;
- (4) development of action plans to implement the goals;
- (5) development and release of a strategic plan; and
- (6) regular management, monitoring and evaluation of the progress of the goals.

5.1.03 Overview of the SPMP

- a. The SPMP consists of five principal steps based on Mark Graham Brown’s book *Get It, Set It, Move It, Prove It*.¹ The SPMP steps are as follows:
 - (1) Get It (One) Purpose and Expectations
 - (2) Get It (Two) Environment and Strategic Capability
 - (3) Set It Direction and Strategies
 - (4) Move It (One) Deployment
 - (5) Move It (Two) Implementation
 - (6) Prove It Evaluation
 - (7) Celebrate It
- b. The SPMP and indicative timeline are as per “[Annex 1-A. RNZN Strategic Planning and Management Overview](#)” and “[Annex 1-B. RNZN Strategic Planning and Management Timeline](#)”.

5.1.04 Key SPMP Participants

- a. There are a number of key stakeholders in the SPMP process. These stakeholders are critical in ensuring plans are implemented effectively, progress is monitored and anticipated benefits are realised. The following play key roles in the generation and implementation of the SPMP.
 - (1) **Naval Leadership Board (NLB)**. The NLB is the steward of Navy strategy and leads the

1. Brown, M.G. (2004) *Get It, Set It, Move It, Prove It*. New York: Productivity Press.

organisation on a continuum of capability and performance improvement. Managing a well-developed, robust strategic plan ensures Navy strategy management is characterised by coherency and consistency². The NLB will designate one of its members (usually a NLB Adviser) as the Goal Integrator (GI) for each Navy Goal to be NLB's representative for that goal.

- (2) **Naval Systems Management Group (NSMG).** The purpose of the Naval Systems Management Group (NSMG) is maintain oversight of RNZN's in-year plus one performance against organisational and operational requirements. Specifically, this includes oversight of the implementation of the strategic direction set by the NLB³.
- (3) **Goal Integrator.** The GI integrates the activities of the Naval System to deliver Navy Goals. As members of both the NLB and NSMG, GIs use their expertise as Functional Area Captains to ensure the Naval System's activities deliver NLB's strategic intent. They will:
 - (a) ensure there is full understanding across the Naval System of Navy strategy and how the goal contributes to achieving that strategy;
 - (b) champion changes to priorities, systems, structures or technology and ensure barriers to success are removed;
 - (c) identify opportunities for collaboration across the Naval System; and
 - (d) keep NSMG and NLB apprised of progress in achieving goals.
- (4) **Naval Goal Facilitator (NGF).** The NGF is appointed by the GI to ensure projects and initiatives deliver the outcomes needed to achieve the Navy goals. The NGF will hold a senior position (CDR or HOD) within a functional area.
 - (a) The NGF coordinates the activities of their respective functional area to ensure the Navy goals are delivered on time and to plan. They allocate positions within their functional area to implement and manage internal business initiatives that contribute to the strategic goal they are facilitating. NGFs ensure project/initiative managers have the guidance and resources required to ensure successful delivery of their respective initiatives.
 - (b) NGFs ensure business initiative reports are entered into Planview every two months, or when requested by the Office of Strategy Management (Navy) (OSM(N)). The report will be used to generate a quarterly overarching RNZN strategy progress report to the NLB.
- (5) **Office of Strategy Management (Navy).** The OSM(N) leads strategy development and implementation for the Naval System to realise organisational vision and goals by monitoring, managing and reporting strategy progress and performance. Key positions within the OSM(N) are:
 - (a) **Deputy Director of Navy Strategy (Plans).** DDNS(P) manages the relationships, development, publication, promotion, and coordination of Navy's strategic and annual plan process. DDNS(P) also oversees reporting against those plans that directly contribute to achieving the Navy's Vision.
 - (b) **Deputy Director of Navy Strategy (Implementation).** DDNS(I) coordinates the execution of the Navy Plan and supports the NGFs to enable advancement and realisation of Navy Goals. DDNS(I) intervenes and facilitates where necessary (alongside Navy Portfolio Management) to explore options and solutions with the NGFs to ensure that projects and initiatives deliver the outcomes needed to achieve Navy Goals.

2. Naval Leadership Board Rules of Procedure.

3. Naval Systems Management Group Terms of Reference April 2019.

- (6) **Navy Portfolio Management.** The Portfolio Team supports the successful realisation of the RNZN Implementation Plan by overseeing and reporting on the performance of Navy initiatives to NLB. The team supports and coaches sponsors, programme and project managers.

5.1.05 - 5.1.08 Not Allocated

*Section 2 - Steps in the Strategic Planning and Management Process***5.1.09 Overview**

Each step of the SPMP has a number of activities to be completed in order to generate and successfully implement a strategy. The following sections explain the purpose of each step and the activities to be undertaken.

5.1.10 Get It (One) - Purpose and Expectations

Figure 1. Get It (One) - Purpose and Expectations

- a. This step considers 'Why are we here? What must we deliver? What must we get right?' and includes the following reviews and activities:
- (1) **Mission Analysis.** The Mission Analysis commences with a review of the Navy's mission by the NLB. The SPMP Alignment with the NZDF mission is crucial however in order to achieve organisational synergy, the mission statements of both Army and Air Force are also to be taken into consideration. This activity reviews the purpose and expectations of the Navy, and the outcomes and outputs that are to be delivered to the New Zealand Government. This analysis will also identify variations between the current and future expectations of the Navy that need to be considered during the SPMP.
 - (2) **Critical Success Factors (CSF).** These are core competencies or key processes the RNZN must get right if in order to achieve mission success. CSFs are not to be confused with success criteria or performance measures.
 - (3) **Values.** All organisations have values which, guide individual and organisational behaviour. Values are inextricably linked to an organisation's culture. This particular activity reviews the RNZN values to ensure continued relevance and alignment with the broader NZDF values.
 - (4) **Stakeholder Analysis.** Stakeholder analysis is a systematic way of evaluating the value add of key stakeholders. High interest, high power stakeholders are integral contributors to organisational success; low interest, low power stakeholders are less so. The key components of this process are:

- (a) Stakeholder identification, which identifies who or what organisations are the RNZN's major stakeholders.
 - (b) Stakeholder mapping, which identifies the level of interest in the successful implementation and to what extent can identified stakeholders influence RNZN strategies.
 - (c) Stakeholder engagement, which identifies how the RNZN will engage stakeholders to amplify or mitigate stakeholder influence.
- (5) **Higher Directives.** This activity considers strategic directives and plans issued to the RNZN by the New Zealand Government through the NZDF.
- b. All contemporary New Zealand Government and NZDF strategies are to be examined for direction and guidance that may in turn influence RNZN strategy development. For example: The Strategic Defence Policy Statement 2018 and NZDF Strategy 2025.

5.1.11 Get It (Two) - Environment and Strategic Capability

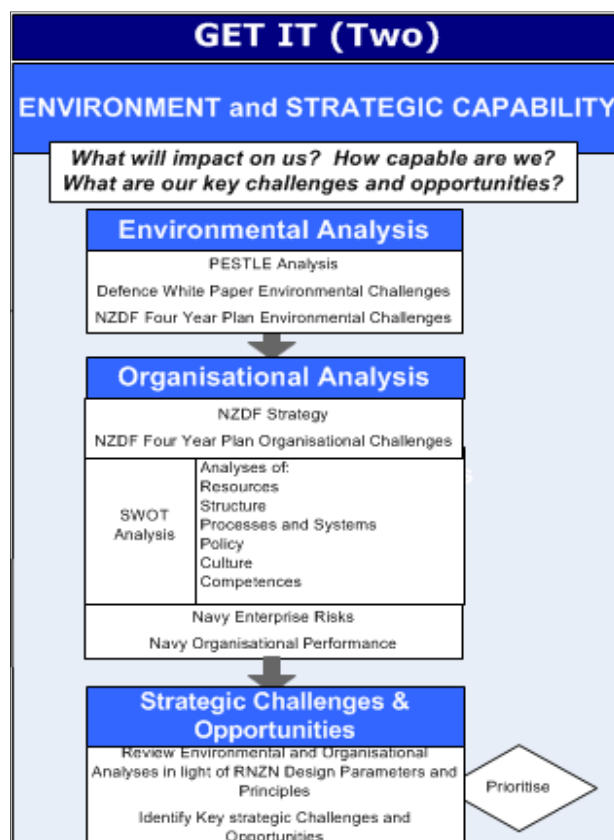


Figure 2. Get It (Two) - Environment and Strategic Capability

- a. **Environmental Analysis.** This activity examines the strategic environment likely to affect the RNZN for the foreseeable future. The time horizon for this step will be considerably longer than the time horizon for the Strategic Plan. This includes consideration of the Strategic Assessment developed for the Defence White Paper and other analysis conducted by higher level authorities.
- (1) **Political, Economic, Sociological, Legal and Environmental (PESTLE) Analysis.** The OSM(N) is to conduct a PESTLE analysis for the purposes of understanding the external environment, identifying external opportunities and reducing the impact of external risks or threats to the RNZN. PESTLE analysis is to be future focussed and is to consider the following factors:
- (a) Political - factors that relate to the pressures and opportunities arising as a result of geopolitical influence and the impact of government policies.

- (b) Economic - factors that relate to the global, regional and domestic economies, including economic policies and structures.
 - (c) Social - factors that relate to demographics, cultural aspects, beliefs, ethics and attitudes; globally, regionally and domestically.
 - (d) Technological - factors that relate to technological utilisation, advancements, availability, innovations, and obsolescence.
 - (e) Legal - factors relating to global, regional and domestic legislation, regulation and compliance.
 - (f) Environmental - factors that relate to the environment and ecology.
- b. **Organisational Analysis.** Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis is to be conducted for the purposes of identifying internal strengths, weaknesses and the organisation's overall ability to resist threats or capitalise on opportunities. The outcomes of this analysis are to be considered against RNZN enterprise risks and current performance.
- (1) **SWOT Analysis.** The OSM(N) is to conduct a SWOT analysis that considers factors such as resources, structure, processes and systems, policy, culture and competencies. Input to the SWOT is to be obtained from all Navy units and personnel employed within NZDF Enabling Portfolios. This can be achieved using web-based tools and requesting wide participation in a survey located in DDMS SPMP Template Library: SWOT Analysis and Questionnaire.
 - (2) **RNZN Enterprise Risks and Current Performance.** RNZN enterprise risks are to be incorporated into organisational analysis to identify key strategic challenges and opportunities. Additional insights into RNZN capability can also be obtained from performance against current performance measures.
- c. **Strategic Challenges and Opportunities.** The final activity in this step is to review the outcomes of both organisational and environmental analysis in order to answer the following question. "Given what we have learned from our internal and external analysis, what are the key challenges we need to deal with if we are to achieve our mission, and what are the key opportunities that will either negate the challenges or assist progress towards organisational objectives?"
- (1) Key RNZN strategic challenges and opportunities are identified by analysing and considering all of the information obtained during the SPMP 'Get It' steps, through the lens of the RNZN Planning Parameters and Principles. Guidance on both of these planning methodologies are located at DDMS SPMP Template Library: [SPMP Planning Parameters](#) and [SPMP Planning Principles](#).
 - (2) The OSM(N) is to consolidate key strategic challenges and opportunities for presentation to the NLB. Once approved by the NLB, these challenges and opportunities are to be grouped and prioritised by NLB using the Analytical Hierarchy Process (See SPMP Template library: [Analytical Hierarchy Process](#)). This technique systematically weights competing priorities and enables them to be ranked.

5.1.12 Set It - Direction and Strategies

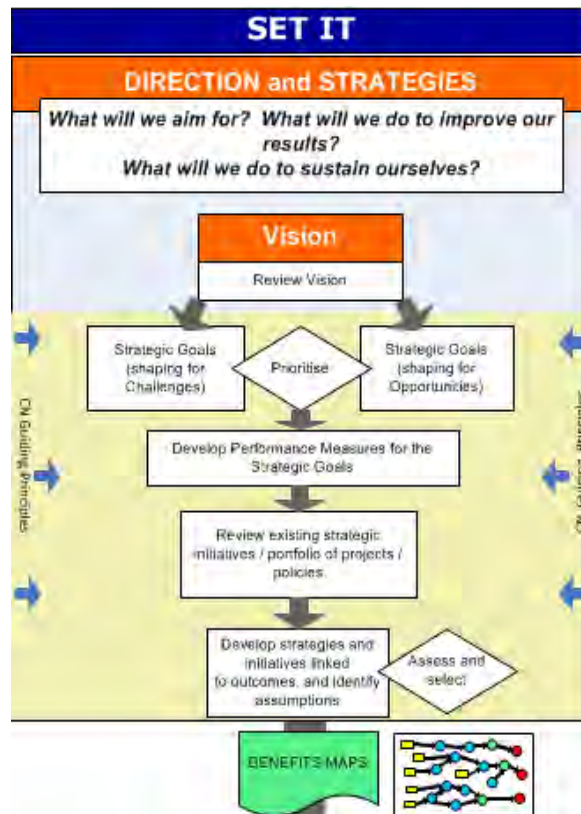


Figure 3. Set It - Direction and Strategies

- a. This step translates information from the strategic analysis in the Get It steps into a strategy with specific goals that provide direction to realise the agreed vision. It aims to answer the following questions: 'What will we aim for? What will we do to improve our results? What will we do to sustain ourselves?'
- b. It is likely that realising each goal will be dependent on implementing a number of NZDF projects, so participation of NZDF Enabling Portfolios is essential to identify synergies and avoid duplication of effort. It also promotes a wider understanding of the strategy by all stakeholders.
- c. Activities to be conducted during this step include:
 - (1) **NLB Strategy Workshop.** The OSM(N) is to facilitate a strategy workshop for the NLB so that it may:
 - (a) **Review the RNZN Vision.** The NLB workshop is to review the RNZN Vision if CN deems it necessary. Alignment with the NZDF Vision is crucial and the vision statements of Army and Air Force are to be considered. The DDMS SPMP Template Library: [Vision Statement Guidance](#) provides guidance for developing vision statements.
 - (b) **Develop Strategic Goals.** Strategic goals are to be developed using the key strategic challenges and opportunities identified at the conclusion of the 'Get It' steps. The OSM(N) is to present the proposed strategic goals for NLB approval. It is imperative that these goals clearly negate or mitigate strategic challenges or exploit the strategic opportunities.
 - (c) **Review CN Guiding Principles.** These provide guidance in situations where no prescriptive policy exists. These principles supplement the RNZN Mission, Vision and Values and inform the development of goals and initiatives. They are personal to the CN and should be reviewed periodically and in particular, upon change out of CNs.

