JSP 822
Defence Direction and Guidance for Training and Education

Part 1: Directive
Foreword

People lie at the heart of operational capability; attracting, developing and retaining the right numbers of capable, motivated individuals to deliver Defence outputs is critical. This is dependent upon maintaining a credible and realistic offer that earns and retains the trust of people in Defence. In order to achieve this, all people must be confident that, not only will they be treated fairly, but also that their families will be treated properly and that Service veterans and their dependants will be respected and appropriately supported.

The development of Defence People through Defence Learning (Training and Education) to deliver Defence outputs is a key activity that is critical to Defence success. JSP 822 is the source of pan-Defence policy direction for Defence Individual and Collective Learning (Training and Education) activity and, through the Defence Learning Framework (DLF), builds on the Defence People Strategy to set out high-level direction on the development of Defence Individual and Collective Learning (Training and Education).

JSP 822 is the authoritative policy that directs and guides Defence people to ensure that Defence Individual and Collective Learning (training and education) is appropriate, efficient, effective and, most importantly, safe. Underpinning all training and education activities is the Defence Systems Approach to Training (DSAT). It is the system that must be used by those who are involved in the analysis, design, delivery, assurance, management and governance of Defence training and education. The JSP makes clear, in Part 1, which DSAT activities are mandated; Part 2 provides Guidance to assist staff in complying with Part 1 DSAT direction.

Chief of Defence People
People Functional Owner
May 2021
Preface

How to use this JSP

1. JSP 822 sets out Defence Direction and Guidance on Learning and Development for and by individuals and teams across Defence¹. (See Chapter 1 for the definition of Learning and Development). The JSP contains the majority of Defence Learning and Development policies; where Defence Learning and Development policy sits outside of JSP 822, it is clearly referenced in the Coherence section at Para 5 below.

2. This JSP will be reviewed at least annually and any significant changes will be endorsed at the Training, Education, Skills, Recruiting and Resettlement (TESRR) Policy and Assurance Group (PAG).

3. The JSP is structured in two parts:
   a. Part 1 - Directive, which provides the Direction that must be followed in accordance with statute or policy mandated by Defence or on Defence by Central Government.
   b. Part 2 - Guidance, which provides the Guidance and best practice that will assist the user to comply with the Directives detailed in Part 1.

4. The JSP employs ‘must’, ‘should’ and ‘could’ language as follows:
   a. Must: this indicates that the direction is a legal or key policy requirement and must be complied with.
   b. Should: this indicates that the direction is a policy requirement and compliance is highly recommended. Where ‘should’ is used in Pt 2 Guidance, that guidance is highly recommended.
   c. Could: this indicates that the policy or guidance is recommended but not compulsory.

Coherence with other Policy and Guidance

5. Where applicable, this document contains links to other relevant JSPs, some of which may be published by different Functions or Defence Authorities. Where particular dependencies exist, these other Functions or Defence Authorities have been consulted in the formulation of the policy and guidance detailed in this publication.

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¹ Note that Organisational Learning is captured under the Defence Organisational Learning Structure (DOLS) Framework owned by Joint Warfare in STRATCOM and is not within the scope of JSP 822.
² Includes revised Heat Illness Prevention Policy dated Oct 20 (was previously located in JSP 539).
### Further Advice and Feedback – Contacts

6. The owner of this JSP is TESRR, CDP, MOD. For further information on any aspect of this JSP, or to ask questions not answered within the subsequent chapters, or to provide feedback on the content, contact:

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<tr>
<th>Job title/email</th>
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<td>SO1 Policy (People-TESRR-TrgPolicy SO1)</td>
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<td>SO1 H2A (People-TESRR-H2A SO1)</td>
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<tr>
<td>Dec 15</td>
<td>SO1 Policy (People-TESRR-TrgPolicy SO1)</td>
<td>First publication after major revision.</td>
</tr>
<tr>
<td>Mar 16</td>
<td>SO1 Policy (People-TESRR-TrgPolicy SO1)</td>
<td>Minor revision to give further Direction on audit and to correct typos.</td>
</tr>
<tr>
<td>Dec 16</td>
<td>SO1 Policy (People-TESRR-TrgPolicy SO1)</td>
<td>Merging of JSP 898 and JSP 822 and minor revisions to bring JSP 898 terminology into line with JSP 822 2015 revision.</td>
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<tr>
<td>Mar 17</td>
<td>SO1 Policy (People-TESRR-TrgPolicy SO1)</td>
<td>Agreed amendments to Part 1, Chapter 4, Section 4.1 and Part 1, Chapter 6, Sections 6.2 and 6.6. Reference to Children and Young Persons Act 2008 added to Part 1, Chapter 2, Section 2.4. Addition of Part 1, Chapter 4, Section 4.2.</td>
</tr>
<tr>
<td>Jul 18</td>
<td>SO1 Policy (People-TESRR-TrgPolicy SO1)</td>
<td>Minor revisions which include amendments to sections 1.1, 2.1, 2.2, 2.3, 2.4, 2.5, Chapter 4, 6.5 and 6.6. Section 5.2 has been replaced.</td>
</tr>
<tr>
<td>Jun 19</td>
<td>SO1 Policy (People-TESRR-TrgPolicy SO1)</td>
<td>Removal of the Modelling and Simulation Policy (Chapter 5.3), replaced by JSP 939. Revision to the Defence Technology Enhanced Learning Policy in Chapters 5.1 and 5.2.</td>
</tr>
<tr>
<td>Aug 20</td>
<td>SO1 Policy (People-TESRR-TrgPolicy SO1)</td>
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Glossary of Defence Learning Related Terms

7. This glossary does not simply refer to those terms found in JSP 822 but includes the wider Defence Learning environment. It is intended as a tool by which a common agreed understanding can be reached for terms in frequent use.

8. The full glossary of Definitions of Terms used within this policy can be found in JSP 822, Part 2, Chapter 4.1.
9. Suggestions for additions or amendments to the glossary should be forwarded to the Defence Training and Education Working Group.

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<tr>
<td>Collective Training</td>
<td>Training to improve the ability of teams, units or formations to function as a cohesive entity and so enhance operational capability.</td>
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<tr>
<td>Command and Staff Training(^3)</td>
<td>The learning and development of the art and science of how to fight and win wars; focusing on the KSE-B required of members of the Profession of Arms employed in a Command or HQ environment.</td>
</tr>
<tr>
<td>Community of practice (CoP)</td>
<td>Practitioners, or experts, in a specific domain of interest (e.g. same profession) who share information and experiences with the group face-to-face or in online communities.</td>
</tr>
<tr>
<td>Competency</td>
<td>The performance of a specific skill, attitude or behaviour needed to do a job.</td>
</tr>
<tr>
<td>Competencies</td>
<td>The KSE-B conditions and standards that enable an individual to be successful in a role.</td>
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<tr>
<td>Course/Programme</td>
<td>A structured learning intervention that, once completed, results in the award of a ‘qualification’ or ‘proficiency level’. Courses/programmes can vary in length and may consist of multiple modules. Part or all of the course may be accredited to a civilian qualification or an internal wider recognised standard/qualification.</td>
</tr>
<tr>
<td>Defence Trainer</td>
<td>An individual from the Whole Force delivering any Defence Phase 1, Phase 2 or Phase 3 training from the FTS.</td>
</tr>
<tr>
<td>Defence Training</td>
<td>Multiple learning events that may be delivered to individual sS audiences but achieve the same output for all Services.</td>
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<tr>
<td>Digital literacy</td>
<td>The ability to use digital technology, communication tools or networks to locate, evaluate, use and create information.</td>
</tr>
<tr>
<td>Education</td>
<td>The provision of teaching to develop intellectual capability, knowledge, mental skill and attitude to adapt and solve complex and changing problems.</td>
</tr>
<tr>
<td>e-learning</td>
<td>Includes all aspects of learning that uses digital content including remote, blended, online and virtual learning.</td>
</tr>
<tr>
<td>Front Line Command (FLC)</td>
<td>Replaces use of ‘Service Command’. Defined here to include: Royal Navy, Army, Royal Air Force and UK Strategic Command.</td>
</tr>
<tr>
<td>Intellectual Edge (IE)</td>
<td>The intellectual edge enables an individual or team to use initiative to create or adapt existing capabilities to achieve and sustain military advantage regardless of uncertainty and chaos. It combines professional knowledge and skills, cognitive agility, character and ethos that have been developed though experimentation, experience and practice. It requires an organisational culture that encourages innovation and the building of deep collaborative relationships based on understanding and professional excellence.</td>
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</tbody>
</table>

\(^3\) N.B. there is discussion around splitting Command and Staff into separate disciplines but not sufficiently developed thinking for this version of JSP 822.
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<tr>
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<tr>
<td>Joint Training</td>
<td>A learning event where two or more Services participate together.</td>
</tr>
<tr>
<td>JPME</td>
<td>The learning and development activity that generates the specific KSE-B that enhances an individual's ability to effectively operate in a Joint environment. By its nature it is complimentary to, and developmental from, sS PME. It is multi-domain and reflects the WF aspects of the Defence enterprise. JPME programmes are likely to include multi-national participants as well as WF participants.</td>
</tr>
<tr>
<td>Learner’s Journey</td>
<td>The pathway a learner will take through a given course to achieve the outcomes. It could highlight where options are available to the learner.</td>
</tr>
<tr>
<td>Learning</td>
<td>The acquisition of Knowledge and Skills through training, education and/or experience that leads to a positive change in behaviour, attitude and/or capability.</td>
</tr>
<tr>
<td>Learning and Development</td>
<td>The process of empowering individuals to make positive change to their KSE-B and Attitudes through learning.</td>
</tr>
<tr>
<td>Learning/Skills Pathway.</td>
<td>A map of learning activities, and progression through them, that are accredited to some form of profession, specialism, trade, branch, function, chartership or career field requirement. May also be called competence frameworks.</td>
</tr>
<tr>
<td>Lead TRA</td>
<td>A Lead TRA (agreed between the relevant Front Line Commands with any Joint or Defence training requirement) signs the TrAD on behalf of the subordinate TRAs. The Lead TRA has a coalescing function to maximise commonality of requirements across subordinate TRAs.</td>
</tr>
<tr>
<td>Module</td>
<td>An element of a (longer) course/programme that is typically defined around a discrete topic area. Modules may be common to multiple courses/programmes.</td>
</tr>
<tr>
<td>On the Job Training</td>
<td>Training which has not been derived through the formal DSAT process and is therefore not addressed through the formal workplace training statement. Informal workplace training interventions that are contextualised for the workplace environment.</td>
</tr>
<tr>
<td>Outcomes Based Education</td>
<td>A learner-centred approach that focuses on what an individual or team can do in the real world in terms of observable and measurable performance. Expressed as KSE-B the learner-centred nature supports flexibility of learning delivery in both timing and methodology to best facilitate an individual's success.</td>
</tr>
<tr>
<td>Profession of Arms</td>
<td>The Profession of Arms relates to a disciplined group of individuals who adhere to ethical standards and are accepted by the public as possessing special knowledge and skills derived through research, education and training at a high level. When directed these individuals, regulated under military law, are empowered to employ the ordered application of lethal force under conditions of unlimited liability on behalf of the UK Government.</td>
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<tr>
<td>Term</td>
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<tr>
<td>Professional Defence and Security Education (PDSE)</td>
<td>The totality of learning and development across the Defence Enterprise that enables our people to fulfil the Defence Purpose and achieve Competitive Advantage. It is multi-domain and multi-disciplinary and includes SS and Combined, Joint, Inter-agency, Inter-governmental and Multi-national (CJIIM) activities.</td>
</tr>
<tr>
<td>Professional Military Education (PME)</td>
<td>The learning and development activity that generates the specific KSE-B that enable an individual to effectively operate in the Armed Forces. PME primarily focuses on single disciplines and domains. It is undertaken by commissioned and non-commissioned, regular and reserve personnel. PME programmes may include participants from other Services, including multi-national AF where it is considered beneficial. Non-uniformed members of the WF may undertake some aspects of PME to inculcate the required KSE-B for their own role.</td>
</tr>
<tr>
<td>Safeguarding</td>
<td>The principles and procedures required to meet legal and cross-government standards for the protection of both U18s (JSP 834) and Vulnerable Groups (JSP 893).</td>
</tr>
<tr>
<td>Skills&lt;sup&gt;6&lt;/sup&gt;</td>
<td>The combination of Knowledge, Skills&lt;sup&gt;7&lt;/sup&gt;, Experience and Behaviours (KSE-B) that enables an individual to successfully perform a task or solve a problem in a work context.</td>
</tr>
<tr>
<td>Training</td>
<td>The acquisition of Knowledge, Skills, Attitudes and Behaviours for specific tasks or activities.</td>
</tr>
<tr>
<td>Workplace Training (Formal)</td>
<td>Formal training that is managed and/or delivered by the employing unit. This training may address all or part of the training required to meet the Role Performance Statement as articulated in the Workplace Training Statement.</td>
</tr>
</tbody>
</table>

<sup>4</sup> The Defence Purpose: To protect the people of the United Kingdom, prevent conflict, and be ready to fight our enemies.

<sup>5</sup> Includes but is not limited to Command, Staff, Business, Technical, Leadership, Ethics and Engagement.

<sup>6</sup> As defined by Defence People in the nascent Pan-Defence Skills Framework.

<sup>7</sup> A learned ability.
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1 Introduction to Defence Learning and Development Policy and the Defence Learning Framework

Scope
1. This chapter sets out the overarching context, framework and approach for Defence Learning and Development policy - as set out in JSP 822 - and implementation pan-Defence.

Context
2. The Defence People Strategy states that ‘Defence exists to protect the people of the United Kingdom, prevent conflict and be ready to fight the United Kingdom’s enemies. People are the difference that gives Defence its edge’\(^8\). To ensure operational success Defence must build – and maintain – a more sustainable, diverse and skilled workforce; a key route to achieving this is maximising the talent of Defence’s workforce through modern learning provision and making better use of skills across Defence. Learning and Development is the process by which the skills Defence requires from its workforce are developed and sustained.

Use of ‘Training’ Terminology
3. The terms ‘Learning’, ‘Training’ and ‘Education’ are used in their own right in the JSP. However, the term ‘training’ is frequently used throughout the JSP to avoid repetition and to match current terminology in use across Defence. In these instances, the term ‘training’ encompasses any training, education, learning or development, both individual and collective.

The Defence Learning Framework
4. The Defence Learning Framework (DLF)\(^9\) (see below) develops the Defence People Strategy’s direction to maximise the talent of Defence People, providing a high-level framework encompassing the span of Defence individual and collective learning.

5. The Defence Learning Framework (DLF) provides key principles across ten component areas of Defence Learning that are to guide and cohere all Learning (Training and Education) decisions, investments, programmes and projects across Defence. It expresses a ‘direction of travel’ for Defence Learning which should be followed but is deliberately broad to support diversity in FLC contexts, innovation initiatives and transformation programmes. Applying the DLF principles coherently will deliver the DLF Vision and Mission, enabling Joint Operational Excellence across Defence.

6. The DLF also provides a framework for developing and improving Defence Learning policy and sufficient direction against which progress in the Defence Learning ‘picture’ can be assured by the TESRR Training Capability Centre of Expertise.

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\(^8\) Defence People Strategy Part 1, Mar 2020.
\(^9\) The DLF will be further developed into the Defence Learning Target Operating Model (TOM) in the next JSP 822 update.
7. All Command Learning and Development Strategies should be developed using the DLF as the higher authority and starting point.
DEFENCE LEARNING FRAMEWORK

Vision: Defence enables Joint Operational excellence through high quality learning that maximises the use of all the talent available to Defence.

Mission: To enable the competent, efficient and effective delivery of UK Defence Strategic Objectives by FE@R through the provision of high quality, timely and relevant learning to Defence People.

Key Components of Defence Learning

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<tbody>
<tr>
<td>Effective governance structures exist with defined responsibilities and robust H2A mechanisms.</td>
<td>The DSAT OMS and DSAT policy and processes are applied effectively to all Defence Learning.</td>
<td>Modern, flexible learning delivery methods are employed to meet Defence and learner needs.</td>
<td>Modern learning environments and technologies engage the learner in achieving high quality learning outcomes.</td>
<td>A positive, proactive approach to Through Life Development (TLD) pan-Defence is embedded across the workforce.</td>
<td>Identification, acquisition and recording of Defence Functional and Professional Skills is maximised and embedded across the workforce.</td>
<td>Defence people are encouraged and enabled to attain personal Skills that maximise their talent (KSE-B).</td>
<td>Deliberate and targeted learning occurs that develops team effectiveness and operational capability.</td>
<td>Strong strategic, operational and tactical partnerships are nurtured to maximise Defence Learning outcomes and benefits.</td>
<td>Research, experimentation and innovation drives continuous improvement in Defence Learning.</td>
</tr>
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</table>

Principles of Defence Learning

1. Effective structures and responsibilities are implemented.
2. Functional and Capability Sponsors are involved from the outset.
3. Learning Requirements are clearly articulated.
4. Continuous improvement is driven across Defence Learning.
5. Risk is managed, and resource prioritised to maximise Defence Learning outcomes.
6. Robust H2A mechanisms provide assurance at all levels of Defence Learning.

1. Learning meets documented requirements and supports the attainment of Skills.
2. DSAT Analysis, Design & Evaluation functions are implemented.
3. Design staff have the necessary Skills to maximise the efficacy of learning interventions.
4. Interventions are modularised by default and access maximised.
5. Capability development addresses the Training DLOD coherently and in a timely manner.
6. Existing content is reused / repurposed to reduce duplication and maximise usage.

1. Evidence-based methods are employed to achieve learning outcomes.
2. Experiential Learning is integrated into the workplace.
3. Diagnostics are employed prior to learning to establish WF Skills and enable a ‘fixed mastery, variable time’ approach.
4. A Blended Learning approach is adopted wherever relevant.
5. Delivery staff have the necessary Skills to support learners to achieve enhanced learning outcomes.
6. Learners have the necessary learning and technology Skills to achieve enhanced learning outcomes.

1. Physical and virtual learning environments are safe, engaging and accessible high-quality places.
2. Learning technology capabilities are developed iteratively in an ‘evergreen’ approach.
4. Positive attitudes to learning are demonstrated at all levels of Defence.
5. WF have the opportunity to undertake purposeful learning.
6. Learning achievement is rewarded and recognised.
7. Informal learning opportunities are encouraged, supported and exploited.

1. WF Skills are captured and recorded in a single pan-Defence repository.
2. Defence Skills records are utilised to:
   a. exploit workforce talents to meet Defence Strategic Objectives.
   b. enable professional development and career progression.
3. Professional Skills Development is based on clear learning outcomes.
4. A personalised learning pathway, a Skills Passport, and coaching and mentoring provision is available for all.
5. Individuals ‘own’ and ‘value’ their personal learning journey, supported with access to learning qualifications, time and resources.
6. Individuals are encouraged to develop Skills and gain qualifications to prepare them for life beyond Defence.
7. Collective Training is focussed on the development of teamwork capabilities.
8. Methods and tools are used to accurately measure and assess teamwork capabilities and skills.
9. Identify, measure and evaluate collective team & task outcomes at all levels.
10. A full mix of Live, Synthetic and Blended methods are used to provide Collective Training interventions.
11. Collaboration with PAGs, UK Defence Allies and external organisations is harnessed to improve learning outcomes for the benefit of Defence.
12. Collaboration with DfE influences Government learning policy for the benefit of Defence and its WF.
13. Collaboration with partner organisations enables the delivery of apprenticeships, professional accreditation and intellectual development programmes.
14. Outsourced Defence Learning contracts are managed and assured effectively.
2 Defence Direction for Training Systems

Policy Sponsor: TESRR, CDP

The Defence Systems Approach to Training (DSAT) process comprises activities relating to the training analysis, design, delivery and assurance of all Defence training, both individual and collective, across the Whole Force. In the context of this JSP, ‘training’ encompasses any training, education, learning or development, both individual and collective, that is designed to meet the needs of a Training Requirements Authority.

Integral to the 4 Elements of analysis, design, delivery and assurance is the need to ensure that the DSAT process is properly managed and governed. These management and governance activities, along with the assurance activities described in Element 4 of DSAT, combine together to create a Management of Training System (MTS).

The purpose of these governance, management and assurance activities is to ensure that the training of our personnel contributes directly to Defence outputs and to mitigate the risk that it may fail to do so. When the analysis, design and delivery Elements of DSAT are combined with a robust MTS, the result is a Training System that delivers training that meets the required DSAT Quality Management Standard (QMS) and is:

- safe
- risk-focused
- accountable
- appropriate to the training need
- cost-effective

2.1 Introduction to Defence Systems Approach to Training (DSAT)

1. Service Inquiries and injury reporting are an ever-present reminder of the importance of safety at the heart of Defence activity and Training is no exception. Increasing scrutiny and drive for continuous improvement demands that safety does not solely apply to perceived ‘high risk’ physical activity and will be a golden thread throughout this policy. Commanders have a duty of care to trainees and their families not only in terms of Care and Welfare (C&W) but also in Health and Safety (H&S) with respect to the delivery of training capability. Commanders are responsible for ensuring that training is delivered and managed safely by suitable qualified and experienced personnel (SQEP), through the conduct of dynamic risk assessments and rigorous assurance activity.

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10 Training, Education, Skills, and Resettlement, part of Chief Defence People, 6th Floor, MOD Main Building.
11 In the context of JSP 822, an ‘activity’ is any single process or output product of the DSAT.
12 The Whole Force encompasses Regular and Reserve personnel, MOD Civil Servants and civilians, including contractors. It is noted that training sourced through the pan-Governmental ‘Civil Service Learning’ is not subject to DSAT. Any other Civil Service training must be compliant with DSAT.
13 As a rule of thumb, all training, education, learning and development activity, where Government resource is being spent, is to be governed iaw DSAT. Training for operations, Defence Engagement activities, through-career education courses such as ICSC, ACSC and in-Service degrees are included as such requirements are to be controlled via a Customer Executive Board and appear on a Statement of Training Requirement. Notably, activities procured through the SLC/ELC schemes are not subject to DSAT as they have their own governance processes.
2. **Mandated Elements.** All personnel with a part to play in DSAT-derived training and education must read Part 1, Chapter 2, Section 2.2 which discusses the Management of Training System (MTS) and details the mandated MTS activities. For individual training, Part 1, Chapter 3, Section 3.1 details the mandated elements and must be read. For collective training, Part 1, Chapter 5 details the mandated elements and must be read.

3. **Colour Coding.** The JSP uses colour coding throughout to differentiate between the Elements, activities and responsibilities in the DSAT process. It is recommended that the document is printed out in colour or accessed on a computer. The numbered DSAT Inventory of Activities diagram, which has been designed to assist personnel in working through the JSP, is best viewed on a large screen or printed off on A3. Further details on the colour coding and the numbering system are given in the Direction and Guidance.

4. **Direction and Guidance.** The Direction on DSAT provides an overview of the mandatory elements and activities therein. The Guidance provides much more detail on each of the mandated elements – and the supporting MTS requirements – and mandatory and optional activities within each element. Accordingly, there is some deliberate repetition in the Guidance of information contained in the Direction.

5. **DSAT and the Management of Risk.** In the context of limited resources and time, Customers, Training Requirements Authorities (TRAs), Training Delivery Authorities (TDAs) and Training Providers (TPs) must apply DSAT intelligently, and thereby own and manage the inherent risks that arise; they must comply with DSAT policy or explain why they are unable to do so and how they have mitigated the consequent risks. DSAT, applied intelligently, manages and mitigates the risks inherent in the requirement setting, design, delivery and assurance of Individual and Collective Training.

6. **DSAT Learning.** Specific courses relating to DSAT are available at the Defence Centre of Training Support (DCTS), part of the Defence Academy. Personnel whose day-to-day work requires practical application of DSAT must undertake the relevant learning to ensure they are proficient in the intelligent application of DSAT.

**2.2 Management of Training System**

**SCOPE**

7. This section of the JSP outlines the Defence Direction relating to a MTS. It will direct the mandated management, governance and assurance activities that must be undertaken during the life of any Defence individual or collective training activity. It will also explain the purpose of the DSAT QMS and how a robust MTS will assist in meeting that standard.

**AIM**

8. This section of the JSP will:

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15 In the context of this JSP, the term ‘training activity’ encompasses all training, irrespective of Method, that is delivered across Defence, including individual training (such as courses in a training establishment and workplace training) and collective training (such as dry, instrumented or live exercises and simulated training, including team and collective training ‘events’ (the term being taken from a Main Events List (MEL)). A training activity can encompass the whole course (or exercise) or part lesson (or collective training event).
a. explain, in brief, what the DSAT process is and discuss its 4 Elements (with greater detail available in the Guidance (JSP 822, Part 2, Chapter 1, Section 1.1)).
b. define a MTS
c. define a Training System.
d. explain the purpose of the DSAT QMS.
e. define those who have a key role to play in a MTS.
f. outline the mandated documentation, and management and assurance activities, that must be completed, and by whom, during the life of any training activity.
g. outline the mandated governance activities that must take place during the life of any training activity.

WHAT IS THE DSAT PROCESS?

9. DSAT is the process that must be used by those who are involved in the analysis, design, delivery, assurance, management and governance of training across Defence. DSAT is designed to generate a Training System that empowers trainers to deliver safe, risk-focused, appropriate, effective, efficient and accountable training to trainees and training audiences. When new or changed equipment, technology, tactics, techniques or procedures are developed, or when new or changed policy or legislation is brought in, the requirement for new or amended training must be examined. After initial analysis, it may be decided that training is not required. There could be a solution from any of the other Defence Lines of Development. If training is required, DSAT is merely a tool to deliver training that meets the needs of the Training Requirements Authorities as well as the DSAT QMS mandated by Defence. DSAT is not a complicated process but it is detailed and, therefore, to aid in its use, a process with 4 Elements has been designed to ask, or state:

a. **Element 1: Analysis.** What is the requirement; is a new or amended training activity needed; and, if so, what kind?

b. **Element 2: Design.** What should the training activity look like; who will deliver it, and with what resources?

c. **Element 3: Delivery.** The training activity is delivered.

d. **Element 4: Assurance.** Is the training activity being delivered correctly and does it meet the requirement? Is the whole Training System fit for purpose?

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16 Introduction to Defence Systems Approach to Training (DSAT). An online individual training package for those who need a basic understanding of the principles of DSAT and the roles and responsibilities within it is on the DLE at [https://sts.defencegateway.mod.uk](https://sts.defencegateway.mod.uk).

17 In the context of this JSP, the term ‘trainer’ encompasses all those engaged in delivering formal training across Defence, for both individual and collective training.

18 In the context of this JSP, the term ‘trainee’ encompasses all those across Defence undergoing individual and collective training, and encompasses such terms as ‘recruit’, ‘student’, ‘learner’, ‘exercising troops’ etc. These and other terms continue to be used in the wider Defence training community, particularly in Phase 1, Phase 2 and collective training.
10. A fundamental point must be made here. DSAT, as illustrated in Figure 1, is not linear. The process is iterative and assurance takes place regularly and as part of all Elements. Two key assurance activities are Internal Validation (InVal) and External Validation (ExVal) and these are depicted on the left of the diagram. Other assurance activity that assures the whole of the Training System is represented by the purple arrows on the right-hand side of the diagram. **Whilst each of the DSAT Elements is mandated, the many activities that can be undertaken as part of each Element are not.** This is because some training requirements are so simple that to complete all of the activities within each Element would be unnecessary and wasteful. The DSAT process is cyclical and flexible and should be applied intelligently to ensure that it is not followed dogmatically, but rather used as a ‘toolbox’ from which users can select both the activities specific to their need and the order in which they are applied, to achieve the most appropriate Training System.

11. The DSAT process must be applied to all individual and collective training pan-Defence.

**WHAT IS AN MTS?**

12. Integral to the 4 Elements of analysis, design, delivery and assurance is the need to ensure that the DSAT process and the resultant Training System is properly **governed** and **managed** and meets the high standards required for training in Defence. The governance,

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19 The colours chosen to differentiate between the 4 Elements in Figure 1 will be used throughout this JSP. Analysis activity is depicted in green; Design in pink; Delivery in orange and Assurance in purple.

20 Exceptions to the broad intent of the DSAT process, particularly where MTS and assurance activities are concerned, will require justification and risk management (if appropriate).
management and assurance (Element 4) of training are collectively known as an MTS. An MTS is an iterative mechanism (supported by documented products and processes) to ensure that the training being delivered remains meaningful and continues to contribute to delivering Defence effect. When delivered correctly, the outputs of the DSAT Elements, combined with the MTS, deliver a Training System that meets the required QMS.

13. For the MTS to be effective, bodies such as boards and working groups must be established to ensure that the DSAT process remains on track and the Training System remains appropriate to the need. Key DSAT documentation (explained later in this Section) must also be produced. As an integral part of the MTS, activities that directly contribute to meeting the QMS are also embedded within each Element. The MTS mostly draws in products from the DSAT process (to avoid duplication) in order to record and demonstrate that the QMS is being met. All stakeholders in the Training System will have some involvement in the MTS.

WHAT IS A TRAINING SYSTEM?

14. A Training System, therefore, comprises the analysis, design and delivery of training along with the governance, management and assurance activities. Put another way, ‘DSAT 4 Elements + governance and management = Training System’. When conducted correctly, the Training System delivers training that meets the DSAT QMS mandated by Defence. Figure 2 shows DSAT and MTS activities combining to generate a Training System.

15. Defence requires its people to place themselves in harm’s way to deliver Defence effect. Defence people work in hazardous environments, under stressful conditions whilst conducting activities that carry a high risk to personal safety. Consequently, Defence must ensure that its Training Systems meet the very highest standards. Training must also be robust, realistic and challenging if it is to prepare its personnel for the full spectrum of
Defence Roles. However, there is a tendency, because of the risk, for Defence training organisations to provide more training than necessary in the misguided belief that this will make up for future uncertainties. And, in some cases, poorly designed or executed Training Systems can deliver insufficient training. The ideal then is a Training System that is designed to train its personnel to an optimal level so that they are equipped with the appropriate Knowledge, Skills and Attitudes (KSA) necessary to carry out the Role for which they were trained. Providing too much training costs money that will likely be taken from elsewhere in the training budget that could then result in insufficient training in other areas, which risks lives. Therefore, a Training System designed using a common process and that is governed and managed in accordance with the Defence mandated QMS, is vital to ensure that Defence people are best equipped to achieve Defence effect.

16. All Training Systems are unique. Accordingly, the DSAT process has not been designed to be prescriptive or constraining. Users may choose to skip individual activities if they are not required for the specific training need that has been identified provided that mandated Analysis, Design, Delivery and Assurance activities and the mandated MTS activities are undertaken. The DSAT process is designed as a generic decision-making process and can be used for equipment-based, or non-equipment training needs.

WHAT IS THE DSAT QMS?

17. The DSAT Quality Management Standard (DSAT QMS) is the standard that is met when the outputs of the DSAT Elements and the MTS activities are delivered correctly, i.e. iaw JSP 822. DSAT assurance activity needs to focus on the mandated requirements of the MTS (outlined in Part 1, Chapter 2, Section 2.2) and the mandated requirements of individual training (Part 1, Chapter 3, Section 3.1) or collective training (Part 1, Chapter 5). JSP 822 has been mapped with the ISO 9001:2015 quality management processes for equivalence. Defence audit staffs are not required to refer to the ISO standard to undertake audit activity.

ROLES

18. There are many different users of the DSAT process who are pivotal to ensuring the MTS is fulfilled. Key personnel or Roles involved, which are recorded on the Training Authorisation Document (TrAD), are likely (but not limited) to be:

a. Training Requirements Authority (TRA). The TRA represents the end-user of the trained output and is the ultimate authority for the derivation and maintenance of the Role Performance Statement (Role PS). The TRA is responsible for the evaluation of the effect of the training in achieving the Role PS wherever the training is delivered. The TRA often sits at the Service Command (SC) level and sets the requirement for a new training activity, or a variation to an existing one, as well as some aspects of the assurance of the training. The TRA is often a nominated post at 2* level but it is common practice for TRA responsibilities to be delegated, by letter, to an individual (or organisation) who has more knowledge of the specific requirement. Examples of the

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21 It is recognised that, in the cases of Urgent Operational Requirements, it may not be possible to complete all the mandated DSAT activities prior to training commencing. This is recognised but must not be an excuse for inactivity. A CEB must be established as soon as practicable to ensure the correct management, governance and assurance of the training.

22 These are illustrative rather than prescriptive, examples to show the wide range of DSAT users. Note that differences applicable to Collective Training are set out in Part 1 Chapter 5.
types of Roles undertaken on behalf of the TRA are: Needs Analyst, External Evaluator, and Senior Responsible Owner in the case of projects, programmes or capabilities.

b. **Training Delivery Authority (TDA).** The TDA must be distinct from the TRA and is the organisation responsible for training delivery, but not always for the conduct of the actual training itself. If an SC so wishes, the TDA role can be a nominated post. Examples of the types of Roles associated with the TDA are: Designer, 2nd party auditor or inspector, and Training Line of Development (TLoD) Owner in the case of projects, programmes or capabilities.

c. **Training Provider (TP).** The TP is the training school, college, organisation, establishment, unit or group that delivers the training. It may use a variety of learning techniques but is essentially responsible for the provision of training to trainees. It is where the training activity that has been analysed and designed, is finally delivered. Examples of the types of Roles associated with the TP are: Defence Trainer, Training Support Staff, Internal Evaluator, and 1st party auditors.

d. **Other Stakeholders.** Whilst not directly involved in the process of generating training activities, there are other stakeholders who have an interest in the training provided and who will likely exert influence over the DSAT process in order to ensure that their needs are taken into account. These other stakeholders may include:

   (1) **Customer/Sponsor**\(^23\). Likely to be the Service or Joint Command, or the fielded force (units, ships or groups) who are tasked with delivering Defence effect and who need trained personnel to fulfil a wide variety of Roles.

   (2) **Defence Contractor.** Many training activities are carried out by Defence contractors, who are civilian personnel working for, and on behalf of, Defence.

   (3) **Trainee.** An individual undertaking individual training.

   (4) **Training Audience.** A team undertaking collective training.

   (5) **3rd Party Auditor or Inspector** (for assurance activities conducted by Ofsted\(^24\), for example).

e. **Roles in the Joint and Defence Environment.** The principles for the governance, management and assurance of Joint/Defence training requirements are the same as for individual and collective training. However, the Joint and Defence training environment is complex. The following Direction informs roles and responsibilities within this complex area:

   (1) Where there is a Joint or Defence requirement, each Service Command that requires the training must have an associated TRA. Of these TRAs, a Lead TRA

\(^{23}\) Individuals and organisations may consider themselves ‘Customers’ or ‘Sponsors’ of training but their requirements can only be represented by an identified TRA. TRAs are the only recognised ‘Customer’ at a CEB. Note also that Capability sponsors may own the T-DLoD through-life for a particular capability but usually handover the TRA role at an agreed point to an ‘in-service’ TRA.

\(^{24}\) Office for Standards in Education.
is to be agreed. The most appropriate Lead TRA will normally be the majority customer or specialist Lead\textsuperscript{25}.

(2) The Lead TRA must take account of the requirements of the individual TRAs, usually but not exclusively from different Services or Commands. This is vital to ensure that any activity meets the requirement, delivers Value for Money (VfM) and meets organisational objectives.

(3) In many cases, it may also be appropriate to nominate a Lead TDA and Training Provider to ensure coherency and that the totality of the Joint and/or Defence training requirements are met.

(4) The Lead TRA will sign the TrAD on behalf of any subordinate sS/SC TRAs (usually at a Customer Executive Board (CEB)) but only with their agreement.

(5) Nomination of a Lead TRA is by agreement of the individual TRAs or as appointed through the TESRR PAG where there is disagreement.

(6) There is an additional need to clearly define roles and responsibilities for those who are involved in, and accountable for, the delivery of a Joint capability or Defence policy for which a Defence training solution is required.

(7) The principles of Financial and Military Capability (FMC) management are to be applied to the development of such training. This includes contribution to the T-DLoD in all cases where Joint training may be required as part of capability development or policy implementation.

19. The following Table articulates the roles and responsibilities for the TRA, TDA and TP in each level/ type of Collective and Individual Training:

\textsuperscript{25} Where there is a clearly defined Defence Task/ Defence Mission, the organisation or Post responsible for the delivery of that task is to be considered the most appropriate TRA.
COLLECTIVE TRAINING

Collective Training aims to develop the ability of teams, units or formations to function as a cohesive entity and so enhance operational capability (ENDS)

Collective Training happens in a variety of ways, including sS, Combined, Joint and Multinational exercises (WAYS)

Collective Training takes place in any environment, conforms to a DSAT generated Training System, has suitable training governance processes in place, and can utilise a variety of Methods & Media (MEANS)

The table defines the roles and responsibilities associated with each level of Collective Training.

<table>
<thead>
<tr>
<th>All CT</th>
<th>Tier 0 (ATL Alpha - Echo)</th>
<th>Tier 1 (ATL Foxtrot)</th>
<th>Tier 2 (ATL Golf)</th>
<th>Tier 2+ (ATL Hotel - India)</th>
<th>Tier 3</th>
<th>Tier 4</th>
<th>In-Theatre</th>
</tr>
</thead>
<tbody>
<tr>
<td>Definition</td>
<td>Training</td>
<td>Sub-unit-level</td>
<td>Unit-level</td>
<td>Tactical-level</td>
<td>Component-level</td>
<td>Combined/Joint</td>
<td>Strategic-level</td>
</tr>
<tr>
<td></td>
<td>aimed at improving</td>
<td>training. Tier 0</td>
<td>training prepares</td>
<td>formation level</td>
<td>Joint training. Tier 2+</td>
<td>Task Force-level</td>
<td>Tier 4 events prepare the</td>
</tr>
<tr>
<td></td>
<td>the ability of teams,</td>
<td>prepares</td>
<td>units and sub-units</td>
<td>collective training. Tier 2+</td>
<td>collective training prepares</td>
<td>collective training. Tier 3</td>
<td>Defence Crisis</td>
</tr>
<tr>
<td></td>
<td>units or formations</td>
<td>individuals to operate</td>
<td>take their place within a</td>
<td>training prepares one or more</td>
<td>training prepares a</td>
<td>training prepares a</td>
<td>Management Organisation</td>
</tr>
<tr>
<td></td>
<td>to function as teams</td>
<td>as teams below unit</td>
<td>tactical formation or</td>
<td>Combined/Joint</td>
<td>Combined/Joint</td>
<td>Combined/Joint</td>
<td>Combined/Joint</td>
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<tr>
<td></td>
<td>below unit level</td>
<td>level</td>
<td>Combined/ Joint</td>
<td>Components for</td>
<td>Task Force for</td>
<td>Task Force for</td>
<td>Task Force-level</td>
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<td></td>
<td></td>
<td></td>
<td>Component level for</td>
<td>operational</td>
<td>operational</td>
<td>operational</td>
<td>collective training.</td>
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<td></td>
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<td>operational</td>
<td>employment.</td>
<td>employment or a</td>
<td>employment or a</td>
<td>Tier 3 training prepares</td>
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<td>employment.</td>
<td></td>
<td>Permanent Joint</td>
<td>Permanent Joint</td>
<td>a Combined/Joint</td>
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<td></td>
<td>Operating Base</td>
<td>Operating Base</td>
<td>Task Force for</td>
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<td></td>
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<td></td>
<td>(PJOB) for an</td>
<td>for operational</td>
<td>operational role.</td>
</tr>
</tbody>
</table>
|          | | | | | operational | role. It may be | and may conduct | Department (OGD)/Non-
|          | | | | | role. It may be | conducted in combined | of, operations at the | Government Organisations, |
|          | | | | | conducted in combined | or joint contexts on a | Political-Military Strategic | other International Organisations |
|          | | | | | or joint contexts on a | UK, NATO or Coalition | level. They may involve | and/or NATO and the EU. |
|          | | | | | UK, NATO or Coalition | Partner framework | Other Government | |
|          | | | | | Partner framework | basis. This Tier is | Department (OGD)/Non-
|          | | | | | basis. This Tier is | of particular significance | Government Organisations, | |
|          | | | | | with enduring NATO | with enduring NATO | other International Organisations | |
|          | | | | | requirements and the | requirements and the | and/or NATO and the EU. | |
|          | | | | | next higher HQ in such | next higher HQ in such | | |
|          | | | | | training will be the | training will be the | | |
|          | | | | | Joint Task Force HQ. | Joint Task Force HQ. | | |

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<table>
<thead>
<tr>
<th>Requires CEB?</th>
<th>All CT</th>
<th>Tier 0/CT1-3</th>
<th>Tier 1/CT4 and Tier 2/CT5</th>
<th>Tier 2+/CT6</th>
<th>Tier 3</th>
<th>Tier 4</th>
<th>In-Theatre</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>CT TRAs are responsible for:</td>
<td>sS FGen Authorities: Integration Training - responsible for training individuals to integrate and operate as teams or sub-units within FEs or independently as necessary.</td>
<td>sS FGen Authorities: Integration Training - responsible for training FEs to the appropriate level to be held at readiness for contingency. Consequently, they own the policy, command the force, and resource and deliver the activity as appropriate. Core adaptive training is comprised of Tiers 1 and 2 and represents sS collective training.</td>
<td>Strategic Command (CJO or SJFC): Joint competency training provides the integration of FEs into a Joint Force and represents Joint collective training. Command will normally be provided by the JFHQ or by the equivalent sS HQ, with COM Strategic Command responsible for coordinating the activity.</td>
<td>Strategic Command (CJO): Coalition competency training provides the integration of a Joint Force into a coalition. Command will normally be provided by the Joint Commander (SJFC) with COM Strategic Command responsible for delivering the activity, although this may subsequently be delegated to SCs.</td>
<td>DCDS (MSO): Strategic HQ - The Defence Crisis Management Organisation (DCMO) is prepared to manage crises and provide strategic direction for conduct of operations at the Political-Military Strategic Level. This may involve cross-Government Departments, non-Government organisations, NATO and possibly other international organisations.</td>
<td>PJHQ, SC: In-Theatre Training – generated by an in-theatre force to create or develop the skills required by an evolving mission; to conduct a specific mission rehearsal; to refresh personnel at intervals throughout a tour; or to support a change in the task organisation.</td>
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</tbody>
</table>

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26 Prior to their transfer to the operational commander.
<table>
<thead>
<tr>
<th>All CT</th>
<th>Tier 0/CT1-3</th>
<th>Tier 1/CT4 and Tier 2/CT5</th>
<th>Tier 2+/CT6</th>
<th>Tier 3</th>
<th>Tier 4</th>
<th>In-Theatre</th>
</tr>
</thead>
</table>
| • Second party audits and inspections.  
• Representing the Customer/Sponsor at relevant CEBs. | | | | | | |
| TDA | CT TDAs are responsible for:  
• designing Collective Training to meet Collective Training Objectives (CTOs) derived from the JTL and/or MTL as specified by the TRA.  
• ensuring that assurance, including evaluations, is conducted to assure readiness of FE through training.  
• ensuring that First Party Audits are conducted by the TP.  
• ensuring that the governance of Collective Training is conducted through a relevant CEB. This may include chairing the CEB. | sS Operational Training Leads | sS Operational Training Leads and or DG JFD, SC | DG JFD, SC | SPO IPS | All Tiers as required: In theatre: PJHQ, SC |
| Training Provider | The TP is responsible for:  
• providing training to meet the force generation requirements against the respective Collective Training Objectives (Performance, Conditions and Standards) specified by the TRA via the | As directed by sS Operational Training Leads. | As directed by sS Operational Training Leads and or DG JFD, SC. | As directed by DG JFD, SC. | As directed by SPO IPS (or provided by OGD as appropriate). | As directed by PJHQ, SC. |
<table>
<thead>
<tr>
<th>All CT</th>
<th>Tier 0/CT1-3</th>
<th>Tier 1/CT4 and Tier 2/CT5</th>
<th>Tier 2+/CT6</th>
<th>Tier 3</th>
<th>Tier 4</th>
<th>In-Theatre</th>
</tr>
</thead>
<tbody>
<tr>
<td>JTL and/or MTL and the CRAF process.</td>
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<tr>
<td>• conducting assurance, including evaluation (see Ch 5, Sect 5.1, Para 24d) to assure readiness of FE through training by assessing:</td>
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<td>o the achievement of Collective Training standards.</td>
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<tr>
<td>o the risk remaining after Collective Training has been conducted due to shortfalls in the force generation process.</td>
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<td>• conducting First Party Audits.</td>
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<td>• attending relevant CEBs and reporting on the delivery of training.</td>
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</table>
**INDIVIDUAL TRAINING**

Individual Training aims to develop a mix of Knowledge, Skills and Attitudes (KSA) within individuals to achieve Defence Missions and Tasks. (ENDS)

Individual Training can be achieved in a variety of forms: it can be distributed to trg providers/schools; carried out in the workplace; undertaken as part of an apprenticeship or through education. (WAYS)

It takes place in any environment, conforms to a DSAT generated Training System, has suitable training governance processes in place, and can utilise a variety of Methods & Media (MEANS)

The table defines the roles and responsibilities associated with each form of Individual Training.

<table>
<thead>
<tr>
<th>All Individual Training</th>
<th>Distributed Training</th>
<th>Workplace Training</th>
<th>Education</th>
<th>Joint/ Defence Training</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Definition:</strong></td>
<td>Training designed to develop a mix of Knowledge, Skills and Attitudes (KSA) of individuals. It takes place in any environment, conforms to a DSAT generated Training System, has suitable training governance processes in place, and can utilise a variety of Methods &amp; Media.</td>
<td>Distributed Training (DT) is the formal training to deliver the TPS that is undertaken away from the organisation responsible for the development, maintenance and management of the training. DT may or may not require Workplace Training. The learning material can be provided by any blend of suitable methods and media.</td>
<td>Formal WT is training that is conducted within the employing unit to achieve the WTS. WT is an essential part of the Formal Training Statement and is governed by the appropriate CEB with a designated TRA and TDA. Individuals are deemed competent once they have achieved all elements of the FTS: TPS through the Training Establishment (or distributed) and WTS in the Workplace. WT is designed and assured by the designated TDA.</td>
<td>The provision of teaching to develop intellectual capability, knowledge, mental skill and attitude to adapt and solve complex and changing problems.</td>
</tr>
<tr>
<td>Requires CEB?</td>
<td>All Individual Training</td>
<td>Distributed Training</td>
<td>Workplace Training</td>
<td>Education</td>
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<tr>
<td>Yes</td>
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</table>

**TRA.** The Training Requirements Authority (TRA) is often a nominated post at 2” level. It is common practice for TRA responsibilities to be delegated, by letter, to an individual (or organisation) who has more knowledge of the specific requirement.

1. Set the requirement for a new training activity, or a variation to existing training. This includes volume, by understanding the demand for training and generating the Statement of Training Requirement (SOTR) and agreeing the Statement of Trained Task (SOTT) with the TDA; and content, by deriving and maintaining the Role Performance Statement (RPS) and (where agreed with the TDA) Formal Training Statement (FTS).
2. Raise, review and sign the Training Authorisation Document (TrAD). This includes agreement of the RPS, Formal Training Statement (FTS) and Assessment Strategy for all relevant courses.
3. Evaluate the effect of the training in achieving the RPS.
4. Ensure all training is governed through a CEB.
5. Determine whether the risks raised at the CEB must be transferred to a higher authority such as the appropriate Service or Joint Command.

**TDA.** The Training Delivery Authority (TDA) must be distinct from the TRA. If a SC so wishes, the TDA role can be a nominated post.

The TDA is responsible for effective, efficient and safe training delivery, but not always for the conduct of the actual training itself. Examples of the types of Roles associated with the TDA are: Training Designer, 2nd party auditor or inspector, and TLoD Owner in the case of projects, programmes or capabilities.

The TDA is responsible for generating and completing the SOTT by taking the agreed output-based requirement articulated in the SOTR and developing it into a deliverable training plan for the following TY. Deriving (from the RPS) and maintaining the FTS (where agreed with the TRA).

The TDA generally Chairs the CEB.

Where there is a Joint or Defence requirement, each Service Command that requires the training must have an associated TRA. Of these TRAs, a Lead TRA is to be agreed. The Lead TRA signs the TrAD on behalf of any subordinate TRAs but only with their agreement.

There is an additional need to clearly define roles and responsibilities for those who are involved in, and accountable for, the delivery of a Joint capability or Defence policy for which a Defence training solution is required.

This includes contribution to the Training Line of Development (TLoD) in all cases where Joint training may be required as part of capability development or policy implementation.

It is often appropriate to nominate a Lead TDA and Training Provider to ensure coherency and that the totality of the Joint and/or Defence training requirements are met.
<table>
<thead>
<tr>
<th>All Individual Training</th>
<th>Distributed Training</th>
<th>Workplace Training</th>
<th>Education</th>
<th>Joint/ Defence Training</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Training Provider.</strong> The Training Provider (TP) is the training school, college, organisation, establishment or group that conducts the training. Examples of the types of Roles associated with the Training Provider are: Defence Trainer, Training Support Staff, Internal Evaluator, and 1st party auditor. Responsible for the provision of training to trainees: • adherence to DTC policy. • prepare training. • programme, schedule and resource training. • management of training deficiency. • write the TQM in conjunction with the TDA. • publish, communicate and record details of the RT measures authorised for managing substandard performance. The CO of a Training Establishment is responsible for: • producing and maintaining a Commander’s Risk Assessment and a Supervisory Care Directive.</td>
<td>Nominated Workplace Trainers are responsible for all Distributed Training conducted in the Workplace. They must be DWT qualified.</td>
<td>Nominated Workplace Trainers are responsible for all Workplace Training conducted in the Workplace. They must be DWT qualified. The Workplace Trainer may use different resources, including individual SMEs in the Workplace, to deliver the training through a risk-based approach.</td>
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<td>It is often appropriate to nominate a Lead TDA and Training Provider to ensure coherency and that the totality of the Joint and/or Defence training requirements are met.</td>
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<td>• weapon safety and security.</td>
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<td>• Continuous Improvement.</td>
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<tr>
<td>• monitoring and assuring against the three training outcomes: Optimised training environment; Minimised risk, whilst delivering realistic, robust and operationally focused training; and Maximised support to recruits, trainees and trainers.</td>
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</tbody>
</table>
CONTRACTING OUT ELEMENTS OF THE DSAT PROCESS

20. Where discrete elements of the DSAT process are outsourced to contractors, the exact requirement should be captured in the commercial framework – the contract – in order to ensure that commercially required DSAT activities are not missed. Outsourcing the provision of DSAT activity to commercial organisations can be an effective use of time and money, especially where resource and/or capability shortfalls exist and where time imperatives or the need for concurrency demand it. As with any project, establishing a requirement and articulating it sufficiently is key to ensuring success. Without a clear understanding of what success looks like, a project can drift and can cost valuable time, effort and money without adding value. If an SC is considering outsourcing any element of the DSAT process, then a full business case and option should be developed and submitted through the appropriate FMC and acquisition processes. In all cases, commercial advice must be sought before beginning the process and the SC leads for training development should be consulted to provide subject matter expertise.

DSAT PROCESSES WITHIN THE ACQUISITION SYSTEM

21. Certain personnel working within the management of training systems are required to interface with the ‘Acquire’ function of the Defence Operating Model. The Defence Acquisition System is a set of discrete functions that frame services provided by Defence Equipment & Support (DE&S), Submarine Delivery Agency (SDA) and Information Systems & Services (ISS) to SCs on the procurement and through-life support of military equipment and services.

22. The Acquisition System Operating Model defines how acquisition activities are to be conducted, including alignment to FMC and SC processes. Within this model sits the acquisition process of CADMID and CADMIT, which each Defence Line of Development, including training, has to work within. Figure 3 below describes how the training elements of capability fit within the CADMID/T lifecycle and what processes and outputs, including DSAT documentation, are required:

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27 Existing contracts are not required to be amended to reflect the changes in terminology in this JSP. New contracts, or those undergoing significant contract amend, must reflect the changes.
29 http://aof.uwh.diif.r.mil.uk/.
30 Concept, Assessment, Demonstration, Manufacture, In-Service, Disposal.
31 Concept, Assessment, Demonstration, Migration, In-Service, Termination.
a. **FINMILCAP Processes.** These financial planning processes ensure that pan-DLOD capabilities meet genuine needs, are affordable and compliant with Defence and SC policies and strategies. The cost of developing and delivering individual and collective training for new capabilities, as well as for updates and upgrades to existing, will be assured through the activities of the Personnel and Training DLODs engaging with capability sponsors and DE&S/ISS project teams. This includes developing through-life personnel and training costs within capability planning options, project initial and main gate business case cost models and project/in-service Procurement (P9) and Support (S9) funding lines.

b. **Concepts & Doctrine Processes.** Concept and doctrine documentation such as Concepts of Employment (CONEMP), Concepts of Use (CONUSE) and operational doctrine are integral parts of developing and delivering the right capabilities. Again, Personnel and Training DLODs must be considered in all these documents as they underpin the development of subsequent requirements documents. These concepts will be based on Defence and SCs’ policies and strategies for training.

c. **Requirements Processes.** Within the Concept and Assessment phases of DE&S/ISS projects a User Requirement Document (URD) and a System Requirement Document (SRD) are developed to enable the contracting of industry

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33 Note the Apache Programme example where the T-DLOD caused delays in delivering the capability: https://publications.parliament.uk/pa/cm200203/cmselect/cmpubacc/533/53303.htm.
35 The Training DLOD is defined as ‘the provision of the means to practise, develop and validate, within constraints, the practical application of a common military doctrine to deliver a military capability’.
to deliver equipment and services. These requirements will be aligned to the supporting concepts and doctrine, Defence and SC policies and strategies and, where required, be supported by evidence of analysis and research. Within the Personnel and Training DLODs, DSAT Analysis processes can be used and documented to provide evidence in support of requirements for interim and steady state training solutions. This DSAT Analysis will subsequently go forward to update in-service SOTRs and Performance Statements for both individual and collective training. Following the acceptance by the Department of recommendations in a National Audit Office report it is mandated that where the provision of training is proposed, the business case is to be supported by DSAT Analysis.

d. **Deliver Processes.** Within the Demonstration to Manufacture/Migration phases, capability solutions are contracted, developed and delivered into service. During these phases training solutions will also be procured and/or legacy training systems will be updated to reflect the capability changes. Where new solutions are needed, requirements processes may have to be followed again to develop URD, SRD, Integrated Test Evaluation & Acceptance Plan (ITEAP) and Through-Life Management Plan (TLMP), as well as the new DSAT training design and delivery documentation. Where training systems are being updated, these documents should already exist (if not created) and be updated accordingly to reflect the capability changes. Once training solutions are in place, steady state training can commence in accordance with normal DSAT processes, until assurance activities identify shortfalls, the capability is upgraded or reaches the end of its service/contract. At this stage action should be taken to update training to mitigate the shortfall, meet the new requirement, or undertake Disposal/Termination of the solution.

**MTS-MANDATED DOCUMENTATION AND ACTIVITIES**

23. The MTS activities (processes, outputs and deliverables) are detailed at Figure 4, the Inventory of DSAT Activities, in blue and purple. They are listed numerically from 5.1 to 5.20 and from 4.1 to 4.4. It is not the intention that all the activities are carried out for all training requirements. The size and complexity of the training requirement will dictate which activities must be undertaken. However, there are some mandated activities, and these are listed in the paragraphs that follow. Note that the colour coding mentioned previously now comes together on this diagram: Analysis (green); Design (pink); Delivery (orange) and Assurance (purple). Finally, on the right-hand side of the diagram, those recommended to carry out certain activities are depicted: TRA (yellow); TDA (brown); Training Provider (light blue); All (white). Where, for organisational, contractual, or other reasons, activities are distributed and/or responsibilities delegated other than as recommended, then this should be agreed at the CEB and annotated on the TrAD. In all cases, any variance from the MTS must still be DSAT QMS compliant and auditable. The other mandated activities of the DSAT process for individual and collective training (i.e. not MTS-specific) are detailed in Chapter 3, Section 3.1 and Chapter 5 respectively.

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38 When bringing into service new capabilities, training may be required before the formal in-service phase and hence interim training will be used to enable sufficient knowledge transfer to conduct trials & acceptance activities, doctrine development and train the trainers and training developers. Interim training does not have to comply with DSAT requirements due to its temporary nature and off-the-shelf availability but contracting against specific DSAT processes may provide opportunities to derisk steady-state training development.


40 The Inventory of DSAT Activities has been produced to show the 90+ activities relating to DSAT. Its numbering system has been devised and to assist personnel in the reading of this JSP.

41 The TrAD Form at Annex A can be amended to reflect a different delegation of responsibilities.
mandated documentation, activities and responsibilities are described in the following paragraphs.

24. **Statement of Requirement (SOR) (5.1).** The DSAT process will begin with an SOR which states that there is a (real or perceived) need for personnel to have specific KSA due to a **new** or **changed** requirement. An SOR may necessitate a change to an existing training activity or require a completely new training activity to be designed, both of which require the use of the DSAT process. It may also result in no change to any training. Criteria that will affect the SOR include: changing Defence priorities; new equipment coming into service; results of external assurance; workforce changes; skills gaps, or pinch point trades; and changing legislation or government policy.

25. **Responsible Persons.** An SOR is most likely to be produced by a stakeholder such as the Customer or Service/Joint Command and is submitted to the relevant TRA. The TRA must consider the SOR and provide a response which will result in either no action being taken or TNA work commencing.

26. **Raise TrAD (5.2).** A TrAD must be raised at the end of the scoping exercise stage (Element 1 (Analysis: Scoping Exercise Report (1.2 to 1.2.4)), once a training need has been identified. The TrAD is then populated as the process progresses and is submitted to the appropriate governance body (CEB or CEB WG) for endorsement later in the process (5.9). The format for an individual training TrAD is at **Annex A**. The importance of the TrAD cannot be over-emphasised. It is the document which defines who is responsible for what during the life of a training activity. It is the signed contract between the TRA, TDA and Training Provider and is a key document in the holding to account process. Every training activity across Defence must have a related TrAD. There are no exceptions. Throughout the life of a training activity the TrAD must be revised or renewed as the situation dictates and re-endorsed at the CEB. Records of all TrADs and any amendments must be retained by the TRA or TDA, as agreed by the CEB.

27. **Responsible Persons.** The TRA is responsible for raising the TrAD. Its content is then agreed and signed by all relevant stakeholders.

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42 Note that differences applicable to Collective Training are set out in Part 1 Chapter 5.
43 Note that the format for a Collective Training TrAD is set out in Annex B of Part 1, Chapter 5.
This inventory will be reviewed during Update Cycle 4.1, in particular with regards to Collective Training DSAT processes.
28. Risk/Assumption Management (5.3 and 5.7). Risk/assumption management must start at the beginning of the DSAT process\(^{45}\). Risks/assumptions are to be held on risk/assumption registers at all levels (e.g. training establishment, SC or SC’s subordinate training HQ) and are to be managed in accordance with relevant Defence risk management policies. Risks/assumptions must be reviewed regularly during all Elements of the DSAT process and updated with any new and emerging risks. It is for this reason that risk and assumption management appears twice on Figure 4.

29. Responsible Persons. The CEB is the forum where Training Provider, the TDA and TRA discuss and manage risks/assumptions. The TRA is to determine whether the risks must be transferred to a higher authority such as the appropriate Service or Joint Command. For cross-Service or cross-Command risks/assumptions the appropriate higher authority forum is likely to be the TESRR PAG.

30. Pipeline Management (5.4). At Phases 1 and 2, pipeline management ensures that sufficient personnel of the correct branches and/or trades enter training on the Untrained Strength (UTS), and subsequently the single sS as Gains to Trained Strength (GTS) in order to meet the workforce requirements of each Service. At Phase 3, pipeline management ensures that the correct numbers of personnel enter training to sustain the requirements of each branch and/or trade. The sS should engage and negotiate with TDAs and training establishments, through the CEBs, in pursuit of an efficient and effective pipeline. Pipeline management applies to collective training, in terms of formed teams, units and formations.

31. Responsible Persons. Pipeline management is the responsibility of the SCs.

32. Statement of Training Requirement (SOTR) (5.5). The SOTR identifies the trained output required by the employing SC, by year, for a period of 4 Training Years. The aim of the process is to develop an accurate SOTR before the commencement of the Training Year (TY).

33. Responsible Persons. The SOTR is produced by the SCs’ SOTR Co-ordination Organisations\(^{46}\) who own and develop it with key stakeholders.

34. Trained Output Requirement Review (5.6). A Trained Output Requirement Review takes place to ensure that, based on the Role/Team Performance Statement (Role/Team PS) and the draft training objectives (TOs)/collective training objectives (CTOs), the training requirement would still be met. The review can be carried out at a CEB, or if waiting for the next CEB would hold up the design process, at a CEB WG, or Out of Committee.

35. Responsible Persons. It is the responsibility of the TRA to ensure that the requirement would be met by the proposed training solution.

36. Training Design Review (5.8). Review of the training design ensures that the design Element has generated the outputs necessary to deliver a successful training activity, based upon the training need. The review can be carried out at desk level and endorsed at a CEB, or if waiting for the next CEB would hold up commencement of training delivery, at a CEB WG, or Out of Committee.

\(^{45}\) See JSP 892 for Defence Risk Management Policy.
\(^{46}\) Each Service that generates a training requirement should have a single organisation that is responsible for capturing and co-ordinating the entirety of that requirement.
37. **Responsible Persons.** It is ultimately the responsibility of the TRA to review the training design.

38. **TrAD/Confirmation of Ready for Training Date (5.9).** Authority to begin training is given by updating the TrAD and submitting it to the appropriate governance body (CEB or CEB WG) for endorsement. Without an endorsed TrAD, training delivery cannot begin. The format for a TrAD is at Annex A. The TrAD can be endorsed Out of Committee if this would speed up the process as long as all stakeholders are in agreement.

39. **Responsible Persons.** The TRA is responsible for formally raising the TrAD at the CEB, in conjunction with the TDA and Training Provider.

40. **Statement of Training Task (SOTT) (5.10).** The SOTT is the document generated by the TDA by taking the agreed output-based requirement articulated in the SOTR and developing it into a deliverable training plan for the following TY.

41. **Responsible Persons.** The TDA completes the SOTT and it is endorsed formally at the CEB in the training year before training begins.

42. **Commander’s Risk Assessment (CRA) (5.11).** This captures the risks of training, and the risks to training staff and trainees. The CRA must contain the health and safety assessment of the training activity specific to the Training Provider and mitigation measures taken.

43. **Responsible Persons.** The Training Provider, specifically the Commanding Officer of a Training Establishment (COTE) is responsible for producing and maintaining a CRA.

44. **Collective Training Risk Management (5.12).** This activity is the management of risk to a force or FE capability, by the TDA. It shows the TRA what has been trained and where shortfalls exist or when risk is being taken in declaring a team or capability ready for operations.

45. **Responsible Persons.** The TDA is responsible for collective training risk management.

46. **Training Quality Manual (TQM) (5.13).** This critical document sets the requirements, both in process and output terms, necessary to set and maintain the Defence mandated QMS. Each TQM will be unique to the specific requirements of the Training System and is a key document supporting the MTS. The TQM is endorsed at the CEB.

47. **Responsible Persons.** The TQM is usually written by the Training Provider in conjunction with the TDA. The TRA must ensure that TRA QMS activities are also reflected appropriately in the TQM.

48. **Trainee and Trainer Management (5.14).** This ensures that the Care and Welfare of all personnel that live and work within the training establishment is properly considered and captured in the Commander’s Supervisory Care Directive (SCD), which primarily sets out the trainee and trainer Care and Welfare activities.

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47 In conjunction with the Training Provider.
49. **Responsible Persons.** The Training Provider, specifically the Commanding Officer of a Training Establishment (COTE) is responsible for trainee and trainer management.

50. **Recording of Training and Education Outcomes.** Training and Education outcomes that are required by SSoD or Defence are to be recorded in accordance with JSP 794. Training Providers are to take this action unless otherwise agreed at the CEB.

51. **Continuous Improvement (CI) (5.15).** The TRA, supported by other stakeholders such as the TDA and Training Provider, must seek to ensure that the Training System continuously improves. This is not a function that takes place at a specific point in the DSAT process but should (as the name suggests) be continuous. CI should not only be applied to the training activity to improve the training (both in terms of resource efficiency and training delivery) but also to the Training System as a whole. CI can also result from recommendations contained within audits, inspections and evaluations, the results of which should be studied in order to identify and then implement improvements.