- (2) On completion of the NLB Workshop, the OSM(N) is to:
- (a) **Develop Performance Measures for the Strategic Goals.** These are to be developed for the purposes of monitoring progress and ensuring realisation of objectives and outcomes. The PuMP methodology for developing performance measures is to be applied during this process.
 - (b) **Review Existing Strategic Initiatives/Portfolio Projects/Policies.** Current RNZN strategic projects and initiatives are to be assessed against the new strategic goals to ensure they remain relevant. If not, they should be cancelled or closed.
 - (c) **Develop Strategies and Initiatives Linked to Outcomes and Identify Assumptions.** This activity develops strategies that will achieve and realise the benefits of each strategic goal. The initiatives required to reach goals are to be explored, as are dependencies and key milestones.
 - (d) **Develop Benefits Maps for Each Strategic Goal.** In order to document and progress this activity, a Benefits Map for each strategic goal is to be generated as per the guidance provided in the DDMS SPMP Template Library: [Strategy Maps and Benefit Mapping](#). Established Strategy Maps are available on [DDMS at http://ddms-r/DS/D5-0030/D5-0030-04/Forms/Journey%20Maps.aspx](http://ddms-r/DS/D5-0030/D5-0030-04/Forms/Journey%20Maps.aspx).

5.1.13 Move It (One) - Deployment



Figure 4. Move It (One) - Deployment

- a. This step considers 'How will we make this happen?' and deploys the vision, strategic goals and strategies using benefits maps to produce strategic journey maps for each strategic goal. The RNZN Strategic Plan is to be generated and promulgated for widest dissemination.
- b. This step aims to generate the following:
 - (1) **Resource Requirements and Timeline.** Benefits mapping is to be used to assess and determine the resource and timelines required to complete identified projects and initiatives.
 - (2) **Strategic Journey Maps for each Strategic Goal.** Strategic Journey Maps are to be developed using the information and logic obtained from the Strategic Benefits Maps. These Maps provide visibility and timelines for all projects and initiatives that

contribute to a strategic goal. Maps also demonstrate the interrelationship of outcomes, business changes and benefits on other projects and initiatives.

- (a) Information and guidance to generate Strategic Journey Maps is available in annex I, and examples of established Strategic Journey Maps are available on DDMS.
- c. **Strategic Plan.** A strategic plan is a product of the analysis, activities and decisions of the 'Get It', and Set It' steps of the process. The RNZN Strategic Plan is to be approved by the NLB and released as an update to NZBR 48. The RNZN Strategic Plan is to include the following sections and information:
 - (1) strategic alignment;
 - (2) strategic context (Environmental and PESTLE Analysis);
 - (3) organisational analysis (including a SWOT Analysis);
 - (4) strategic challenges and opportunities;
 - (5) a vision;
 - (6) core values;
 - (7) CN's Guiding Principles;
 - (8) strategic goals; and
 - (9) a link to an implementation plan that includes benefits maps and strategic journey maps for the strategic goals.
- d. **Implementation Plan.** The RNZN Strategic Plan is executed by the Implementation Plan, which details the actions to be taken, the resources required, timelines and how each project and initiative contributes to a strategic goal. The Implementation Plan developed and released during 2017 to support the RNZN Plan 2017-2025 can be used as a template for future plans.
- e. The Implementation Plan ensures projects and initiatives occur in the sequence required to realise benefits as early as possible. Dependencies between activities are to be reviewed, it is important that the projects and initiatives are not 'front-loaded' unnecessarily and have the required resource to succeed. The implementation plan is to include the following sections and information:
 - (1) management and evaluation processes;
 - (2) for each strategic goal:
 - (a) an overview,
 - (b) performance measures,
 - (c) Strategic Benefits maps, and
 - (d) Strategic Journey maps.
 - (3) NZDF initiatives being delivered to Navy on its behalf.

5.1.14 Move It (Two) - Implementation and Continuous Improvement

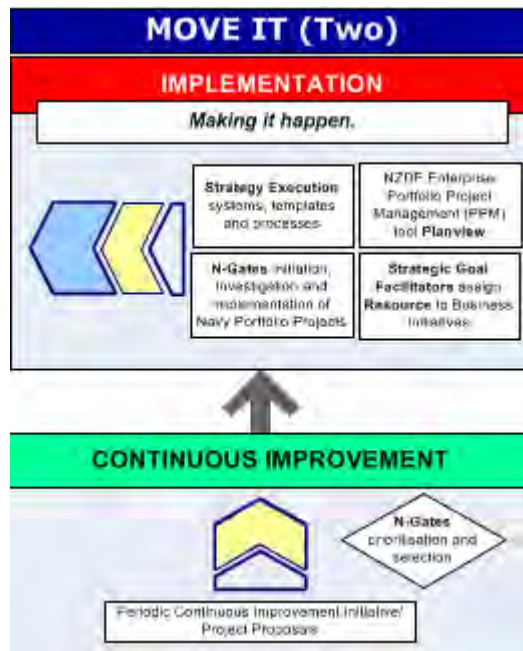


Figure 5. Move It (Two) - Implementation and Continuous Improvement

- a. This step focuses on implementing the RNZN Strategic Plan and progressing the Strategic goals to achieve the vision; making it happen, based on the Implementation Plan. The RNZN N-Gates process is to be used to ensure limited resource is expended on projects and initiatives of most value to the organisation and achieving the vision.
- b. **Strategy Execution.** The Implementation Plan details the responsibilities and functions of strategy execution roles, and how progress of the goals will be managed and monitored. All documentation related to the implementation of the plan is to be stored and managed using the Defence Document Management System (DDMS). The rationale for modifications to all documents, and Strategy Maps is to be recorded within the version control function of DDMS.
- c. Specific sites are to be created within DDMS for the execution of the strategy. Templates for the N-Gates process and for progressing Business Initiatives are accessible via <http://ddms-r/DS/D5-0030/D5-0030-04/Forms/Implementation.aspx>.
- d. **Planview.** Planview is the NZDF Enterprise Portfolio Project Management Tool and requires projects and initiatives to be recorded, managed, and reported on. Information stored in Planview can be accessed by all NZDF personnel with a Planview account. This reporting is managed by the Navy.
- e. **N-Gates.** The N-Gates process is an established comprehensive portfolio management process developed specifically for the RNZN. Individual Navy projects reaching a specified threshold will be assessed for the value and 'do-ability' before entering the Navy Portfolio through the N-Gates process. Further information regarding the N-Gates process is available in Section C of this chapter.
- f. **Periodic Continuous Improvement Initiative/Project Proposals.** Throughout the execution of the RNZN Strategic Plan, improvements to realise the strategic goals will be continuously explored. New, or amended projects and initiatives are to be considered via documented change proposals.

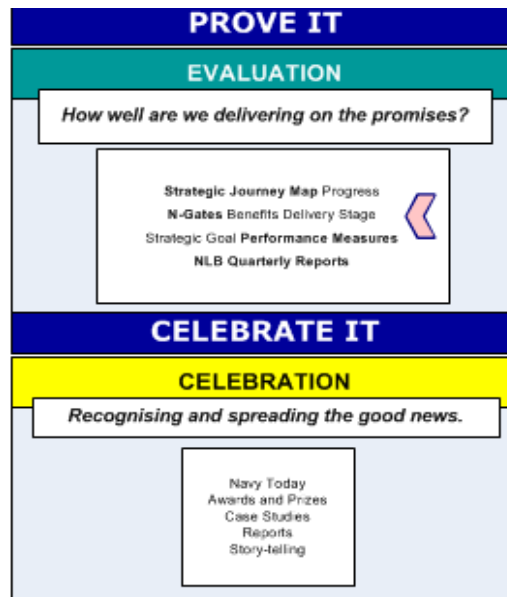
5.1.15 Prove It - Evaluation and Celebration

Figure 6. Prove It - Evaluation and Celebration

- a. This step asks 'How well are we doing what we planned to do?' It is used to celebrate any successes towards achieving the strategic goals and vision. The implementation plan provides the necessary information for this. This step is dependent on the strength and accuracy of performances measures, reviews and portfolio operation.
- b. **Evaluation.** The progress of the strategic goals is to be evaluated using four methods:
 - (1) Strategic Journey Map progress;
 - (2) N-Gates Benefits Delivery stage;
 - (3) Strategic Goal performance measures; and
 - (4) Quarterly updates on progress to the NLB.
- c. **Celebration.** As the RNZN Strategic Plan is executed, it is imperative that successes and milestones achieved are communicated as widely as possible.

5.1.16 - 5.1.19 Not Allocated

Section 3 - The N-Gates Process

5.1.20 Introduction

- a. To enable the Navy to properly manage its portfolio of change and other investments, the Navy Gates (N-Gates) governance process and portfolio support was established within the OSM(N), in 2008.
- b. N-Gates is a process that facilitates executive decision making at different stages of a project through its lifecycle, focussing the organisation on delivering value by ensuring that:
 - (1) the right initiatives are selected and delivered;
 - (2) the majority of initiatives will have a high chance of success;
 - (3) initiatives happen at the right time; and
 - (4) benefits are realised or roll up into overarching programmes.

5.1.21 Criteria to Enter the N-Gates Process

In general, any initiative or proposal that has the characteristics of a project is required to enter N-Gates. The definition of a project is anything that:

- (1) is a temporary endeavour;
- (2) will deliver a unique product, service or result; and
- (3) will require more than 30 full working days effort (FTE), and/or has a total spend greater than \$50,000. The NLB may direct that projects not reaching these thresholds are to be monitored within the Portfolio.

5.1.22 Defining the N-Gates Process

- a. N-Gates is a four stage gated process similar to NZ Treasury's Five Case model (the standard recommended by the UK Office of Government Commerce and H.M. Treasury, for the preparation of business cases). The process ensures that proposals are only selected if they are subject to a rigorous Business Case/Investment Proposal development process and are proven to contribute substantially to the realisation of the Navy's strategic goals or mission.
- b. N-Gates also ensures that robust programme and project methodologies, Managing Successful Programmes (MSP) and PRINCE2, are used to deliver and implement change. This is enabled through the employment of programme and project managers, assisted by the Navy Portfolio Support Officer (NPSO). A detailed outline of this process can be found in the diagram below ("[Figure 7. Navy Business Initiative Process Timeline](#)").
- c. The OSM(N) utilises a number of tools to test whether individual initiatives are suitable to either enter or continue within N-Gates and the overall Navy Portfolio of proposals and projects. Entry through each N-Gate is governed by the NLB.
- d. The four N-Gates stages are briefly described as:
 - (1) **Initiate Stage.** This short stage involves an initiator submitting a proposal that meets the N-Gates criteria (or exceeds the N-Gates 'threshold'). Proposal Initiators complete a Proposal Registration Form (PRF) which is endorsed by a Project Executive prior to submission to the Portfolio Manager. Initiatives need to meet a business need or requirement and are to be aligned to the RNZN Plan, and therefore should be already identified on the Navy's Strategic Benefits Maps and Strategic Journey Maps or added after approval should the bid be a newly identified initiative.
 - (a) This stage is comprised of a high level scoping and sizing assessment and is completed in consultation with all stakeholders and the OSM(N). The PREP advisory group conducts assessments on the initiatives' value, do-ability, time and cost before making their recommendation to the NLB. The NLB will determine whether a proposal enters the Navy portfolio and progresses to the Investigate Stage under N-Gates.

- (2) **Investigate Stage.** The objective of this stage is to produce the necessary justification and details for the NLB to consider whether to commit further resources (personnel and/or funding) to the project at each N-Gates stage. The Business Case/Investment Proposal will explore the five cases - strategic, economic, commercial, financial and management cases.
 - (a) The Business Case/Investment Proposal development process includes confirming business requirements, validating project feasibility, identifying preferred solutions and identifying benefits.
 - (b) On submission of the Business Case/Investment Proposal to the PREP, the NPSO conducts an assurance assessment on the robustness of the case.
 - (c) The PREP provides a revised prioritisation assessment against the Navy Portfolio for NLB consideration. Supporting documentation in accordance with the PRINCE2 methodology (suitably tailored) is produced.
- (3) **Implement Stage.** This stage encompasses the Project Management processes required to implement the business change.
 - (a) Implement has three sub-stages: Planning, Delivery and Closure. Formal benefits and assumptions monitoring commences at this stage and are reported by exception to the NLB.
 - (b) The OSM(N) is available to coach and support throughout this stage, including guidance on the level of Programme and/or Project Management required, relative to the complexity and size of the initiative.
 - (c) This stage is completed once the intentions set out in the Business Case/Investment Proposal have been satisfied and project closure is approved by the NLB.
- (4) **Benefits Realisation Stage.** To ensure that the claimed benefits of the solution are delivered, the NLB may direct a period of benefits and assumptions monitoring after the project has been closed. The OSM will liaise with the Business and Benefits Owner to continue the monitoring and reporting of benefits in accordance with the Benefits Realisation Plan (BRP). Once a project's benefits are fully realised and embedded into business as usual, the project ceases and the NLB will authorise exit from the Navy Portfolio.

5.1.23 Project Health Checks and Change Audits

To allow for continual improvement of the Navy portfolio and programme and/or project management processes, the OSM(N) is to conduct health checks and post-implementation audits on projects. Additionally, the NLB may direct the OSM(N) to conduct a specific investigation into the management of a programme and/or project, which may require formal changes. All personnel involved will be advised accordingly and results are to be reported to the NLB.

5.1.24 N-Gates Process - Key Participants

- a. **OSM(N) Portfolio Support Office.** Portfolio support is delivered through the NPSO within the OSM(N). The OSM(N) is the custodian of the N-Gates process on behalf of CN and the NLB. The NPSO enables, coaches and supports Project Managers and assists all stakeholders in the process. The NPSO works closely with the OSM(N)'s strategy execution role on the roll out and implementation of initiatives identified and mapped within the Implementation Plan for the RNZN Plan. The Navy Portfolio Support Office consists of:
 - (1) Portfolio Manager;
 - (2) Business Analyst; and
 - (3) Portfolio Coordinator.

- b. **Proposal Review Evaluation Panel.** The PREP provide expert advice to the NLB. A panel is formed from relevant Navy and Defence personnel and SMEs, specifically to review and score proposed projects for value and the chance of success, and to ensure alignment to the RNZN Plan and strategic goals.
- (1) From the PREP assessment, the NPSO will map out the value and do-ability of project bids. This will give an indication of priority against all other bids and in-flight projects and programmes within N-Gates and the Navy Portfolio.
 - (2) Based on this priority diagram, the NPSO will make recommendations on which bids should enter the Navy portfolio and become projects, be wait-listed, or not be considered for the portfolio.
- c. **Naval Leadership Board.** The NLB is the senior group of decision makers who shape the Navy's portfolio in accordance with organisational strategic requirements. The NLB re-balances the portfolio as required and may reject, elevate, or place on hold proposals, programmes and projects at any time.
- (1) The NLB is to be advised of any trade-off recommendations, such as when existing projects should be delayed or not proceed, in order to enable limited resources to be allocated to projects of higher priority. If a project has been active for some time and has expended resources, but it is not delivering or is incapable of delivering planned benefits, it may be delayed or cancelled by the NLB.
 - (2) A clear advantage of this governance process is that nugatory work will be avoided and effort will be focused only on delivering benefit to the Navy. This will also make available resources for those projects that have high value to the Navy, and potentially greater chances of success.