52. **Responsible Persons.** All personnel involved in any aspect of delivering a Training System have CI responsibilities.

53. **Assurance.** Evaluation, audit and inspection are grouped together under the overarching term ‘assurance’. The purpose of evaluation, audit and inspection of training is to: ensure the quality of delivery and content; verify that the output matches the TRA's requirement and that the requirement is correct; and confirm adherence to endorsed policy. Assurance activities do not focus solely on the provision of training (although this is a key activity) but also on the DSAT process and the Training System as a whole, including the MTS. Information, which must be managed in accordance with JSP 441, will support the assurance process. Assurance activities provide confidence to all stakeholders that training across Defence is conducted such that:

   a. they are satisfied that the training is effective, and it meets the Defence requirement.

   b. it is in accordance with endorsed Defence training policy.

   c. it meets Defence’s Care and Welfare obligations.

   d. where appropriate, it meets the requirements of UK legislation and other national standards.

   e. a culture of CI facilitated by regular self-assessment exists with all Training Providers, or all those involved in training activities.

54. **Assurance activities comprise:**

   a. **Evaluation.** Evaluation is the process of making a judgement as to the worth of training to Defence. It allows Defence to monitor the impact of training and assess what has been achieved, whether it was effective, efficient (i.e. represents VfM) and how it contributed to the achievement of Defence outputs.

   b. **Audit.** An audit is a systematic, objective and documented process for obtaining evidence and evaluating it objectively to determine the extent to which it meets set assessment criteria. For all training, individual and collective, DSAT auditors are to
audit against the mandated activities listed in Part 1, Chapter 2, Section 2.1, which relates to the MTS requirements. For individual training, there are further mandated activities listed in Part 1, Chapter 2, Section 2.1. In due course, a similar list will be produced for collective training.

c. **Inspection.** Inspection is a formal examination or review of training performance and outputs to determine adherence with regulations, assess effectiveness and to ensure fitness for purpose.

55. **Evaluation activities are as follows:**

   a. **Evaluation Strategy (4.1).** The production of an Evaluation Strategy is key. It is the document that will detail what training will be evaluated and how.

   b. **InVal (4.1.1) and ExVal (4.1.2).** A specific sub-set of evaluation is Validation which is further split into InVal and ExVal. InVal examines whether the TOs are being met and ExVal uses both qualitative and quantitative data to determine the degree to which training prepares individuals/teams for the specified Role and whether the Role remains valid.

56. **Audits and inspections are conducted at three levels:**

   a. **1st party (4.2).** 1st party audit and inspection are assurance activities conducted for internal purposes by all parties for the DSAT activities they undertake themselves. This will form the basis of an organisation’s self-declaration of conformity and provide the basis for CI. CI is defined as recurring assurance activities that contribute to identifying improvements in the effectiveness and efficiency of training.

   b. **2nd party (4.3).** 2nd party audit and inspection are assurance activities conducted by Defence organisations external to the activities that are within the scope of the audit or inspection. 2nd party assurance must capture the whole Training System not just the training activity. Examples of such activities are the SCs’ assurance teams who conduct 2nd party audits and inspections against the DSAT QMS and MOD Inspection Framework (MODIF) Key Questions. A 2nd party audit of a Training Provider can be prioritised using a risk-based approach but the aim should be to carry out a 2nd party audit every 2 years.

   c. **3rd party (4.4).** 3rd party audit and inspection are assurance activities conducted by organisations external to the MOD. Examples are the Ofsted inspections commissioned to examine Care and Welfare under statutory remit or a review of Department for Education provision.

57. **Responsible persons.** The following are responsible for these assurance roles/activities, which may be delegated via an auditable process:

   a. **TRA.**

      (1) Evaluation Strategy.

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48 Examples of such activities are 1st party audits against the DSAT QMS and self-assessment activities such as peer review.

49 4 years is the maximum interval permissible between 2nd party audits.
(2) ExVal of the training activity.

(3) Contribution to the MTS.

b. **TDA.**

(1) 2nd party audit and inspection of the Training System (external to the training activity).

(2) Contribution to the MTS.

c. **Training Provider.**

(1) InVal (based upon the Evaluation Strategy written by the TRA).

(2) 1st party audit and inspection of the Training System (internal to the training activity).

(3) Contribution to the MTS.

d. **External agencies.**

(1) 3rd party audit and inspection, external to Defence (e.g. Ofsted or Skills Funding Agency).

58. DSAT users must comply with the broad intent which is to ensure that, for training delivery, 1st party audit and inspection are *internal* to the delivery unit and 2nd party audit and inspection are *external*. The recommended practice being that 1st party is conducted by the Training Provider and 2nd party by the TDA. Where Service-specific structures do not provide such suitable separation between the two (and in order to ensure that 1st and 2nd party are not conducted by essentially the same organisation, and are therefore both internal), 2nd party must be conducted by the TRA or some other Defence organisation that is appropriate to the assurance need and capable of conducting external assurance. To ensure DSAT compliance, all activities undertaken by the TRA, TDA and Training Provider must be independently audited with appropriate regularity.

**MTS-MANDATED GOVERNANCE ACTIVITIES**

59. **CEB (5.19).** For all training, CEBs are formed as part of the MTS and are specific to the needs of that Training System. The general purpose of a CEB is to provide a mechanism for stakeholders to develop the scale and content of training to match the required Defence outputs within the available resources, and in accordance with relevant Defence and SS policies. The CEB will form WGs and/or SGs to support and assist with its governance and management, and may also be used to oversee the development and/or delivery of a specific DSAT activity. The agreed Defence Direction for CEBs for individual training and suggested ToRs are at Annex B. ToRs for collective training CEBs are at Annex C.

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50 It is often practical for audit and inspection to be conducted concurrently.

51 The scope of a 2nd party audit or inspection will include the whole of the DSAT process and, therefore, activities for which the TDA is responsible. The TDA must ensure that an independent 2nd party audit or inspection of their own activities is carried out. SCs may wish to carry out this function for each other using a ‘peer review’ system.
INDIVIDUAL TRAINING GOVERNANCE

60. **Defence People Leadership Team (DPLT) (5.16)**. This is a 3* Defence level Board that is chaired by the Chief of Defence People (CDP). It is the highest-level governance body for training issues. Amongst other objectives, the DPLT manages training strategic performance and risks, and provides the governance and management of Defence Training and Education.

61. **Military People Leadership Team (MPLT) (5.17)**. This is a 2* Defence level group chaired by ACDS (Pers Cap). The MPLT is the principal 2* forum that champions TESRR activities, engages with stakeholders and representatives from across the Defence TESRR spectrum, and capture cross-Command TESRR matters that require the attention of the 3* DPLT.

62. **Training, Education, Skills, Recruiting and Resettlement Policy and Assurance Group (TESRR PAG) (5.18)**. This is a 1* Defence level group chaired by Hd TESRR and provides strategic Direction on Defence Training, Education, Skills, Recruiting and Resettlement matters. It is the principal forum for the governance and assurance of such activities throughout Defence.

63. **Working groups/steering groups (WGs/SGs) (5.20)**. There are several standing Defence level WGs and SGs that assist with policy, assurance and governance of training across Defence. Principally, these are the Defence Training and Education Assurance WG (DTEAWG), the Defence Training Policy WG (DTPWG) and the Defence Education, Skills and Policy WG (DESPWG), chaired at OF4/OF5 level.

COLLECTIVE TRAINING GOVERNANCE

64. Collective Training Governance structures are set out in Chapter 5, paras 20-23.

GOVERNANCE OF JOINT AND DEFENCE TRAINING REQUIREMENTS

65. In all instances, a CEB is to be formed as early as possible in the process to manage, govern and assure Joint and Defence training requirements. In many cases the roles are already agreed but where the nomination of Lead TRAs, TDAs and Training Providers cannot be agreed between Service/Joint Commands, this is to be referred to the TESRR PAG for resolution. It is mandated that all Lead TRAs receive training to fulfil their Role. The matrix of Lead TRAs and Lead TDAs for training in Joint and Defence training environments is held on the TESRR website. It is the responsibility of SCs to keep this matrix up-to-date.

GOVERNANCE OF WORKPLACE TRAINING

66. WT is to be included in the current processes for managing, governing and assuring Individual Training.

67. **Formal WT**. Formal WT is training that is conducted within the employing unit52 to achieve the WTS53. WT is an essential part of the Formal Training Statement. As with all formal training, it is governed by the appropriate CEB with a designated TRA and TDA.

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52 This includes taskbook training, including Apprenticeships, (but excluding Functional Skills).

53 Other training delivered in the workplace (e.g. Informal structured and work integrated training/ learning) that is not part of the WTS is not subject to JSP 822.
Individu
als are deemed competent once they have achieved all elements of the FTS: TPS through the Training Establishment (or distributed) and WTS in the Workplace.

68. **Non-Formal WT.** Non-Formal WT is defined as Phase 3 WT which does not form part of the FTS. Examples may include:

   a. training needed for a specific local task not carried out elsewhere and therefore not part of an FTS.

   b. training required in the workplace to facilitate the development and/or continuation training of personnel.

69. **Training.** In Units where Formal WT is conducted, at least one person who is Defence Trainer qualified is to be responsible for the delivery of WT. The Defence Trainer may use different resources, including individual SMEs in the Workplace, to deliver the training through a risk-based approach.

**GOVERNANCE OF DISTRIBUTED TRAINING**

70. DT is to be included in the current processes for managing, governing and assuring Individual Training.

71. DT is the formal training to deliver the TPS that is undertaken away from the organisation responsible for the development, maintenance and management of the training. The learning material can be provided by any blend of suitable methods and media.

72. DT is to be correctly identified, resourced and managed, and is to be designed and developed, delivered and evaluated in accordance with Individual Training Direction and Guidance. As with centrally provided Individual Training, all areas of Distributed Training must have a governance structure clearly defined within the MTS. The MTS must also detail associated procedures, including the recording of completion of Training Objectives and the documentation of risk where DT cannot be effectively delivered. DT must be a planned occurrence with authority from the relevant governing organisation to conduct it. Clear agreement between TRA and TDA / Contractor is essential when moving Training between centralised and distributed delivery. Clearly articulated governance and management procedures include:

   a. the delivery of the TPS by a TDA.

   b. the process for management of the TPS and/or WTS.

   c. the process for how TOs that cannot be delivered centrally will be achieved/managed.

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54 For example, training and development activities required in the workplace to enable personnel to be fully productive.

55 Single Services may choose to address various single Service requirements through a Risk-based approach, including the amount of Defence Trainers to be qualified within each Unit; the mechanism for the supervision and management of the Defence Trainers through the existing Defence Trainer Capability structure; and the training required (if any) for the SMEs used by the Defence Trainer in the workplace to support training.

56 DT may or may not require Workplace Training.
d. TRA involvement in contractor delivered training within the Service Commands.

e. management by a TRA of DT delivered by Service Command units.

f. management of Reservist DT.

g. a clear audit trail exposing decisions regarding the responsibilities for DT including the process for all parts of design as well as ownership, authority for units to deliver courses, for assessment and for assurance.

73. The responsibility for the management and governance of DT is:

a. **TRA.** The TRA is responsible for:

   (1) the governance and assurance of DT, unless otherwise formally agreed with a TDA or contractor.

   (2) **TNA.** For both existing\(^{57}\) and new training, The TRA is responsible for reviewing\(^{58}\) and ensuring that the Training Options Analysis and Methods and Media options of TNA Stage 2 consider distributing any or all of the training requirement, and that the TDA(s) and TP(s) are appropriately resourced to design, develop, administer and manage any DT identified. They are also to ensure that a measure of effectiveness, including a cost-benefit analysis of any DT is factor into the Evaluation Strategy of the training.

b. **TDA.** Where agreed with the TRA, the TDA will design, develop, administer and manage DT be it within SC or through another TDA on behalf of the TRA. The roles and responsibilities of each organisation must be clearly articulated in the organisation’s MTS and/or contract.

c. **CEB.** DT must be reported on at the Customer Executive Boards (CEB)\(^{59}\).

d. **Assurance.** Assurance of Distributed Training is to be included in the current processes for assuring Individual Training, although additional care is required when DT is subsumed into a wider training package. Assurance of DT is detailed in the following References:

   (1) **1\(^{st}\) Party Audit.** All organisations are responsible for the 1\(^{st}\) party audit of their own organisation.

   (2) **2\(^{nd}\) Party Audit.** DT falls under the remit of the SCs HQ Audit teams, who are to audit the processes and procedures of the DT as part of assurance activity conducted in the organisation responsible for the development, maintenance and management of the training.

   (3) **Internal Validation.** The TDA is responsible for the administration and conduct of InVal and its subsequent analysis although the unit delivering the DT may be required to facilitate it.

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\(^{57}\) As part of the CEB process.

\(^{58}\) For existing training.

\(^{59}\) See Appendix 1 to Annex B to JSP 822 Pt 1, Chapter 2, Section 2.1 - Generic TORs for CEBs.
(4) **External Validation.** The TRA is responsible for the External Validation (ExVal) of the DT.

e. **Managing Risk.** It is recognised that each organisation will have different management and delivery constructs. No matter how Individual Training is configured it must be agreed and clearly articulated how all parts will be managed and governed and risks captured where gaps exist. Without clear auditable procedures, gaps in Individual Training as well as the effectiveness and efficiency (including resource costs) will not be identifiable and therefore assurance that Individual Training is delivering organisational requirements cannot be provided.

**TRAINING MANAGEMENT INFORMATION SYSTEMS (TMIS)**

74. Training Management and Information Systems (TMIS) can collectively achieve significant efficiencies and improve Defence’s effectiveness, particularly resource management, data exchange, quality assurance, integration and information exploitation, and business intelligence. Service/Joint Commands are recommended to use the centrally provided MIS, currently TAFMIS, to conduct and support the analysis, design, management and assurance of personnel engaged in Phase 1, 2 and 3 training. This ensures a consistent approach to DSAT and provides coherent and complete management information across Defence. Service/Joint Command may mandate their own TMIS users to use TAFMIS. Any organisation already using TAFMIS is mandated to continue using TAFMIS until instructed to use the future centrally-provided system, the Defence Learning & Management Capability (DLMC), which incorporates the functionality of both TAFMIS and the DLE. Individual Training delivery organisations who don't currently have a TAFMIS database must instead use JPA OLM for course bookings, the recording of competences and completing training history. The course naming conventions laid down in JSP 794 are to be used on both TAFMIS and JPA OLM. It is mandated that all in-year contracts (and enduring until TAFMIS is superseded) require the supplier to fully populate TAFMIS. ISS are investigating options to uncouple the databases to make the capability more user-friendly. Any contract that doesn't have the relevant TAFMIS databases must communicate with the DLMC PMO through the single service DLMC lead about provision of services.

**ANNEXES**

A. [Training Authorisation Document Suggested Template](#).
B. [Defence Direction for CEBs for Individual Training and Suggested ToRs](#).
C. [Generic ToRs for Collective Training CEBs](#).

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60 This is essential in the [post-Haddon-Cave](#) and [post-Tain](#) era where competence must be proven.
Training Authorisation Document

Administration and Course Details

<table>
<thead>
<tr>
<th>Training Activity Title</th>
<th>JPA/HRMS Training Activity Code</th>
<th>JPA Competency Title where applicable</th>
<th>CEB Title</th>
<th>TRA/Lead TRA</th>
<th>TDA/Lead TDA</th>
<th>Training Provider/Lead Training Provider</th>
<th>1st Party Assurer</th>
<th>2nd Party Assurer</th>
<th>Training Audience (and Throughput) Description, Version and Date</th>
</tr>
</thead>
</table>

Training Needs Report Date:

Role/Team PS, Version and Date:

FTS, Version and Date:

Assessment Strategy, Version and Date:

Estimated Trainee Throughput (SOTT), per annum (Initial and Steady State):

Course duration:

Training activity frequency, per annum (Initial and Steady State):

No of trainees per activity (Min-Max):

Stakeholder Authorisation

<table>
<thead>
<tr>
<th>Signature</th>
<th>Name</th>
<th>Title/Post</th>
<th>Date</th>
</tr>
</thead>
</table>

Authorisation of Role/Team PS by TRA:

Authorisation of FTS, by TRA:

Authorisation of AStrat by TRA:

Authorisation of workforce requirements by Workforce Authority:

Commitment by TDA to oversee effective, efficient and safe training against the requirement:

Commitment to Deliver training by Training Provider:

CEB approval to commence training date:

Next Training Activity and Training Audience (and Throughput) review date:

Additional Notes (Trainee prerequisites/Accreditation/Resource requirements etc and including any deviation from the recommended DSAT process).

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61 All TrADs must be reviewed at least every 5 years.
62 In the context of this JSP, the term ‘training activity’ encompasses all training, irrespective of Method, that is delivered across Defence, including individual training (such as courses in a training establishment and workplace training) and collective training.
63 This rough estimate of throughput will inform the SOTR which is a separate document.
64 Signatures can be ‘e-signatures’ if the TrAD is attached to an email, for example.
65 This should be regularly such as annually, or when changes are made to the training need or requirement; or as an absolute minimum, every 5 years.
DEFENCE DIRECTION FOR CEBs FOR INDIVIDUAL TRAINING AND
SUGGESTED TERMS OF REFERENCE

The purpose of the CEB is to provide a mechanism for stakeholders to develop the scale and content of training to match the Defence requirement within the available budget and in accordance with relevant Defence and SS policies. In doing so, the CEB will:

- hold all parties to account for the execution of their responsibilities in relation to the quantity, quality, timeliness and effectiveness of the training.
- hold the TRAs to account to provide a clear fully justified requirement and their priorities for training.
- manage the 4 key documents which drive CEB business: the TrAD, the Role PS, the FTS and the SOTR/SOTT. These must be tabled at the CEB and agreed/signed off by relevant stakeholders.

SCOPE

1. All individual training, whether delivered in Phase 1, 2 or 3, must adhere to the CEB process outlined in this Direction. Whilst not written with collective training in mind, the CEB principles in this Annex should be applied to collective training wherever appropriate. TORs for individual and collective training CEBs are at Appendix 1 to this Annex and at Annex B respectively.

GOVERNANCE

2. Top level governance for Defence training resides with the DPLT. However, to ensure that training is appropriately governed and assured, there is a requirement for additional governance processes, to include:

   a. **CEB.** Each CEB should be chaired by an appropriately empowered representative who will be responsible for maintaining focussed discussion and ensuring clear articulation of actions and holding to account personnel/organisations that have received tasking. Unresolved issues and risks should be raised via the TESRR governance structure. The CEB is generally chaired by the TDA; the rationale being that the TDA will be required to affect the implementation of any requirement changes such as updating the training documentation. The TDA will also be best placed to provide the necessary training data. Additionally, the TDA also usually holds the budget for the training. However, the TRA (or Lead TRA) plays a vital role and is the individual/organisation responsible for escalating any risks and issues unresolved at the CEB up the Chain of Command, and for ensuring that appropriate governance and assurance activities are being undertaken. For certain CEBs (e.g. where there are several TDAs, or where the TRA controls the resources, or where the TDA is a contractor), the TRA may decide that it is more appropriate for them to chair the CEB. Chairship should be clearly articulated in the ToRs. The TRA must ensure that a CEB is normally held biannually and both TRA and TDA leads should attend the CEBs. Where there are matters that cannot be resolved as part of the CEB (e.g. a TRA
believes the requirement is not being met or a TDA does not have the resource to deliver a requirement), these are to be escalated to a higher level within the relevant Chain of Command/TLB for resolution. In the case of training where a Lead TRA has been nominated, matters that cannot be resolved should be referred to the TESRR PAG via SO1 Trg Pol, TESRR, in the first instance.

b. **CEB Working Groups (WGs).** CEB WGs are a forum where subject matter experts representing Customers, the TRA, TDA and Training Providers will meet to discuss each training activity in detail. The aim of the WG is to review training requirements, agree training levels and targets, examine the results of recent, and schedule future, assurance activities (such as audits and evaluation) and to highlight any emerging themes, issues and risks of concern up the CEB Chain of Command. The CEB WG is the preparatory phase of the CEB and will prepare training data for ultimate endorsement by the TRA. Issues that cannot be resolved at working level (e.g. a mismatch between the SOTR and SOTT) and areas of risk should be raised for discussion at the CEB. The chair of a CEB WG should be an appropriately delegated representative of the TDA/TRA. Given that the size and length of training activities varies substantially, TRAs/TDAs should use their judgement to determine which rank is most appropriate to chair and attend the WG(s), and highlight this in ToRs.

c. **Governance Documentation.** To bring more to the way that CEBs operate, documentation for each CEB must include:

1. **ToRs.** A tailored ToR for each CEB is to be produced using the suggested format at Appendix 1. Whilst this suggested format provides the wording that will be generic to all CEBs, it is important that each CEB contextualises their ToRs accordingly; separate ToRs are to be produced for CEB WGs. Membership should be articulated by the specific organisations/posts that should be in attendance (e.g. they should not simply state that the TRA should attend but should list the relevant TRA(s) posts that are required).

2. **Agenda.** A comprehensive agenda is critical to fulfil the objectives of the CEB. A number of core standing agenda items must be included at all CEBs. Other items can then be added to address any issues relevant to that CEB. A suggested format for an agenda with the core items is contained within Part 2, Chapter 1, Section 1.5, Annex A, with agenda items to include:

   a. **Training Delivery.** Discussion of any issues pertinent to training delivery both current (i.e. in Training Year (TY) 1, e.g. trainer numbers) and future (e.g. re-location of training) and a concise report on the actual training delivered in the previous TY. Endorsement of the FTS and Assessment Strategies that have been agreed between the relevant TRA and Training Providers. The delivery of DT is to be considered under this agenda item.

   b. **Near-term Training Requirement (Content).** Discussion of issues associated with training content to include clarification that the TRA has provided the TDA with a clearly articulated requirement and confirmation that they are satisfied (or otherwise) with the standard of the trained output.

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66 For a CEB to be successful, CEB members should have access to high quality training information. Wherever possible this should come from the Defence training management system in use (such as TAFMIS-T and in the future DLMC).
Acceptance of the Role PS from the appropriate TRA. In a Joint or Defence context, the development of appropriate Joint or Defence training.

(c) **Near-term Training Requirement (Volume).** Contribution towards development of the SOTR and then acceptance of the endorsed SOTR from which to develop the SOTT. Endorsement of the SOTR for TY 2 (i.e. the next TY commencing the following Apr) and clarification on the implications of any future changes to TY 2. De-confliction of any resource requirements that arise from late notice (less than 12 months from commencement of training) budgetary/SOTR imbalance by trading sS training priorities against available funding. Reporting uptake/performance against the SOTT. Retention of an audit trail to show why differences between SOTR and SOTT have occurred.

(d) **Trainee Flow and Future Requirements (Volume).** To ensure the optimisation of training, including the efficiency of training pipelines and that appropriate co-ordination is in place between multiple CEBs, where they exist. Consideration (in broad terms) of the training requirements currently predicted for TY 3 and 4 and the anticipated ability to deliver that requirement with the resources available.

(e) **DSAT QMS Compliance.** Monitoring adherence to the DSAT QMS to ensure training documentation is effective and that there is an up-to-date TrAD, Role PS (noting the requirement to review the Role PS at least every 5 years) and FTS. Monitoring and reacting to training effectiveness feedback including consideration of any assurance reports (external Ofsted inspections, 2nd party audit observations, InVal and ExVal reports). Monitoring rectification of audit non-compliance.

(f) **Injuries in Training.** In addition to the core objectives, there is a requirement for CEBs to consider whether it is necessary to report on any injuries in training and to ensure that all training risk assessments have been conducted.

(g) **Management of Risks.** Training risks must be discussed, with level of risk identified and mitigation measures outlined on a risk register. An example of a Risk Matrix suggested format is contained within Part 2, Chapter 1, Section 1.5, Annex A, but sS may use their own formats if these conform to standard risk management practice.

(h) **Discussion of Statistics.** Discussion of statistics is to not only report in-year figures but should also report back on trend analysis (e.g. has the SOTR increased over time and if so, have resources correspondingly increased in numbers?).

(3) **Pre-decision Support Information.** For each CEB to operate effectively it is essential that pre-CEB decision support information is collated prior to the CEB. This will enable the focus of the meeting to be orientated towards decision-making and help avoid excessive background discussion/updates. Pre-CEB decision support information must clearly link to items on the agenda and support the key information required within the CEB output report. Pre-decision
information should include: assurance reports, SOTR/SOTT figures, statistics on pass rates, injuries, PVR trends etc.

(4) **Record of Decisions (RoDs) / Action Grid.** Each CEB occurrence must result in RoDs or an Action Grid that captures the relevant details, agreed leads and target dates.

**APPENDIX**

1. **Generic ToRs for Customer Executive Boards.**
GENERAL TORs FOR CEBs

The purpose of the **** CEB is to provide a mechanism for stakeholders to develop the scale and content of training to match the Defence requirement within the available budget, and in accordance with relevant Defence and sS policies.

Accountability and Governance

1. Detail who is accountable to whom as agreed on the TrAD$^{67}$. Governance of the CEB process ultimately rests with the DPLT. Add any additional reporting mechanisms appropriate to the CEB (e.g. contractual relationships, project teams etc).

Membership

2. Detail core and representative membership and, as required, to include:
   
   a. chair$^{68}$ to be generally provided by TDA (but could be TRA if this is deemed more appropriate).
   
   b. TRAs$^{69}$ (clearly identifying who is being represented).
   
   c. representation from the appropriate sS or Defence policy organisation(s).
   
   d. additional stakeholders (as appropriate)$^{70}$.
   
   e. representative(s) of the SOTR Co-ordinating Organisation(s).
   
   f. Training Provider(s).

3. It should be clearly articulated exactly who is representing the TRA/TDA and stakeholders. This is especially important for the larger CEBs which may cover a variety of different requirements. Where a Lead TRA, TDA or Training Provider has been nominated, this is to be clearly articulated in the TORs.

Resources

4. Identify who holds the resources and financial responsibility. This is important when bidding for additional resources or managing cuts. It is also critical for the governance and assurance of the training.

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$^{67}$ In a Defence training context, if the interests of a sS are not satisfied by the CEB or its Chain of Command, the issue may be pursued through the relevant Principal Personnel Officer (PPO) within extant Defence people governance structures or the TESRR PAG.

$^{68}$ In all cases, the chair of the CEB should be at a rank that is appropriate to the requirement.

$^{69}$ If the TRA is a committee, its Chair will represent it at the CEB. To also include contractors.

$^{70}$ In a Defence training context this will include representatives of sS organisations with involvement in the management of the training pipeline.
Specific Tasks

5. It should be clearly stated which requirements and training activities are within the scope of the CEB. During meetings, each CEB must address the 6 core agenda objectives, supported by pre-CEB decision support information. Each objective should be considered on a risk, assumption and issue management basis. The 6 agenda objectives are:

   a. training delivery, including DT.
   b. near-term training requirement (content).
   c. near-term training requirement (volume).
   d. trainee flow and future requirements (volume).
   e. DSAT QMS compliance and assurance activity.
   f. injuries in training.
   g. management of risks.

6. Relevant stakeholders should be tasked to provide analysis that includes Distributed Training in order to gain a greater level of assurance of DT at CEB level. The aim is to ensure that SCs and TLBs are assured that all areas of the training pipeline are being managed and governed appropriately and risks are captured where required. Below are suggested questions for CEBs to ask:

   a. How many courses are run and what is the number of trainees attending in this TY?
   b. What is the overall success rate trained in DT (this TY and predicted for next TY)?
   c. What is the overall First Time Pass Rate in DT (this TY and predicted for next TY)?
   d. Which will be your top 5 most resource intensive courses (time/cost/workforce) / how can you reduce costs?
   e. Which courses have an entry test criteria / what is the % that fail the entry test / what is your mitigation?
   f. Which courses were undersubscribed last TY / what is the mitigation this TY?
   g. Which courses had the worst pass rates last TY / what is the mitigation this TY?
   h. Which courses/ iterations had to be cancelled last TY / what is the mitigation and impact this TY?
   i. What % of courses has been subject to audit?
j. What were the key findings from audit?

k. How is Good Practice shared?

l. How are areas of concern communicated?

m. What are your total numbers of courses vs iterations (ratio shows overall changes in customer demand)?

n. Are there plans to move any Training from distributed into central locations or vice versa – what are the reasons for such moves and have they been agreed by all organisations?

o. What ExVal has been conducted this year? What is planned for next year?

p. What are the top 3 risks and issues within DT for your organisation?

q. Were all course iterations delivered iaw the Course specification, especially in terms of time allocated and trainer to trainee ratio?

7. All areas within the CEB are to capture DT within the reporting process in order to gain a true picture of training pipelines i.e. training optimisation, assurance, resources and funding, risk and strategic direction.

8. Each CEB must produce RoDs or an Action Grid and risk register.

Authority

9. The CEB is designed as a decision-making forum. If required, the chair must commit to seeking additional direction and guidance which should then be communicated Out of Committee. The chair is authorised to task WGs in pursuance of the CEB’s primary purpose. The CEB has the authority to liaise with other sS and Defence departments as appropriate, and Service establishments in pursuance of its primary purpose.

Frequency of Meetings

10. CEBs should normally meet biannually; additional CEB forums and WGs may be called at the discretion of the chair.
GENERIC TORs FOR COLLECTIVE TRAINING CEBs

The purpose of a collective training CEB is to provide a mechanism for stakeholders to develop the scale and content of collective training to match the operational requirement within the available budget and in accordance with relevant Defence and sS policies. The CEB will meet under the direction of a delegated TRA representative to ensure that responsibility and accountability are aligned. It should be fed by other collective training CEBs as necessary and should focus on the management of risk against contingent capability.

Accountability

1. The CEB is accountable to the TRA. Collective training CEBs are only required where the necessary functions cannot be met by existing structures.

Membership

2. The CEB should include:
   a. a chair to be provided by the TRA.
   b. other TRA representatives.
   c. TDA representatives.
   d. FinMilCap (environmental and/or Joint) representatives.
   e. Environmental Training Acquisition Organisations where established and/or DE&S TLoD representatives.
   f. representation from Defence policy organisations as appropriate, including TESRR.
   g. additional stakeholders as appropriate, including OGDs and Industry.
   h. Training Provider(s) as appropriate.
   i. Resources and Plans representatives as appropriate.

Responsibilities

3. The CEB is responsible for:
   a. informing the management of risk against contingent capability via collective training.
   b. the acceptance of requirements from TRAs.
c. the endorsement of evaluation and certification methods as part of collective training assurance.

d. the direction of collective TNA as necessary.

e. the deconfliction of any resource requirements that arise from late notice or emergent operational requirements by trading training priorities against available funding.

f. monitoring adherence to the DSAT QMS.

g. governing collective training through:

(1) holding TRAs to account for providing justified requirements, for risk acceptance as part of certification, for checking coherence in requirements across Commands, and for the resourcing of the Training DLoD.

(2) holding TDAs to account for providing the required collective training, for risk assessment as part of evaluation, and for checking coherence in collective training across Commands.

(3) liaising with Service and Strategic Commands as necessary to ensure that collective training is included in Command Plans and assessed against appropriate metrics as part of the Holding to Account process.

(4) liaising with the DJCTEC for the delivery of Defence-wide exercising in support of assurance.

(5) monitoring performance against key targets in management plans.

(6) liaising with other collective training CEBs.

(7) directing the work of CEB WGs.

Authority

4. The chair is authorised to task working groups in pursuance of the CEB’s primary purpose. The CEB has the authority to liaise with Service and Strategic Commands, MOD departments, OGD and Industry as appropriate in support of its primary purpose.

Frequency of Meetings

5. CEBs should normally meet biannually.
3 Defence Direction for Individual Training

3.1 Individual Training

Policy Sponsor: TESRR, CDP

The Defence Systems Approach to Training (DSAT) process comprises activities relating to the training analysis, design, delivery and assurance of all Defence training, both individual and collective, across the Whole Force. In the context of this JSP, ‘training’ encompasses any training, education, learning or development, both individual and collective, that is designed to meet the needs of a Training Requirements Authority (TRA).

The focus of this Section of the Direction is individual training. Direction on collective training is at Part 1, Chapter 5, Section 5.1. Those not familiar with DSAT should refer to the Overview of the DSAT Process, in JSP 822, Part 2, Chapter 1, Section 1.1.

Part 1, Chapter 2, Section 2.1 outlined the mandated activities that must be undertaken as part of an MTS. This Direction on individual training should be read in conjunction with it.

This Direction mandates which activities within the DSAT process must be undertaken for individual training requirements so that the training delivered is:

- safe.
- appropriate to the training need.
- cost-effective.
- accountable.
- risk-focused.

SCOPE

1. This section of the JSP outlines the mandated activities within the DSAT process for individual training. It focuses on new training requirements but will also give Direction for occasions where existing training is undergoing change. Additionally, it will mandate assurance activities for all training be it new, existing or changed. Where discrete Elements of the DSAT process are outsourced to contractors, the exact requirement should be captured in the commercial framework - the contract - to ensure that commercially required DSAT activities are not missed.

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71 Training, Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.

72 In the context of this JSP, an ‘activity’ is any single part of the DSAT process.

73 The Whole Force encompasses Regular and Reserve personnel, MOD Civil Servants and other civilian, including contractors.

74 As a rule of thumb, all training, education, learning and development activity, where Government resource is being spent, is to be governed iaw DSAT. Training for operations, Defence Engagement activities, through-career education courses such as ICSC, ACSC and in-Service degrees are included as such requirements are to be controlled via a Customer Executive Board and appear on a Statement of Training Requirement. Notably, activities procured through the SLC/ELC schemes are not subject to DSAT as they have their own governance processes.
AIM

2. This Direction will:
   a. outline the mandated Elements within the DSAT process for new individual training requirements.
   b. direct the mandated activities for training that is not new but is undergoing, or has undergone, change.
   c. direct that assurance activities are carried out whether the training is new, existing or changed.

MANDATED ACTIVITIES WITHIN THE DSAT PROCESS FOR NEW INDIVIDUAL TRAINING REQUIREMENTS

3. The Direction in this Section details the mandated activities within the DSAT process for new individual training requirements. In all cases of a new individual training requirement, the following activities are mandated, to ensure that training is appropriate to the training need, cost-effective, accountable, safe and risk-focused. Information on how to carry out the activities can be found in JSP 822, Part 2, Chapter 1. The inventory of DSAT Activities which will assist in understanding this Section is at Part 1, Chapter 1, Section 1.1, Figure 4.

4. Mandated Training Needs Analysis (TNA) activities for new individual training. The mandated TNA activities for new individual training, for which the TRA\textsuperscript{75} is responsible, are:
   a. Scoping Exercise Report (1.2), to include:
      (1) Training Audience (and Throughput) Description (informs the SOTR) (1.2.2).
      (2) Risk Register (1.2.4).
   b. Role Analysis (RA)\textsuperscript{76} (1.3A), to include:
      (1) Identification of Role (1.3.1A).
      (2) Production of Role Scalar (1.3.2.A).
      (3) Initial KSA Analysis (1.3.4A).
      (4) Role PS (Performance | Conditions | Standards) (1.3.5A).
      (5) Initial Training Categorisation (1.3.6A).
   c. Training Gap Analysis (1.4A), to include Statement of Training Gaps (1.4.1A).

\textsuperscript{75} The TRA may delegate the undertaking of TNA activities as required, but their completion to a satisfactory standard remains a TRA responsibility. Any such delegation must be recorded on the TrAD. For equipment related TNA, responsibility for undertaking the TNA falls to the project team iaw the ASG. The TRA still remains the ultimate authority for endorsement of the TNA.

\textsuperscript{76} RA has replaced Job Analysis in this revised JSP. Recognised Job Analysis techniques are still relevant to RA. More detail is given in the Guidance Section, JSP 822, Part 2, Chapter 1, Section 1.2.
d. **Draft TOs (1.5A).**

e. **Training Options Analysis (TOA) (1.6A),** to include Methods & Media options (1.6.3A).

f. **Training Needs Report (1.7)** (informs the SOTR), to include Cost Benefit Analysis (CBA) (1.7.1).

5. TRAs and Training Delivery Authorities (TDAs) are to note the difference between mandated training for new requirements and for training that already exists.

6. **Mandated training design activities for new individual training.** Mandated training design activities for new individual training, for which the TRA and Training Delivery Authority (TDA) are responsible, are:

   a. **Individual TOs (2.1).**

   b. **Formal** Training Statement (FTS) (2.2), to include:

      1. Training Performance Statement (TPS) (2.2.1).

      2. Workplace Training Statement (WTS) (2.2.2).

      3. Residual Training Gap Statement (RTGS) (2.2.3).

   c. **Enabling Objectives (EOs)/Key Learning Points (KLPs) (2.3).**

   d. **Assessment Strategy (AStrat) (2.4)** to include Assessment Specification (ASpec) (2.4.2).

   e. **Selection of Methods & Media (2.5).**

   f. **Learning Specification (LSpec) (2.6).**

7. **Mandated training delivery activities for new individual training.** Mandated training delivery activities for new individual training, for which the **Training Provider** is responsible, are:

   a. **adherence to DTC policy (3.1).** In addition to being a qualified Trainer in accordance with DTC Policy, Trainers must also be fully SQEP in the subject matter they are delivering. If training delivery is outsourced, any trainer requirements must be specified in the contract.

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77 Or as agreed in delineation of responsibilities and recorded on the TrAD.

78 The inclusion of the term ‘formal’ in FTS is to convey the fact that all training activity derived as a result of the application of the DSAT process is ‘formal’ (no matter where or how it is delivered) as it will, throughout its life, continue to be subject to the rigours of DSAT and any associated MTS. The FTS is the document that drives the formal contract between the TRA/TDA and Training Provider which is articulated in the TrAD.

79 It is the responsibility of the TRA to endorse the AStrat, usually as part of the CEB. Note: In TAFMIS, the AStrat and ASpec are situated in different parts of TAD and, therefore, the ASpec will not appear as subordinate to the AStrat.

80 Or as agreed in delineation of responsibilities and recorded on the TrAD.
b. **preparing training (3.2).** To include Lesson Planning (3.2.1) (relating to TOs in the TPS and WTS).

c. **programming, scheduling and resourcing training (3.3).**

d. **management of training deficiency (3.5)** (inability to train or failure of training81).

**MANDATED ACTIVITIES FOR EXISTING TRAINING THAT CHANGES**

8. For existing training, it is accepted that some change requirements might be so insignificant that to repeat all the DSAT Elements again would be wasteful. It is perfectly acceptable, given the iterative nature of the process, and where existing documentation is still relevant, to simply return to it, ask what has changed, and update as required. Accordingly, there are no specific mandated DSAT activities for training change as the activities will be dependent on the type and extent of any change. Robust assurance and risk management mechanisms will assist stakeholders in judging which activities may be required.

**MANDATED ASSURANCE ACTIVITIES FOR ALL INDIVIDUAL TRAINING**

9. For all training, the following mandated assurance activities are the responsibility of the **Training Provider, TDA, TRA** and external agencies82:

   a. **Evaluation Strategy (4.1), to include:**

      (1) **InVal (4.1.1)** (Training Provider).

      (2) **ExVal (4.1.2)** (TRA).

   b. **1st party audit and inspection (4.2)** (Training Provider).

   c. **2nd party audit and inspection (4.3)** (TDA or an organisation separate from the delivery or the DSAT activities being audited or inspected).

   d. **3rd party audit and inspection (4.4)** (External agency). Defence Phase 1 and 2 training is subject to Ofsted Duty of Care and Welfare inspections. These are managed centrally by TESRR and Ofsted.

**ASSURANCE OF INDIVIDUAL TRAINING**

10. Training establishments are subject to a range of assurance activities, comprising Evaluation, Inspection and Audit by 1st, 2nd83 and 3rd Party agents84. There are 3 aspects of training that are subject to assurance: the Training Curricula, the Training Environment and

81 A Training Deficiency is not the same as the Residual Training Gap. The Residual Training Gap is agreed by the TRA early on in the DSAT process and is articulated in the RTGS.

82 As agreed in delineation of responsibilities and recorded on the TrAD.

83 The single Service Assurance Teams and the Strategic Command Assurance Team: Joint Individual Training Assurance Team (JITAT).

84 The Defence Direction governing the Assurance of Individual Training and Education is detailed later in JSP 822.
the Learning Experience. Each dimension is subject to scrutiny by various training agents, and although each has a different focus, there is some overlap\textsuperscript{85}.

a. **Training Curricula: the ‘What’**. Training curricula concern what is taught and the detailed management of training delivery within courses. They are the responsibility of the relevant Training Requirements Authorities (TRAs) and are audited by sS training assurance staffs, both deliverers (1\textsuperscript{st} Party) and customers (2\textsuperscript{nd} Party), using the Defence Systems Approach to Training Quality Management Standard (DSAT (QMS))\textsuperscript{86}.

b. **The Training Environment: the ‘Where’**. The Training Environment concerns all aspects of how recruits and trainees are managed and cared for as they undertake their training. This includes the management of progress through the initial training pipeline. The initial training environment is governed by the specific Supervisory Care Direction contained within this JSP. sS inspectorates focus on the Training Environment as part of its assurance activity and Ofsted (3\textsuperscript{rd} Party) assurance activities overlap into this area.

c. **The Learning Experience: the ‘How’**. The Learning Experience concerns everything to do with how well recruits and trainees learn, how they are guided and supported through the learning experience and what they achieve. It encompasses both the quality of instruction and associated resources, and the efficacy of the various training media in relation to the subject matter, learner ability and expectations. It is a major factor in determining the extent to which training has been effective in producing capable, confident and robust SP who can function to the required standard when exposed to extreme operational conditions. Inspections, Officer Cadet/Recruit Training Surveys (RTS)\textsuperscript{87} and Continuous Attitude Surveys (CAS) all provide insights into the Learning Experience and will be of command interest.

11. **Assurance and Risk: Authority of Auditors to stop training**. Assurance activity must examine the risk to trainees and staff during the delivery of Defence education and training, and in the transfer of skills to the job role. Front Line Commands are to ensure that FLC auditors are empowered to stop training immediately where risk to life is identified during training delivery, and/or where training shortfalls introduce unsupportable risk to undertaking the job. Training stopped in this fashion may not recommence until the TRA and TDA have assessed the risk and determine that any necessary recovery plan has been successful. All risks identified by assurance activity are to be recorded by the appropriate Customer Executive Board (CEB) and managed through the CEB process\textsuperscript{88}.

\textsuperscript{85} This is not an issue where assurance activities are de-conflicted, which is one of the prime functions of the Defence Training and Education Assurance Working Group (DTEAWG); a meeting of sS & JFC heads of assurance, chaired by TESRR, held once a term.

\textsuperscript{86} Detailed Direction is set out in JSP 822 Part 1, Chapter 2, Sections 2.1 and 2.2.

\textsuperscript{87} Officer Cadet and Recruit Training Surveys are independently analysed surveys providing commanders with up to date data on how recruits/trainees/officer cadets have dealt with their training experience and can feed directly into the CI Agenda. The feedback allows the Chain of Command to identify problems and amend delivery areas quickly, if required, to achieve maximum benefit and support for Phase 1 and 2 recruits and trainees and address any D&I issues as they are reported.

\textsuperscript{88} ‘There should be a clear process to escalate serious issues of non-compliance with JSP 822 to senior management…’ Defence Internal Audit Report, CDP - Defence Systems Approach to Training in the Joint Context, dated Apr 17.
3.2 Remedial Training in Initial Training

Policy Sponsor: TESRR, CDP

The vision for Defence initial training (Phase 1 and 2) is to create an environment that attracts and retains high-quality people through the provision of training that, whilst stressing the importance of the team and team ethos, is focussed on the individual from recruitment to entering productive Service. Training is by necessity challenging – it has to transform young people from civilians into professional Service personnel (SP) capable of operating in the harshest of global environments and pressured situations. It must imbue SP with an attitude of responsibility, self-discipline and selflessness: fundamental components of military ethos that are essential to maintaining operational effectiveness. The 2 principle components of initial training are to:

- ensure that recruits and trainees learn the skills and knowledge, appropriate to their trade/branch/specialism, so that they are suitably equipped and prepared to enter productive Service.

- inculcate the right attitudes in terms of military ethos, values and standards required of a SP and ensure that all recruits and trainees embrace the disciplinary, personal and communal standards that constitute that ethos.

Phase 1 and 2 training is where recruits and trainees undertake to achieve these components and trainers assess against specific Training Objectives (LOs) and behavioural standards to ensure satisfactory progress is being made. There will be a number who, on occasion, fail to achieve the required benchmarks. When a shortcoming is identified, necessary measures are taken to help and encourage the recruit or trainee to improve their performance. The management of these measures is known as Remedial Training (RT). The experience and judgement of trainers (be they military, civilian or contractors) remains fundamental to identifying the reasons for poor performance and determining appropriate remedial action. Training populations vary according to recruitment standards and the requirements of the Role Performance Statement (Role PS). Measures which would be appropriate for one population might be entirely inappropriate for another. Additionally, in the early stages of training, recruits will be adjusting to military life and will take time to acquire the standards of behaviour expected of trainees in Phase 2 training. In accordance with JSP 833, measures must not contain any of the following: unreasonableness; public humiliation; sustained and oppressive treatment which amounts to or could reasonably be construed as harassment, including any form of bullying; sleep deprivation or deliberate infliction of pain; or work for any other benefit than that of the Service or individual’s rehabilitation.

SCOPE

1. This Defence Direction applies to all Phase 1 and 2 training, and any period between the 2 Phases when trainees may be awaiting entry into a training module or phase.

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89 Training Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.
AIM

2. This Defence Direction seeks to provide a standardised framework to manage, deliver and record measures of RT undertaken to address performance shortfalls during initial training.

THE VITAL ROLE OF THE TRAINER

3. Substandard performance may result from a deficiency of skill, fitness or knowledge, attributable to a poor attitude and/or behaviour. The problem may manifest itself as a skills or knowledge deficiency while the underlying cause is an attitudinal one, and vice-versa. A trainer’s judgement is critical in determining the underlying cause and then deciding on the appropriate remedy. Many factors must be considered, including the stage of training, the seriousness of the problem, and the performance to date of the recruit or trainee. It is vital that trainers apply their experience and judgement to the analysis of the problem, to determine what action must be taken, including encouragement and reassurance if considered more appropriate than RT.

DEFICIENCY OF SKILL, KNOWLEDGE OR PHYSICAL FITNESS

4. A trainer’s judgement of a recruit or trainee whose performance is below par should include consideration as to whether the individual has Specific Learning Difficulties (SpLD) and, if appropriate, assessment to determine such. When the shortcoming is in part or wholly caused by a lack of skill, knowledge or physical fitness, then the appropriate RT to address the deficiency is:

   a. **Deficiency of skill or knowledge.** To repeat the training serial or to give additional instruction that will bring the recruit or trainee up to the required standard.

   b. **Deficiency of physical fitness.** If a recruit or trainee cannot reach the required training standard because of a physical fitness deficiency, then additional physical fitness training will be required.

5. When RT is required to correct deficiencies of skills, knowledge or physical fitness, it is to be supervised by an appropriate trainer (additional physical fitness training may only be supervised by a qualified PTI and should not be conducted against medical advice). It should normally be conducted within the working day, although it can be undertaken out of instructional hours or at weekends, if appropriate and authorised by the training establishment Chain of Command. Furthermore, a recruit or trainee should not normally undertake more than one hour of additional training per day with a maximum of 5 hours in any one week. Where this will be exceeded the training establishment’s Chain of Command is to be informed.

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90 See [Defence Direction on Specific Learning Difficulties](#) contained within this JSP. SpLD is a term that is used to describe a range of learning difficulties that are inherent to an individual and which have the potential, to varying degrees, to affect an individual's ability to function effectively within the workplace. It is recognised and addressed through this Defence Direction. A diagnosed SpLD can hinder learning and progress, but can be mitigated through appropriate coping mechanisms and other learning support strategies.

91 The working day is not the same as the training day/programme and will be determined by each training establishment in accordance with sS guidelines.

92 Of commissioned rank.
ACTIONS TO ADDRESS INAPPROPRIATE ATTITUDE OR BEHAVIOUR

6. Substandard performance may be the result of an inappropriate attitude or behaviour, and the identification of this relies on the trainer’s experience and judgement and can be the most difficult failing to deal with. Attitudinal change is achieved through a combination of factors and ‘public encouragement, rather than public humiliation’ will play a significant part. If the substandard attitude or behaviour is of a serious nature, then disciplinary or formal administrative proceedings may be more appropriate.

7. RT to address inappropriate behaviour or attitude. RT undertaken to address substandard performance during initial training is not punishment and must not be used or treated as such. RT measures to address unacceptable attitude or behaviour during training are separated into 2 categories:

a. Tier 1 measures. These are short, sharp measures to achieve short-term behavioural change and can be implemented by the trainer without reference to a higher authority. Each training establishment, in conjunction with their SS policy, is to issue Direction on what Tier 1 measures are appropriate to their situation. These can include:

   (1) Verbal rebuke. A short, sharp verbal rebuke by the trainer to highlight the attitudinal or behavioural shortcomings.

   (2) ‘Wake up’ exercises. These are short, sharp exercises designed to re-focus trainees on the training that is being undertaken. TDAs are to publish clear instructions on the scale and type of exercises that can be awarded and supervised by non-PT qualified trainers. It is stressed that ‘wake up’ exercises are short in duration and designed to refocus the recruit or trainee on the current training objective and are not to become an ‘activity’ in their own right.

   (3) Immediate repetition of a training activity. This is a measure to demonstrate to a recruit or trainee that their attitude or application on first attempt was unacceptable and should normally be conducted without interruption to the training programme.

   (4) Minor additional tasks. These will be tasks directly related to observed levels of unacceptable behaviour, which must be undertaken immediately and without interruption to the training programme.

b. Tier 2 measures. These are more onerous measures which are aimed at addressing longer-term attitudinal or behavioural shortcomings, but which do not merit initiating disciplinary action. These will usually be undertaken outside of the normal

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93 Punishment is directly related to, and a consequence of, the formal disciplinary process as laid out Defence and SS disciplinary policies, instructions, manuals, regulations and legislation. RT is a separate and unrelated action, although it may seek to deal with issues that may also require disciplinary action.

94 Prolonged verbal rebukes (in effect verbal abuse) or dramatic actions aimed at publicly humiliating recruits or trainees are not acceptable. Such actions amount to bullying and abuse of position, are disciplinary matters, and are contrary to military ethos, values and standards.

95 Should a trainer find it necessary to award more than one ‘wake-up’ exercise to a recruit or trainee during any one lesson/training period, this may be indicative of a larger issue, such as substandard training delivery technique or defective timetabling. These factors should be investigated and rectified.

96 An example would be ordering a trainee to clear rubbish having observed them dropping litter.
training programme. Training establishments are to issue instructions defining the nature and scope of Tier 2 measures and the procedures for managing them, including who can authorise such measures. The only Tier 2 measures are:

1. **additional training event.**
2. **additional duties**\(^{97}\).
3. **show parade.**

8. Tier 1 and 2 measures are one part of the process of achieving attitudinal improvement. When a trainer judges that it is necessary to use Tier 1 or 2 measures they must be:

   a. justifiable due to an observed shortfall in behaviour or attitude.

   b. in proportion to the nature and scale of the shortcoming in attitude or behaviour.

   c. achievable without compromising other aspects of the training programme.

   d. undertaken quickly to establish the link between the shortcoming and the RT.

   e. compatible with current Direction on bullying and harassment\(^{98}\). There is clear distinction between bullying and/or harassing behaviour and RT measures\(^{99}\).

   f. designed to avoid causing injury or psychological damage to the recruit or trainee where this is reasonably foreseeable\(^{100}\) (the recruit or trainee’s limitations and medical condition must be taken into account and physical activity is not to be imposed against medical advice).

   g. undertaken routinely within the working day or out of normal instructional hours or at weekends, if necessary, and if it meets all the requirements of this Direction and SS policies.

   h. supervised by an appropriate member of training staff who is both qualified and experienced to impose the measures.

   i. communicated effectively to the trainee, explaining the deficiency observed, taking account of any excuse offered. It may be that a formal interview is appropriate depending on the nature of the shortcoming, the stage of training and the progress of the recruit or trainee. This is often useful in identifying the underlying problem.

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\(^{97}\) This may include additional guarding (both armed and unarmed) duties. However, in keeping with DHALI/B, those aged under 18 years of age are not to undertake RT in the form of guard duties, and any recruit or trainee aged over 18 years of age who is given additional guard duties as RT is to be partnered at all times while guarding with an experienced SP who is already a member of the trained strength (which includes the MPGS).

\(^{98}\) As defined in **JSP 763**: The MOD Bullying and Harassment Complaints Procedures.

\(^{99}\) Covered as part of the Defence Trainer course at DCTS.

\(^{100}\) It is accepted that measures may be physically demanding and/or time-consuming commensurate with the stage of training and nature of the trainee cohort.
j. applied only to an individual unless the shortfall can be applied equally to a group\textsuperscript{101}, in which case a group measure may be applied. Tier 1 and 2 measures are not to be imposed on a body of recruits or trainees in response to the shortcomings of an individual or a number of known individuals. If the award results from an individual shortcoming, then the group is to be clearly briefed that the TO requires group achievement, and it is a whole-team responsibility to ensure that the TO is met\textsuperscript{102}.

**RELATIONSHIP BETWEEN RT, THE DISCIPLINARY OR ADMINISTRATIVE PROCESSES AND WITHDRAWAL OF UNSUITABLE SP FROM TRAINING**

9. RT is not to be used as, or in lieu of, a punishment or sanction\textsuperscript{103}. RT is training to assist the recruit or trainee to achieve the required standards of skills, fitness, knowledge and attitude prior to entering productive Service. It is inappropriate to instigate disciplinary procedures in dealing with continual deficiencies in knowledge, skills and physical fitness. However, in such circumstances, it is entirely appropriate to instigate the administrative process of warning, extension of training or ultimately withdrawing a recruit or trainee from training. In addition, training provides a SP with the skills, knowledge and attitude required to execute their role and, therefore, is administered and managed separately, using different procedures.

10. Substandard behaviour or attitude in a recruit or trainee may result in a variety of actions. A trainer should recognise that in the early stages of training, recruits will be adjusting to military life and may not have had time to acquire the required attitude and behaviour, and in this case Tier 1 or 2 measures may be appropriate. Equally, if the issue becomes serious (e.g. it amounts to discrimination, harassment or bullying), or if the recruit or trainee has already failed to respond to Tier 1 or 2 measures or is at the stage of training where they should know better, then disciplinary or administrative action may be more appropriate. If disciplinary or administrative action is initiated, no other Tier 1 or 2 measures except a verbal rebuke may be used.

11. After RT to correct substandard behaviour or attitude (or disciplinary proceedings to punish, or administrative action to sanction), it may also be necessary to begin the formal process to warn and ultimately extend the training or withdraw an SP from training. Such action will be dependent on the stage of training, the recruit or trainee’s performance to date and their response to the measures taken.

12. Action taken to remedy substandard performance may involve both additional instruction and Tier 1 or 2 measures, with the balance and scale of each being based on the trainer’s analysis of the cause of the problem. The application and implementation of RT, in relation to disciplinary, administrative and withdrawal action is shown at Annex A.

**RECORDING OF RT**

13. The effective management of substandard performance relies on the experience and judgement of trainers employed within initial training establishments, who are fully supported by the Chain of Command. With the exception of verbal rebukes, all RT measures used to rectify performance issues are to be recorded, and include:

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\textsuperscript{101} LTOs requiring group achievement are to be clearly identified. This may require Training Design input.

\textsuperscript{102} Pre-emptive action on the part of the trainer may be necessary to avoid an individual or a small number of individuals being blamed by the other members of the group.

\textsuperscript{103} Punishment or sanctions can only be awarded following a formal disciplinary or administrative process.
a. the recruit or trainee’s name and Service number.

b. the deficiency, the date and the relevant TO, if appropriate.

c. the action taken.

d. the trainer and the supervisor of the RT.

e. any other relevant information, such as that which demonstrates how the RT meets the requirements of this Direction and achieved the modification in behaviour or improvement in knowledge or skill.

14. The method and format for record keeping is to be determined by sS but an auditable process linking this Direction to the actions taken by trainers is required. Formal interviews should also be recorded. Records are to be scrutinised weekly by a responsible officer and monthly by the Chain of Command. All records are to be stored and maintained within training establishment for 2 years and are to be available for scrutiny by assurance bodies such as sS Inspectorates and Ofsted.

GOVERNANCE

15. Policy Sponsorship. This Defence Direction is sponsored by TESRR and periodically reviewed and maintained through the Defence Training Policy Working Group (DTPWG)\textsuperscript{104}.

16. TRAs. A degree of sS variation is required in the application of this Direction to reflect the operational role and diversity of the training population. Via the CEB process, TRAs are to ensure:

a. through their TDAs, that a consistent approach to RT is applied across all subordinate Defence training establishments iaw this Direction.

b. they have oversight of instructions issued by initial training establishments (through TDAs) that implements this Direction. The instructions will normally be contained within the Trg Quality Manual which is endorsed by the TRA at the CEB.

c. that all initial training establishments and TDAs have an appropriate recording system.

17. TDAs. TDAs are to publish instructions on the scale and type of ‘wake-up’ exercises that can be awarded and supervised by non-PT qualified trainers.

18. Training Providers / Training Establishments. All training establishments are to publish, for trainers and staff, details of the RT measures authorised for managing substandard performance. This publication is also to include the purpose and the scale of measures that can be expected for a range of shortcomings and is issued under the oversight of the relevant TDA/TRA to ensure consistency and compliance. Furthermore, each training establishment is to make it clear to recruits and trainees, as part of the induction process\textsuperscript{105}, how this Direction will be applied and where they can find written details thereafter. In addition, COs of training establishments are to ensure there is a robust

\textsuperscript{104} The Defence Training Policy Working Group; an OF5 TESRR-led, monthly meeting.

\textsuperscript{105} Including briefs on the supervisory care regime and how to make a complaint.
system for recording, managing and maintaining routine oversight of RT records with an auditable trail between local RT orders or instructions and this Direction.

**TRAINING OF TRAINERS**

19. The key elements of this Direction are included in the DCTS Defence Trainer course mandated for Defence. In addition, induction courses at initial training establishments are to brief the local instructions that seek to implement this Direction. Equally, COs are to ensure that all personnel (military, civilian and contractors) in contact with Phase 1 recruits and Phase 2 trainees are aware of their responsibilities in the application of this RT Direction.

**ANNEX**

A. [Application and Implementation of Remedial Training](#).
APPLICATION AND IMPLEMENTATION OF REMEDIAL TRAINING

TRAINING PROCESS

Shortfall / Failing

TRAINER ANALYSIS
Trainer to judge reason for substandard performance

Skill, Knowledge or Physical Fitness Deficiency

Inappropriate behaviour or attitude, which based on nature, stage of training and previous training history of recruit/trainee does not merit disciplinary action

ADDITIONAL TRAINING / INSTRUCTION
Trainer arranges additional instruction, or repetition of training event

Either or both may be appropriate

MEASURES TO IMPROVE ATTITUDE / BEHAVIOUR
If the shortcoming can be addressed immediately, use TIER1 Measure

If the shortcoming is engrained or requires action beyond Tier 1 measure, use Tier 2 measure

FORMAL DISCIPLINARY / ADMINISTRATIVE PROCESSES

Inappropriate behaviour or attitude, which based on nature, stage of training and previous training history of recruit/trainee, requires disciplinary or administrative action

DISCIPLINARY / ADMINISTRATIVE PROCEDURES
Take action iaw relevant discipline or administrative procedures. If disciplinary action is initiated no other Tier 1 or 2 measure (less verbal rebuke) is to be applied for that observed shortfall in behaviour or attitude

PROCESS TO WARN AND ULTIMATELY EXTEND TRAINING OR WITHDRAW RECRUIT/TRAINEE FROM TRAINING
This process can be initiated at any time during Phase 1 and 2 training and the decision to commence, or to cease this process is to be all informed
3.3 Robust Training (RT)

Policy Sponsor: TESRR, CDP

Properly conducted Robust Training is a basic principle of training in Defence and as such is linked to measurable Training Objectives (TOs) and outcomes. It is deliberately designed to induce an element of pressure in order to challenge recruits and trainees mentally and physically, so that they draw on reserves of willpower and stamina to achieve the outcome sought. The aim therefore of Robust Training events is to develop physical and mental resilience in order to prepare appropriately for the challenges of operations worldwide. It is entirely practical to deliver such training without compromising welfare and Duty of Care responsibilities, but it must be regulated to prevent Robust Training being replaced with harsh or inappropriate training that prevents the overall training effect from being delivered.

This Defence Direction assists Commanders involved in all phases of training, in planning appropriate and proportionate training that is challenging, engaging and robust, whilst ensuring that risks are identified and mitigated, so that the recruit or trainee is protected from uncontrolled misuse of the term to deliver harsh training, unlinked to a specified training outcome or objective. Commanders should consider this Direction in conjunction with the ‘Commanders Managing the Training Environment’ Direction and the ‘Supervisory Care for Phase 1 Recruits and Phase 2 Trainees’ Direction. Both are contained within this JSP as are other policies relevant to ensuring a realistic and safe training environment. In addition, all training should be designed and delivered in line with the Direction given in this JSP.

DEFINITION AND PURPOSE

1. Definition. Robust Training is defined as ‘Contextualised training that, by design, progressively develops individuals’ mental and physical resilience in preparation for their front-line role and prepares them appropriately for operations, when combined with Mission Specific Training’.

2. Purpose and Application. The purpose of Robust Training is to progressively develop a Service Person’s (SPs) resilience to enable them to perform effectively in any operational environment. The degree to which Robust Training is employed within an initial training programme should reflect the employment of that SP in both specialist and generic tasks. Emphasis should be placed upon the need for SP to perform in the most demanding conditions in which they may realistically expect to find themselves if deployed to high-tempo and/or high-threat operational environments. As Defence transitions to a contingent posture, the non-linear nature of the Contemporary Operating Environment (COE) will inevitably expose SP from support functions to higher risks than would have traditionally been the case. It is therefore no longer acceptable to have a situation where combat personnel and support or service support personnel sit at distant ends of a wide spectrum of individual resilience. This gap should be narrowed if all SP are to be best prepared for

106 Training Education, Skills, Recruitment and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.

107 ‘Commanders’ covers those commanding/in-charge of any form of Phase 1, 2 or 3 formal training organisation (including Training or Education Establishments, Defence Colleges, Training Schools and Training Units. This includes Reserve units).

108 This acknowledges that initial training (Phase 1&2) is a series of evolutions that lead to eventual Service on operations. Thus, the product of initial training is not the finished article. The process of developing resilience will continue throughout a SPs career, through formal and informal training interventions and the accumulation of experience.

109 For example, fulfilling individual Force Protection functions.
operational service. This requires moral courage to implement and there is a need for a coherence of approach across Defence and single Service (sS) training establishments to ensure that Robust Training is systematic, progressive and appropriately contextualised.

PRINCIPLES

3. **Beneficial.** The net result of properly designed and conducted Robust Training should be beneficial to recruits and trainees in a resilience context. It should develop their ability to perform demanding tasks under difficult conditions by building self-confidence, self-reliance and motivation. It must not erode it. Recruits and trainees should feel that the training was a positive experience. This point in itself is a useful to guide to whether Robust Training events are having the desired effect and should be measured as part of a training establishment’s self-assessment process.

4. **Developmental.** Robust Training tasks must be developmental and preparative in nature and related to performance expected after training. Robust Training should take place under simulated operational conditions where possible and/or appropriate. Recruits and trainees must be sufficiently prepared for the training and, while it should stretch and test their abilities, it must not make them feel that they have no chance of performing adequately. Consequently, the effect should be to take recruits and trainees out of their comfort zone and to develop resilience and self-reliance so they can be assured that they are well prepared to handle challenging situations.