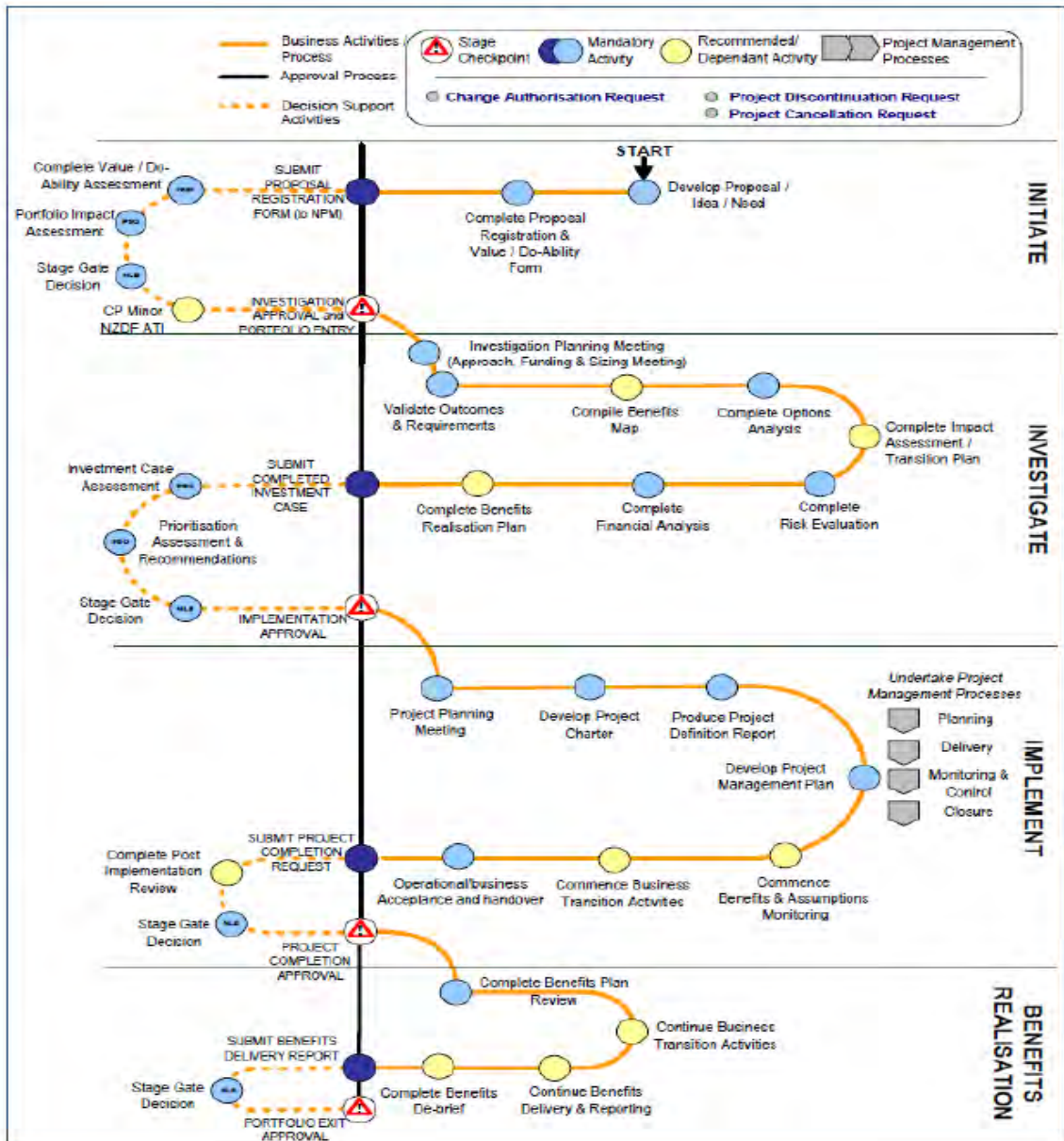
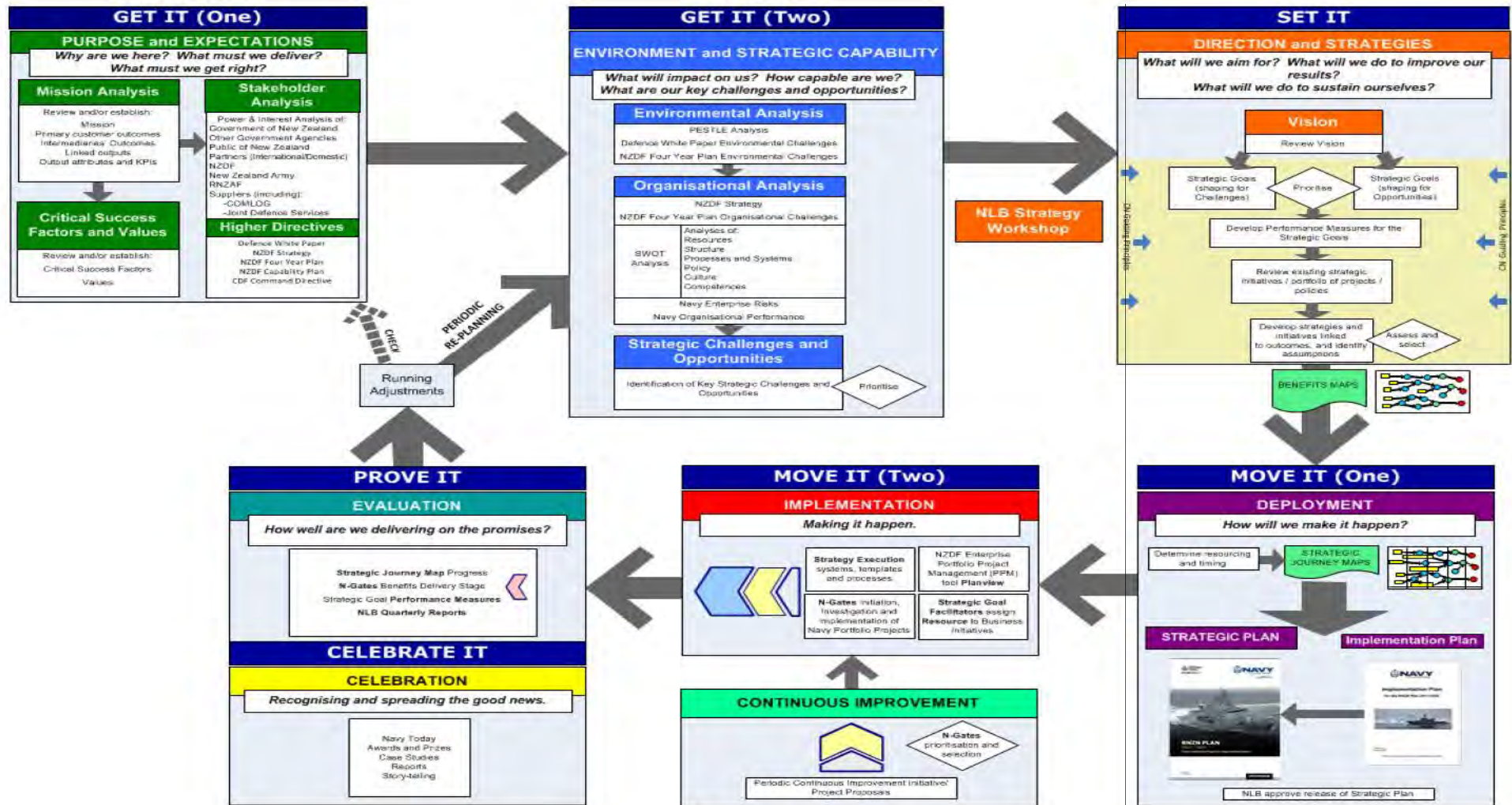


Figure 7. Navy Business Initiative Process Timeline

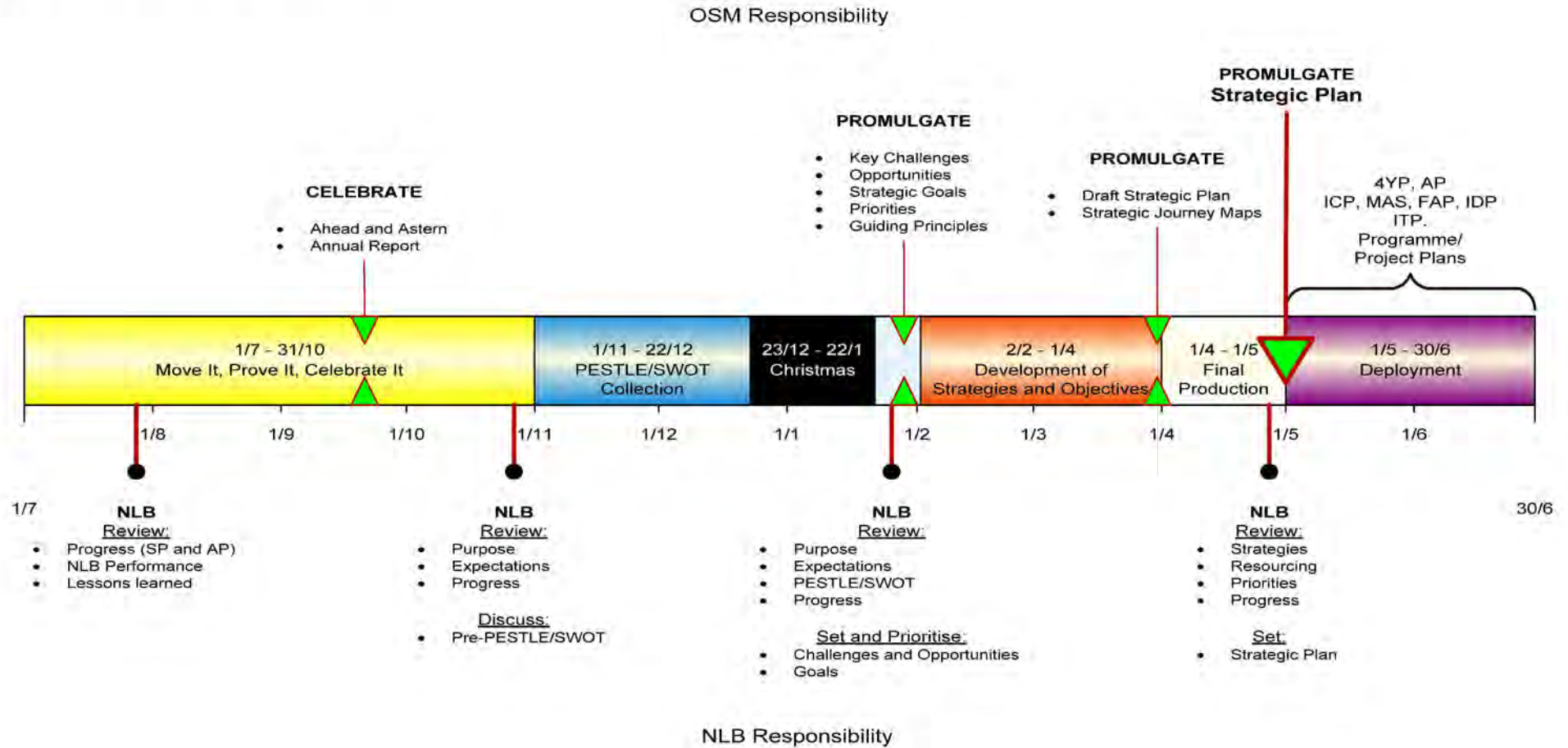
5.1.25 - 5.1.99 Not Allocated

Annex 1-A. RNZN Strategic Planning and Management Overview



Annex 1-B. RNZN Strategic Planning and Management Timeline

Navy Strategic Management Process:
 Timeline



Chapter 2 - Navy Instruction for Financial Management

References:

- A. Defence Force Instruction 9.1 - Financial Management (currently under final review)
- B. DFO 90 - Financial Management

5.2.01 Purpose

The intent of this policy is to provide direction, guidance and tools to those involved in the control and monitoring of public money on behalf of the Navy. These instructions should be used in conjunction with and in some cases will supplement the policy provided in Refs A and B. If there is a conflict between the instructions contained in this document and policy guidance in the Refs, the direction in the Refs is to be followed.

5.2.02 Scope

- a. This chapter articulates this policy as applicable to the Naval Financial Management System, outlining roles, responsibilities and processes specific to personnel managing public funds on behalf of Navy.
- b. Financial process relating to business administration and logistics are referred to in the relevant New Zealand defence documents.

5.2.03 - 5.2.06 Not Allocated

Section 1 - The Naval Financial Management System

5.2.07 Introduction to the Naval Financial Management System

NZDF finance processes are governed by Treasury mandates and government legislation. Naval finance policy has been developed to assist and guide Finance Managers in ensuring that all requisite information is available in a timely manner in order for NZDF to fulfil its statutory obligations to the New Zealand Government. The Naval Financial Management System is a subset of the NZDF Financial Management System (refer Ref A, Chapter 4).

5.2.08 Purpose of the Naval Financial Management System

The Naval Financial Management System translates defence strategy into physical delivery of and support to, tactical and operational Defence outputs within the maritime domain. This system contributes to policy, promotes alignment across the maritime domain, aids strategic and tactical planning, informs decision-making and ensures accountability.

5.2.09 Naval Financial Management System Structure

- a. Figure one provides an overview of the Naval Financial Management System. A detailed structure diagram including all positions involved including those with financial delegations can be found at [“Annex 2-A. RNZN Internal Financial Management Structure”](#).