5. **Tailored.** Due to the wide range of training in Defence and the breadth of job specifications within both commissioned and non-commissioned ranks, what could be defined as Robust Training for one training cohort may not be suitable or appropriate for another. While many operational conditions are similar for all, it is unlikely that any but the most generic of Robust Training events will be appropriate across Defence. Robust Training must be designed to be relevant to the roles and duties of the recruit or trainee and likely employment on operations. Robustness comes in many forms, both physical and mental. sS and Defence training establishments need to implement a ‘continuum of robustness’ that threads through all phases of training, and which must be:

   a. **Relevant.** sS training has spent the last decade or more delivering capability to defined operational theatres with (largely) understood threats. As Defence returns to contingency the certainty of future operational environments and the threats that emerge may be less defined and less clearly understood. This uncertainty requires a refinement within training if we are to produce a new generation of robust, self-sufficient and capable SP.

   b. **Contextualised.** sS training needs to provide ‘immersive’ scenarios to allow recruits and trainees to contextualise their training. It is necessary to replicate the physical and mental pressures of operations that are specific to Service and role, noting the need to ensure that supporting personnel should also build resilience through Robust Training. If all SP are to be best prepared for operational service, training needs to focus on the increased resilience end of the spectrum and where possible enhance the psychological stressors in training (e.g. increased use of battle simulation, additional night training scenarios) and the physical stressors (e.g. extending training days, more time living ‘in the field’ or austere simulated operational conditions).
c. **Delivered to defined standards.** The ability to measure how successfully SS deliver training that challenges a recruit or trainee to develop physical and mental resilience should be achieved via measures of performance whilst in initial training, and through measures of effect once SP join their respective Commands. Detailed assessment through both InVal and ExVal will be essential in determining the degree to which Robust Training is succeeding.

d. **Delivered with calculated risk.** The acceptance of risk is important, and its application must be understood at all levels of training delivery. It must be proportionate to the delivery of the defined operational output. There is both a moral obligation to prepare recruits and trainees appropriately for the rigours of operational Service, and a need to recognise that a Robust Training regime may lead to injury, increased wastage rates or litigation. These factors are not mutually opposing or irreconcilable. Robust Training can be delivered during all phases of training whilst successfully discharging Defence’s welfare and Duty of Care responsibilities. The risks associated with Robust Training must be identified, assessed and addressed\(^{110}\) with a view to enabling this important element of training. A culture of risk aversion must be avoided as it merely transfers risk to the Commands and is morally unjustifiable. It is incumbent upon Commanders, their staff and trainers to be conversant with the principles and application of risk assessment at their respective levels of training command. Intelligent risk management must be led by the Commander and understood by all staff involved in training delivery. The first step in developing risk management locally will be through the CRA/SCD process. Detailed briefing on local procedures must be included in staff/trainer induction training and understanding must be developed further through regular study periods.

e. **Appropriate supervision.** The level and style of supervision needs to be tailored to the level of risk, the type of training and the ability and confidence of the recruits or trainees.

f. **Trust in the Chain of Command.** The application of Robust Training may be compromised, at least in part, by a mutual lack of trust between training staff and their Chains of Command. This can be compounded by a perception amongst trainers that there has been a shift in emphasis to the recruit’s or trainee’s care needs that conflict with challenging, engaging and robust training. Recruits and trainees must be empowered to ask questions and appropriately challenge the ‘recruiting promise.’ This should not, however, be viewed as a challenge to the core tenets of SS Values, Standards and Ethos, or the Chain of Command. Trust needs to be established early so that there is an understanding of what is required and the rationale behind Robust Training.

**GOOD PRACTICE**

6. **Compliance with Defence training standards.** Robust Training events must be designed in accordance with the DSAT. They must be shaped logically to fulfil and test an established training need and must be conducted consistently and resourced appropriately. All training, including events that are designed to be robust must be designed to deliver against the Role PS, as set out by the TRA. Robust Training must have a defined TO to

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\(^{110}\) Further Direction and Guidance on managing risk should be sought through Defence and SC Risk Management processes and regulations. Commanders should also have their Commander’s Risk Assessment (CRA) and Supervisory Care Directive (SCD) in place to ensure that Robust Training is properly managed, governed and assured. Robust Training should be integral to and tied into the Role Performance Statement (Role PS) issued by the Training Requirements Authority (TRA).
achieve and be measured against. Robust Training for its own ends, delivered ad hoc, in an uncontrolled manner or unsupervised environment is dangerous and must be actively guarded against. Adherence to JSP 822 will allow challenging, engaging and robust training to be designed and delivered in a safe, controlled and appropriately governed manner.

7. **Appropriate risk management not excessive risk aversion.** It is generally accepted that military Service will expose SP to more risk than most civilian occupations. Training to meet the needs of military Service, which stretches recruits and trainees physically and psychologically, ideally under simulated operational conditions, is likely to carry more training risk than is normally the case. Commanders and training staffs must ensure that all risks are assessed and mitigated, but they must not seek to unnecessarily protect recruits and trainees from the consequence of failing to rise to the challenges set. It is acknowledged that this element will need to draw upon the experience and judgement of the training Chain of Command. It is vital to avoid the inculcation of a culture of risk aversion that may lead to the physical or psychological inability to perform adequately when facing the challenge of operational conditions.

8. **Separated from remedial action.** It is important that training staff designing and delivering Robust Training must ensure that recruits and trainees as well as training staff understand the purpose and intended outcome of the training. It must be clearly differentiated from any sort of remedial, corrective or disciplinary action. Training that is intended to be robust must not be confused with any form of bullying, harassment or intimidation. Such conduct is wholly unacceptable and contrary to Defence's Values, Standards and Ethos and the DHALI/B intent, and is demonstrably counter-productive in developing resilience. Effective supervisory care, welfare policies and governance and assurance processes will ensure that Robust Training is not confused with, or replaced by, actions or events that either serve a different remedial, corrective or disciplinary purpose, or those that are conducted in a misguided attempt to achieve unsanctioned, unacceptable and unnecessary outcomes.

9. **Clearly explained purpose.** Recruits and trainees as well as trainers must be in no doubt as to the difference between Robust Training and unacceptable practices. The conduct of Robust Training events must not undermine the good practice and culture of Continuous Improvement that is synonymous with DSAT and DHALI/B. It is possible to prevent confusion amongst recruits and trainees by detailed explanation of Robust Training aims and objectives during induction and regularly thereafter. Trainers must have the principles of Robust Training explained to them during their selection, training and again when they join the training establishment. Where inexperienced staff or trainers are expected to apply Robust Training techniques they must be mentored and supervised.

**EXAMPLES OF ROBUST TRAINING FACTORS**

10. Ideally, Robust Training should not be confined to specific and stand-alone events; it must be all pervasive, coherent and progressive throughout all phases of training. In its most basic form, Robust Training may simply be reflected through the setting of unremitting high standards by staff, trainers and support personnel.

11. The following pressures could contribute to training being classified as robust. The list is not intended to be prescriptive but, rather, provide examples. Equally, the list is not exhaustive, and it must be read in conjunction with the points made above. Some examples

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111 See Defence Direction on Remedial Training in Initial Training contained within this JSP.
of Robust Training activity are at Annex A. This list is intended to be illustrative rather than exhaustive:

a. **Psychological pressures.**
   
   (1) rapidly and or frequently changing priorities.
   
   (2) introduction of extra information or introduction of situations in which there is incomplete information.
   
   (3) reduction in time allocated for a task.
   
   (4) dislocation of expectations.
   
   (5) enhanced perception of danger/risk and consequence of failure.
   
   (6) realistic simulation of operational challenges and operational ‘friction’.
   
   (7) significantly increased responsibility.

b. **Physical pressures.**
   
   (1) climatic injuries and other environmental factors – heat / cold / wet / darkness\(^{112}\).
   
   (2) exertion and physical effort.
   
   (3) tiredness/controlled sleep deprivation.

**GOVERNANCE**

12. It is a requirement that training events that incorporate a robust element or that seek to achieve a greater level of resilience through the application of pressures (stated above) be appropriately governed. Commanders must therefore ensure appropriate governance procedures are in place and that such training is regularly scrutinised through 1\(^{st}\), 2\(^{nd}\) and 3\(^{rd}\) party assurance procedures. All Robust Training must be linked directly to a specified TO as laid out in the Role PS, issued by the TRA. TDAs must be aware of all Robust Training events that take place in their training establishments and ensure that they are appropriate and proportionate to the training outcome, controlled and fully integrated into the core syllabus, and delivered in an entirely transparent manner.

**TRAINING**

13. Trainers and staff engaged in any aspect of Robust Training are to be suitably briefed as to the aim and desired outcomes of the training events, as well as supervised where appropriate. In addition, the Defence Centre of Training Support (DCTS) runs the Defence Trainer Capability and Defence training support courses that all training staff, and most particularly those engaged in the design and delivery of Robust Training, need to attend.

\(^{112}\) See JSP 375 Chapter 42: Cold Injury Prevention and Chapter 41: Heat Illness Prevention
ANNEX

A. Robust Training Examples.
### ROBUST TRAINING EXAMPLES

<table>
<thead>
<tr>
<th>Ser</th>
<th>Activity</th>
<th>Purpose</th>
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| 1   | Realistic Operational Employment Scenarios in Challenging Environmental Conditions | Develop ability to conduct role-related duties under demanding conditions.  
Develop physical and mental resilience and teamwork. |
| 2   | Assault Course/Trim trail/Cross Country Steeplechase                     | Development of physical fitness, mental resilience, generic military skills and, where it is a team effort, teamwork.                  |
| 3   | Immediate Response to Realistic Casualty Scenario (e.g. from Improvised Explosive Device or Indirect Fire, and Casualty Evacuation) | Teamwork, First Aid and planning skills, physical fitness, mental robustness, force protection skills under duress.                    |
| 4   | Battle PT                                                                | Physical fitness and mental resilience.                                                                                               |
| 5   | Military skills competition                                              | Navigation/shooting/physical fitness/First Aid.                                                                                         |
| 6   | Damage control/fire simulation/vehicle recovery in arduous conditions    | Development of teamwork, physical and mental resilience, and physical courage.                                                          |
| 7   | Water crossing                                                           | Develop teamwork and planning skills                                                                                                   |
| 8   | Tactical river crossing                                                  | Develop teamwork and planning skills in a tactical setting.                                                                                 |
| 9   | Unarmed combat/martial arts/milling.                                     | Physical fitness and mental toughness.                                                                                                  |
| 10  | Public order training                                                    | Develop self-discipline, team-work and physical courage.                                                                                 |
| 11  | Demanding Adventurous Training exercises to generate fear and fatigue    | Develop character, leadership in real situations, physical fitness, moral and physical courage, self-discipline, self-reliance, teamwork and team cohesion. |
| 12  | Bayonet fighting                                                         | Develop aggression, physical courage and physical fitness.                                                                               |
4 Defence Direction for Care & Welfare in Initial Training

4.1 Commanders Managing the Training Environment

Policy Sponsor: TESRR, CDP

Initial Training seeks to transform civilians into professional Service personnel (SP), capable of operating in the harshest of global environments and pressured situations. It must therefore be appropriately delivered and progressively challenging in a way that successfully balances the difficulty, pressure and complexity, with the ability of the SP to assimilate the required level of knowledge and develop the right skills, attitude, and behaviour. To support this, there are 3 key training-focused outcomes:

- optimised training environment.
- minimised risk, whilst delivering realistic, robust and operationally focused training.
- maximised support to SP (recruits, trainees and trainers).

For commanders involved in the delivery of initial training (Phases 1 and 2) setting, monitoring and assuring the 3 training-focused outcomes are particularly important. These principles are relevant to all individual training establishments.

This Direction details how recruits (in Phase 1 training) and trainees (those undertaking Phase 2 training, but has relevance to Phase 3 training as well) are to be cared for, developed, trained and managed from recruit and preliminary trade training to career courses and operational deployment.

Requirements of Policy are set in bold at the start of each section, with further explanation found in body of the text. COs must ensure that this Direction is followed out by those under their command, and that the latter are aware of their responsibilities under it.

SCOPE

1. This Direction applies to any individual from the Whole Force involved in the provision or support of Defence training and education in Phase 1 and Phase 2 training establishments, units and groups. Its principles should be extended to Phase 3 trainees where there is a clear link to Phase 1 or Phase 2, where U18s are regularly part of the pipeline or where single Service direction exists.

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113 ‘Commanders’ covers those commanding/in-charge of any form of Phase 1, 2 or 3 formal training organisation (including Training or Education Establishments, Defence Colleges, Training Schools and Training Units. This includes Reserve units).
114 Training Education, Skills, Recruitment and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.
115 For the purpose of this document an ‘establishment’ is a site made up of one or more training unit/school.
116 Also refered to as Basic Training.
117 Also refered to as Initial Trade Training.
POLICY OVERVIEW

2. Defence has a formal obligation to ensure the provision of Care & Welfare in initial training is consistently delivered across the Armed Forces. This JSP directs the elements of Care & Welfare that must be provided, as a minimum within initial training units/schools/training establishments. The Commander must personally own the direction set in their establishments as well as drive improvements to this provision based on evidence of progress of SP available to them. Whilst ownership must be retained at the highest level, everyone in the Chain of Command has a responsibility for supervisory care. Commanders of initial training establishments must implement this Direction, seeking advice through their sS or TESRR where clarity is required. Where compliance is not achieved, suitable risk assessment and mitigation should be taken and recorded.

3. Commanders of initial training establishments have responsibilities and obligations that differ from those of non-training commands. Initial training is delivered in an increasingly demanding environment that has attracted much public attention over the last decade. Reports such as DHALI/B\textsuperscript{118} revealed not only how things can go wrong in training but also how challenging they can be to correct if allowed to develop ungoverned. The findings of those reports have resulted collectively in extensive remedial action and a substantial injection of resources. There is now much closer scrutiny of the conduct of initial training, including through external inspection of training establishments by the Office for Standards in Education (Ofsted)\textsuperscript{119} through a MOU on behalf of MinDPV.

AIMS

4. The aim of this Direction is to provide those responsible for the delivery of initial training with details their specific responsibilities and obligations concerning the conduct of the training and provision of Care & Welfare towards Phase 1 Recruits and Phase 2 Trainees. Particularly it serves to promulgate direction regarding:

   a. Risk Assessment and Supervisory Care (Ch 4.2),
   b. Safeguarding (inc personnel U18 in training) (Ch 4.3),
   c. Recruit & Trainee Management (Ch 4.4),
   d. Personnel & Training (Ch 4.5),
   e. Assurance of Care & Welfare in initial training (Ch 4.6)

GOVERNANCE

5. The conduct of initial training in Defence is governed by a range of single Service (sS) and Defence policies. TESRR periodically reviews and updates Defence-level Direction and Guidance for Training, Education and Skills, in conjunction with the sS and on behalf of CDP, the Defence Authority for People. Governance is exercised through sS 1\textsuperscript{st} and 2\textsuperscript{nd} party assurance process and the Defence Care & Welfare Assurance Working Group.

\textsuperscript{118} The programme of work instigated to address Duty of Care criticisms in the reports by the Directorate of Operational Capability, the House of Commons Defence Committee, the Adult Learning Inspectorate and Mr Nicholas Blake QC, collectively known as DHALI/B.

\textsuperscript{119} https://www.gov.uk/government/organisations/ofsted.
(DCWA WG) to the TESRR Policy Advisory Group (TESRR PAG). 3rd party/external assurance is provided by Ofsted under a commissioned inspection regime\(^{120}\).

6. TESRR staff will provide advice to Commanders on policy interpretation and implementation as well as comment on suitability of proposed mitigating actions where compliance is not possible.

**DEFINITIONS**

7. The following definitions relate to Care & Welfare in Initial Training:

   a. **Care and Welfare.** MOD’s legal and moral obligation to the provision of care and support for the well-being of recruits/trainees.

   b. **Defence Care & Welfare Framework.** MOD developed framework to consolidate polices and expectation associated with delivery of Care & Welfare Provision. Its assessment criteria facilitates an executive summary of unit self-assessment report as directed in Chapter 4.6 of this JSP.

   c. **Initial Training.** Training delivered at to recruits in Phase 1, trainees Phase 2 and any unprogrammed time or periods of holdover between phases of training, up to the point in time of reaching Gain to Trained Strength (GTS).

   d. **Training Establishment.** A site comprising multiple schools or units under a common command where the operation purpose of that site is predominantly or entirely the delivery of trained personnel. In some cases, multiple schools within a training establishment may have separate commands. Where an establishment has responsibility for more than one unit there will be a need for some levels of coordinated activity and mechanisms across the establishment which may be based on geographical area rather than independent unit activity\(^{121}\). Some front line units may be deemed for the purpose of this policy as a training establishment for parts of its output, for example Operational Conversion Units within a Main Operating Base.

   e. **Supervisory Care.** The expression used to define the moral component of the MOD’s care and welfare provision. It involves the conscious overseeing of recruits/trainees by an authorised person to ensure the delivery of an appropriate military, pastoral and welfare regime. Supervisory care goes beyond the delivery of military, technical or specialist training and/or education carried out during the normal working day. It includes aspects such as the inculcation of professional military ethos, the maintenance of values and standards, ensuring appropriate behaviour, providing assistance or advice on welfare and administration, and the mentoring of recruits/trainees by military or suitable civilian staff.

   f. **Supervisor.** A member of staff specifically authorised and responsible for the supervisory care of recruits/trainees. COs may nominate and authorise supervisors from all permanent staff (both military and civilian) on the strength of the establishment, as deemed suitable. This would normally exclude Military Provost Guard Service/MOD

\(^{120}\) MOU is between Min DPV between MOD and Ofsted, contract management is provided by TESRR.

\(^{121}\) For example, at RAF Cosford the Supervisory Care Directive (SCD) emanates from the Commandant and provides clear and overarching direction to the 4 separate training units based there.
Guard Service staff and MOD Police unless specifically required\textsuperscript{122}. Military duty staff on the establishment during out-of-hours periods may be expected to carry out supervisory care responsibilities, subject to compliance with the Working Time Regulations, where applicable. Commanders are to appoint a lead for the recording of Supervisory Care qualifications (including Basic/Advanced Care of Trainees (Basic/Advanced COT)) for those staff in the Supervisor role, as directed in Ch 4.5 of this JSP.

\textbf{g. Normal Working Hours.} Typically, 0800 to 1800 hours during which time recruits/trainees are undergoing formal periods of instruction (Class Contact Time), organised sporting or other activities. This period would include the time for lunch and any other short breaks between instructional periods. For much of this time recruits/trainees will usually be under the control and supervision of trainers\textsuperscript{123}.

\textbf{h. Out-of-Hours (Off Duty).} The time spent outside Normal Working or Silent Hours; typically:

Monday to Friday:
0630-0800 - the time between Reveille/Call the Hands and First Parade/Turn to.
1800-2300 - the time after periods of formal training and Silent Hours/Lights Out.

Saturday and Sunday:
0630-2300 - in the event of no formal training taking place.

\textbf{i. Out-of-Hours (Silent Hours).} The time when recruits/trainees are expected to be asleep; typically 2300-0630 hours.

\textbf{j. Child.} The Children Act 1989 defines a child as any person under the age of 18 years. The fact that a child has reached 16 years of age, is living independently or is in further education, is a member of the armed forces, is in hospital or in custody in the secure estate, does not change their status or entitlements to services or protection\textsuperscript{124}.

\textbf{k. Adult at Risk.} Defined as\textsuperscript{125} ‘an individual aged 18 or over who a. has care and support needs (whether those needs are being met by the local authority); and b. is experiencing, or is at risk of, abuse; and c. as a result of those care and support needs is unable to protect themselves from either the risk of, or experiencing, abuse or neglect.

\textbf{ANNEXES}

B. Care & Welfare Signposting Grid.

\textsuperscript{122} For example when recruits/trainees are detailed for Guard Duty/Fire Piquet under the supervision of MPGS, MGS or MOD Police, but noting the requirements of the extant Direction on Armed Guarding of Phase 1 and 2 Establishments contained within DCDS (MSO)/18/01 CDS Operational (CAT TWO) Arming Directive 2018.

\textsuperscript{123} During this period recruits and trainees are deemed to be in employment for the purpose of direction of Defence Baring Service disclosures requirements - see Ch 4.3.

\textsuperscript{124} Working Together to Safeguard Children 2015.

\textsuperscript{125} As stated in JSP 834.
Left blank for Defence Care & Welfare Framework. The framework will be published via a DIN and included in subsequent versions of this JSP.
Left blank for Care & Welfare Signposting Grid. The signposting grid will be included in subsequent versions of this JSP.
4.2 Risk Assessment and Supervisory Care

For many new recruits, initial training is part of their formative development, as they transition from civilian entrant to SP. It is therefore vital, that the training is delivered and conducted in the most efficient, appropriate and supportive manner possible. As an employer, the MOD has care and welfare obligations for all the recruits and trainees in its charge; this duty has legal, moral and presentational components. The expression used to describe the moral component is Supervisory Care. Supervisory Care entails the provision of an appropriate military, pastoral and welfare regime that goes beyond merely the delivery of military, technical or specialist training and/or education and includes the inculcation of professional military ethos. It also includes the need for recruits and trainees to be mentored by suitable military and/or civilian staff, and recognises the particular vulnerabilities associated with initial training and the transition from being a civilian to a trained member of the military.

Commanding Officers must:

- conduct and record a Commanders Risk Assessment for all aspects of training and its environment under their responsibility.
- provide a comprehensive Supervisory Care Directive, with main elements accessible and disseminated to all staff and recruits/trainees.
- ensure health and safety related processes are robust and in accordance with JSP 375.
- remain aware of other services/policies which directly relate to the provision of Care & Welfare within Initial Training.

COMMANDER’S RISK ASSESSMENT (CRA)

1. Commanders must conduct a Commander’s Risk Assessment (CRA) for all aspects of training conducted in their establishment or unit. This will include identifying areas of concern regarding staff welfare, recruit and trainee welfare, and the training environment. The assessment will identify risks which require command action and should be built from the ‘bottom up’. The CRA will form the basis of a set of orders presented in the form of a Supervisory Care Directive (SCD).

2. The CRA is a complex and substantial piece of work and COs must involve themselves personally in its development, along with trainers, administrative and welfare staff. Doing so assists in identifying the risks and in developing appropriate mitigation measures. It also helps to improve the staff’s understanding of the risks and broadens ownership. The CRA which must contain a succinct explanation of the unit’s role and environment, and a comprehensive assessment of risks to recruits, trainees and staff. The CRA must take account of the particular and local factors pertaining to the establishment in question and must contain a detailed analysis of the trainee population (including any Phase 3 trainees – particularly if linked to Phase 2 or U18 or if deemed at particular risk), the type of issues they generate, and the nature of training and education being undertaken. Issues pertaining to permanent staff morale, their welfare and support must also be included in the CRA.

3. The CRA must be fully reviewed at least annually, but should remain a live document, updated or amended as changes occur. Factors for consideration in assessing risks are at Annex A.
4. The reasoning behind each identified risk must be included together with the measures developed to mitigate them. The CRA must form a robust and easily understood analysis that identifies a clear relationship between risk/levels of staff supervision (in terms of number, gender, competence etc) for the size, age, maturity and diversity of the trainee population, and the location and nature of the activity (informed by an analysis of the unit’s record of relevant incidents and any other pertinent data). COs must also take account of the implications for trainers (particularly junior ones), whose work/life balance is often poor due to the increased pressure placed on them. Similarly, those who have recently returned from operations may present a particular risk.

SUPERVISORY CARE DIRECTIVE (SCD)

5. The Supervisory Care Directive is the commander’s intent for how the unit aims to provide appropriate levels of support, assistance or advice to recruits and trainees during their initial training. The SCD must be based on the outcome of a comprehensive Commander’s Risk Assessment (CRA), and adjusted as required to ensure the arrangements reflect the risks, and remain robust and effective. The application of military judgement will be required, reflecting local circumstances and particular recruit or trainee cohorts, to produce an effective SCD. All permanent staff, recruits and trainees are to have relevant details of the Directive explained to them as part of their formal induction to the unit.

6. The Supervisory Care Directive should be a living, practical document that must be reviewed at least annually, as changes are made to the CRA or if related risks are identified, to provide training and management staff with an overview of how the unit works and their part in its running. The Directive must stipulate the standards to be achieved and who is to do what to achieve them. In so doing, the document must provide a framework within which the unit discharges its Supervisory Care responsibilities and must demonstrate and clearly articulate the CO’s commitment to the care of the trainees. It should establish and direct appropriate levels of supervision and welfare cover at all times, not only during training, but also out-of-hours, at weekends, during leave or stand-down periods and during any periods of unprogrammed time within initial training. It must include or refer to appropriate procedures, processes and policies to ensure compliance with higher level requirements, and consistency/coherence with other Unit/Command/Service/Defence activities as appropriate.

7. Given the central role played by the welfare and medical staff, the Supervisory Care Directive must include details of the unit’s welfare structure and its governance. As a minimum, this must include an outline of the various welfare forums, their inter-relationships, membership, frequency of meetings, passage of information and confidentiality protocols.

8. Factors for consideration in developing a Supervisory Care Directive are at Annex B.

Staffing Process CRA-SCD.

9. Both the CRA and SCD may be produced on behalf of the Commander with the input of staff across the establishment, however it should not be produced in isolation by a single desk officer. Figure 1 shows the inter-relationship between the key Care and Welfare documents.
10. Where there are several training units located on a single site, unit risk assessments and supervisory care processes must feed into the establishment’s CRA and SCD for the entire site. Multi-unit/school Training establishments with multiple units/schools, or where a school has multiple sites are to adapt this Direction to ensure a coordinated, coherent approach is taken towards all individuals on the same site or within the same organisation, as appropriate.

HEALTH AND SAFETY AT WORK

11. In addition to policy relating to health and safety, COs must ensure that U18s are included in standard Health and Safety at Work Risk Assessments and must take particular account of risks applying to them. The Management of Health and Safety at Work Regulations 1999 places additional duties on an employer to ensure that young persons (defined as any person who has not yet attained the age of 18, but above school leaving age) are protected at work from ‘any risks to their health and safety, which are a consequence of their lack of experience, or absence of awareness of existing or potential risks or that young persons have not yet fully matured’.

Defence Risk Management & Duty Holder Responsibilities

12. The CRA should not be confused with the separate requirements of JSP 375\(^{126}\). The template provided in JSP 375 should not be used in the supervisory care context.

DEATH OR SERIOUS INJURY

13. Commanders should be familiar with the initial action to be taken when receiving a report of a serious incident, in particular involving death or serious injury. Adherence to Defence Direction will ensure that the establishment, unit or group can deal swiftly and effectively with such incidents\(^{127}\).

IMPACT OF CONTRACTED SUPPORT ON PROVISION OF CARE & WELFARE

14. COs should remain aware of the impact of contracted services, often essential to the running of the training establishment on the provision of Care & Welfare within Initial Training. These include but are not limited to:

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\(^{126}\) JSP 375: Management of Health and Safety in Defence.

\(^{127}\) For more information see [DIN 2011DIN03-035](http://example.com).
a. **Infrastructure and Accommodation.** The maintenance of good order and discipline in accommodation, communal, training and recreational areas is an essential element of the care & welfare provision. Challenges with state and age of accommodation including standards, maintenance or repairs should be recorded in the unit Self-Assessment/QIP\(^{128}\). Where this is thought to increase risk to recruits/trainees reference should be made in CRA appropriate mitigations applied through the SCD and in all cases escalated as appropriate.

b. **Provided Services.** Services which are provided by the service/establishment range from the provision of kit and equipment (and its upkeep and maintenance in the form of washing facilities) through to the provision of Wifi and all have a direct impact on the Care & Welfare provision afford to recruits and trainees. It is acknowledged that not all of these remain in the control of the CO, in fact many do not, but COs should remain aware of the impact these and other services have throughout initial training.

c. **Catering, Retail and Leisure (CRL) in Initial Training Establishments.** Commanders must note that CRL in initial training establishments can differ from operational units, ships or groups. Commanders must therefore ensure that CRL facilities in initial training establishments are operating in line with JSP 456\(^{129}\).

**ANNEXES**

A. [Risk Assessment – Factors for Consideration](#).

B. [The Supervisory Care Directive – Factors for Consideration](#).

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\(^{128}\) Further details on the Self-Assessment Report (SAR) and Quality Improvement Plan (QIP) can be found in Section 4.6.

RISK ASSESSMENT – FACTORS FOR CONSIDERATION

1. These factors are not exhaustive and additional factors, as deemed appropriate by COs, are to be considered\(^{130}\). The assessment framework must identify and explain factors, associated risks (their frequency and likelihood) and their mitigation measures/precautions.

Low Risk Environments

2. A potentially low risk environment has:
   a. a stable and/or homogeneous trainee population.
   b. a high level of training and experience already acquired by recruits/trainees.
   c. a well bonded cohort of recruits/trainees.
   d. a low proportion of recruits/trainees on holdover/unprogrammed time/awaiting training or discharge.
   e. a high average age of recruits/trainees.
   f. a high educational attainment among recruits/trainees.
   g. good availability and close proximity of recreational facilities (e.g. gyms, and games rooms where alcohol is not served).
   h. good availability of non-uniformed welfare staff (SSAFA, RVS etc).
   i. low turnover of training staff.
   j. few or no gapped training (and appropriate support) posts.
   k. staff who have completed mandatory training as appropriate.

High Risk Environments

3. A potentially high-risk environment has:
   a. evidence or history of bullying/harassment within the establishment.
   b. a fluctuating and/or diverse recruit/trainee population and typology.
   c. a low level of training and experience of recruits/trainees.
   d. a lack of bonding within recruit/trainee cohorts.
   e. a high proportion of recruits/trainees on holdover / unprogrammed time / awaiting training or discharge.

\(^{130}\) Additional factors, if identified, should be passed to TESRR to share good practice across Defence.
f. a low educational attainment/low academic level among recruits/trainees.
g. mixed gender training and the mixing of trained and untrained personnel.
h. a lack of available or proximate recreational facilities (other than bars etc).
i. a lack of welfare support.
j. high turnover of training staff.
k. a significant number of gapped training (and appropriate support) posts.
l. staff who have not completed mandatory training as appropriate.

**Supervisory Care during Out-of-Hours**

4. Factors to determine the level of supervisory care during out-of-hours periods:
   a. Available direction/guidance on alcohol consumption.
   b. The proximity of the duty supervisor (e.g. living in the same block, on the base, or outside the establishment on a mobile phone).
   c. Weekends and leave policy, which may increase or reduce the requirement for supervisory staff.
   d. The unit’s guard structure and duties, which may allow staff who are on guard duty to take on limited supervisory activities.
   e. The geographical location of the unit, which may affect the number of recruits/trainees likely to be within the bounds of the establishment during out-of-hours periods, increasing or decreasing the requirement for supervisory staff.
   f. The nature and distribution of the accommodation (e.g. single, multi, or barrack style, the standard of furnishing).
   g. The balance of male/female recruits/trainees within the unit, noting the need for a suitable number of male/female supervisory staff at any time.
   h. The ease of contact with families and friends (e.g. mobile phone policy, telephone availability and internet access).
   i. The 48-hour limit on weekly working time in the Working Time Regulations, which may restrict the use of trainers for out-of-hours supervision\(^{131}\).

**Specific Factors for Consideration during the Risk Assessment**

5. Specific factors for consideration during the risk assessment are:
   a. self-harm and suicide.

\(^{131}\) The MOD has limited derogations from the Working Time Regulations in some instances. Legal advice should be sought on whether a particular activity is exempt. Guidance on Working Time Regulations for SP is provided in [2008DIN01-050](#).
b. alcohol and drug abuse or addiction.

c. bullying, harassment, inappropriate behaviour.

d. radicalisation risk/behaviour.\(^{132}\)

e. homesickness, engagement with parents/guardians.

f. access to telephones/use of mobile phones.

g. compassionate leave.

h. recruits/trainees on holdover / unprogrammed time / awaiting training or discharge. To include procedures for informing them of progress.

i. basic life skills and financial awareness.

j. inculcation of core values.

k. access to weapons and ammunition.

l. recruits/trainees U18.

m. ‘at risk’ adults.

n. mental health and other medical problems.

o. recreational facilities including access to alcohol and gambling.

p. bounds (restrictions on recruits/trainees).

q. tracking individuals at risk - ‘At Risk Register’.

r. care leavers; not all care leavers will be U18 when they join, and the local authority has a responsibility for them until the age of 25.

s. Climatic Injuries.\(^ {133}\)

**Good Practice**

6. Good practice has been seen when the following are evidenced:

   a. CO’s personal involvement.

   b. Analysis of recruit/trainee population.

   (1) Where are they from (e.g. urban, rural, overseas, ethnic or national origin, social background, educational attainment)?

   (2) What types of issues do they bring?

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\(^{132}\) Trainers and trainees should be made aware of the PREVENT pillar of the Government's CONTEST strategy. Free PREVENT training is available online at [https://www.foundationonline.org.uk/](https://www.foundationonline.org.uk/). Establishments should have protocols in place to report and investigate any radicalisation concerns.