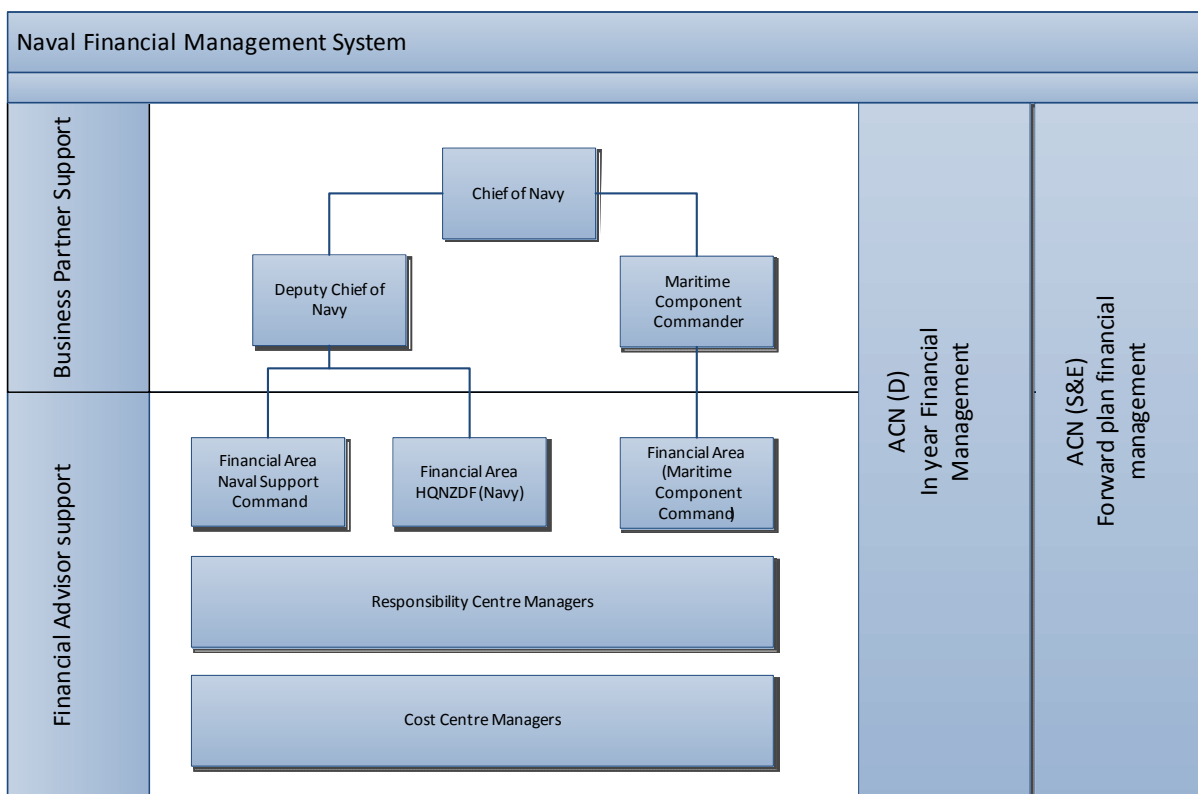


Figure 1. Naval Financial Management System Overview

- b. The Naval Financial Management System is headed by Chief of Navy (CN) at the portfolio level and the Deputy Chief of Navy (DCN) and Maritime Component Commander (MCC) at the Sub-Portfolio level. It is further divided into the following Functional Areas (FAs):
- (1) Personnel and Training (ACN(P&T));
 - (2) Delivery (ACN(D));
 - (3) Maritime Regulation (MAREG / CNE);
 - (4) Naval Reserves (ACN(RES));
 - (5) Strategy and Engagement (ACN(S&E));

- (6) Fleet Operations (XO MCC); and
 - (7) Fleet Operational Readiness (XO MCC).
- c. The primary interface between NZDF Corporate Finance and the Naval Financial Management System is the Financial Business Partner (Navy) (BP(N)). The BP(N) facilitates informed decision making, delivery of strategic initiatives, acts as a Subject Matter Expert (SME) to enable effective problem solving, and delivers specialist support and intelligence to key stakeholders.
- d. In addition to the BP(N), Financial Advisors are available to support Financial Managers at the FA, Responsibility Centre (RC), and Cost Centre (CC) levels. The key aspects to this role include assisting with the monitoring and reporting of financial position, assisting with the coordination of financial planning, and assisting with the adherence to financial management policies and procedures.

5.2.10 Roles within the Naval Financial Management System

The following outlines the roles and responsibilities of financial managers at each tier of the financial management system:

- (1) **Sub-Portfolio Manager (S-PM)**. Person responsible for:
 - (a) the financial management oversight of all functional areas within their sub-portfolio,
 - (b) ensuring FAMs are operating within their financial delegations in accordance with current doctrine, and
 - (c) communicating with the BP(N) and as instructed within financial delegation to CN where major variances are causing or may cause impact to financial out-turn and operational outputs.
- (2) **Functional Area Manager (FAM)**. Person responsible for:
 - (a) the management oversight of a group of one or more responsibility centres within a functional area,
 - (b) ensuring RCMs are operating within their financial delegation and in accordance with current doctrine, and
 - (c) collation of monthly responsibility centre reports into one report for their S-PM highlighting areas of variation at levels set in financial delegation from S-PMs (within six working days of end of month).
- (3) **Functional Area Budget Advisor (FABA)**. Person responsible for:
 - (a) assisting FAMs in the collection, review and consolidation of responsibility area reports,
 - (b) acting as a conduit for the dissemination of finance related information to RCMs and CCMs appropriate,
 - (c) assist and provide guidance and support to RCMs and CCMs as necessary,
 - (d) investigation into financial matters as directed,
 - (e) co-ordination and collation of functional area budgets, and
 - (f) construction and management of financial delegations within functional area on behalf of the FAM.
- (4) **Responsibility Centre Manager (RCM)**. Person responsible for:
 - (a) the management oversight of a group of one or more cost centres within responsibility centre,

- (b) the conduct of CCMs to ensure they are operating within their financial delegations and in accordance with current doctrine, and
 - (c) collation of monthly cost centre reports into one report for the FAM highlighting areas of variation at levels set in financial delegations issued by the FAM (within four working days of end of month).
- (5) **Cost Centre Manager (CCM)**. Person responsible for:
- (a) the day to day management of a cost centre through financial delegation;
 - (b) report identified/emerging risks to financial performance in monthly reporting (i.e. any changes in programmed activities that impact next reporting period's financial performance);
 - (c) construction of budgets; and
 - (d) monthly variance reporting to their RCM for their cost centre (within two working days of end of month).

5.2.11 Supervision

In order to ensure a disciplined and transparent approach to planning and responsible day-to-day management, Financial Managers are to ensure that all direct reports who are involved in the planning, forecasting and spending of public funds:

- (1) have received formal NZDF financial management and periodic refresher training;
- (2) have signed and retained Financial and/or Purchasing Delegations as applicable in accordance with Ref A, Chapter 3 and Ref B, Chapter 2;
- (3) understand their responsibilities with regard to the management and appropriation of public funds;
- (4) only use approved NZDF finance tools and templates for financial management and reporting purposes (see "[Annex 2-C. Financial Management, Budget Tool and Templates](#)"); and
- (5) have performance measures relating to financial management included in their Performance Development Report.

5.2.12 Financial Delegations

- a. All personnel responsible for the appropriation of public funds are to be issued written financial authority to commit funds by way of a Financial Delegation (FINDEL). The delegator is to ensure that delegates sign their Instrument of Delegation upon post in and handover. These are to be retained by the unit with a copy and MD960 sent to their regional FABA for upload.
- b. A person may only exercise a FINDEL if:
 - (1) the intended expenditure represents an acceptable use of public funds and is consistent with the person's role or function, as determined by their terms of reference or job description;
 - (2) proper regard has been made to reasonable economy and efficiency, whilst at the same time meeting NZDF contractual obligations with approved suppliers;
 - (3) capital and/or operating budgetary provision has been made or arranged for the cost or expenditure;
 - (4) the intended expenditure has been coded correctly (cost centre, cost element and SPC where applicable); and
 - (5) the expenditure complies with all relevant Defence Force Orders, HQ/Service instructions, or other executive instructions.

- c. All expenditure must be approved in accordance with existing delegations and procedures as detailed at Ref A, Chapter 3 and as instructed at Ref B, Chapter 2. All delegations are uploaded to NZDF Delegations SharePoint Site at <http://orgs/sites/delegations/default.aspx>.
- d. If a person so authorised is in any doubt as to whether any proposed charge or expenditure is within the scope of their FINDEL, they must seek guidance from the delegation authority.

5.2.13 - 5.2.16 Not Allocated

Section 2 - Strategic Financial Planning

5.2.17 Introduction to Strategic Financial Planning

The Navy Office of Strategic Management (OSM) is the central point for collation and analysis of Navy financial planning data and support to Defence-led strategic reviews such as White Papers, Baseline Reviews, and Capability Plans.

5.2.18 Financial Plans

- a. The OSM co-ordinates the production of the Navy Four Year Plan and the Navy Annual Plan.
- b. The Navy Four Year Plan is a review of activities over the short to medium term which may have an impact on budgetary planning. The primary objective of the Navy Four Year Plan is to:
 - (1) Evaluate the effectiveness, efficiency, sustainability, and resilience of all material aspects of the baseline over a medium term outlook.
 - (2) Identify the assumptions, uncertainties, resilience levels, and risks that contribute to the predictability of future baseline requirements.
 - (3) Determine whether spending is aligned to achieving desired outcomes.
- c. The Navy Annual Plan sets out the activities that the Navy will conduct during a financial year and their associated costs. It identifies the allocation of resources, and forms the basis for subsequent pan-RNZN reporting of expenditure and performance delivery.
- d. Navy financial plans should represent a consolidation of plans from the following areas:
 - (1) MCC - Fleet planning, force generation;
 - (2) DCN - HQ;
 - (3) NZDF (Navy) and Naval Support Command;
 - (4) Capability Branch - Capability delivery and introduction into service of new capabilities,
 - (5) LC(M) - Logistics, maintenance support and engineering;
 - (6) DHR - Naval workforce planning; and
 - (7) Enabling Portfolios - DEI, CIS, DPA.

5.2.19 - 5.2.22 Not Allocated

Section 3 - Planning and Budgeting Process

5.2.23 Introduction to the Planning and Budgeting Process

Funding is issued to the Navy Portfolio through the NZDF internal budgeting process, which is driven by New Zealand Government annual budgeting activities. Figure 2 below provides an illustration of the annual budget process.



Figure 2. NZDF Annual Budgetary Process

5.2.24 Budget Process Initiation

- a. The budget process is primarily driven by ministerial timelines. Navy is to support the budget process and is to remain responsive and flexible to requests for support and information.
- b. Instructions regarding the budget process are formally issued by the Chief Financial Officer (CFO) to each portfolio prior to the commencement of the new financial year. DCN and the OSM will subsequently issue written instructions to Navy regarding internal budgetary timelines and reporting requirements. Further instructions may be provided that support prioritisation of activities during the budgetary planning cycle. This advice is generally based on guidance received from Chief of Defence Strategy and Management (CDSM).
- c. Budget Managers are to develop fully transparent budgets based on the current year's funding allocation and information from the Navy Four Year Plan.
- d. Budget Managers are to adopt an approach to budget planning and development that will demonstrate:
 - (1) what it can achieve by best balancing output delivery requirements, enabling essential strategic change whilst providing support to the introduction of new capabilities;
 - (2) what can and cannot be achieved expressed in terms of output, activity, and major capability within the proposed FY;
 - (3) prioritisation of what cannot be delivered within the proposed funding level;
 - (4) any trade-offs to fund cost pressures within the proposed FY baseline;
 - (5) impact and risk analysis out to a minimum of four years of unfunded cost pressures;
 - (6) any trade-offs in the proposed FY that risks delivery against NZDF outputs over a minimum of four years;

- (7) clear links between anticipated expenditure, and associated output and capability delivery, and any identify changes in delivery due to funding constraints; and
- (8) That interdependencies with other NZDF Portfolios and Navy Functional Areas have been considered and activity plans are aligned.

5.2.25 Budget Collation and Analysis

- a. RCMs are to collate and review this information considering the following:
 - (1) Do proposed expenses deliver against the current strategic goals of the Navy?
 - (2) Are the costings accurate and do they represent value for money?
 - (3) Is the plan realistically achievable; for example has the business unit:
 - (a) completed activities of a similar level of complexity before,
 - (b) identified resources and governance structure, and
 - (c) identified the timeframe and probability of completion within that financial year?
 - (4) Is there another, more cost effective way of achieving the same outcome?
 - (5) What is the real risk to capability and outputs, should an activity not occur and can this risk be mitigated?
- b. Once satisfied, the RCM is to forward the budget proposal to their FAM for consideration and consolidation across FA.
- c. FAMs are to review the consolidated budgets for their area of responsibility providing commentary on the following:
 - (1) Costs arising from business as usual versus new activities and how they contribute to new or improved outputs.
 - (2) Identified savings (one-off and perpetual).
 - (3) Identified risks and subsequent impact on support to strategic plans.
- d. The OSM will collate all Navy budget plans and conduct an alignment exercise to ensure plans and costings are consistent with direction, guidance, and Refs.
- e. Subsequently a first pass review is undertaken, which includes a review of interdependencies to ensure plans are integrated across the maritime domain. This may result in requests for further information to support budget plans.
- f. Upon receipt of updated information a second pass review is undertaken. The OSM is then responsible for collating and presenting this data to DCN and MCC. [“Figure 3. RNZN Annual Budgetary Planning Process”](#) outlines the budgetary process as applicable to Navy.



Figure 3. RNZN Annual Budgetary Planning Process

- g. **Note.** Shore based Budget Managers are to commence budgetary planning no later than November the year prior to commencement of the new FY. This will ensure information is readily available following the February re-forecast process.
- h. Maritime Command is to commence activity costing as soon as the Master Activity Schedule/ Fleet Activity Plan has been agreed by CN (usually February).

5.2.26 Budget Presentation

- FAMs are to present their budget proposals in person to the OSM. This presents an opportunity to discuss the implications should any part of the proposal be challenged or declined and for the FAM to provide supplementary information in support of the budget bid.
- The OSM is responsible for presenting the consolidated Navy Budget proposal to CN, DCN, and MCC. The OSM will produce the presentation and supporting documentation (e.g. Budget Activity Towers) required for the NZDF Budget Sub-Committee.
- CN or DCN will present Navy's budget plans and costing information to the NZDF Budget Sub-Committee. The CFO and NZDF Budget Sub-Committee will make a holistic assessment of each Portfolios' proposals and present recommendations to the Executive Committee (EXCO).

5.2.27 Budget Approval

- Defence Force appropriations are confirmed on Budget Day (see "Figure 2. NZDF Annual Budgetary Process").
- Funding allocations are confirmed once EXCO have approved the NZDF Budget Sub-Committee's recommendations. Following EXCO approval, DCN will provide confirmation and further direction regarding implementation of spending against the budgeted plan.

5.2.28 - 5.2.31 Not Allocated

Section 4 - Budget Implementation and Management

5.2.32 Principles of Budget Management

- a. Budget Managers are to focus on linking financial results to non-financial results whilst demonstrating economy, efficiency and cost-effectiveness. All expenditure is to be aligned with delivering Navy's priorities and NZDF outcome expectations.
- b. Budget Managers are to focus on the following key principles when implementing their approved budget plans and managing their allocated funding:
 - (1) coordination of activities to achieve strategic goals;
 - (2) improving outcomes and value for money;
 - (3) cost-effective delivery;
 - (4) ethical and transparent behaviour;
 - (5) improving efficiency;
 - (6) compliance;
 - (7) proper supervision;
 - (8) awareness of the operating environment; and
 - (9) identification of risks/opportunities and highlighting these such that early mitigation/re-prioritisation is undertaken.

5.2.33 Financial Performance Reporting

- a. Performance during the year is monitored by regular reports produced at all levels across the Naval Financial Management System. These reports are produced using readily available qualitative and quantitative financial data obtained from NZDF financial information systems and Budget Managers.
- b. As the 'Portfolio owner', CN will ensure that Navy's Sub-Portfolios are operating effectively and efficiently and are well positioned to respond to future demand. S-PMs are to apply the necessary oversight to ensure that Sub-Portfolios are operating in line with this broad intent.
- c. Budget Managers are to ensure they remain informed of activities impacting their budget performance and that they are in position to report as necessary.
- d. ["Annex 2-C. Financial Management, Budget Tool and Templates"](#) provides an example list of formal financial reports, however reports may be requested by senior leadership on an ad hoc basis.

5.2.34 Month and Year End Processes

- a. At the end of each accounting period, Budget Managers are to undertake end of period reporting as outlined at Ref A, and as directed by ACN(D).
- b. All personnel involved with end of period reporting are to comply with timelines as directed by DCN and NZDF Corporate Finance.
- c. Journals and Accruals are to be prepared in accordance with the templates and procedures outlined in Ref A, Chapter 4.

5.2.35 Monthly Reporting

- a. On a monthly basis, Budget Managers are to identify and analyse significant variations in expenditure to planned/budgeted expenditure and report identified/emerging risks to financial performance over the remainder of the FY. Commentary is to be provided regarding changes in planning assumptions, which have an impact on the original budget plan and costings and what the impact of this variance might mean for the current and future years.

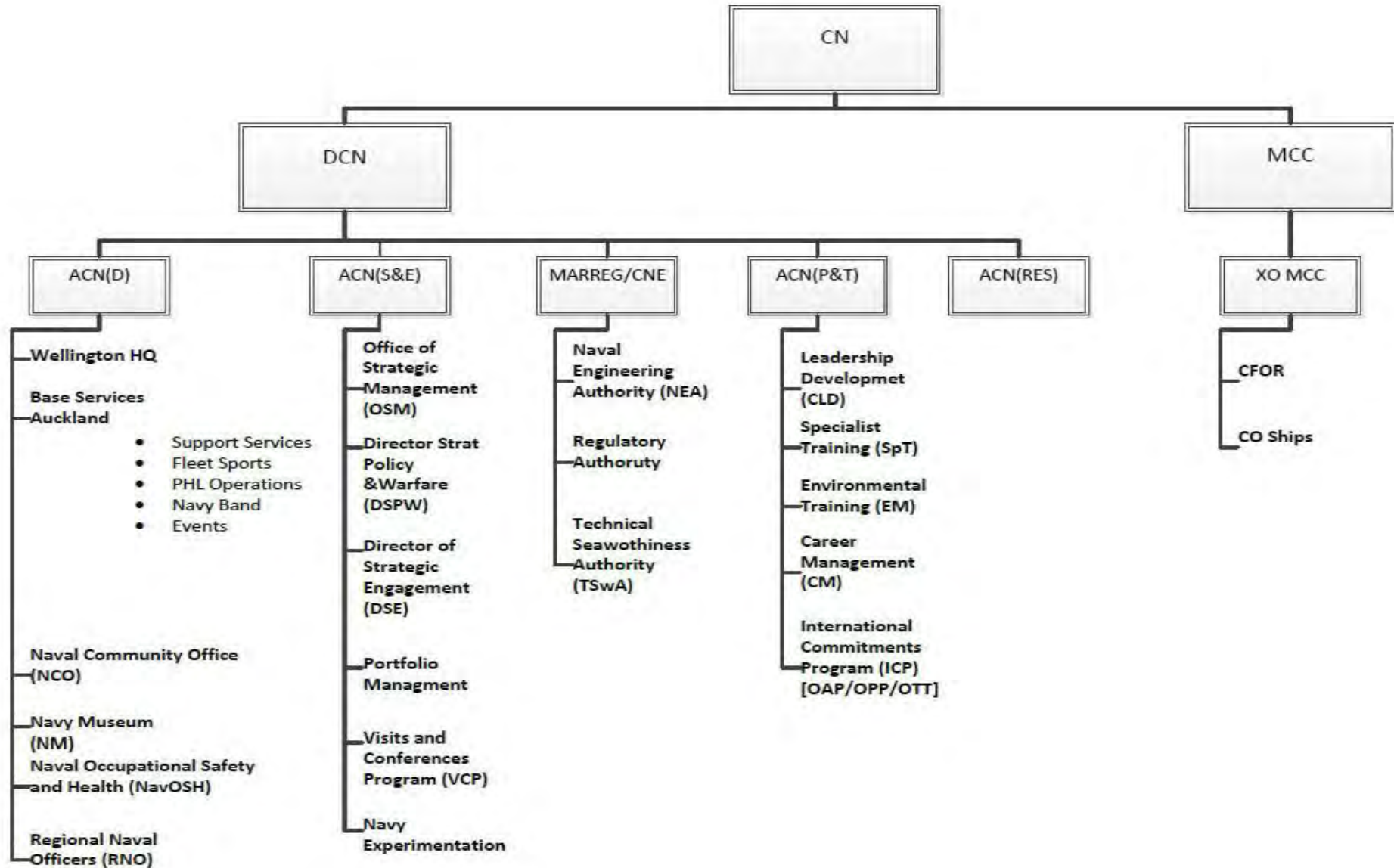
- b. Variation reporting is to be conducted in accordance with Ref A, Chapter 2.

5.2.36 Annual Reporting

Annual reports are key accountability documents. Annual reports collate financial and non-financial information to create a holistic overview of Navy's fiscal performance.

5.2.37 - 5.2.99 Not Allocated

Annex 2-A. RNZN Internal Financial Management Structure



Annex 2-B. Navy Budget and Accountability Structure

Proposed TM1 Hierarchy FY 20/21

Portfolio	Sub-Portfolio (Control C)	CAPTAINS are accountable Functional Area (Base Formation BF)	COMMANDERS or similar are accountable Responsibility Centre (RC)	Cost Centre (CC)
30000 S Navy	30000 C Navy Control DCN	38000 BF Personnel & Training ACN (P&T)	38000 RC Fleet Personnel Group	38000 Fleet Personnel & Training Command 38100 BCT/JOCT Personnel Only 38110 Personnel on Advanced Training Only 38120 Personnel on Secondments or TOD 38210 RNZN ODP 38230 RNZN OAP 38230 RNZN OPP 38360 Training Quality & Res.
			38100 RC Navy Career Management Group	39300 RNZN Officers Postings 38135 RNZN Ratings Postings
			38700 RC Personnel OE16	30016 Personnel OE16 Navy
			38300 RC Navy Specialist Training Group	38310 Tech Branch Pers Trg 38320 Support Branch Pers Trg 38330 Ops Branch Pers Trg 38375 Naval Train Spt Group 38380 Navigation Training Group 38390 Executive Training Group
			38400 RC Navy Environmental Training Group	31440 Experiential Leadership Squadron 38340 Leadership DVL Group 38350 Sea Safety Training
	39000 BF Delivery ACN (D)	31100 RC Base Services Fleet Support Group	31200 Ceremonial Support 31370 Catering and Hospitality 31420 Navy Fleet Sports 31450 Band 31480 PHL Operations Group 31490 NCO 31000 Naval Support Services Control	
		31300 RC Navy Museum Group	31290 RNZN Museum	
		39000 RC Navy HQ Group	39210 Navy Headquarters 39260 CN RPA and Control Account 39400 MOD Recoveries	
	39300 RC Directorate of Performance & Assurance	39100 NAVDSH		
	BF Maritime Regulation MARREG/CNE	RC Maritime Regulation (might not need an RC?)	39212 MARREG/CI 39213 Naval Engineering Authority	
BF Naval Reserves ACN (RES)	RC Reserves (might not need an RC?)	30090 Reserve and Regions		
BF Strategy & Engagement ACN (S&E)	36000 RC Directorate of Seapower & Warfare RC Strategy & Engagement	36730 NWDG 39310 Strategy & Engagement 39215 Navy Portfolio N-Gates Initiatives 39211 Navy Experimentation 38200 RNZN VCP		
30100 C Fleet Ops MCC	30100 BF Fleet Ops XO MCC	30100 RC Naval Combat Forces	30160 HMNZS Te Kaha 30170 HMNZS Te Mana	
		30500 RC Naval Support Force	30190 HMNZS Canterbury - MRV 30210 HMNZS Aotearoa 30220 HMNZS Manawanui (DIV)	
		33100 RC Fleet Ops Control	30100 Fleet Ops Control 30300 HMNZS Matataua 33190 Master Activity Schedule (Maritime)	
	36900 RC Naval Patrol Force	36940 HMNZS Rotoiti 36950 HMNZS Hawea 36960 HMNZS Pukaki 36970 HMNZS Taupo 36980 HMNZS Orangi 36990 HMNZS Wellington		
	30200 BF Fleet Operational Readiness XO MCC	30200 RC Fleet Operational Readiness	30105 Special Operations # 1 30106 MOET 30200 Office of CPOR 31270 Naval Operations Support Unit	

Annex 2-C. Financial Management, Budget Tool and Templates

Budget Development Template

The following pages illustrate some of the NZDF finance tools and templates that are used for financial management and reporting purposes. Further information and templates can be found at [\[http://ddms-r/DS/D9-0006/D9-0006-10/Forms/Examples.aspx\]](http://ddms-r/DS/D9-0006/D9-0006-10/Forms/Examples.aspx).

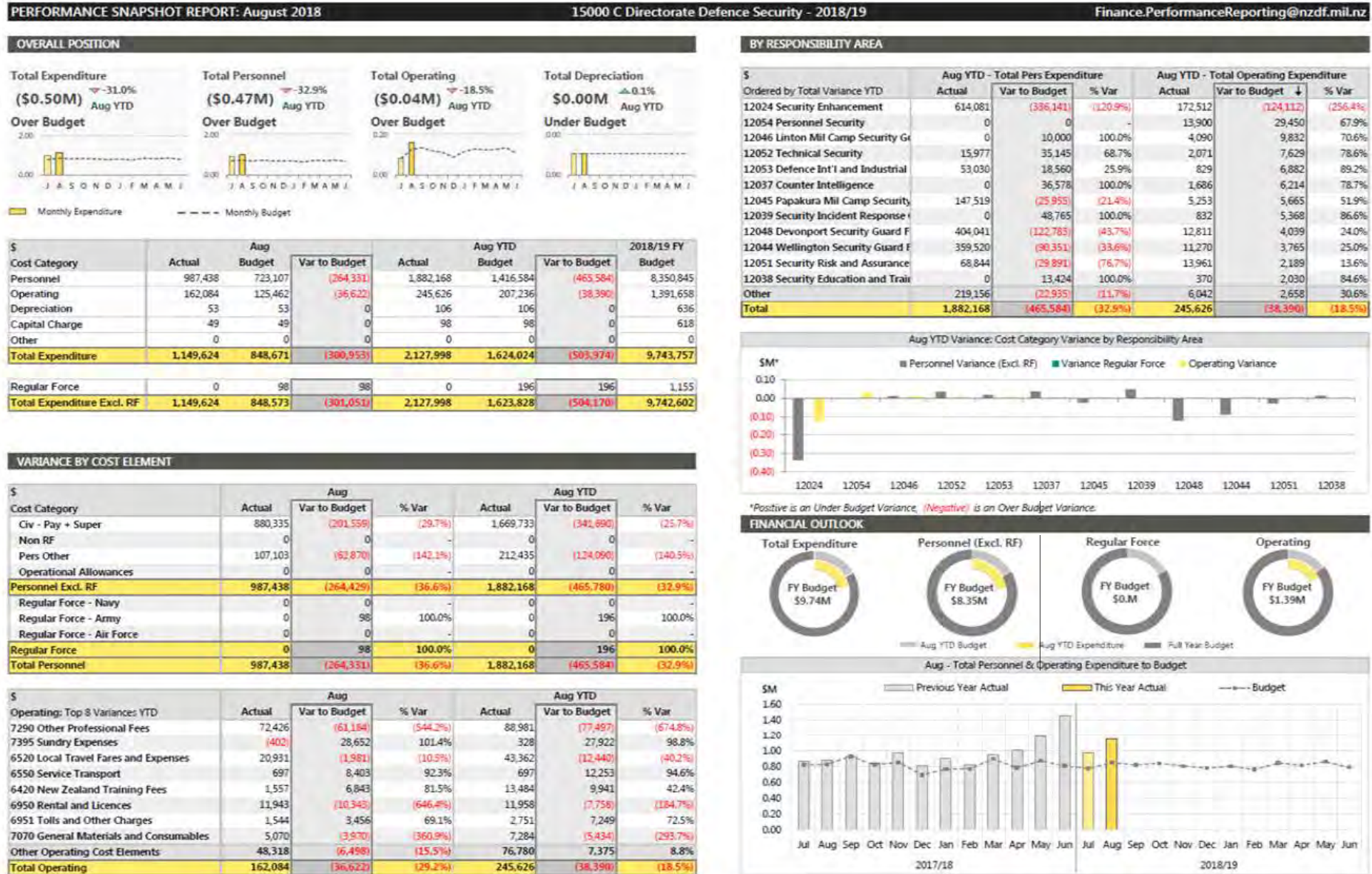
The screenshot displays a budget development template with the following structure:

- Header:** Includes 'Agency: Department' and 'Budget Office: Budget'.
- Description of Activity:** A text box explaining the activity, such as 'The Navy Centre for Personnel Management provides high quality professional services...'. This area is highlighted in light blue in the image.
- Summary Table:** A table with columns for months (Jul to Jun) and a 'Total' column. It lists categories like 'Personnel Management', 'Personnel', 'Equipment and Spare', and 'Training' with their respective monthly and total values.
- Monthly Breakdowns:** Detailed tables for each category, showing monthly values and a total. For example, 'Personnel Management' shows a total of 12,000 spread across 12 months.

Budget Sub-Committee Reporting Tower

2020/21 View - Tower - Navy Portfolio - Operating		Summary Expenditure Activity Tower			
Area	Activity Block	Activity Block Summary	FY 20/21		Link to Benefit or Outcome / Consequences and Risks
			Line	Sum	
	Activity Build			60,000	
	Funding Allocation		(10,000)	50,000	
HIGHEST TO LOWEST PRIORITY TO MEET POLICY, OUTPUT AND ORGANISATIONAL REQUIREMENTS					
		Output 4 related	10,000	60,000	
		Reservists	1,000	50,000	
		Hull Cleaning	4,000	49,000	
		Offshore Training to Generate SQEP	10,000	45,000	
		Activities to Support Ships, Operations, & Training	5,000	35,000	
		Base Sea days to achieve DLOC	10,000	30,000	
		Navy Fixed Costs	5,000	20,000	
		Ship Fixed Costs	10,000	15,000	
		Compliance & Policy	5,000	5,000	

Example of Monthly 'Snapshot' Report



TMI Generated Monthly Report

Reload Selected Cost Centre: 31100 RC Base Services Fleet Supp Selected Month: August Selected Year: 2020/21

FA PERFORMANCE REPORT : August 2020 **31100 RC Base Services Fleet Support Group** Finance.PerformanceReporting@nzdf.mil.nz

TOTAL CONTROLLABLE EXPENDITURE

\$	August			Aug YTD			2020/21	
	Actual	Budget	VAR	Actual	Budget	VAR	FY Budget	Outturn
Operating	218,074	215,893	(2,181)	350,274	486,623	136,349	2,681,909	2,681,909
Controllable Personnel (Ex. RF)	107,011	111,212	4,201	242,096	230,787	(11,309)	1,334,644	1,334,644
Portfolio Focus Expenditure	325,085	327,105	2,020	592,370	717,410	125,040	4,016,553	0

Key Controllable Expenditure & Outturn Messages

CONTROLLABLE PERSONNEL | EXPENDITURE DETAIL

\$	August			Aug YTD			2020/21	
	Actual	Budget	VAR	Actual	Budget	VAR	FY Budget	
Civilian Pay	98,691	103,280	4,588	218,711	216,412	(2,299)	1,283,723	
Civilian Allowances	(35)	1,000	1,035	991	2,000	1,009	12,000	
Civilian Accumulated Leave	5,549	4,469	(1,080)	8,765	7,467	(1,298)	9,473	
Civilian Other Incl. Fiscal Tension	677	0	(677)	1,741	0	(1,741)	0	
Total Civilian	105,082	108,758	3,676	230,209	225,879	(4,330)	1,305,196	
Reservists	0	4	4	228	8	(220)	48	
RF - Operational Allowances	1,929	2,450	521	11,801	4,900	(6,901)	29,400	
Personnel Other	0	0	0	(141)	0	141	0	
Controllable Personnel (Ex. RF)	107,011	111,212	4,201	242,096	230,787	(11,309)	1,334,644	