\(^{133}\) Direction and guidance on Heat Illness and Cold Injury prevention can be found in [JSP 375](#).
c. Analysis of historical and welfare data.
   
   (1) Good integration across all welfare functions to understand types of problem, patterns and how previously resolved.
   
   (2) Likelihood and frequency.


d. Analysis of training activities.

   (1) What are the risks, including psychological, physical and environmental?
   
   (2) Maintainance and exploitation of historical medical data on causes of injuries.


e. Regularly refreshed (at least annually).

f. Personnel and admin staff, welfare staff and trainers are included in the process to identify mitigation measures / precautions and improve ownership.

g. Inclusion of all activities, on and off site, where appropriate.

h. Development of unit historical data/perspective; for example, history of self-harming incidents, history of Minor Administrative Action, the Remedial Training Log, the Equality and Diversity Log, Injury Log.
THE SUPERVISORY CARE DIRECTIVE – FACTORS\textsuperscript{134} FOR CONSIDERATION

1. Introduction and Purpose of Supervisory Care Directive, to include a statement from the Commander directing that the SCD be taken as their orders for the running of the Supervisory Care regime in the establishment.

Arrival and Induction Procedures\textsuperscript{135}

2. New recruits/trainees to be met on arrival and escorted to accommodation.

3. Process in place for early arrivals and courses commencing after leave periods.

4. Induction briefing to include, as a minimum, and at an appropriate level:
   a. Explanation of the Supervisory Care Regime, to both staff and recruits/trainees.
   b. The need for all staff and recruits/trainees to be aware of ‘At Risk’ behaviour and the mechanism for reporting such behaviour.
   c. The need to retain a close dialogue between the Chain of Command, medical, welfare and pastoral staff on ‘At Risk’ individuals and supervisory care issues in general.
   d. For civilian medical staff in particular, the implications of working in a military environment and the sensitive boundaries between patient confidentiality and justifiable Service concerns.
   e. Explanation of the provisions of the ‘training covenant’\textsuperscript{136} to all staff and recruits/trainees.
   f. Issue the Training Covenant Card to every recruit/trainee. Card must include key names and contact details of those responsible for supervisory care (both inside and outside the Chain of Command) and welfare support, together with any relevant national helpline details.
   g. How recruits/trainees may raise training or other personal concerns.
   h. Procedure for nominating NoK, including the requirement to address potentially complex family arrangements.
   i. Unacceptable behaviour, and the complaints process (both informal and formal).

\textsuperscript{134} These factors should be considered in conjunction with the Care of Service Personnel Under the Age of 18 contained within this JSP.
\textsuperscript{135} COs should implement appropriate follow-up sessions to ensure a thorough understanding of supervisory care issues.
\textsuperscript{136} For example, the ARITC Code of Conduct and Behaviour for Recruits.
Monitoring of Recruits/Trainees

5. Systems in place to ensure that the movements of all recruits/trainees can be accounted for at all times (including weekends, off duty or leave). Such systems will depend upon the nature and phase of training and should not infringe on trainees’ freedom of movement.

6. Delegation of authority to NCOs should not take place without appropriate and responsible officers maintaining proper oversight and accountability.

7. Appropriate levels of supervision and welfare cover, as a ratio between supervisory staff and recruits/trainees, determined based upon the outcomes of the Risk Assessment and the training design processes as laid out in JSP 822.

Maintenance of Discipline/Service Standards

8. Maintain good order and discipline in accommodation, communal, training and recreational areas.

9. Ensure appropriate regime is in place to manage poor performance.

Training and Supervisory Staff

10. Ensure that the need for disclosure checks has been correctly identified.

11. Monitor the completion of disclosure checks for all relevant personnel.

12. Ensure that staff are adequately trained, assessed and monitored in the training and, where appropriate, supervisory care of trainees.

13. Ensure sufficient, qualified staff are available, commensurate with the activity risk, in accordance with risk assessments and training documentation.

14. Ensure that appropriately trained personnel (e.g. Chaplains/Padres, medical staff) are available to assist any trainee in need of counselling.

15. Allow recruits/trainees to have access to a supervisor of their own sex.

16. Ensure these tasks are maintained whilst recruits/trainees are training away from the unit, such as during AT.

17. Consider the fitness of staff to provide appropriate supervisory care if they are also under other pressures (workload, domestic etc).

Specific Factors for Consideration for SCD

18. Specific factors to be considered for a SCD are:

   a. self-harm and suicide.

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137 In particular, ensure that the requirements of JSP 822, Part 1, Chapter 4, Section 4.5 are met.
b. alcohol and drug abuse or addiction.
c. bullying, harassment, inappropriate behaviour.
d. radicalisation risk/behaviour.
e. homesickness.
f. access to telephones/use of mobile phones.
g. compassionate leave.
h. engagement with parents/guardians.
i. care leavers and engagement with the relevant local authority.
j. recruits/trainees on holdover / awaiting training or discharge; to include procedures for informing them of progress.
k. financial awareness.
l. Skills for Life.
m. inculcation of core values.
n. access to weapons and ammunition.
o. recruits/trainees U18.
p. ‘at risk’ adults.
q. mental health and other medical problems.
r. recreational facilities including access to alcohol and gambling.
s. bounds (restrictions on recruits/trainees).
t. tracking individuals at risk - 'At Risk Register'.

**Good Practice**

19. Good practice has been seen when the following is evidenced:

   a. write as a Directive.
   b. avoid being descriptive.
   c. specify:
      
      (1) what is to happen, when and how.
      (2) set standards to be achieved.
      (3) identify who is to do what.
(4) outline the organisation’s welfare structure.

d. keep it short – do not replicate Standing Orders.

e. consider pocket Aide Memoire for trainers.

f. have an effective feedback loop.

g. consider the use of table-top exercises to validate procedures.

h. conduct post-incident analysis.

i. review regularly.
Framework\textsuperscript{138} for Supervisory Care Directive

Whilst not prescribing a standard format as factors differ between establishments, the following format is considered good practice. Where extant Direction/guidelines cover an issue raised in the Supervisory Care Directive, it is to be referenced for detailed Direction.

Introduction

- Statement of CO’s commitment to the care of the recruits/trainees within their establishment. Link to and reference CRA.

- Reference to relevant procedures, processes and policies.

- Applicability of Supervisory Care Directive.

- Governance of Welfare forums.

Outline of Course(s)

- Emphasise those elements that may put particular pressure on recruits/trainees.

Arrival

- Procedures.
- Induction briefing.
- Initial letter to parents/guardian.

Accommodation

- Recruits/trainees.
- Supervisors.

Conduct of Training

- Training failures.
- Management of poor performance.
- End of course reports.
- Skills for Life deficiencies.

Staff Training and Validation

- Mandatory training.
- Optional training.
- Trainer monitoring and development.

Supervisory Care of Recruits/Trainees

- The minimum ratio of supervisory staff to recruits/trainees against all serials during normal working hours and out of hours, at weekends and during leave periods, and the risk mitigation strategy if these ratios cannot be met.

- Normal working hours.

- Out-of-hours, including checking of recruits/trainees during silent hours.

- Access to support – welfare/medical/chaplain etc.

- Booking in/out procedures.

- Incidents involving recruits/trainees.

- Weekends and leave policy, including restrictions on night leave.

- Mealtimes, including fourth meal where applicable.

- Monitor recruits/trainees’ adherence to a balanced, nutritional, diet.

- Specific exercises/activities.

\textsuperscript{138} Variations to this framework should be considered by the relevant training command and passed to TESRR if considered good practice.
4.3 Safeguarding (including Service Personnel U18 in Training)

This Direction sets out how Commanding Officers (COs) should meet their obligations in respect of the safeguarding, or the management, care and welfare of Service personnel within initial training. Some of these individuals may also be under 18 years of age, or care leavers and as such some principles are directed by law.

Safeguarding requirments apply to all recruits and trainees during Initial Training not just those who are U18.

Service personnel under 18 are legally children, who have particular Care & Welfare needs as well as additional legal requirements beyond those we afford to all Service personnel, including recruits and trainees. The maturity and experience often varies considerably between individuals and as such those U18 may be more at risk than older recruits and trainees. The transition from recruitment through Phase 1 and Phase 2 training, to operational units can provide numerous challenges that require additional support. It is acknowledged that those in initial training may be less confident to speak up, ask for help or raise a concern. COs and those under their command should ensure that the provision of Care & Welfare is maintained throughout all phases of training and that any relevant information about the recruit or trainee is passed on to the receiving unit in a timely fashion. This is especially, but not exclusively important for those U18.

While embracing fully Care & Welfare responsibilities it is imperative to avoid isolating U18s by treating them in an inequitable way. They are, and must continue to feel, an integral part of the Services, and full members of the team whose contribution is valued. COs must ensure that this Direction is followed by those under command, and that the latter are aware of their responsibilities under it.

Commanding Officers must:

- ensure that process exist to identify and manage recruits or trainees ‘at risk’.
- ensure PREVENT policy is enacted within initial training.
- establish and maintain minimum levels of supervision.

For Training Establishments/Schools with U18s, Commanding Officers Must:

- ensure elements of the law affecting U18 are adhered to at all times.
- posts requiring DBS checks are justifiably identified, actioned and out comes recorded in a central manner.
- ensure U18s do not conduct duties of Armed Guarding whilst in Initial Training.
- direct clear policy and process for contact of parents of U18s whilst in initial Training.

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139 The terms Recruit(s) and Trainee(s) are used throughout this document to describe Service personnel undergoing Phase 1 and Phase 2 training respectively.
THE LAW ON TRAINEES & RECRUITS

1. COs are responsible for the care of all Service personnel under their command and are accountable accordingly. A ‘duty of care’ is the obligation to exercise such a degree of care towards an individual, as is reasonable in all the circumstances, to ensure their well-being and that of their property. Breach of the duty of care will give rise to legal liability for loss or damage suffered in consequence. Duty of care also includes statutory duties as set out at Section 2 of the Health and Safety at Work Act 1974, which states that it is the duty of “every employer to ensure, so far as is reasonably practicable, the health, safety and welfare at work of all his employees.”

2. All those in a position of authority owe a duty of care to those under their command, this includes, but is not restricted to Service personnel U18. It is the CO’s responsibility to bring to the attention of those beneath them in the chain of command all policies and procedures, including those contained in this document, which are relevant to the discharge of that duty. Our ‘duty of care’ responsibilities arise from the employment of individuals, including those U18, not from acting in loco parentis to those within the 16-18 age group. A CO does not have the rights and obligations imposed on a parent or guardian (such as a local authority looking after a child in care) in respect of a Service person who is U18. COs are to comply fully with JSP 834 on Safeguarding.

RECRUITS AND TRAINEES U18

3. The age of the Service person, the all-encompassing nature of Service life (in particular, initial training), and other factors particular to the individual such as their maturity and intelligence are relevant to the degree of Care and Welfare required to meet the duty of care. Although the Services are not in loco parentis, the care and welfare of U18s requires particular attention. COs must be fully aware of this need.

4. Under the provisions of the Children Act 2004, structures have been put in place to ensure the well-being of children and young people. This includes the establishment of a Children’s Commissioner, with a remit independent of Government, to look at all issues concerning those U18. The powers of the Children’s Commissioner include the right of access to any premises in order to interview a child or young person and a right to review the circumstances of children and young people, including any individual cases. Given the unusual nature of service in the Armed Forces (including such things as frequent moves and security), the MOD has agreed a protocol with the office of the Children’s Commissioner. In particular, this focuses all initial contact for any such cases through the MOD Directorate Children and Young People (DCYP), which will facilitate any contact or requirement for cooperation.

CARE LEAVERS

5. There will be recruits who join the Armed Services who are ‘looked after’ children. In England and Wales statutory responsibility for looked after children and children leaving care rests with Local Authorities (LAs). In Scotland this falls to the Social Work Department and in Northern Ireland to the Health and Social Care Trust. Each has different responsibilities to provide on-going support to young people when they cease to be formally looked after, in some cases up to age 25. Further information and guidance on the roles and responsibilities can be found in JSP 834. Care leavers may not have the family support that others enjoy, and this may make them more ‘at risk’. Seeking advice from the single
Service welfare services, if required, COs must ensure that where they are informed that an U18 is a looked after child or a care leaver, they:

a. offer the support of the single Service welfare services who may also liaise with the appropriate local authority on their behalf if necessary;

b. ensure that care leavers, if they request it, are given access to the responsible local authority services to which they are entitled. As far as possible, the care leaver must not be disadvantaged by the inevitable moves that they will experience as a member of the Armed Forces; and

c. recognise a local authority’s statutory responsibility to ‘take reasonable steps’ to keep in touch, or to re-establish contact if lost, with their care leavers (up to the age of 25), and are to effect a mail forwarding system for correspondence from a local authority to the individual concerned. They are also to encourage care leavers to maintain contact with their responsible local authority.

RECRUITS OR TRAINEES ‘AT RISK’

6. In accordance with the Supervisory Care for Phase 1 Recruits and Phase 2 Trainees Direction contained within this JSP, the CO of a training establishment is to publish a Supervisory Care Directive which is to be reviewed annually. This is underpinned by the CO’s Risk Assessment. Whilst the Direction relates to the Supervisory Care of all Phase 1 recruits and Phase 2 trainees, the care for U18s is especially sensitive. COs should have systems in place to identify and protect those recruits or trainees who may be particularly ‘at risk’ of harassment, bullying or discrimination; those who have personal or welfare problems that could affect their performance or health; and those potentially at risk of radicalisation, self-harm or suicide. Such individuals must be identified and monitored using an ‘At-Risk Register’ system and clear directions on what actions must be taken following the identification of these individuals must be given to both (military and civilian) staff and recruits/trainees within the establishment.

7. ‘At Risk Registers’ should provide a formal record of individual recruit or trainee issues, whether personal or professional, and the actions taken, and by whom, to support the individual. Registers should be routinely updated, and within appropriate boundaries of confidentiality and detail, be accessible to the individual’s Chain of Command. Where individuals are discussed within a Welfare Forum, the meeting should have Terms of Reference which should be included as Annexes in the Supervisory Care Directive. Formal linkages between welfare forums and training/trainee performance mechanisms should also be considered, given that welfare issues and poor training performance are often interlinked.

8. When individuals identified as being at risk pass from one training establishment to another (e.g. from Phase 1 to Phase 2) and from training to operational units, a suitable method of informing the gaining unit of any concerns relating to an individual must be established, so that the gaining unit can ensure that the level of supervisory care is maintained. If U18s are required to operate outside a training establishment, COs must be aware of their potential vulnerability and that systems for the identification and protection of recruits at risk are in place.

140 Guidance on self-harm and suicide is available for the RN in BR3 Part 5 Annex 24E; for the Army in AGAI Vol 3, Ch 110; and for the RAF in AP 9012 Ch 6.

141 All RN personnel are to be transferred to new units in accordance with sS policy.
LEVELS OF SUPERVISION IN THE TRAINING ENVIRONMENT

9. The minimum acceptable levels of supervision (the number of supervisors to the number of recruits and trainees in their charge), determined from the Commander’s Risk Assessment, must be clearly articulated in the Supervisory Care Directive, having taken into account relevant serials during the working day, out-of-hours, weekend and leave periods. COs must pay particular attention to the supervision of U18s to ensure that supervision levels are set at an appropriate level, particularly during out-of-hours periods and at weekends.

Disclosure Checks & Defence Baring Service

10. Single Services must ensure that the relevant suitability checks have been conducted for staff selected to work in the training environment who have regular contact with U18s iaw JSP 893. Recruitment should be completed in line with Safer Recruitment policy laid out in JSP 834.

11. Commanders must appoint a Unit Disclosure Officer and ensure that any posts in the establishment, unit or group that require the incumbent to be disclosure checked have been properly identified and annotated. All applications should be processed iaw with sS direction and that the unit register regularly monitored. When applicable, a check must be completed prior to an individual starting in the role. Commanders must take a regular interest in the progress of disclosure checks to ensure they are acting iaw JSP 893. There should be no blanket checking of all staff just because U18s are within the recruit/trainee population unless previously agreed by single Service headquarters.

PREVENT

12. Prevent Anti-Radicalisation. All commanding Officers of initial training should understand, communicate and promote the importance of the PREVENT requirement and ensure all staff and trainees implement these requirements. JSP 345 Annex A, highlights the requirements placed on CO's and training establishments with regards to working in partnership, ensuring capability, sharing information and monitoring. JSP 345 Annex B provides guidance on the PREVENT referral pathway process. In accordance with JSP 345 Commanding Officers must:

   a. ensure permanent staffs, recruits and trainees receive PREVENT training.

   b. ensure that training staffs and trainees are made aware, of the UK's counter-terrorism strategy CONTEST, particularly the 4 Ps, Prevent, Pursue, Protect and Prepare workstreams.

   c. have appointed a PREVENT lead who is to be responsible for liaison with internal Defence PREVENT stakeholders and external PREVENT Partnerships including the police and Local authority safeguarding teams.

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142 Such as Disclosure and Barring Service checks (previously Criminal Records Bureau (CRB) checks) and their equivalents in Scotland and Northern Ireland.
143 JSP 893: Procedure for personnel and posts which require a disclosure check.
144 Defence Direction for disclosure checks is given in JSP 893.
145 PREVENT is legal duty placed on public bodies by the Counter Terrorism & Security Act 2015.
146 Trainers and trainees can be made aware of the PREVENT pillar of the Government’s CONTEST strategy via free PREVENT training which is available online at https://www.foundationonline.org.uk.
d. issue periodical PREVENT reminders to staff and trainees, following their initial
PREVENT training.

e. understand what the risks of radicalisation are in their local area as well as the
wider risks.

f. share information about individuals upon moving to next phase/front line unit, with
each case assessed on case-by-case basis to ensure protection to individuals.

g. have processes in place for investigating, reporting and referring those
identified as at risk of radicalisation to local PREVENT partnerships through the
Channel panel process and Police.

h. refer to additional direction where provided.

ELEMENTS OF TRAINING AWAY FROM THE TRAINING ESTABLISHMENT

13. COs must ensure that any elements of Phase 1 or Phase 2 training that is conducted
away from the main training establishment provides an equal level of supervisory care to
that of the training establishment. Where this is not possible, these elements of training
should be detailed in the CRA and SCD accordingly. Staff delivering training ‘off site’ or
away from main training establishment are still subject to Basic/Advanced COT training
requirements as detailed in Section 4.5 of this chapter.

ADVENTUROUS TRAINING

14. COs must ensure that additional supervision is provided to U18s during Adventurous
Personal Development Training (APDT) or Adventurous Training (AT), (Force Development
(FD)) and Challenging Pursuits if needed. In training establishments, the CO must
undertake a Risk Assessment in accordance with the Supervisory Care Policy. U18s
undergoing AT/APDT/FD/Challenging Pursuits will be away from their normal environment
and therefore COs need to pay particular attention to their needs. Such rules and
regulations that normally apply to U18s must continue to be applied including staff to be
Basic/Advanced COT trained in accordance with Section 4.5 of this chapter of the JSP.

ADDITIONAL POLICIES RELATING U18 RECRUITS AND TRAINEES

15. Alcohol. U18s are not permitted by law to purchase alcohol or to consume it in a bar.
It is also a criminal offence to sell alcohol to U18s or to purchase alcohol on behalf of U18s.
However, those who are aged at least 16 may consume beer, cider or wine with a meal in
an area which is not a bar and is set apart for serving meals provided the alcohol is
purchased by someone over the age of 18 and the U18 is accompanied by someone over
18. Detailed policy on the consumption of alcohol is the responsibility of COs. However, as
a minimum, COs must have in place systems and instructions to ensure that U18s are
unable to purchase alcohol anywhere within the unit.

147 Contact details for the PREVENT referral pathways are listed in Annex B of JSP 345
148 Single services have published PREVENT directives & Quality Manuals (Royal Navy 20191212 Prevent
Radicalisation Directive, RAF 20200306 RAF Prevent Directive, Army 20200501 ARITC Training Quality
Manual Prevent Policy)
149 Supervisory Care for Phase 1 Recruits and Phase 2 Trainees is contained within this JSP.
16. **Smoking.** It is illegal to sell tobacco products to anyone under the age of 18. This includes cigarettes, cigars, loose rolling tobacco and rolling papers and applies both to over the counter and vending machine sales. COs are to ensure that notices stating ‘It is illegal to sell tobacco products to anyone under the age of 18’ are displayed at all premises at which tobacco is sold within the unit. A notice displaying the following statement, ‘This machine is only for the use of people aged 18 or over’, must be displayed on every tobacco vending machine within the unit.

17. **Gambling.** U18s are prohibited by law from playing gaming machines, which are classified as those machines which are games of chance with prizes, e.g. ‘fruit machines’. Any gambling machines in a unit should not be in areas frequented by U18s.

**ARMING AND ARMED GUARD DUTIES**

18. **Weapon security.** There are risks associated with the use of weapons. Training in their handling and understanding of the responsibilities for weapon security are vital elements of initial training. Recruits and trainees – regardless of their age – may handle weapons systems (the weapon and relevant ammunition) in a controlled and supervised environment. COs are to comply with the Direction on Weapon Safety and Security in Initial Training contained within this JSP.

19. **Armed guarding.** U18s are not to carry out Armed guarding duties\(^{150}\).

**WELFARE, MENTORING AND INTERVIEWING**

20. Recruits and trainees must be able to use the welfare and support facilities on a ‘drop in’ basis without hindrance once they have completed their daily duties. When individuals deemed ‘At Risk’ pass from one training establishment to another (particularly, from Phase 1 to Phase 2) and from training to operational units, a suitable method of informing the gaining unit of any concerns must be established, so that the gaining unit can ensure that appropriate supervision is maintained.

21. Welfare is a function of command and its provision is articulated within JSP 770\(^{151}\). There is a comprehensive welfare system at a commander’s disposal, which includes Unit Welfare Officers, chaplains, Service welfare organisations, WRVS and sometimes elements of the Council of Voluntary Welfare Workers (CVWW)\(^{152}\). Service personnel also have access to SSAFA Forcesline, details of which along with alternatives can be found in JSP 770. Whilst the chain of command is usually the initial point of contact for an individual with welfare concerns, all Service personnel, including U18s, must be made aware that they have the freedom to approach any welfare agency directly if, for any reason, they do not wish to approach the chain of command. COs should seek advice from the single Service welfare services, as appropriate, in dealing with the specific welfare concerns of those under their command.

\(^{150}\) DCDS(MSO)/18/01 CDS OPERATIONAL DIRECTIVE (CAT TWO) – ARMING DIRECTIVE 2018 FOR THE CARRIAGE OF FIREARMS BY SERVICE PERSONNEL ON GENERAL SECURITY DUTIES IN NON-OPERATIONAL ENVIRONMENTS.

\(^{151}\) JSP 770: Tri-Service Operational and Non-Operational Welfare Policy.

\(^{152}\) CVWW includes Church Army (CA), Church of England Soldiers, Sailors & Airmen’s Clubs (CESSAC), Dame Agnes Weston’s Royal Sailors’ Rest (Aggie Weston’s), Methodist Force Board (MFB), The Mission to Military Garrisons (MMG), Salvation Army, Sandes Soldiers’ & Airmen’s Clubs and Soldiers’ & Airmen’s Scripture Readers Association (SASRA) & Miss Daniell’s Soldiers’ Homes (MDSH).
22. Units that have instituted a mentoring regime for new arrivals have reported considerable benefits, including happier and more effective U18s as well as improved retention. COs should consider the appointment of a suitably screened mentor for each U18 (of the same sex where possible). Suitable mentors may be SNCOs or suitably selected senior Other Ranks/junior Corporals or equivalent. Mentors should not normally be an U18’s direct supervisor, though all Mentors would have the support of the chain of command and be able to draw on other resources, such as Padres. Mentors should meet their charges individually each fortnight where possible and practicable, to conduct an interview covering:

a. work-related issues, including relationships within the chain of command (an essential part of the new arrival’s education and induction into the team).

b. bullying and harassment\textsuperscript{153}.

c. homesickness.

d. hygiene.

e. finance.

f. any other concerns or problems.

CONTACT WITH PARENTS OF U18 – ROUTINE MATTERS

23. Appropriate contact with the parent(s)/guardian(s) of U18s is strongly encouraged (this includes any person who has a parental responsibility order under Section 8 of the Children’s Act 1989). However, an U18 has a right to respect for their private life in accordance with Article 8 of the European Convention on Human Rights (incorporated into UK domestic law by the Human Rights Act 1998). The Data Protection Act 2018 and the General Data Protection Regulation (GDPR) protects the personal data of a Service person. Personal data should not be shared with a third party without the consent of the individual concerned except in accordance with the Act and the GDPR. If in doubt, legal advice should be sought.

24. COs must seek to establish and sustain links with the parent(s)/guardian(s) of those under initial training (Phase 1 and Phase 2). This can be achieved by writing to them on the arrival of an U18 giving details of how the unit can be contacted, providing details of the training to be undertaken, and encouragement for parent(s)/guardian(s) to contact the unit if they have any questions or concerns. This must be repeated at the commencement of Phase 2 training if the trainee is still U18. Visits by parents/guardians at appropriate times should also be encouraged. These can be of real value to the recruit, encourage a supportive family atmosphere and promote a better understanding of the Services. If the guardian of an U18 is the Social Services, but the U18 has been in the long-term care of foster parents or become very close to their foster family then, for minor issues, COs should consider whether it is more appropriate to contact the foster family in the first instance. Any serious issues will need to be discussed with the local authority.

25. The legal age of consent for medical, surgical and dental treatment is 16 (\textbf{Section 8 Family Law Reform Act 1969}). There is therefore no requirement to obtain parental consent for medical treatment of Service personnel over the age of 16. However, where high risk procedures or elective surgery is being considered, it is advisable to discuss this with the

\textsuperscript{153} As defined in \textbf{JSP 763: The MOD Bullying and Harassment Complaints Procedures}.
parents of the individual, unless that individual refuses permission for such discussion to occur.

CONTACT WITH PARENTS OF U18 – IN THE EVENT OF AN U18 SEEKING TO LEAVE VOLUNTARILY

26. In the event of an U18 seeking to leave voluntarily, the CO needs to establish if the U18 has discussed this with their parent(s)/guardian(s). Any decision to approach the parent(s)/guardian(s) of an U18 in these circumstances will be governed by the facts of each individual case. In determining whether to make an approach, an assessment of the situation of the parent(s)/guardian(s) and that of the U18 needs to be considered. Their personal circumstances should be respected and protected before an approach is made. The starting point should be that no approach should be made. In exceptional circumstances, if it is considered necessary in order to protect the health, safety and welfare of an U18 then their parent(s)/guardian(s) may be approached without consent from the U18. However, great care must be taken to avoid unnecessary disclosure of personal data or of any information received in confidence. A decision matrix is at Annex A.

ANNEXES

A. U18 Parent(s)/Guardian(s) Contact Decision Matrix.
B. Other factors relating to U18 in training154.

- The Optional Protocol to the UN Convention on the Rights of a Child
- Right to leave.
- Lifestyle change.
- Marriage.
- Failure of CDT.
- Deployment of U18.

154 These elements are not new just moved from previous chapter – they are not policy that TESRR owns, more guidance/signposting to be considered.
U18 PARENT(S)/GUARDIAN(S) CONTACT DECISION MATRIX

Unit considers that an Under 18’s situation requires an approach to parent(s) or guardian(s).

Unit interviews Under 18 as part of process to resolve situation and asks if he or she consents to an approach to his or her parent(s) or guardian(s).

Does the Under 18 consent for Unit to approach parent(s) or guardian(s)?

No

Did interview resolve the situation?

No

Did interview resolve the situation so that approach not needed?

Yes

No requirement to approach parent(s) or guardian(s).

No

In exceptional circumstances a Unit can approach parent(s) or guardian(s) to help resolve situation if sufficiently serious and necessary to protect the health and safety of the under 18. Assess the situation of the parent(s) or guardian(s). Great care needed to avoid unnecessary disclosure of personal information.

Yes

No requirement to approach parent(s) or guardian(s).

Unit can approach parent(s) or guardian(s). Assess the situation of the parent(s) or guardian(s). Great care needed to avoid unnecessary disclosure of personal information.
ANNEX B TO
JSP 822 PT 1, CH 4, SECT 4.3
DATED MAY 21

OTHER FACTORS AFFECTING RECRUITS & TRAINEES U18

THE OPTIONAL PROTOCOL TO THE UN CONVENTION ON THE RIGHTS OF A CHILD

1. This Protocol strengthens the rights of children by increasing the protection afforded to them by prohibiting their participation in armed conflict. The UK was involved fully in the negotiation and drafting of the Optional Protocol and signed at the UN Millennium Summit on 6 Sep 2000. The UK ratified the Optional Protocol on 24 Jun 2003, and every five years it is required to present evidence to the UN Convention on the Rights of the Child on the implementation of the Optional Protocol on the involvement of children in armed conflict. The main effects of the Optional Protocol are that it:

   a. requires all feasible measures to be taken to ensure that members of the Armed Forces who have not attained the age of 18 years do not take part in hostilities;

   b. prohibits the compulsory recruitment of those who have not attained the age of 18 into national Armed Forces; and,

   c. requires safeguards to ensure that recruits U18 must be genuine volunteers; have the informed consent of their parents or legal guardians; be fully informed of the duties involved in such military service; and provide reliable proof of age prior to acceptance into military service.

2. At the signature of the Optional Protocol, the UK entered the following declaration with the UN Secretariat:

   ‘The UK will take all feasible measures to ensure that members of its Armed Forces who have not attained the age of 18 years do not take part in hostilities. However, the UK understands that Article 1 of the protocol would not exclude the deployment of members of the Armed Forces under the age of 18 to take a direct part in hostilities where: there is a genuine military need to deploy their unit or ship to an area in which hostilities are taking place; and by reason of the nature and urgency of the situation it is not practicable to withdraw such persons before deployment; or to do so would undermine the operational effectiveness of their ship or unit, and thereby put at risk the successful completion of the military mission and/or the safety of other people.’

THE RIGHT TO LEAVE THE ARMED FORCES DURING INITIAL TRAINING

3. Service personnel, including those U18 have a statutory right to discharge:

   a. **Discharge as of Right (DAOR) as a new recruit.** All new recruits\(^\text{155}\) who have completed 28 days’ service and having given 14 days’ notice, have a right to discharge within the first 6 months of service\(^\text{156}\).

\(^\text{155}\) By which is meant those on their first enlistment to a particular Service. However, the right will be extended to individuals who have been discharged on medical grounds and subsequently re-enter.

\(^\text{156}\) New recruits who are 18 and over also have a right to discharge. For those in the Army, the right must be exercised within their first 3 months. For recruits in the Royal Navy, the Royal Marines and the Royal Air Force, their right must be exercised (like those under 18 years) within the first 6 months.
b. **Discharge U18 (DU18).** After the first 6 months of service, all Service personnel U18 retain a right to claim discharge up to their 18th birthday. The terms of this discharge include a cooling-off period and are therefore different to those for DAOR. Service personnel U18 who, after 6 months’ service, wish to leave their Service must give notice in writing and before their 18th birthday to their CO. U18s will not be discharged until the end of a cooling-off period\(^{157}\). The maximum cooling-off period will be 3 months. This may be reduced but only if both the CO and the U18 agree to a shorter cooling-off period. Once an U18 has submitted an application to leave, the longest period that an individual will be required to continue to serve is 3 months. The cooling-off period provides the safeguard of a period for reflection in which the U18 may rescind a hasty and subsequently regretted decision. An U18 who has notified their CO of their intention to leave will not be discharged if they change their mind about leaving before the date of their discharge\(^{158}\). The U18 should normally notify their CO of their wish to change their mind by submitting a withdrawal of notice; the U18 must then be allowed to remain in Service. COs retain the power to discharge a Service person regardless of age for other reasons, but they should generally not consider individuals unsuitable because they have previously exercised the right both to apply for discharge and to remove that notice. COs are to ensure that all Service personnel U18 are made aware of their right to discharge.

4. A Service person over the age of 18 may, in very limited circumstances, also have a right to discharge. This will occur only where the Service person:

   a. notifies their CO of their wish to leave before their 18th birthday; and

   b. their 18th birthday falls before the end of the 3 months maximum cooling-off period.

   In these circumstances (unless they change their mind) the Service person will be discharged at the end of the cooling-off period\(^{159}\).

5. Regardless of the means of discharge of an U18, COs are to ensure that:

   a. the U18 has contacted their parent(s)/guardian(s) and will return to them or has their permission to return to a different address. If the parent(s)/guardian(s) will not accept the U18 back into the home, or the U18 does not wish to return, then the CO\(^{160}\) must liaise with the social and welfare services if appropriate;

   b. where the U18 was in local authority care before joining the Armed Forces (such as a care leaver) they are unlikely to have had the family support that others enjoy, and this may make them more vulnerable. As a consequence, care leavers represent a ‘special group with specific needs’ and extra sensitivity is required. The relevant

\(^{157}\) A Service person will not be discharged, if during the cooling-off period, they change their mind about leaving. Additionally, discharge may be delayed beyond what would be the end of the cooling-off period if at the time the Service person is serving a sentence of Service detention. Where this occurs the date of discharge will be postponed until the Service person is released from MCTC.

\(^{158}\) There is no limit on the number of times a Service person may give notice to the CO before reaching the age of 18.

\(^{159}\) A Service person serving a sentence of Service detention will not be discharged until their release from MCTC.

\(^{160}\) In cases where a Service person will be over 18 at time of discharge and therefore classed as an adult, the CO will need to determine whether contact with parents/guardian or local authority is deemed appropriate; this will depend on the assessed vulnerability of the individual.
local authority is to be contacted and appropriate arrangements made for the return of
the U18 to their care. Where necessary, assistance should be requested from the
single Service welfare services that could assist with contacting the local authority;

c. the U18 has been provided with a rail warrant, departure times of trains that will
allow return home by 2359hrs and provided with transport (or fare) to the nearest
railway station. If arrival by 2359hrs on the day of departure is not possible the U18
must be provided with overnight accommodation at the parent unit;

d. the U18 has sufficient funds for incidental expenses. This could be funded
through an Early Payment in Cash and repaid from their final salary;

e. the parent(s)/guardian(s) have been contacted and provided with arrival details.
The discharging unit must contact the arrival address the following day to ensure the
individual has arrived. If he or she has not arrived any follow-up action should be
agreed with the parent(s)/guardian(s).

LIFESTYLE CHANGE

6. New recruits, particularly those U18, are at risk of suffering homesickness, and may
be liable to experience difficulty coping with the significant lifestyle change that the first
weeks of life in the Services may bring. COs must ensure that all those in contact with U18s
are aware of the risks and the early indicators of developing problems so as to prevent
incidents of self-harm and, in extreme cases, attempted suicide.\(^{161}\)

MARRIAGE AND CIVIL PARTNERSHIP

7. Whilst the law on marriage and civil partnership is complex, in general U18s require
their parents’ permission to marry or enter into a civil partnership. COs will wish to seek
specific advice in the event of the issue being raised.

FAILURE OF COMPULSORY DRUGS TEST (CDT)

8. The CO must employ single Service Policies for Disciplinary or Administrative Action
regarding under 18s. The CO must act in accordance with Service regulations\(^{162}\). If it is
determined that an U18 is to be discharged, notification to the parent(s)/guardian(s) must
be made in accordance with the right to leave the Armed Forces.

DEPLOYMENT OF U18s

9. Service personnel U18 are not to deploy to any operations outside of UK, except where
the operation does not involve personnel becoming engaged in, or exposed to, hostilities.
U18s are not to be deployed on UN peacekeeping operations in line with UN policy. In
addition to general safeguarding principles, the following steps are to be taken to ensure
that members of the Armed Forces who have not reached the age of 18 do not take a direct
part in hostilities or are not put at risk from exposure to hostilities. In particular, when a unit
is about to deploy to a potentially hostile situation and an individual U18 cannot be retained
as part of the Unit Rear Ops Group, they are to be removed from such unit unless:

\(^{161}\) Guidance on self-harm and suicide is available for the RN in BR3 Part 5 Annex 24E; for the Army in AGAI
Vol 3, Chap 110; and for the RAF in AP 9012 Chap 6.

\(^{162}\) Defence Direction: JSP 830: Manual of Service Law; JSP 835: Alcohol and Substance Misuse and Testing;
and single Service guidance.
a. it is not practicable to do so; or

b. to do so would undermine the operational effectiveness of that individual’s unit and put at risk the successful completion of the military mission and/or the safety of other personnel.

10. Decisions on the removal of U18s from units will be made whenever the appropriate Service commanders, in concert with the Chief of Joint Operations, consider there is a greater than low probability of members of the unit having to take a direct part in, or be put at risk by, hostilities. The decision to retain U18s in units which having been deployed in benign circumstances, find themselves in a rapidly worsening operational scenario, lies with the CO, but must be based on the same criteria as above, i.e. an immediate presumption of removal if feasible. COs are to adhere to single Service rules on deployment and posting of U18s overseas\(^{163}\).

\(^{163}\) RN regulations, **QRRN 0829**; Army regulations, **AGAIs Vol 2 Chap 060**; RAF regulations, AP3392 Vol 5, Leaflet 120.
4.4 Recruit & Trainee Management

The management of recruits and trainees begins before they arrive at the training establishment and continues after they leave the unit. Ensuring the effective passage of information about the recruits and trainees is an important element of the Care & Welfare provision. This could relate to their performance, concerns over health, injury or mental wellbeing or a concern over learning difficulties. This is especially important for those trainees identified for any reason as ‘at risk’ during initial training.

There are occasions during the training pipeline that periods of holdover or unprogrammed time are unavoidable. These periods of time should always be minimised, but where unavoidable, time not filled with training should be purposefully planned, structured and monitored by supervisory staff. If this time is away from the main unit under which the recruit or training belongs, points of contact should be established and maintained.

Commanding Officers and their staff must:

- ensure a comprehensive induction of all recruits and trainees into the establishment or unit,
- ensure the provision of Welfare support throughout initial training,
- ensure that the unit staff actively support the passage of information relating to trainees between phases of training and front-line units.
- ensure that unprogrammed time\(^{164}\) is planned, structured and monitored by supervisory staff.

INDUCTION / INITIAL BRIEFING

1. As part of the initial briefing arrangements for all on arrival, which must cover among other topics the right to leave the Service, drugs, health issues and nutrition, COs must consider further briefing for U18s on:

   a. the penalties connected with underage drinking, the purchase of alcohol and the purchase of tobacco products.

   b. arrangements for identification of U18s in the social and welfare facilities on the unit.

   c. if applicable, the obligation to undertake a regular fortnightly interview with a nominated mentor.

   d. the need to obtain parent(s)/guardian(s) agreement to an alternative leave weekend address (if not obtained, the U18 is only able to take leave with parent(s)/guardian(s) if appropriate).

   e. the rules applying to the use of gaming machines.

\(^{164}\) Including holdovers, and those service personnel awaiting trade training.
f. procedures for the reporting of bullying and harassment and the role of the Service Complaints Commissioner.

These points must be reinforced, either in further briefings or in an aide-memoire. The additional information for U18s should be included in briefs to all new arrivals so that all personnel are aware of the rules with regards to U18s.

WELFARE PROVISION

2. The sharing of concerns over recruits and trainees among welfare practitioners and the Chain of Command must be formalised within establishments. Recruits or trainees who are ‘at risk’ or potentially ‘at risk’ must be identified as early as possible and appropriate action taken to care for their well-being\textsuperscript{165}. Commanders must also ensure an effective focus for Permanent Staff welfare issues and their monitoring, including cases of Post-Traumatic Stress Disorder (PTSD). There must also be a formalised welfare forum with Terms of Reference and regular, routine meetings that are centrally co-ordinated. Welfare points of contact must be widely publicised\textsuperscript{166} and recruits and trainees apprised of all avenues of complaint, including the Service Complaints Commissioner (SCC)\textsuperscript{167}.

3. Equality, Diversity and Inclusion (ED&I). Commanders must ensure that there are enough trained E&D Advisors (EDAs) within their establishment or unit, co-ordinated by a central ED&I officer. Recruits and trainees must have easy access to EDAs and ED&I reporting procedures must be widely publicised.

4. Advocates of protected characteristics. Where the recruit or trainee population has a minority of individuals whom have a protected characteristic in common, the appointment of an advocate/focus officer should be considered. This officer should be charged with providing, where relevant, a specific point of contact for such minority groups. This officer should advocate on behalf of these groups and ensure policies and procedures do not disadvantage these groups. This could include, but should not be limited to gender, ethnicity or religion.

DISCIPLINE

5. It should be noted that all Service personnel (SP), including recruits and trainees, are subject to Service Law irrespective of their stage of training. However, the application of Service discipline should be appropriate and proportional to the principles of Service law and service values, standards and ethos when dealing with those in initial training. In addition, recruits and trainees can be subject remedial training, including verbal rebuke and minor sanctions\textsuperscript{168}.

6. U18s are subject to the same disciplinary arrangements as over 18s\textsuperscript{169}. However, COs must be aware and take account of U18s’ relative immaturity and vulnerability, and offer additional support and advice if appropriate, both during the disciplinary process and beyond, to reduce the risk of re-offending. In the event that an U18 is arrested the CO must, without delay, refer the matter to the Service Police. The CO must also provide the arrested person

\textsuperscript{165} ‘At risk’ recruits and trainees must be managed in accordance with JSP 834.
\textsuperscript{166} The issue of a contact card for welfare needs to recruits and trainees can be very effective.
\textsuperscript{167} For more information on welfare, see JSP 770: Tri-Service Operational and Non-Operational Welfare Policy.
\textsuperscript{168} Defence Direction on Remedial Training in Initial Training is contained within Chapter 3 of this JSP.
\textsuperscript{169} JSP 830 - Manual of Service Law, Vol 1 refers.
with an appropriate adult and consider whether an interpreter or help to check documentation is required. If an U18 is to be tried by court-martial, the CO must inform their parent(s)/guardian(s).

**LEAVE / BOOKING IN AND OUT**

7. COs must set mechanisms in place so that:
   a. supervising staff are aware when U18s are booked out during the working week.
   b. U18s are given clear instructions when they need to return.
   c. if U18s are allowed to book out at the weekend, they have left a contact address (their parent(s)/guardian(s), or an address agreed by their parent(s)/guardian(s) unless this is not feasible due to exceptional circumstances).

8. Such mechanisms might include:
   a. a booking out/in procedure where, U18s book out and return to the Unit by 2359hrs. Walking out would then be restricted to 2359hrs and checks carried out at 0015hrs daily to ensure that all U18s have returned. In exceptional circumstances (such as where their family home is nearby), U18s wishing to remain out after 2359hrs must have a letter of consent from their parent(s)/guardian(s).
   b. providing U18s with cards identifying them as such, but are handed in on leaving the unit and collected on return.

**PASSAGE OF TRAINEE INFORMATION – UNITS’ RESPONSIBILITIES**

9. When individuals move between phases of training, or from phase 2 onto front line units, sending units should actively engage with the receiving unit to provide information about trainees. This is especially important for those identified as being ‘at risk’. A suitable method of informing the gaining unit of any concerns relating to an individual must be established, so that the gaining unit can ensure that the level of supervisory care is maintained. This is to ensure that schemes commenced elsewhere are documented and recorded when personnel arrive or return to their unit or establishment. A documentation of learners’ progress is to be maintained and records are to be forwarded on assignment. Documentation should arrive no later than 2 weeks after the trainee leaves a previous unit.

**HOLDOVERS & UNPROGRAMMED TIME**

10. **Holdover between Phase 1 & 2.** There are occasions during the training pipeline that periods of holdover between formal training courses are unavoidable. These periods of time should always be minimised, but where unavoidable, holdovers must be purposefully planned, structured and monitored by supervisory staff.

11. **Unprogrammed time.** There are a number of reasons as to why there maybe periods of unprogrammed time during initial training, while challenging from a programming point of view they can have significant impact on Care & Welfare of trainees and should always be minimised. When unavoidable such periods must be purposefully planned, structured and

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170 All RN personnel are to be transferred to new units in accordance with SS policy.
monitored by supervisory staff. If this time is away from the main unit under which the trainee belongs, points of contact should be established and maintained.

12. **Time away from the unit.** COs must ensure that any holdovers/unprogrammed time during which trainees spend time away from the main training establishment provides an equal level of supervisory care to that of the training establishment. Where this is not possible, any risks should be outlined in the CRA and mitigating actions within the SCD accordingly. Named points of contact should be established and maintained\(^{171}\). Staff supervising trainees on holdover/unprogrammed time are still subject to Basic/Advanced COT training requirements as detailed in [Section 4.5](#) of this chapter.

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\(^{171}\) Where Officers are on formal holdovers between phases of training a central point of contact who can monitor welfare must be established and should be suitably trained in Care of Trainees. This person does not have to be based at the same unit as the Officer under training, but should have regular, at least monthly contact.
4.5 Personnel & Training to Support Care & Welfare in Initial Training

While the Commanding Officer is central to the provision of Care & Welfare within Initial Training, a number of key positions must support them in this task. It is essential all those charged with the delivery of Care & Welfare understand their responsibilities and have the knowledge and skills to carry out what is required of them. All training should be DSAT compliant and be recorded for assurance activities, be that internally by the relevant single Service/Joint audit team or externally by Ofsted.

Where the element of initial training sits within a front-line unit the Commanding Officers may delegate the attendance of the COTE course to those who are charged with executing executive responsibility on their behalf. COs/OCs who are required to complete the COTE course should do so before taking up post or within the first 3 months.

All staff training requirements are to be considered whole force. In some cases, this may require alternative arrangements to support contractor delivered training. These alternative arrangements should be agreed with single Service commands.

The Commanding Officer must:

- ensure they, or a representative charged with executing executive responsible for the provision of Care & Welfare attend the COTE course within 3 months of taking up post.
- ensure staff are inducted into the training establishment are fully briefed on the Supervisory Care Directive and its contents.
- ensure all Trainers are selected, trained, developed and monitored iaw with Defence Trainer Capability requirements set up in Chap 6 of this JSP.
- ensure all positions with regular interaction with recruits and trainees are identified and the incumbents attend, and remain in date for, Care of Trainees training. (Basic/Advanced)
- ensure PREVENT training is conducted iaw with PREVENT policy.

TRAINING FOR COMMANDING OFFICERS OF INITIAL TRAINING

1. Ensuring that staff are properly trained is central to establishing effective Supervisory Care. The roles and responsibilities of CO172 s of Training Establishments are covered in the COTE173 course delivered by DCTS. All Commandants/COs of Initial Training (Phase 1 and 2) training establishments (usually OF4 to OF6)174 OR their nominated deputies or those charged with executing executive responsibility in training units on their behalf, are required to

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172 ‘COs’ covers those commanding / in-charge of any Unit or organisation where formal Phase 1, 2 or 3 training takes place. (including Operational Units, Training or Education Establishments, Defence Colleges, Training Schools and Training Units).

173 On successful completion of the COTE training, personnel will be awarded the JPA competence ‘TrainingDevelopment/CO DHALI Brief/Joint’.

174 This could be an OF3 or even OF2 for some reserve/university cadet units.
attend the COTE course within 3 months of appointment. Those who attend the COTE course who also regularly interact directly with Phase 1 or 2 trainees must complete the Advanced Care of Trainee (Adanced COT) training package.

2. **COTE Course.** The course provides up-to-date Command-level preparation to understand the complexities of the modern initial training environment, including: their part in the provision of Care & Welfare and the challenges specific to commanding a training establishment. It has external speakers from Ofsted as well as Head Office updates from TESRR.

3. COs and OCs of reserve (including those who are lodger units) are still required to attend COTE in order to fully prepare them for the execution of the delivery of their Care and Welfare provision.

**STAFF INDUCTION**

4. All staff joining an initial training establishment should undergo a formal induction during which the individuals, whether service, civilian or contractor are briefed on the SCD and their responsibilities within it. All staff should be updated on any significant changes to the CRA or SCD as they occur.

**DEFENCE TRAINERS**

5. Commanders must seek to ensure that all trainers (military, civilian and contractor) in initial training attend the appropriate Defence Trainer Capability course training iaw JSP 822, Part 1, Chapter 6. They must ensure effective on-going trainer support, mentoring and development. Commanders must prioritise course attendance and maintain records of trainer qualifications centrally. This is a whole force requirement.

**CARE OF TRAINEES**

6. **Basic COT.** All staff within an initial training establishment must complete Basic COT. Where initial training is a small, self contained element within an operational base the CO of the School should direct who is required to complete Basic COT through the SCD. This is a short online training package includes the principles of safeguarding and provision of Care & Welfare within initial training. This course is valid for 3 years. This is a whole force requirement, but where contractors are not able to access online training course a short locally delivered brief on the SCD and its contents may be used as an alternative but should be recorded.

7. **Advanced COT.** Where staff within initial training establishments have regular contact with phase 1 or 2 trainees Advanced COT must be complete. This is a min of half day training which covers the required elements of Safeguarding within initial training. This course is valid for 3 years only and must be completed in full to remain in date. Advanced

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175 For example, where an operational conversion unit or similar training unit sits within a MOB, the CO can delegate requirement for attendance to the OC of the OCU/School. RAF Force Protection Training Flights, being a phase 3 school, do not trigger a COTE requirement.
176 For example, conducting 1-2-1 interviews without others present.
177 Safeguarding level 1 within a MOD training environment.
178 Basic COT must be completed before Advanced COT, but can be included as part of the Delivery.
179 Advanced COT covers required elements of Safeguarding level 2 for those working with recruits and trainees in initial training.
COT is included within the Defence Trainer Course. Advanced COT may also be delivered locally within a Training Unit by a Defence Trainer who is in date for Advanced COT. Individuals can also attend other units Advanced COT courses but should make sure they are fully aware of their unit SCD and its contents on completion. Locally delivered Advanced COT should be fully contextualised to their own unit SCD and it is encouraged that others who support the provision of Care & Welfare are introduced. Advanced COT can be delivered as part of a longer induction course if required or as a 1-2-1 in smaller units. Full details on training materials are available on the DLE under DCTS site.

8. As part of the SCD and CRA, COs must identify which staff need Basic or Advanced COT training. A record of staff and their status of Basic/Advanced COT training is to be maintained and made available for assurance activity. The requirement of both basic and advanced COT is a whole force requirement. In some cases, this may require alternative arrangements to support contractor delivered training. These alternative arrangements should be agreed with the single Service commands.

PREVENT TRAINING

9. Commanders are to ensure that all permanent staff receive training in accordance with extant MOD PREVENT policy guidance¹ so as to be able to recognise and report potential radicalisation. In addition, Commanders are to ensure that their establishment has a PREVENT Lead appointed, who is to be responsible for liaison with local PREVENT Partnerships and police PREVENT leads ensuring that any new PREVENT policy guidance is implemented; and ensuring that establishment induction routines remain up-to-date and effective with regard to PREVENT. All staff with regular contact with trainees must;

   a. understand what radicalisation means and who might be vulnerable and why.
   b. know what measures are available to prevent people being drawn into terrorism.
   c. know how to challenge extremist ideology.
   d. know how to get support for personnel who may be being exploited.
   e. have appropriate training which is widely available and must be recorded on JPA or HRMS.

¹ JSP 345 - Applying Prevent within Defence.
4.6 Assurance of Care and Welfare in Initial Training

Single Service (sS) 2nd party assurance teams routinely assess the implementation and effectiveness of policies within the initial training environment. Coupled with external Ofsted inspections, these assessments spread good practice and identify potential improvements to policies and to their implementation. Further feedback is received from users and as a result of the wider Defence Training Assurance process detailed in this JSP.

The Commanding Officer must:

- complete a self-assessment report at least annually based on all assurance activity of the provision of Care & Welfare.
- manage a live Quality Improvement and Action Plan, directly linked to the Self-Assessment Report.
- support a culture of Continuous Improvement.
- ensure internal assurance of Care & Welfare provision is conducted.
- ensure recruits and trainees have an opportunity to complete the Recruit Training Survey (RTS) or Officer Cadet Survey (OCS) and that unit reviews findings.
- be aware that the MOD commissions Ofsted Inspections as part of the assurance of Care & Welfare within the Armed Forces. All initial training establishments/schools/units must have poc (nominee) to facilitate the inspection and review and action findings.

SELF-ASSESSMENT

1. **Self-assessment.** Rigorous self-assessment is the fundamental tool by which Continuous Improvement is delivered. A structured and all-embracing approach must be developed and implemented with 1st party assurance activities, including the provision of Care & Welfare for all initial training establishments. The assessment criteria should be structured around key polices outlines within this chapter of JSP 822 and additionally the MOD Inspection Framework used by Ofsted for inspections. Self-assessment must be designed to provide establishments with a coherent method to scrutinise effectively all aspects of training provision, as a routine part of their core business. It must be conducted annually, either as a discrete exercise or as a rolling process over the course of the year.

2. **Self-Assessment Report (SAR).** The SAR must set out concisely what the training establishment or unit does, to whom, for whom and how. It should consolidate the conclusions drawn from a SWOT181 analysis undertaken within each of its constituent elements, analyse all aspects of training and support activities, and detail how the establishment seeks to improve its effectiveness. The SAR must lead logically to a plan to improve the establishment or unit’s performance.

QUALITY IMPROVEMENT ACTION PLAN

3. **Quality Improvement Action Plan (QIAP).** The key product of self-assessment and other assurance activities should be a single, integrated QIAP for commanders and their

181 Strengths, Weaknesses, Opportunities, Threats.
staff to drive progress and monitor improvement. The findings and recommendations of 2\textsuperscript{nd} and 3\textsuperscript{rd} party assurance activities\textsuperscript{182} must be incorporated into these plans, together with other relevant sources of managerial information and locally gathered data.

**CONTINUOUS IMPROVEMENT**

4. **Previous practice.** In the past, training establishments have tended to prepare for each 2\textsuperscript{nd} and 3\textsuperscript{rd} Party Assurance visit with a largely reactive approach. This has resulted in a lack of integration of effort and continuity of effect, with establishment and unit responses and improvement plans being driven mainly by external programmes and agendas. The concept of CI helps to overcome these weaknesses.

5. **The concept.** CI is a proactive concept that comprises activities which may implemented at establishment and unit level, and amongst groups of similar training establishments. Aside from providing an effective means to improve performance on a continuous basis, CI is designed to have 2 other beneficial outcomes:

   a. It provides a robust mechanism to safeguard against the consequences of staff turnover, particularly that of Commanders and executive staff.

   b. Training establishments will be well prepared for external assurance visits, as the SARs and QIPs provide a comprehensive basis for any such inspection, audit or evaluation. It prevents duplication of effort and the feeling of inspection fatigue.

Can be supported in several ways

   a. **Peer review.** A process for effective peer review may exist amongst groups of establishments with similar training outputs, or which comprise a formal operating group. The key benefits are increased objectivity, the spreading of fresh ideas and good practice between establishments, and improved assurance to the operating group commander. Peer review is encouraged within and between single Services.

   b. **Independent Advisory Panel (IAP).** Direction for the implementation is currently under development. Careful consideration should be taken in the formation and engagement of an IAP with the creation of TORs which outline clear expectations for all parts of the arrangement.

**INTERNAL ASSURANCE**

6. **1\textsuperscript{st} Party Assurance.** Compliance with all Care & Welfare Policy should be reviewed and reported as party of 1\textsuperscript{st} Party Assurance Activities. This can be done as part of a wider training audit or with a serperate Care & Welfare focus. Where there are deficiencies or areas of Non-Compliance these should be included within CRA and QIAP as well as used to inform the next Self-Assessment Conducted. Any non-compliance should also be reported via the CEB.

7. **2\textsuperscript{nd} Party Assurance.** Care & Welfare compliance should be reviewed and reported as part of 2\textsuperscript{nd} Party Assurance Activity conducted either sS 2PA teams or by higher headquarters or TESRR.

\textsuperscript{182} This includes findings from Ofsted inspections and audits by Service Command and Defence staff.
EXTERNAL INSPECTION

8. Ofsted\textsuperscript{183} provides fully independent external assurance and 3\textsuperscript{rd} Party assurance through two types of inspection one is commissioned by TESRR the other required by Skills Funding Agency.

9. **Ofsted Commissioned inspection.** Ofsted is commissioned by Defence to provide Ministers with independent external oversight of initial training across Defence. They examine training establishment’s provision of Care & Welfare including self-assessment processes using the MOD specific Inspection Framework (MODIF). Ofsted will seek to determine the progress made in addressing issues of duty of care, welfare and support for recruits and trainees within Initial Training. Findings and recommendations are provided to the unit, with more general MOD recommendations made in the published Annual Report to Ministers\textsuperscript{184}. Training Establishments/Schools/Units are required to ensure a nominee is available should notification of an inspection is made. The Nominee should make themselves aware of the details contained within the MODIF and act accordingly.

10. **Ofsted Statutory inspection.** Ofsted conduct statutory inspections of training establishments to assure the delivery of accreditation programmes funded by the Skills Funding Agency (SFA) to ensure the funds are used appropriately. Statutory inspections will not be combined with the commissioned inspections described above.

11. **Actions following Ofsted Inspections.** Following an Ofsted Inspection COs should work with sS to ensure actions are taken to address recommendations. Where changes in policy are required engagement with FLC or TESRR should be made.

ANNEXES

A. **Executive Summary for Self-Assessment.**

POINTS OF CONTACT

<table>
<thead>
<tr>
<th>Defence</th>
<th>People TESRR H2A SO1</th>
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<tr>
<td>Strategic Command</td>
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<td>Army</td>
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<tr>
<td>RAF</td>
<td>Air Command, 22 Gp, Trg Pol SO1</td>
</tr>
</tbody>
</table>

\textsuperscript{183} Ofsted is the nationally recognised inspectorate of schools and colleges and the adult work-based learning sector.

\textsuperscript{184} Published on [GOV.UK](https://www.gov.uk) around Sep each year.
Left Blank for Executive Summary for Unit Self-Assessment which will be distributed by a DIN and available in future versions.
5 Defence Direction for Collective Training

5.1 Collective Training

Policy Sponsor: TESRR, CDP\textsuperscript{185}

This Defence Collective Training\textsuperscript{186} Policy details the management and governance structures processes and practices, in addition to those outlined in Part 1, Chapter 2, Section 2.1, that will shape the conduct of collective training and influence collective training requirements in the acquisition of capabilities.

AIM

1. This policy sets strategic Direction for the conduct of collective training, driving coherence across Service and Strategic Commands and codifying processes in support of force generation, preparation and sustainment. It also places collective training at the centre of managing risk to contingent capability and sets priorities to deliver improvements in the efficiency and effectiveness of collective training.

SCOPE

1. Chapter 5 JSP 822 provides strategic policy direction for Collective Training across Defence. The policy is to be applied to all Collective Training (Tier 0 through to Tier 4) requirement setting, design, delivery, evaluation and governance activities across Defence.

COLLECTIVE TRAINING DEFINITION

2. The Training Defence Line of Development (DLOD) provides the means to develop, practice and validate, with constraints, the practical application of a common military doctrine to deliver a military capability.

3. Training consists of individual and collective training on a progressive spectrum (see Figure 6); they are interlinked and mutually dependent\textsuperscript{187}.

\textsuperscript{185} Training, Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.

\textsuperscript{186} ‘Training that is aimed at improving the ability of teams, units or formations to function as a cohesive entity and so enhance operational capability.’

\textsuperscript{187} For Collective Training, lower tiers can be conducted within higher tiers e.g. Tier 1 training may be conducted within Tier 2 Training.
4. The definition of Collective Training is: ‘training to improve the ability of teams, units or formations to function as a cohesive entity and so enhance operational capability’.

5. Collective Training is any training activity focussed on the collective performance of two or more people working together that improves the ability of teams, large or small, to work together in order to generate the forces required for operations (FE@R).

6. Collective Training is collective only when the team as a whole is assessed on its collective performance.

**Purpose of Collective Training**

7. All Defence activities are conducted by teams: Force Elements at Readiness (FE@R) and Generating Units. Effective Collective Training is critical to the successful achievement of operational effect and delivery of Defence Strategic Direction and the following Defence Objectives:

   a. Protect our People.
   
   b. Project our Global Influence.

**Methods of Collective Training**

8. Collective Training is usually but not exclusively delivered through exercises\(^\text{188}\); it can occur through other methods such as platform or simulator drills and scenarios.

9. Collective Training can utilise Live, Virtual or Constructive – or a blend between the three. Different contexts for Collective Training are utilised according to the Collective Training Tier being conducted (see Figure 7 below) and the Primary and Secondary Training Audiences (PTA/STA) being trained.

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\(^{188}\) An exercise is a time bound and chronologically sequenced series of scenarios (simulated, live or a combination) that provide a realistic narrative within which the principal learning and assessment activities take place. These include Table Top Exercises (TTX) and Wargaming.
10. In an era of constant competition there is a blurring of boundaries between training, exercises and operations, and the concept of Defence Activity Other Than Operations recognises that collective training spans both ‘Generate’ and ‘Operate’ functions within the Defence Operating Model.\(^{189}\)

**Collective Training Tiers**

11. Collective Training is conducted at Tiers 0 – 4, dependent on the level of the team being trained. Tiers 0 – 2 are the responsibility of the Military Commands (MCs) to train their own personnel under command. Tier 2+ to 4 are Defence Collective Training responsibilities directed by DCDS (MSO)\(^{190}\) through the Joint Commitments Steering Group (JCSSG), detailed through the endorsed Defence Annual Guidance for Exercises (DAGE) (produced by JW SC) and implemented through Strategic Command (SC) by Director Joint Warfare (DJW) in the form of the Defence Exercise Programme (DXP). The Tiers are defined in Figure 7 below\(^{191}\) and are to be used as the structure for progressive Collective Training:

<table>
<thead>
<tr>
<th>Tier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Generic</td>
<td>Training to improve the ability of teams, units or formations to function as a cohesive entity and so enhance operational capability.</td>
</tr>
<tr>
<td>Tier 0 (ATL ALPHA-ECHO)</td>
<td>Sub-unit-level training. Tier 0 training prepares individuals to operate as teams below unit level</td>
</tr>
<tr>
<td>Tier 1 (ATL FOXTROT)</td>
<td>Unit-level training. Tier 1 training prepares units and sub-units to take their place within a tactical formation or Combined/Joint Force Component.</td>
</tr>
<tr>
<td>Tier 2 (ATL GOLF)</td>
<td>Tactical-formation-level collective training. Tier 2 training prepares tactical formations operating below the Combined/Joint Force Component level for operational employment.</td>
</tr>
<tr>
<td>Tier 2+ (ATL HOTEL-INDIA)</td>
<td>Component-level Joint collective training. Tier 2+ collective training prepares one or more Combined/Joint Components for operational employment. It may be conducted in combined or joint contexts on a UK, NATO or Coalition Partner framework basis. This Tier is of particular significance with enduring NATO requirements and the next higher HQ in such training will be the Joint Task Force HQ.</td>
</tr>
<tr>
<td>Tier 3</td>
<td>Combined/Joint Task Force-level collective training. Tier 3 training prepares a Combined/Joint Task Force for operational employment or a Permanent Joint Operating Base (PJOB) for an operational role. It may be conducted in combined or joint contexts and on a UK, Joint Expeditionary Force, NATO, EU or Coalition Partner framework basis.</td>
</tr>
<tr>
<td>Tier 4</td>
<td>Strategic-level training. Tier 4 events prepare the Defence Crisis Management Organisation (DCMO) to manage crises and provide</td>
</tr>
</tbody>
</table>

\(^{189}\) Para 3, Pg. iii, DOC Assessment 19/05: An Assessment of Defence Collective Training.

\(^{190}\) Tier 2+ is the interface between sS and Joint Collective Training; leadership and organisation of Tier 2+ CT events can be allocated from SC JW to a sS on agreement.

\(^{191}\) The Army uses Army Training Levels (ATL) ALPHA – INDIA terminology for Tier 0 – 2+ CT; this is reflected in Figure 7.
strategic direction for, and conduct of, operations at the Political-Military Strategic level. They may involve Other Government Department (OGD)/Non-Government Organisations, other International Organisations and/or NATO and the EU.

| In-Theatre | All levels as required as part of RSOI. |

Figure 7: Collective Training Tier Definitions

Exercises as Collective Training

12. Exercises run as part of the Defence Exercise Programme (DXP) or by the Single Services (sS) have up to four purposes which can conflict with each other:


b. Force evaluation.

c. Defence Engagement & Influence.

d. Experimentation.