Controllable Personnel Messages

OPERATING | TOP 10 VARIANCES

\$	August			Aug YTD			2020/21	
	Actual	Budget	VAR	Actual	Budget	VAR	FY Budget	
7010 Equipment and Spares	7,046	18,137	11,091	17,013	79,999	62,986	185,819	
7070 General Materials and Consumables	9,922	23,012	17,090	31,402	47,004	35,602	290,414	
7193 Furniture and Fittings	39,147	22,966	(16,181)	53,220	38,732	(14,488)	158,292	
6951 Tolls and Other Charges	21,238	8,240	(12,998)	28,584	16,480	(12,104)	98,880	
6950 Rental and Licences	6,174	11,720	5,546	12,292	23,160	10,868	140,560	
6703 Maintenance Plant and Equipment	7,055	12,800	5,745	7,055	17,854	10,799	38,902	
7192 Other Office Equipment	24	7,000	6,976	1,649	12,000	10,351	62,000	
6420 New Zealand Training Fees	4,142	6,130	1,988	4,581	14,600	10,099	72,205	
7370 Rental of Equipment	6,388	11,207	4,819	12,690	21,414	8,724	225,784	
7065 Clothing	7,009	10,741	3,732	36,242	43,332	7,090	161,792	
Other Operating	112,935	83,940	(29,995)	165,545	171,968	6,423	1,247,261	
Operating	218,074	215,893	(2,181)	350,274	486,623	136,349	2,681,909	

Key Operating Messages

OPERATING BY RESPONSIBILITY AREA | ORDERED BY VARIANCE SIZE

\$	August			Aug YTD			2020/21	
	Actual	Budget	VAR	Actual	Budget	VAR	FY Budget	
31370 Catering and Hospitality	96,457	53,997	(42,460)	97,751	159,340	61,589	488,499	
31420 Navy Fleet Sports	8,540	27,518	18,978	29,371	67,177	37,806	236,149	
31200 Ceremonial Support	1,484	21,650	20,166	12,591	39,800	27,209	500,500	
31490 NCO	4,383	16,299	11,916	11,553	29,208	17,655	116,137	
31000 Naval Support Services Control	94,360	71,570	(22,790)	156,793	144,850	(11,943)	868,410	
31460 PHL Operations Group	13,881	13,489	(392)	20,445	25,043	4,598	151,565	
31450 Band	(1,131)	11,370	12,501	21,772	21,205	(567)	320,649	
Operating	218,074	215,893	(2,181)	350,274	486,623	136,349	2,681,909	

Controllable Personnel (Ex. RF)

Operating vs Budget

Annex 2-D. Financial Management Reporting Matrix

Frequency	Report Name	Report Purpose	Who Produces	Distributed to who?
Monthly	"Snapshot" or Report 1	<p>A PDF financial report for each Portfolio and sub-area showing in-year monthly and YTD variances to budget. It's intended use is to support the organisation in continuously managing its budget.</p> <p>The Financial Advisors (FAs) work with the business to ensure variances are understood at the cost centre level.</p> <p>The FBPs work with their key stakeholders to ensure any short or long term implications, associated with, or identified by, the variance analysis are understood.</p>	Reporting and Systems Team	NZDF Senior Leadership Team (Portfolio heads and their leadership team). Sub-area / cost centre level leadership and budget holders
Bi-monthly	Report 2	<p>A written financial report for each Portfolio outlining key forward-looking issues and explaining key YTD variances. These provide an opportunity for Finance to express an opinion on each Portfolio's current state and likely out turn, with recommended actions if required.</p> <p>The FBPs further support their Portfolio with issues identified by; implementing solutions, being proactive about potential future problems (e.g. tracking and recording), articulating issues to other areas of the organisation.</p>	FBPs	NZDF Senior Leadership Team
Bi-monthly	Report 3	Similar to Report 2 but only one is produced for NZDF as a whole.	Senior Finance Managers and Directors	NZDF Senior Leadership Team. Organisational and Executive Committees
Annual	The Annual Report	Contains key non-financial information and NZDF's full year financials analysed by output and appropriation.	Financial Controller team	Externally e.g. Treasury
Various	Non-standard various	Ad-hoc and regular reports are produced as a response to demand from the business.	FAs, FBPs, project accounting	Internal only

PART SIX - INFORMATION MANAGEMENT AND TECHNOLOGY

Chapter 1 - Management of Publications

Section 1 - Books of Reference

References:

- A. NZBR 26 - RNZN Materiel Management Instructions
- B. DFO 51 Vol 1 - Defence Force Orders for Security, Volume 1 Protective Security

6.1.01 Policy

- a. **RNZN Policy.** The RNZN Policy on the stockholding of Books of Reference (BRs) is that no spare copies are to be held.
- b. Maritime Logistics Officers (MLOs), Cost Centre Managers (CCMs), HoDs or supervisors are not to maintain stocks of books nor are they to store books on behalf of the assigned custodians.
- c. Wherever possible reference books and manuals are to be procured and maintained in, or converted to digital format. New BRs will not normally be purchased in hard-copy unless there is a specific reason or no digital format is available.

6.1.02 Classification

- a. The terms 'book' and 'publication' as used in this chapter relate to all BRs other than those bearing a security classification of 'confidential' or above, which are issued for official use in the RNZN.
- b. BRs, including New Zealand Supplements, manufacturers' operating manuals and periodicals, are consumable (ZNCO) stores and are to be accounted for iaw Ref A.

6.1.03 Requisitions for Books of Reference

- a. All requisitions for BRs are to be placed with the RNZN Publications Team (PT), HMNZS PHILOMEL.
- b. A request is to be submitted to the PT through the Maritime Logistics Officer or CCM and must contain the following information:
 - (1) cost centre;
 - (2) BR number and description; and
 - (3) quantity.
- c. The cost of BRs will be funded by the requisitioning CC.

6.1.04 Issue of Books of Reference and Amendments

- a. All BRs and amendments for hard-copy BRs are issued by the PT on an 'issue voucher', to the respective HoD and require no further accounting action after issue.
- b. Heads of Departments are responsible for ensuring that hard-copy BRs held by their sections are properly maintained and amendments actioned correctly, and that the latest version of digital BRs are held.
- c. When insufficient or surplus copies of a hard-copy amendment are received for the number of copies of books held, the PT is to be advised. The PT will advise on the course of action to be taken.
- d. **Out of Sequence Amendments.** Should an amendment for a hard-copy BR be received out of sequence, the PT is to be advised.

6.1.05 Transfers to Other Units

Hard-copy BRs are not to be transferred to other units without approval from the PT. All transfers are to be carried out in the same manner as all other transfers of stores.

6.1.06 Disposal of Books of Reference

The PT is to be approached for advice on the disposal of any hard-copy BRs.

6.1.07 Superseded and Obsolete Books of Reference

- a. Hard-copy BRs that have been superseded or made obsolete, with the exception of those BRs held as part of the Reference Library are to be returned to the MLO or HoD (ashore) for disposal action in consultation with the PT. Excessive copies of digital BRs are not to be stored using up storage space; superseded and obsolete digital versions are to be deleted upon receipt of new version or notice of obsolescence.
- b. Superseded and obsolete hard-copy BRs are to be destroyed by any method which results in their complete destruction; digital copies are to be deleted from the system by the system administrator. The PT is to be advised of the disposal authority for hard-copy BRs destroyed on board to enable them to update their account records.

6.1.08 Unserviceable Books of Reference

- a. Request for replacement hard-copy BRs due to fair wear and tear are to be forwarded to the PT annotated 'replacement required through fair wear and tear'. Where a digital format is available, one will be sent as a replacement.
- b. Unserviceable hard-copy BRs are to be retained by the custodian until a replacement is received, at which time the unserviceable BRs are to be returned to the MLO/HoD (ashore) for disposal iaw Article "6.1.07 Superseded and Obsolete Books of Reference" above.

6.1.09 Receipt of Books of Reference Material with New Equipment

- a. All technical Books of Reference Material (BRMs) received into NSD as part of the delivery of new equipment are to be forwarded immediately to the Configuration Group of Babcock NZ Ltd for review.
- b. The Configuration Group is to examine the BRMs for suitability and appropriate security classification for introduction into the RNZN. After review the BRM is to be forwarded to CN with a recommendation as to the method of introduction, classification, and a proposed distribution list with details of any amendments that may be required before issue.
- c. The following considerations are to be taken into account when contemplating the issue of a BRM introduced with new equipment:
 - (1) the project details and Equipment Management Policy Statement (EMPS) showing the number of copies of the BRM required to support the new equipment;
 - (2) distribution details of the new BRM;
 - (3) the long term requirement for the BRM; and
 - (4) any copyright restrictions (see Article "6.1.11 Copyright").

6.1.10 Confidential Books

The rules and procedures for the management of Confidential Books (CBs) are contained in Ref B.

6.1.11 Copyright

Before the reproduction of any commercially produced BRM is undertaken an inquiry is to be made to establish any possible copyright restrictions. As a general rule the copyright of a BRM or document is not infringed by its reproduction or adaptation for use within the NZDF; however, if a BRM is reproduced for use outside the Defence Department, the Crown, and ultimately Defence personnel, may be liable for the payment of compensation to the

copyright holder; where any doubt exists, the matter must be referred to the CN (through DCOORD(N)).

6.1.12 - 6.1.99 Not Allocated

PART SEVEN - TRAINING AND EDUCATION

Chapter 1 - Education and Education Study Assistance

References:

- A. DFO 3, Part 10
- B. Defence Manual of Learning
- C. New Zealand Qualifications Authority
- D. Naval Forces General Orders - Part 7

7.1.01 Ships' Education Officers

- a. The CO is to nominate a suitable officer to act as the ship's education officer.
- b. The ship/establishment's education officer is the first point of contact when personnel require information on matters relating to:
 - (1) Correspondence courses;
 - (2) Education Study Assistance (ESA);
 - (3) Civilians examinations; and
 - (4) The New Zealand Qualifications Authority (NZQA).
- c. Any personnel involved in recruiting and/or the planning of branch training requirements may seek the advice of the NZ Defence College, External Relations and Qualifications Team regarding external examination/qualification issues and in determining the correlation of civilian training with RNZN training.

7.1.02 Ships' Recreational Libraries

- a. Ships can obtain recreational libraries with the assistance of the Base Librarian.
- b. Books required are to be demanded by the ship's education or library officer, who is responsible for supervising the work of the ship's librarian, and the custody of, and accounting for the books; which are to be mustered every six months.
- c. Charges for loss or damage to books supplied through the Base Library are to be met by the borrower at rates prescribed by the Base Librarian. The ship's fund is to meet the cost of any losses found at the six monthly muster that cannot be traced to a particular borrower.

7.1.03 Lt Cdr WE Sanders, VC, DSO, RN Memorial Scholarship

- a. The Lt Cdr WE Sanders, VC, RN Memorial Scholarship is funded by the income of a investment made by the trustees of the Sanders Memorial Fund. The purpose of those funds is to provide and maintain scholarships for the benefit of the children of members of the Mercantile Marine Service, Royal Navy or the Navy of any British Dominion resident in the Auckland provincial district. This scholarship is also a memorial to Lieutenant Commander WE Sanders, VC, DSO, RN. Lt Cdr Sanders was granted the Victoria Cross 'in recognition of his conspicuous gallantry, consummate coolness, and skill in command of one of His Majesty's Ships in action'. He was drowned in 1917 when his ship, HMS *Prize* (one of the 'mystery' or 'Q' ships) was lost with all hands as the result of an engagement with one or more enemy submarines.
- b. Information regarding eligibility and application for the scholarship may be obtained from the Scholarships and Financial Support Office of Auckland University.

7.1.04 Youth Skills Programme

Information pertaining to the Youth Skill Programme can be found in Ref A.

7.1.05 Education Study Assistance

- a. Many personnel in the RNZN recognise the need to improve their qualifications and level of

education at some stage in their career. There are various reasons for this e.g. gaining knowledge and skills in a specialist area, taking specific action as a result of a performance or career review, or simply improving educational and technical qualifications.

- b. The definition of, and eligibility for the NZDF Education Study Assistance (ESA) programme is detailed in Chapter 3 of Ref A.
- c. The range of assistance available is detailed in Chapter 3 of Ref A.
- d. The current funding level is detailed on the Defence Learning Centre website.
- e. Fee recovery will occur in accordance with Chapter 3 of Ref A.

Applications

- f. The procedure for applying for Routine Education Study Assistance (RESA) is:
 - (1) The applicant completes a Form MD1350 ensuring that all pre-requisites for the study are held.
 - (2) Form MD1350 (Routine Application for Education Study Assistance) is forwarded to the student's DO/supervisor, the ship's education officer if the applicant is posted to sea, and the CO/unit manager for signature.
 - (3) All Service personnel are advised to discuss the proposed study with their career managers to ensure there will be no posting issues.
 - (4) The Director Training and Education (DTE), or their appointed delegate, is authorised to approve an RESA application.
 - (5) All applicants for RESA will be formally notified in writing of the result of their application (refer to Ref A for declined applications).
- g. The applicant's commander or manager (of an equivalent rank of LT CDR or above) is authorised to approve time off duty to attend a RESA programme. Commanders and managers are to familiarise themselves with the guidance provided in Chapter 3 of Ref A.
- h. The procedure for applying for Special Education Study Assistance (SESA) is:
 - (1) The applicant completes a Form MD1351 ensuring that all pre-requisites for the study are held.
 - (2) Form MD1351 (Application for Special Education Study Assistance), along with supporting material (Chapter 3 of Ref A) is forwarded to the student's DO/supervisor, the ship's education officer if the applicant is posted to sea, and the CO/unit manager for signature.
 - (3) All Service personnel are advised to discuss the proposed study with their career managers to ensure there will be no posting issues.
 - (4) The Defence Education Board (DEB) is the approving authority for all SESA applications (except in the case of urgent applications, which can be approved by COMDT NZDC, DTE or their delegate).
 - (5) All applicants for SESA will be formally notified in writing of the result of their application.

Alternative Funding for Education and Training

- i. Where there is a service requirement for specific job related training it is more appropriate for funding to be made directly to the provider prior to enrolment. Any course that is identified as a requirement for a post is to be budgeted for in Classification Code 6420.

The Use of RNZN Books and Documents in Study

- j. Personnel involved in study, particularly at tertiary level, are to make themselves conversant

with the content of Chapter 5 or Ref D regarding the use and disclosure of official information.

7.1.06 Civilian Qualifications

Refer to Chapter 2 of Ref A.

7.1.07 Maori Studies

- a. There is a Service requirement to have personnel with suitable training and background available to assist in increasing the level of understanding of Maori affairs in the RNZN. One method of achieving this objective is to train Service personnel to be fully conversant in Te Reo and to have a broad knowledge of Tikanga Maori.
- b. To assist in achieving this objective up to two Service personnel per financial year may receive Maori language course training at public expense. The ACN(P&T) is authorised to determine the nature of the training to be undertaken and the personnel to undergo the training in consultation with appropriate authorities.
- c. Criteria for selection:
 - (1) Completion of eight years continuous service;
 - (2) Normally three or more years to serve in current engagement;
 - (3) Commanding Officer's recommendation;
 - (4) Track record of involvement in-service Tikanga Maori matters;
 - (5) The applicant is prepared to be co-opted onto Te Runanga O Te Iwi Heramana;
 - (6) The applicant is prepared to instruct Service Tikanga Maori courses; and
 - (7) The applicant will be required to sign a one year return of service.
 - (a) Any candidates within three years of reaching the end of their engagement can be considered on a case-by-case basis;
 - (b) Applications for Maori studies are to include form MD 1351 and are to be forwarded to FPTO via the Divisional System by 01 Sep of the year prior to the course commencing;
 - (c) Applications are then forwarded by the Senior Adult Learning Trainer (SALT) with ACN(P&T)'s endorsement/approval to the Defence Education Board (DEB) for final approval;
 - (d) Successful applicants will be notified by the DEB and are then to organise their enrolment. Invoices are to be forwarded to the SALT for processing; and
 - (e) On completion of the study, the applicant is to forward all course reports to the relevant Career Manager to be filed on their PF.

7.1.08 Tertiary Study

Refer to Chapter 3 of Ref A.

7.1.09 - 7.1.99 Not Allocated

Chapter 2 - Return of Service Obligations

References:

- A. Defence Act 1990
- B. DFO 3 - NZDF Human Resource Manual
- C. Naval Forces General Orders

7.2.01 Authority

- a. Ref C sets out the authorities and delegations for setting and approving Returns of Service (ROSO).
- b. Ref B sets the criteria and guidelines of ROSO.

7.2.02 List of Return of Service Obligations

NZDF and single Service training courses and activities which attract a ROSO and the guidelines for calculating ROSO are contained in the "ROSO Calculation Methodology Guide and Tables of ROSO for Activities":

(<http://reference/CSN/Knowledgebucket/process-ROSO-calc-method.pdf>).

7.2.03 Setting Return of Service Obligation

- a. The methodology for assigning and calculating ROSOs is laid down in Part 10, Chapter 4 of Ref B.
- b. The CNOCM (officers), and the CNST (ratings), are responsible for calculating and reviewing the ROSO for each training or posting activity iaw the criteria and methodology laid down in Part 10, Chapter 4 of Ref B.
- c. All new ROSO and proposals to amend existing ROSO are to be forwarded to the CN for approval.
- d. CNOCM and CNST are to ensure all approved ROSO additions/deletions/amendments in their respective areas are promulgated and the "ROSO Calculation Methodology Guide and Tables of ROSO for Activities" updated accordingly.

7.2.04 Acknowledgement

Personnel whose course or Service activity attracts a ROSO are to acknowledge the ROSO iaw Part 10, Chapter 4 of Ref B (Articles 10.4.35 - 10.4.36).

7.2.05 Waivers of Return of Service Obligation

Requests to waive a ROSO in whole or in part are to be forwarded through the chain of command to ACN(P&T). ACN(P&T) will forward the application to the CN for approval, with an assessment on the impact of waiving the ROSO and recommendation.

7.2.06 - 7.2.99 Not Allocated

PART EIGHT - CAPABILITY AND DEVELOPMENT

Chapter 1 - RNZN Research, Science and Technology Policy

References:

- A. DFO 1/2012 - Research, Science and Technology in the NZDF
- B. Capability Management Framework
- C. Naval Forces General Orders - Part 8, Chapter 1
- D. NZBR 7 - RNZN Technical Instructions

8.1.01 Introduction

The purpose of this chapter is to detail the organisation and processes by which Research, Science and Technology (RS&T) will be managed in the RNZN in accordance with Ref A. This includes a definition of the work undertaken by the Defence Technology Agency (DTA), Naval Experimentation, and Trials in support of the Capability Management Framework.

8.1.02 Research Science and Technology Roles

The roles of RS&T in the Navy are:

- (1) to provide a policy making context within the Navy which is shaped by rational and robust RS&T advice;
- (2) to provide support to Evidence Based Decision Making. Military capability and human resource decisions in particular should be based on analytical evidence;
- (3) to provide technological awareness; the Navy needs to be kept aware of developments in military RS&T that change existing assumptions about threats that can influence RNZN capability development decisions in the medium and long terms;
- (4) to align research and capability generation; scientific research is needed to generate information that supports capability generation. Research activities must be aligned with both NZDF and RNZN capability requirements;
- (5) to leverage off collaboration; to offset our limited RS&T capacity every effort must be made to leverage off collaborative work with both local and international research agencies;
- (6) to mitigate of technical risk; RS&T should be used to mitigate risk in future capability development and acquisition as well as the enhancement of current capability;
- (7) to provide focused and precise support; providing essential support to maintain and exploit critical items of equipment and technology that are no longer supportable through other avenues;
- (8) to provide advice on human factors; providing advice on the positive and/or adverse effects on Navy personnel arising from the introduction and implementation of new technologies and/or resulting from scientific research so that the human and machine interface can be an integrated one; and
- (9) to provide a working knowledge of new technologies in advance of acquiring a capability; some RS&T activities may primarily serve to increase the knowledge and expertise of personnel in new technologies in preparation for future developments which may, or may not, include acquiring a related capability.

8.1.03 Science and Technology Goals and Attributes

- a. The Navy, as a modern maritime military force, must use RS&T for the development, acquisition, support and exploitation of military capability. The RS&T goals for the RNZN which are aligned with the RS&T roles are to:

- (1) support current operations and capabilities;
 - (2) develop knowledge on emerging technologies to support future navy operations, and explore innovative and cost-effective ways of employing such technologies;
 - (3) assist in ensuring current and future navy personnel are well-equipped and combat-viable through a programme of continuous improvement in human performance;
 - (4) assist in improving force performance;
 - (5) support force development and capability acquisition;
 - (6) assist in providing robust justification for future capability requirements;
 - (7) assist in reducing the costs of acquisition and ownership of ships and combat, platform and propulsion systems;
 - (8) assist in extending the life of ships, weapons and propulsion systems;
 - (9) assist in addressing challenges resulting from New Zealand's unique operational environment; and
 - (10) assist in improving force sustainability.
- b. Attributes of the RS&T programme are fully articulated in Ref A, which ensures that the programme is world class and agile. The RS&T attributes maintain an innovative and impartial approach to providing high quality outputs in a cost effective and responsive manner.

8.1.04 Experimentation Role

Military experimentation is designed to answer a question (or hypothesis) based on empirical evidence to effectively fill a gap in knowledge regarding a military capability.

8.1.05 Experimentation Goals and Attributes

- a. The key goals of experimentation are to:
- (1) Produce answers to conceptual and capability related questions that are based on empirical evidence and supported by rational and robust advice in order to inform decision-making processes within the NZDF.
 - (2) Assess the viability and utility of new and emerging technologies that may be applicable to the NZDF by enhancing operational effectiveness.
 - (3) Ensure the NZDF remains an informed customer regarding the latest military concepts and capabilities so that future operating concepts and equipment user requirements are reflective of the latest technological trends.
- b. The attributes of the Navy Experimentation programme are:
- (1) Experimentation is the optimal method of providing objective rigorous scientific outcomes that guide future force development and reduce risk in the acquisition of new capabilities within a tight fiscal environment.
 - (2) Experimentation provides the opportunity to observe "military phenomena empirically - to learn by doing, without the costs of war - and provide advice to decision makers".¹
 - (3) It allows concepts to be explored, ideas to be discussed, equipment to be tested, and the results recorded and then retested for validity.
 - (4) Military experimentation can address specific questions about capability requirements and validate strategic analysis.
 - (5) This provides rigour and confidence in decisions about what concepts are worth

1. Department of Science and Technology (DSTO), Military Experimentation, Fact Sheet, Canberra, ACT, Australia.

pursuing and which capabilities are actually required by a Defence Force².

- (6) For that reason, within the restrained economic environments of the present day and into the future, experimentation plays a significant role in reducing risk in the procurement of future naval capability sets through the objectivity of rigorous scientific findings.

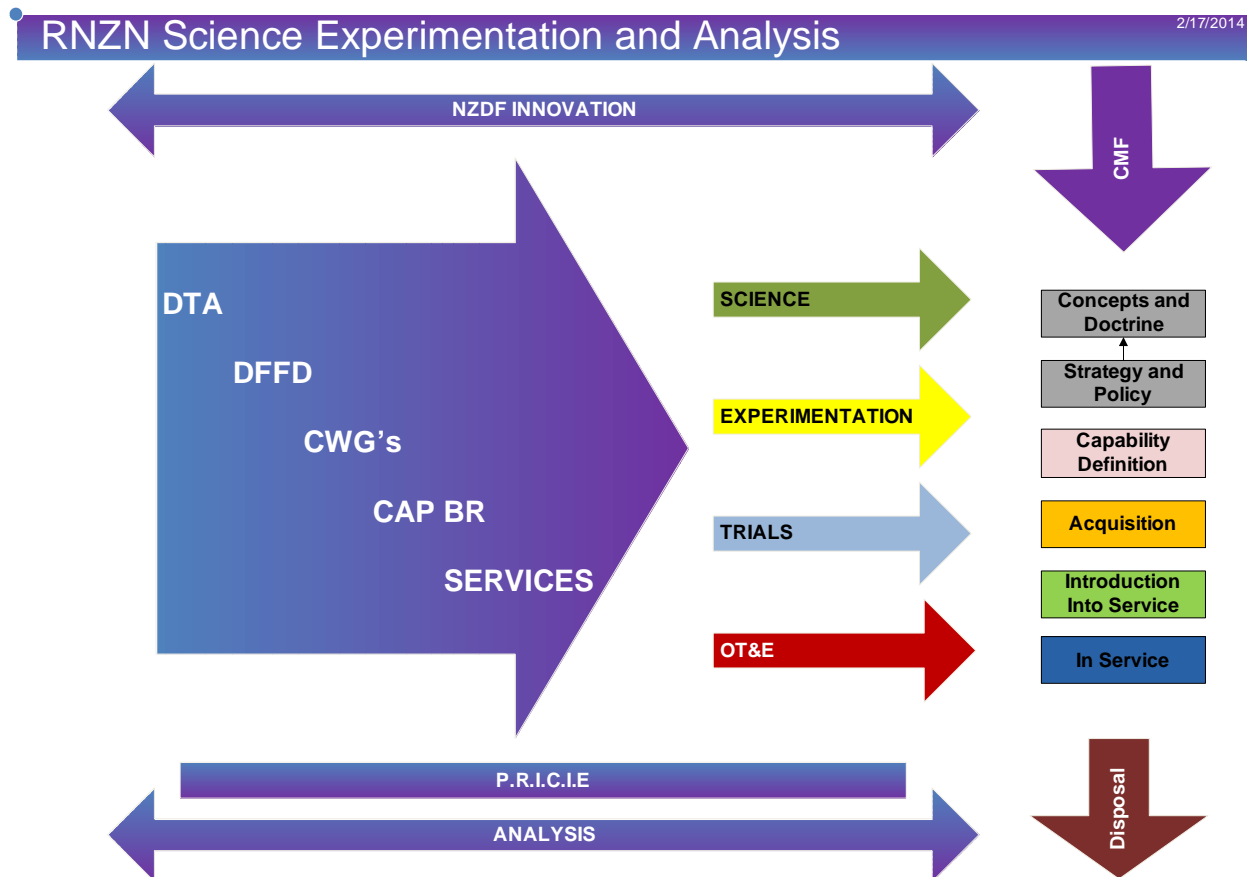


Figure 1. RNZN Science Experimentation and Analysis Framework

8.1.06 NZDF Research Science and Technology Strategic Plan

- a. The NZDF Research Science and Technology Strategic Plan (RS&TSP) outlines the NZDF's medium to long-term RS&T requirements. The RS&TSP supports CDF's Strategic Capability Concepts and defines the broad direction, future priority areas of research and level of resources allocated to DTA projects. It outlines the level and focus of The Technical Cooperation Programme (TTCP) participation on a five-year rolling basis. Director DTA is to develop and manage the NZDF RS&TSP in consultation with Assistant Chief Capability and the Defence Technology Advisory Board (DTAB).
- b. The NZDF RS&TSP comprises five Major Programme Areas (MPA) designed to support both current and future capability. Each comprises a number of DTA Research Areas (RA), and each RA will comprise a number of projects. Refer to DFO 1/2012 for greater detail on the five MPA.

8.1.07 Research Science and Technology Governance Framework

The governance framework to support the RS&T programme is at ref A and provides descriptions of the responsibilities of the Defence Technology Advisory Board (DTAB) and the Defence Science Working Group (DSWG). The Navy Capability Board (NCB) is the level

2. Ibid.

below the DSWG and manages the single service requirements. Naval Forces General Orders Part 8, Chapter 2 contains more detail on the role of the NCB.

8.1.08 Science Project Types

There are three types of projects undertaken by DTA in support of Naval Research Science and Technology. They are as follows:

- (1) **Core Projects.** These are projects that are sponsored by DDTA, and are of benefit either wholly or in part to the NZDF in general. They look towards future technologies with a 10 - 25 year horizon. While the project sponsorship resides within DTA, it is expected that suitable Service champions will be appointed where appropriate.
- (2) **Navy Research Projects.** Generally these projects are future based (5 - 10 year horizon) with the aim of increasing or enhancing the military and organisational capability of the Navy. Sponsorship for these projects will be allocated within appropriate naval units (e.g. NOSU and/or NWDG) or the Maritime Combat Capability Working Group.
- (3) **Navy Support Projects.** These projects, by necessity, will have the highest priority inside the Navy. Their aim is to carry out research or investigations of issues that affect the maintainability, sustainability, or operation of the Navy's current capability. Those RNZN personnel involved with in-service support normally provide sponsorship for these projects.

8.1.09 Experimentation and Trial Types

There are a variety of different activities that are conducted under the auspices of experimentation and analysis. Each varies in terms of scale, cost and fidelity of outcomes/results. These can be further defined as:

- (1) **Technology Demonstration/Proof of Concept.** These activities are demonstrations of new and/or improved capabilities by the product vendors or their agents. These are important activities for the NZDF to remain informed of the latest developments in military capability and technology by industry through providing the opportunity to observe the capability in operation in real time. They are usually of limited or neutral cost to NZDF and short in duration.
- (2) **Limited Objective Experiment.** A Limited-Objective Experiment (LOE) is a research technique in which the scope of an experiment is intentionally constrained (focused) to reduce the time and effort required to conduct it. They are usually pilot efforts for larger and more complex events that follow them, such as major field experiments. They also typically offer greater scientific control by having fewer degrees of freedom (variables) than real-world experiments.
- (3) **Trials.** The comparison of an extant capability with an evolution/enhancement of the same capability. Largely used for capabilities the NZDF already has in service and is familiar with e.g. a trial of a new weapon sight compared with current in service (see NZBR 7, Chapter 6).
- (4) **Naval Fleet Experiment/Battle-lab.** A campaign of learning activities, usually conducted at the very beginning of the CMF process, and designed to better understand the potential applicability to the NZDF of new and emerging technologies. The aim is to be a more informed customer and to help inform possible OCD/CCD and User Requirements. Fleet Experiments may be designed to include a series of proof of concept activities, LOE's and Special Trials.

8.1.10 Balance of Research Science and Technology

With the number of competing issues, and a continual tension between current problems and future requirements, there is a need for direction as to where resources should be applied, if NZDF's goals for RS&T support are to be achieved. Details of current research ratios are detailed in DFO 1/2012. Direction and guidance is subject to variation by the DTAB. The

research balance is under review annually, with each Annual RS&T plan. Priorities may alter due to government requirements of NZDF or due to NZDF's own operational and maintenance requirements.

8.1.11 New Project Criteria

A project must meet one or more of the following criteria before it will be considered for inclusion on the NZDF RS&T programme by the DSWG:

- (1) it is an agreed future capability goal which aligns with F35;
- (2) it is related to a project on the Defence Capability Plan (0-10 yrs) during any of the CMF phases:
 - (a) Phase 1 - the Strategy and Policy phase
 - (b) Phase 2 - the Capability Definition phase
 - (c) Phase 3 - the Acquisition phase
 - (d) Phase 4 - the Introduction-Into-Service phase
 - (e) Phase 5 - the In-Service phase, which may represent 15 - 20 yrs of through-life support, or more rarely
 - (f) Phase 6 - the Disposal phase
- (3) NZDF personnel lives may be placed in unnecessary risk if it does not proceed;
- (4) a current operational capability will be at risk of failing to meet the agreed level of output; or
- (5) it is an agreed enhancement to a current operational capability.

8.1.12 Programme Project Approval

- a. New projects may only be approved through the DSWG. Prior to a new project being forwarded to the DSWG for consideration it must have been considered and approved by the NCB. While deliberating on a new project, the NCB is also to consider the project's relative importance within the naval science portfolio and its capability plan.
- b. **Project Prioritisation.** On an annual basis, the NCB is to review its priority list of all projects being contributed to by DTA, and any being conducted by consultants contracted by DTA, or independently. The priority list will be tabled by the DCN as the Navy's representative on the DSWG for inclusion in any NZDF-wide discussions on project priorities that might occur at DSWG meetings.

8.1.13 DTA Ship Access Planning

Periodically, there will be requirements for DTA personnel to have access to RNZN ships and systems in the support of their project or investigative work. In order to ensure that the requirements to support DTA, in conjunction with the RNZN requirement to carry out its military task are both met, DTA requirements need the full and timely visibility of the ship programme planners. The appropriate forum for all medium to long-term events affecting a ship's programme is the Fleet Maintenance Planning (FMP) Meeting which is held every five weeks, usually by the Logistics Commander (M). Shorter-term requirements are to be met through consultation with the appropriate project sponsor, and J33M at HQ JFNZ.

8.1.14 Responsibilities of Sponsors

- a. RNZN DTA Projects and Fleet Experiments are to have a naval sponsor assigned at the time of establishing a new project or naval Experiment.
- b. Through the Maritime Lead, the Director Capability Working Groups (DCWG) is to be informed of all RNZN projects and the associated sponsor.

- c. All Navy sponsors are responsible for:
- (1) Regular engagement with their DTA Project Manager (at least quarterly).
 - (2) Close engagement with their Fleet Experiment Project Manager and Experimentation Manager (Navy).
 - (3) An understanding of the project subject matter.
 - (4) Understanding the direction, from both a Navy and a NZDF perspective that the project/experiment needs to follow to ensure benefit, added value and effective use of the research asset.
 - (5) Ensuring that any barriers to project/experiment progress and milestone achievement, caused by factors under the control of Navy, are overcome.
 - (6) Ensuring that the above barriers are brought to the attention of the NCB where appropriate.
 - (7) Reporting to the NCB the progress of the project/experiment(s) for which they are the sponsor.
 - (8) Ensuring that project performance issues of a DTA nature are brought to the attention of the appropriate DTA Group Manager (Network Systems, Sensor Systems, Human Factor Systems or Applied Vehicle Systems).

8.1.15 Work Request Process Endorsement

- a. To initiate DTA operational support a work request must be raised. A Work Request is designed to assist NZDF client groups with the resolution of faults and defects in existing NZDF equipment, or to get small bodies of work done which align with existing charters, but which are not big enough to warrant the production of a stand-alone project. The work request process and work request proforma can be found on the DTA website on the NZDF Intranet (HQNZDF/CAP Branch/Defence Technology Agency).
- b. The NZDF Science Manager (SCIMNGR) is responsible for managing and monitoring all DTA work requests. The SCIMNGR will maintain a record of work requests submitted by the RNZN, and act as a liaison between the Navy and DTA. Should work requests be of a classified nature a SWAN account is available for contact: HQNZDF.SCIMNGR.
- c. Personnel are authorised to approve RNZN DTA work requests in accordance with Naval Forces General Orders Part 8, Chapter 1.

8.1.16 Naval Fleet Experiment Proposal Process and Endorsement

- a. To initiate a naval fleet experiment a brief indicative business case is to be created and supported by a naval sponsor. The paper must include an outline of the capability or concept, and how this will enhance current and future naval capability. It must include benefits for RNZN and NZDF as well as indicative costs, resource requirements, linkages and timeframes.
- b. Fleet Experiment Proposals are to be submitted early in the first quarter of each calendar year.
- c. All naval fleet experiment proposals are to be supported and prioritised by Capability Branch Maritime Lead and Experimentation Manager (Navy) (EM(N) in accordance with maritime capability requirements. Successful proposals will be presented to the NCB for endorsement.
- d. A project manager will be appointed from the fleet experiment host unit, usually the person generating the proposal.
- e. Once endorsed a detailed Programme of Work (PoW) will be developed collaboratively by EM(N), the project manager, DTA and the sponsor. The PoW is to be approved by the NCB and relevant Cost Centre Manager to release funding.
- f. Personnel authorised to approve RNZN Fleet Experiment PoWs are in accordance with Naval

Forces General Orders Part 8, Chapter 1.

- g. All naval fleet experiments are to have a clear start and end date and include DTA support. This will ensure objective scientific results based on the Fleet experiment hypothesis, research questions and objectives detailed in the PoW.
- h. The findings of the fleet experiment are to be reported back to the NCB for consideration. The NCB is to decide on the next step(s) to be taken; either a sequel fleet experiment or recommendation that Cap Br take forward through the Capability Management Framework as a naval or NZDF capability project.

8.1.17 - 8.1.99 Not Allocated



DEFENCE HEALTH DIRECTIVE

Naval Volunteer Reserve Grading

Policy Number:	19/005: Version 04
Release Date:	01 Feb 23
Withdrawal Date:	01 Feb 24

Policy Overview Clarification of NZDF Health Processes for the Management of Royal New Zealand Naval Volunteer Reserve (RNZNVR) gradings.

Keywords: Naval Volunteer Reserve, Reserves, Medical Grading

Releasing Authority: Col. C. M. Tate, SG	DH Category No: D.1.1.1.01.01.005	Contact Owner: Lt Col R. Duncan, CMO
Signature: SIGNED ON ORIGINAL	Date Authorised: 01 Feb 23	Version Number: 04

Purpose

1. To define the process for maintaining command visibility of medical fitness to deploy in Royal New Zealand Navy Volunteer Reserve (RNZNVR) personnel.

Scope

2. Applies to the grading of members of the RNZNVR.

Base grading

3. All RNZNVR personnel are to be graded 432 N2 R72—

- a. Fit for sea in NZ coastal waters.
- b. Requires waiver for operational deployment.

High risk activities

4.1 Specific activities require additional risk stratification.

4.2 High risk activities (may include but are not limited to)—

- a. Operational tasks governed by HQJFNZ.
- b. Deployment to RNZN vessel outside of NZ national waters.

4.3 All RNZNVR personnel must meet the operational fitness requirements specified in the HQJFNZ or other operational health plan.

4.4 All RNZNVR personnel will require a MD914 Medical Board (current in the preceding twelve months) to determine their health status and operational grading—

- a. Any increase in operational grading associated with this assessment is valid for 24 months.
- b. The R value should be set to 24 following this assessment.
- c. The operational grading reverts to 432 N2 R99, unless another MD914 Medical Board is performed at this time.

4.5 All RNZNVR personnel will be required to provide current health information from their primary care provider as part of this assessment.

Moderate risk activities

5.1 Moderate risk activities (may include but are not limited to)—

- a. International exercises.
- b. Courses identified as having psychological/physical risks associated with the training include, but are not limited to—
 - i. Damage control.
 - ii. ELDA training/training.
 - iii. AUMANGEA.
 - iv. Conduct after capture training.

5.2 The RNZNVR individual will be required to complete an MD1205 self-declaration and supply a current summary from their primary care provider.

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Released under the Official Information Act 1982

5.3 The operational grading will be amended to reflect the information provided in the above.

5.4 The operational grading can never be increased from the base grading on a MD1205 assessment.

5.5 The base grading confirmed by the above is sufficient to determine health risks in moderate risk activities.

5.6 The individual may require a MD914 med board to clarify health status if the information provided is incomplete or inadequate to assess health status.

Low risk activities

6.1 Low risk activity (including but not limited to)—

- a. Routine unit training and courses.
- b. NZ domestic exercises.
- c. Ceremonial activities in NZ and most international (discuss J1H or Principal Medical Officer if unsure).
- d. Land based exercises in Australia.
- e. Promotion coursing.

6.2 No further action required. The RNZNVR individual may participate without further assessment.

Summary

7.1 The base grading of RNZNVR personnel is to be set at 432 N2 R72—

- a. Require waiver for operational deployment/fit NZ coastal waters.

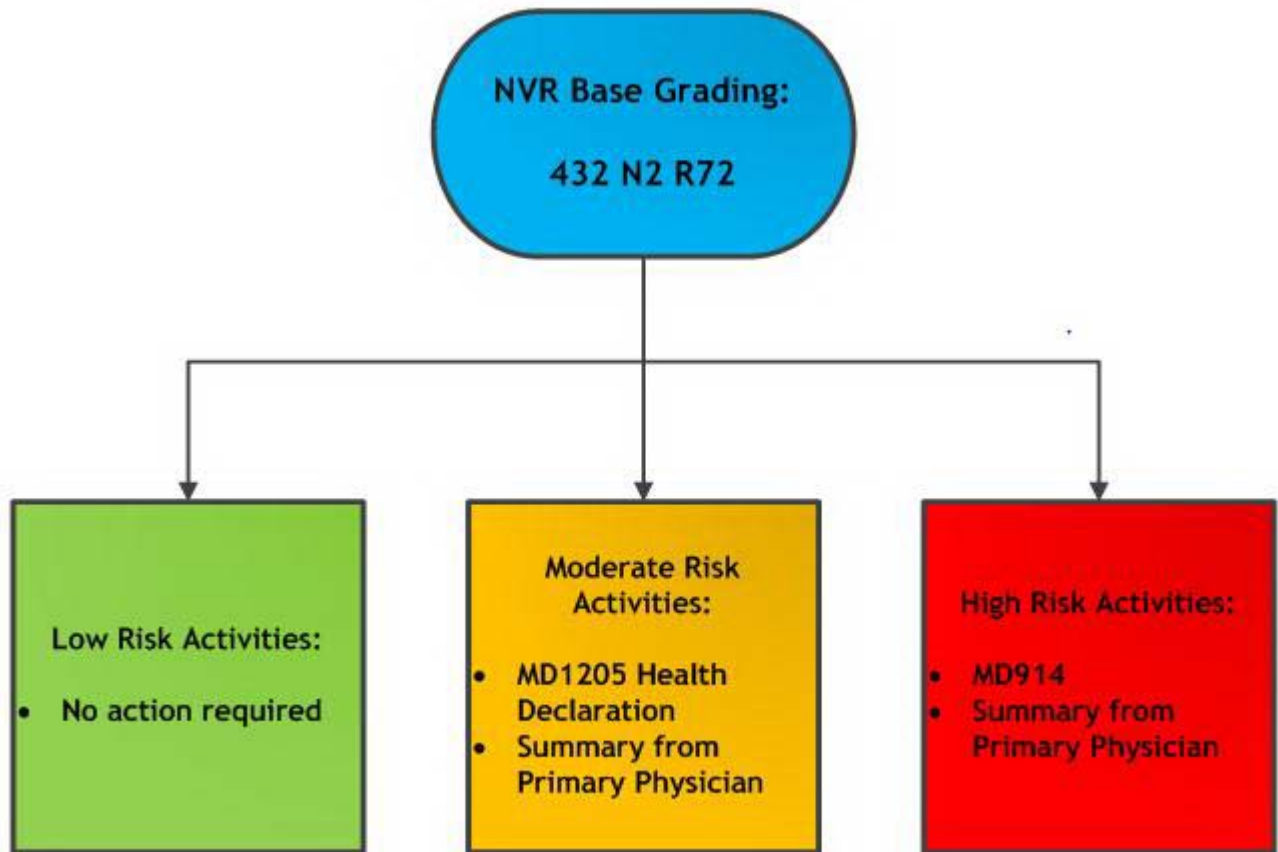
7.2 Specific operational and non-operational activities may require additional assessment—

- a. High risk/Operational activities—
 - i. MD914 Medical Board.
 - ii. Summary from primary care provider.
- b. Moderate risk activities—
 - i. MD1205 health declaration.
 - ii. Summary from primary care provider.
- c. Low risk activities—
 - i. No further assessment required.
 - ii. Use RNZNVR base grading.

7.3 Refer Annex A for a flowchart of the process.

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Annex A:



Releasing Authority: Col. C. M. Tate, SG	DH Category No: D.1.1.1.01.01.005	Contact Owner: Lt Col R. Duncan, CMO
Signature: SIGNED ON ORIGINAL	Date Authorised: 01 Feb 23	Version Number: 04

DHR 11 NZDF Personnel: Health Provisions Version 2.03 Part 1 and Part 5 - Recruit Standards and Processes

Recruit Medical Standards

11.1.1.4 Requirement for health standards

It is an inherent requirement of employment in the NZDF for all members to be operationally deployable. The enlisted member or officer is in general primarily a combatant and secondarily a specialist tradesperson. NZDF members must be able to deploy at short notice and this is reflected in specific conditions of service and health standards that must be fulfilled. Enlistees (both Regular and Reserve) must be medically fit to deploy at the time they enter the NZDF.

Lateral Recruits

11.1.5.1 Lateral recruits

Lateral recruits are applicants with either overseas military experience or previous NZDF service (Regular or Territorial Force).

11.1.5.2 Lateral recruits with previous NZDF experience

a. Regular Force experience—(1) Applicants with previous NZDF Regular Force service fall into two categories—

(a) those not currently enlisted in the Territorial Force; or

(b) those currently enlisted in the Territorial Force.

b. Regular Force experience: Not currently enlisted in the Territorial Force—(1) Applicants with previous NZDF Regular Force service, who do not currently have a Territorial Force engagement—(a) are assessed against ab initio standards as specified in Part 1, Chapter 1 Recruit Medical Standards; and

(b) those that fail to meet these standards may be waived dependent upon the needs of the single service or the NZDF.

Medical process for re-enlisting NZDF personnel