13. The driving factor is force readiness for a wide range of potential future tasks. Thus, in order to be effective Collective Training, training value must be *primus inter pares* and an exercise’s primary focus must be on a spectrum of:

a. Force preparation, i.e. learning through development activities and formative assessment, leading to:

b. Force evaluation, i.e. assessment (summative) to assess the readiness of a force.

14. Experimentation is defined as ‘controlled and directed activities designed to discover new information about an idea or concept, test a hypothesis or validate a solution or choice in support of Force Development’ \(^{192}\). Experimentation must be incorporated into programmed collective training activity wherever possible to make collective training the crucible for change required by modern warfare. Some elements of experimentation will not be compatible with collective training integration and will require discrete experimentation exercises.

Direction on the application of Defence Systems Approach to Training (DSAT) to Collective Training

15. All Collective Training TRAs, TDAs and Training Providers (TPs) are to conduct the mandated DSAT analysis (requirement setting), design, delivery, assurance and governance functions in accordance with their allocated roles, as directed in JSP 822 Pt 1 Ch 2.

16. These DSAT functions must be applied to both Collective Training delivered by a Collective Training organisation and that delivered on a distributed basis.

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17. The specific activities within analysis (requirement setting), design, delivery and assurance are elective; each TRA, TDA and TP must apply a risk-based approach to assessing and conducting the level of detail required for each activity in line with available resources.

18. TRAs, TDAs and TPs ‘own’ and are responsible for the identified training, training safety and training output risk. Training, training safety and training output risk held by TRAs, TDAs and TPs must be reviewed at the relevant Customer Executive Board (CEB); where appropriate, and authorised by the CEB, ‘ownership’ of the training, training safety and training output risk can be transferred from TP to TDA to TRA.

19. **JSP 822 Part 2** Guidance specifies in detail the specific activities and tools that should be utilised according to context in order to ensure effective Collective Training that delivers FE@R. *(N.B. Pt 2 Guidance for CT will not be updated until V4.1 of JSP 822 (Nov 21) and as such may not currently be fully compliant with this policy direction.)*

**Collective Training Governance and H2A**

20. Governance functions – as set out in Para 22 below – are mandated. This will ensure the effective governance and management of Collective Training through a Collective Training MTS that delivers the DSAT Quality Management Standard (QMS).

21. All Collective Training must be governed and authorised by a Customer Executive Board (CEB)\(^ {193}\) or a forum that performs the tasks of a CEB within its remit. The TORs for a Collective Training CEB are at Annex A. All Collective Training events must be authorised by the relevant CEB through completion of a Collective Training Authorisation Document (CTrAD) – see Annex B.

22. Governance Structures for Tiers 2+ to 4 are set out at Figure 5 below; all MCs must be appropriately represented at the relevant joint collective training governance meetings\(^ {194}\) in order to enable seamless transition between Tier 2 and Tier 2+ CT and sS integration and support to Tier 2+, 3 & 4 exercises.

   a. The **Joint Commitments Strategic Steering Group** (JCSSG), chaired by DCDS (MSO) and with 3\(^ *\) representation across the Military Commands takes direction from Defence Strategic Direction (DSD), the Defence Plan (DP) and the Chiefs of Staff Committee (COS-C). It issues direction and guidance to MCs on deployments and activities in pursuit of strategic objectives through the **Strategic Effects Management Process** (SEMP). It balances overlaps, gaps, risks and opportunities in Defence activity against the high-level requirement and prioritises scarce assets such as Joint enablers. For collective training, it reviews and agrees the SEMP outputs, provides top-level arbitration over issues that cannot be resolved at lower levels and endorses the **Defence Exercise Programme** (DXP) and the **Defence Annual Guidance for**

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\(^{193}\) A Collective Training CEB provides a mechanism for stakeholders to develop the scale and content of collective training to match the operational requirement within the available budget and in accordance with relevant Defence and sS policies. The CEB should ensure that training responsibility, authority and accountability, along with resources, are all aligned and that training risk against contingent capability is managed.

\(^{194}\) Currently JCSSG, JCCG, DJCTEC and DXPWG.
Exercises (DAGE). The JCSSG is supported by five Domain CSSGs who interface with the JCSSG, JCCG and DJCTEC as required – see Figure 8.

b. The JCCG, chaired by ACDS (Ops and Cts) provides a refinement, filtering and co-ordinating function for major exercises. This includes dispute arbitration and endorsing DJCTEC / JW proposals at 2* level.

c. The Defence Joint Collective Training & Exercise Committee (DJCTEC), chaired by Head Joint Force Training & Integration (Hd JFTI), provides a detailed draft DXP aligned with DSD, DP, Defence Experimentation priorities, and SEMP direction and priorities (in line with the SEMP) for endorsement by the JCSSG. Through Joint Warfare (JW) staff and lower working groups, it manages and co-ordinates the in-year delivery of the endorsed DXP, ensuring the programme reflects the required balance between tiers of training and national and international exercises. It contains FLC representation to advocate their priorities and create a link between the sS CSSGs and the centre. The DJCTEC resolves conflicts over sS priorities or enabling assets where possible. It develops prioritisation proposals for exercises, which are staffed to the Joint Capability Coherence Group (JCCG) and the JCSSG as necessary.

d. DXPWG. A cross MC desk level monthly meeting, chaired by SO1 DXP which updates, schedules and deconflicts Exercise commitments, identifying resource pinch points and recommends mitigation measures and potential COAs to the DJCTEC for resolution.

e. The Strategic Effects Management Process (SEMP) is Defence’s annual cycle of a rolling 0 – 3 year demand and supply process, owned by SPO Mil Strat Plans on behalf of DCDS(MSO). It is the process by which Defence determines and articulates its priorities across all Frameworks and in accordance with the Integrated Operating Concept (IOPC); identifies how to achieve its objectives (through ways and means estimates); directs Defence’s prioritised requirements; and deconflicts where the demand surpasses supply. The outputs of the SEMP are endorsed by COS-C and approved by Ministers throughout the process. SPO Mil Strat Plans ensure SEMP compliance of Defence planning while SPO Future Commitments ensure SEMP compliance of Defence activity i.e. activity aligned to priorities and demand, in tandem with cohering the JCSSG, JCCG and Domain CSSGs.

f. The DXP is the accumulation of Defence exercise activity input into via the Lighthouse data management system which is annually endorsed by JCSSG. It seeks to schedule exercises as a Defence commitment: confirming in year activity; directing final planning and resourcing in the next financial year; and informing stakeholders of planned events in financial year 3 and beyond. It is continually updated by the DXPWG, guided by the DJCTEC and informed by the SEMP.

g. The Defence Annual Guidance for Exercises (DAGE), produced by JW, sets out the training and experimentation requirements for UK Tier 2+, Tier 3 and Tier 4 collective training and exercises in accordance with Defence strategic direction and guidance\(^\text{196}\). It articulates the top priority exercises for Defence, with likely pinch points

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\(^{195}\) Year 0 Confirm, Year 1 Direct, Year 2 Inform, and Year 3 Shape.
\(^{196}\) Including, but not limited to Defence Strategic Direction, Defence Plan, SEMP outputs, SACEUR’s Annual Guidance for Exercises, Defence Experimentation priorities, JCSSG direction and DCDS (MSO)’s in year guidance.
for key enablers, and allows for flexibility in exercise design within the parameters of available resource.

23. MCs are responsible for setting governance structures for internal Tier 0 to 2+ collective training.

24. The key Governance functions\(^\text{197}\) are\(^\text{198}\):

   a. The Customer/Sponsor – the end user of collectively trained FE. Identifies an outline requirement and supplies critical information to the TRA for requirement analysis. In most cases this will be CDS, VCDS, the sS Chiefs, Com SC or their Cyber and Space equivalents.

   b. The Training Requirements Authority (TRA)\(^\text{199}\) is nominated by the Customer/Sponsor to represent the end user and is responsible for:

   (1) Force Generation training requirements, which must be supported by the Capability and Readiness Assessment Framework (CRAF) process. Operational performance requirements are set down in Joint and sS Mission Task Lists (JTLs & MTLs)\(^\text{200}\) from which Collective Training requirements can be set.

\(^{197}\) See JSP 822, Part 1, Chapter 2, on the Management of Training System (MTS) for further detail.

\(^{198}\) Note that functional responsibilities may be allocated differently in accordance with sS & Jt structures provided there is clear authorisation and record of such allocation and that all functional responsibilities set out in Para 24 are performed in compliance with JSP 822 Collective Training policy.

\(^{199}\) Note that a Lead TRA will need to be agreed for integration capabilities e.g. Air/Land, Air/Maritime or when there are multiple end users of collectively trained FE.

\(^{200}\) JTLs & MTLs are derived from a range of sources including directed tasks in the Defence and TLB Plans.
(2) analysis required to determine detailed requirements, including Training Needs Analysis.

(3) ensuring the Training DLoD is resourced.

(4) Assurance, comprising Evaluation, Validation and Certification (advice to the Chain of Command) following training and evaluation. This includes ownership and acceptance of any training risks against readiness\(^\text{201}\), and advice on recertification in the event of changes to operational tasking or reductions in readiness.

(5) second party audits and inspections.

(6) representing the Customer/Sponsor at relevant CEBs.

c. The Training Delivery Authority (TDA)\(^\text{202}\) is responsible for:

(1) Designing Collective Training to meet Collective Training Objectives (CTOs) derived from the JTL and/or MTL as specified by the TRA.

(2) Ensuring that assurance, including evaluations, is conducted to assure readiness of FE through training.

(3) Ensuring that First Party Audits are conducted by the TP.

(4) Ensuring that the governance of Collective Training is conducted through a relevant CEB. This may include chairing the CEB.

d. The TP is responsible for:

(1) providing Training to meet the force generation requirements against the respective Collective Training Objectives (Performance, Conditions and Standards) specified by the TRA via the JTL and/or MTL and the CRAF process.

(2) conducting assurance, including evaluation to assure readiness of FE through training by assessing:

   (a) the achievement of Collective Training standards.

   (b) the risk remaining after Collective Training has been conducted due to shortfalls in the force generation process.

(3) conducting First Party Audits.

(4) attending relevant CEBs and reporting on the delivery of training.

25. The TRAs will be:

\(^{201}\) Prior to their transfer to the operational commander.

\(^{202}\) Note that a Lead TDA may need to be agreed for integration capabilities e.g. Air/Land, Air/Maritime.
a. sS Force Generation Authorities for Tiers 1 and 2 Collective Training. (These may be at either 1* or 2*, depending on the needs and preferences of the Service).

b. SC for Tiers 2+ Collective Training203.

c. SC (CJO) for Tier 3 Collective Training (or DCDS MSO where PJHQ is being trained).

d. DCDS(MSO) (on behalf of VCDS) for Tier 4 collective training204.

26. The TDAs will be:

   a. sS operational training leads for Tiers 1 and 2 collective training (these may be at either 1* or 2*, depending on the needs and preferences of the Service).

   b. sS operational training leads or DG JFD, SC for Tier 2+205 collective training.

   c. DG JFD, SC for Tier 3 collective training.

   d. SPO for Tier 4 training206.

<table>
<thead>
<tr>
<th>Tier</th>
<th>Trg Continuum</th>
<th>TRA</th>
<th>TDA</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 (Sub-Unit)</td>
<td>Integration Training</td>
<td>sS FGen Authorities</td>
<td>sS Operational Training Leads</td>
</tr>
<tr>
<td>1 (Unit)</td>
<td>Core adaptive</td>
<td>sS FGen Authorities</td>
<td>sS Operational Training Leads</td>
</tr>
<tr>
<td>2 (Formation)</td>
<td>Joint competency</td>
<td>SC (CJO or SJFC)</td>
<td>sS Operational Training Leads</td>
</tr>
<tr>
<td>2+ (Component)</td>
<td>Joint competency</td>
<td>SC (CJO or SJFC)</td>
<td>sS Operational Training Leads</td>
</tr>
<tr>
<td>3 (Combined/Joint Task</td>
<td>Coalition competency</td>
<td>CJO, SC</td>
<td>DG JFD, SC</td>
</tr>
<tr>
<td>Force)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 (Strategic)</td>
<td>Strategic HQ – DCMO</td>
<td>DCDS (MSO)207</td>
<td>SPO IPS208</td>
</tr>
<tr>
<td>All Tiers as required</td>
<td>In-Theatre Training</td>
<td>PJHQ, SC</td>
<td>PJHQ, SC</td>
</tr>
</tbody>
</table>

Figure 9: Collective Training Responsibilities Across Training Tiers209

Collective Training Assurance and H2A

27. Collective Training as part of the Force Generation process must include distinct210 training assurance211 phases212, comprising:

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203 Within SC, CJO or SJFC (as the two Joint operational commanders and end users of the trained component HQs) are the most appropriate TRAs for Tier 2+ Collective Training.

204 DCDS (MSO) may allocate this TRA responsibility to SC for specific activity on agreement.

205 As per Footnote 2, leadership and organisation of Tier 2+ CT events can be allocated from SC to a sS on agreement.

206 This TDA responsibility may be allocated to SC JW on agreement.

207 Or other relevant SPO 3* Director according to Defence Task being trained for.

208 As per Footnote 10.

209 These are also set out in greater detail in JSP 822 Pt 1 Ch 2.

210 The appropriate gap between training and assurance will depend on the requirement and context.

211 This is operational assurance; safety-focused operating assurance is also necessary.

212 Different terminology may be used by MCs, provided the policy direction in relation to Collective Training assurance is met.
a. Evaluation: an assessment by the TDA – typically through exercising – that the training audience (primary and/or secondary) has met the training competencies/standards required, in conjunction with an assessment of any associated risks owing to training shortfalls. This results in a formal declaration of competence of the training audience (FE/Component).

b. Validation: a subset of evaluation, including an assessment of whether the CTOs have been successfully achieved and that the evaluation was sufficiently objective and comprehensive to assess readiness.

c. Certification: agreement by the Chain of Command (with advice from the TRA) that a force or FE can be operationally deployed (FE@R), including the acceptance of any risks\textsuperscript{213}. This may include recertification following a force sustainment phase, such as deployed (continuation or in-theatre) training, a change of operational role or sufficient turnover of trained personnel.

28. Collective Training must support the development of adaptable forces by rebalancing Collective Training assurance (evaluation and validation) processes towards the assessment of teams rather than purely the assessment of tasks.

29. These Collective Training assurance processes lead to successful generation of a FE or Component at a specific level of operability (as indicated by the CT Tiers).

30. Collective Training outcomes must be assured prior to the participation of FEs or Components in higher tier Collective Training activity\textsuperscript{214}.

31. Figure 10 below illustrates the two key areas of risk in assurance of Collective Training\textsuperscript{215}.

![Mission task(s) / Operational requirement](image)

Mission task(s) / Operational requirement

<table>
<thead>
<tr>
<th>Collective training undertaken</th>
<th>Collective training not undertaken</th>
</tr>
</thead>
<tbody>
<tr>
<td>Force/FEs pass Evaluation(s)</td>
<td>Force/FEs fail Evaluation(s)</td>
</tr>
</tbody>
</table>

Figure 10: Risk and Collective Training

32. MCs are responsible for reporting contingent capability against their own Command Plans and against CRAF (set by SC). SC reports capability risks through the CRAF in quarterly 2\textsuperscript{nd} CRAF BiLats (Air, Land, Mar & Jt) to ACDS Cts, C&FD and DefLogs. Capability

\textsuperscript{213} Note that training assurance at Tiers 3 and 4 may imply the involvement of Performance Standards provided by or agreed with NATO, the EU, Coalition partners or OGDs as appropriate.

\textsuperscript{214} Unless lower tier CT activity is being intentionally conducted within higher tier CT activity.

\textsuperscript{215} Even where evaluation is successful and readiness is certified, there is a risk that readiness will be consumed over time and will need to be regenerated or sustained, typically through deployed training.
risks are also captured as part of MSO’s DB Risk 3 (mount/sustain operations) as well as the MCB and supporting forums.

33. TESRR is responsible for assuring compliance with Collective Training policy. Assurance will be conducted through a risk-based approach through attendance by a TESRR representative at selected CEBs (or forums conducting the functions of a CEB). Each assurance visit will be followed up by a report noting good practice and identifying areas for improvement.

**NATO Collective Training Policy and Doctrine**

34. UK Collective Training must be compliant with NATO Collective Training Policy and Doctrine set out in NATO Bi-SC Collective Training and Exercise Directive 075-003.

**Exploitation of Collective Training Data**

35. Collective training data must be collected and exploited for wider Defence benefit, in particular to inform and support experimentation.

**Use of Synthetics in Collective Training**

36. [JSP 939](#) - Modelling and Simulation Policy - provides direction.

**Co-ordinated Working**

37. MCs must work co-operatively across the five domains and share good practice and Lessons Identified (LID).

**Safety Regimes**

38. For each Joint Collective Training event the Lead Safety Regime must be clearly identified and authorised.

**Training Audiences**

39. Collective Training Events usually involve multiple training and supporting audiences; these audiences must be clearly identified and, wherever possible, collective training value for each audience must be maximised within the Collective Training Event.

**Start States**

40. Training Audiences for Collective Training Events will inevitably arrive at a variety of start standards; this must be taken account of when planning Collective Training Events in order to maximise value.

**Development of CT SQEP**

41. Personnel responsible for the planning, design, delivery and evaluation of Collective Training Events must be SQEP. SQEP will be developed through:

   a. experience gained through job roles involving participation in and planning for Collective Training events.
b. Planning and Staff Training Courses.

c. DSAT Training Interventions\textsuperscript{216}.

\textbf{ANNEXES}

A. \textit{Generic ToRs for Collective Training CEBs.}

B. \textit{Collective Training Authorisation Document (CTrAD).}

\textsuperscript{216} Current DSAT Training Interventions (covering Analysis, Design and Assurance activities) are focused on Individual Training. Whilst CT personnel involved in CT planning, design, delivery and assurance would benefit to an extent from attendance on these courses (run by the Defence Centre for Training Support), specific CT-focused training interventions need to be developed.
GENERIC TORs FOR COLLECTIVE TRAINING CEBs

The purpose of a collective training CEB is to provide a mechanism for stakeholders to develop the scale and content of collective training to match the operational requirement within the available budget and in accordance with relevant Defence and sS policies. The CEB should ensure that training responsibility, authority and accountability, along with resources, are all aligned and that training risk against contingent capability is managed.

Accountability

1. The CEB is chaired by the TDA (or TRA) and holds the TRA and TDA to account for their collective training responsibilities; the CEB reports formally to the TRA.

2. Standalone Collective Training CEBs are only required where the necessary functions cannot be met by other existing structures.

Membership

3. The CEB should include:
   a. a chair to be provided by the TDA (or TRA).
   b. TRA representatives.
   c. TDA representatives.
   d. FinMilCap (environmental and/or Joint) representatives.
   e. Environmental Training Acquisition Organisations where established and/or DE&S TLoD representatives.
   f. Defence policy organisations representatives as appropriate, including TESRR.
   g. additional stakeholders as appropriate, including Partners across Government (PAGs) and Industry.
   h. Training Provider(s) as appropriate.
   i. Resources and Plans representatives as appropriate.

Responsibilities

4. The CEB is responsible for:
   a. informing the management of risk against contingent capability via collective training.
   b. the acceptance of requirements from TRAs.
c. the endorsement of evaluation and certification methods as part of collective training assurance.
d. the direction of collective TNA as necessary.
e. the deconfliction of resource requirements arising from late notice or emergent operational requirements by trading training priorities against available funding.
f. monitoring adherence to the DSAT QMS.
h. authorising all Collective Training events through completion of a Collective Training Authorisation Document (CTRAD).
i. governing collective training through:
   (1) holding TRAs to account for providing justified requirements, for risk acceptance as part of certification, for checking coherence in requirements across Commands, and for ensuring the Training DLoD is resourced.
   (2) holding TDAs to account for providing the required collective training, for risk assessment as part of evaluation, and for checking coherence in collective training across Commands.
   (3) liaising with Service and Strategic Commands as necessary to ensure that collective training is included in Command Plans and assessed against appropriate metrics as part of the Holding to Account process.
   (4) liaising with the DJCTEC for the delivery of Defence-wide exercises in support of assurance.
   (5) monitoring performance against key targets in management plans.
   (6) liaising with other collective training CEBs.
   (7) directing the work of CEB WGs.

Authority
5. The chair is authorised to task working groups in pursuance of the CEB’s primary purpose. The CEB has the authority to liaise with Service and Strategic Commands, MOD departments, PAG and Industry as appropriate in support of its primary purpose.

Frequency of Meetings
6. CEBs should normally meet biannually.
# COLLECTIVE TRAINING AUTHORISATION DOCUMENT (CTrAD)

## Collective Training Authorisation Document\(^{217}\)

### CT Activity and Administration Details\(^{218}\)

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>CT Activity Code (where applicable):</td>
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<td>Training Needs Report Date (where applicable):</td>
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<tr>
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<tr>
<td>CTOs agreed and Date:</td>
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<tr>
<td>CT Activity Assurance Processes (Evaluation/Validation/Certification) agreed and Date:</td>
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## Stakeholder Authorisation\(^{219}\)

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<tr>
<td>TDA Authorisation of CT Activity:</td>
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<tr>
<td>TP Commitment to Deliver CT Activity:</td>
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<td>CEB approval of CT Activity:</td>
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<tr>
<td>Next CT Activity, Training Audience and Throughput review date(^{221}):</td>
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</tr>
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</table>

### Additional Notes (Resource requirements etc, including any deviation from the recommended DSAT process).

\(^{217}\) All CTrADs must be reviewed at least once every 3 years.

\(^{218}\) MCs can adjust these headings to accurately fit their context, provided agreement on the training requirement, delivery and assurance is recorded on the CTrAD.

\(^{219}\) These boxes must be completed prior to CT Activity taking place.

\(^{220}\) Signatures can be ‘e-signatures’ if the TrAD is attached to an email, for example.

\(^{221}\) This should be regularly such as annually, or when changes are made to the training need or requirement; or as an absolute minimum, every 3 years.
6 Defence Trainer Capability

6.1 Defence Direction for Trainer Capability

Direction Sponsor: TESRR, CDP

1. Training and education of people is a key enabler in delivering Defence Missions and must be agile to the rapidly changing contexts and demands. Defence seeks to maximise talent through training and education and building a sustainable diverse and skilled workforce for the future. Defence must meet the expectations of the workforce and both motivate and engage people. Defence training and education therefore has a pivotal role in delivering this People Strategy and it is underpinned by a robust and effective Defence Trainer Capability (DTC).

2. House of Commons Defence Committee (HCDC) Inquiries, audit reports and research provide evidence that safety in training must remain paramount, with risks reduced to as low as reasonably practicable (ALARP) and tolerable. In response to report findings, the DTC was initiated in 2014. DTC professionalises the training cadre and through its robust governance and assurance processes ensures that all Defence trainers, trainer supervisors and training managers are suitably qualified and experienced. It outlines the requirement for a professional development pathway to continuously meet the required quality standard and competence and attracts externally recognised national qualifications.

3. In the context of limited resources and time, Customers, Training Requirements Authorities (TRAs), Training Delivery Authorities (TDAs) and Training Providers (TPs) must apply JSP822 intelligently, and thereby own and manage the inherent risks that arise; they must therefore comply with DTC policy or explain why they are unable to do so and how they have mitigated the consequent risks.

4. Parts of the DTC are aligned to education standards for the Further Education (FE) sector. The Defence Trainer Competency Framework (DTCF) has been mapped against these standards in order to demonstrate how Defence Trainers meet the criteria to gain externally recognised qualifications.

SCOPE

5. This Policy Direction applies to all Phase 1, 2 and 3 individual training and education interventions delivered from a Formal Training Statement (FTS) by Trainers drawn from any part of the Whole Force.

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222 Training, Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.


224 To be reviewed in 2021 for JSP822 v.4.1. The Defence Trainer Competency Framework is a framework of behaviours for Defence Workplace Trainers, Defence Trainers (Phase 3), Defence Trainers (Phase 1 or 2) and Defence Trainer Supervisors. It is available in JSP 822, Part 2, Chapter 1, Section 1.4.

225 Annex A shows the Types of Personnel Employed as Defence Trainers.
6. Application of this policy to On the Job Training (OJT) delivered by employing units is strongly encouraged. Workplace Trainers across the Whole Force should complete relevant Workplace Trainer training.

PURPOSE

7. The purpose of this Direction is to:

   a. detail the definitions and principles which are key to understanding this Direction.
   b. define key roles and outline the minimum mandated training requirements for those involved in the provision, supervision and management of training and education.
   c. detail the professional recognition requirements and opportunities for Continuous Professional Development (CPD).
   d. detail the procedure for the assessment of personnel with previous experience and equivalent, higher or legacy civilian and military qualifications/competences.
   e. outline the Management of Training System (MTS), i.e., the management, governance and assurance mechanisms for DTC.

KEY DEFINITIONS

8. The full glossary of Definitions of Terms used within this policy can be found in this JSP and in JSP 822, Part 2, Chapter 4.1.

PRINCIPLES

9. The principles underpinning this Direction, which will be discussed in greater detail in subsequent paragraphs, are that:

   a. All Defence Trainers are to be suitably qualified and experienced (SQEP) and hold a nationally recognised qualification.
   b. Defence must assess trainers’ legacy qualifications (‘legacy assessment’) to recognise relevant and current expertise in the Defence training environment and identify any necessary upskilling required.
   c. The Defence Trainer Competency Framework (DTCF) is the framework against which Foundation, Practitioner and Advanced Practitioner JPA competences are derived for Defence Trainer and Defence Trainer Supervisor (DTS) roles.
   d. Defence Trainers must undertake Continuous Professional Development (CPD) and be subject to observations and assurance by Defence Trainer Supervisors (DTs),

226 TESRR to review WT requirement and set TRA direction in 2021.
227 It should also be used to guide CPD opportunities. Professional standards for FE teaching are available at http://www.et-foundation.co.uk/supporting/support-practitioners/professional-standards/.
Defence Trainer Managers (DTM) or a nominated Training Management Specialist (TMS)\textsuperscript{228}.

e. All Defence Trainers are to be recommended for suitability by their employing authorities or Chain of Command (CoC)\textsuperscript{229}.

f. All Defence Trainers must adhere to the ethos and standards set out within both the Defence Code of Practice for Trainers and Single Service (sS) codes of practice\textsuperscript{230}.

**DTC ROLES AND THE MINIMUM MANDATED TRAINING REQUIREMENT**

10. A list of DTC training interventions and training audiences is at Annex B.

11. **Defence Trainer.** The Defence Trainer course (DTc) is mandated for all Defence Trainers. Completion of DTc Stages 1 and 2 (online and residential training) result in ‘Defence Trainer Level 1 Foundation’ JPA competency. Completion of Stage 3 (WTS\textsuperscript{231}) results in ‘Defence Trainer Level 2 Practitioner’ JPA competency. The completion of all 3 Stages of DTc is accredited to the Regulated Qualifications Framework (RQF) Level 3 Award in Education and Training (L3AET)\textsuperscript{232}.

12. **Defence Trainers must:**

   a. achieve practitioner level of DTc\textsuperscript{233}.

   b. complete Foundation Level of DTc within 3 months of undertaking their role.

   c. complete Practitioner Level of the DTc within 6 months of completing Foundation Level or 9 months from assumption of the training appointment (whichever is later)\textsuperscript{234}.

   d. be monitored at least every 6 months for continuing satisfactory performance by a DTS or nominated TMS.

\textsuperscript{228} For example, professionally qualified personnel who hold qualifications above that achieved by the DTc who are yet to get on a CoT course.

\textsuperscript{229} Suitability for Defence Trainers (Phase 1, 2 or 3) is assessed by reporting officers in the SJAR/OJAR iaw JSP 757. Civilian training delivery staff are recruited and selected against the set criteria required to meet the job specification. In both cases this will include disclosure checks when appropriate.

\textsuperscript{230} Trainers are to refer to their sS core Values and Standards (V&S) policies and the Defence Code of Practice for Trainers. The latter is available in JSP 822, Part 2, Chapter 1, Section 1.4, Annex K.

\textsuperscript{231} TESRR to review DTc portfolio completion with DCTS in 2021.

\textsuperscript{232} Defence Trainers are defined as all Trainers delivering Phase 1, 2 and 3 training derived from a Formal Training Statement (FTS) in either a Training Organisation or the workplace. All personnel whose principal employment is as Defence Trainers are to complete DTc in line with this policy. FLC TRAs are empowered to intelligently apply the mandated DTc requirements to Phase 3 Trainers in their command whose principal employment is not as Defence Trainers. When exercising discretion (see para. 3) FLC TRAs must identify, record and own the risk held, and ensure suitable mitigation measures are in place. In the context of limited resources and time, those whose principal employment is not as Defence Trainers, and who are deemed by an FLC TRA to be a lower priority for DTc, must complete DTTT Ph3 as a minimum in order to deliver FTS-derived Phase 3 Training.

\textsuperscript{233} Defence Trainers that already hold a teaching qualification, L3AET, L4CET, L5DET, Cert Ed or PGCE or legacy CTLLS, PTLLS for example will only need to complete TP4, 5 & 6 of DTc Stage 3 to gain the Practitioner JPA competency and CoT (although would possibly need to upskill with PAR & DSAT)

\textsuperscript{234} DTSs are responsible for the monitoring of WT. TDAs should monitor completion rates of the WT portfolio as part of 2 PA.
13. **Professional Recognition.** In order to satisfy the Stage 3 of the DTc, all Defence Trainers are to complete the L3AET portfolio and Training Practices (TPs) 4, 5, and 6. Stage 3 activity (TPs 4, 5 & 6) is to be observed and signed off by the DTS or nominated TMS. Trainers from the unit that delivered Stage 2 of the DTc are responsible for marking the L3AET portfolio. More detail can be found in JSP 822, Part 2, Chapter 1, Section 1.4.

a. **Level 3 Award in Education & Training (L3AET).** The RQF L3AET is awarded to all Defence Trainers who successfully complete all 3 Stages of the Defence Trainer course.\(^{235}\)

b. **Level 4 Certificate in Education & Training (L4CET).** All Defence Trainers are encouraged to work towards the RQF L4CET or higher, after gaining the RQF L3AET. The L4CET is funded through the Defence Awarding Organisation (DAO) for those delivering the DTc in franchises who complete the Defence Trainer tutorials. For all other Defence Trainers completing the L4CET as CPD must be self/unit funded.\(^{237}\)

14. **Defence Trainer Supervisor (DTS).** The DTS is responsible for the assessment and development of Defence Trainers (Phase 1, 2 or 3). A key role is the supervision of the completion of the Workplace Portfolio for Defence Trainers. DTS may also be responsible for the assessment and development of those delivering training which relates to any WTS.

15. **DTS must have:**

a. completed the DTc (or equivalent or higher).

b. experience of training delivery as a Defence Trainer.\(^{238}\)

c. completed ‘**DTS Level 1 Foundation**’ (or equivalent or higher).

d. completed ‘**DTS Level 2 Practitioner**’ if supervising Defence Phase 1 or 2 Trainers or be working towards it if only supervising Phase 3 Trainers.\(^{239}\)

e. undertaken 5 hours CPD per annum, focussed on trainer skills and competences.

f. a DTS who is working as a DTS Trainer at Defence Centre for Training Support (DCTS) or in a DTS franchise must be JPA ‘**DTS Level 2 Practitioner**’ qualified.

16. **DTS of Defence Trainers** are to produce a portfolio of evidence in order to complete the Workplace Training Statement (WTS) element of the DTS FTS. The DTS Workplace Portfolio L3AET is the minimum standard for contractor staff who are Defence Trainers Phase 1 or 2.\(^{235}\)

This qualification replaces the QCF Level 3 Award Preparing to Teach in the Lifelong Learning Sector (PTLLS) and the Level 4 Certificate in Teaching in the Lifelong Learning Sector qualifications (CTLLS) introduced in 2007 and updated in 2011. The CTTLS qualification was previously awarded on completion of the DTcTv1 course.\(^{239}\)

SLC can be used to fund this opportunity. FLCs may choose to centrally fund such opportunities if they so wish.\(^{237}\)

One tour (min 2 years) as a fulltime instructor with unit commanders managing the risk if this cannot be achieved.\(^{238}\)

The target for completion of the WT portfolio and award of Practitioner is 6 months from completion of the course or assumption of the training delivery appointment (whichever is later).\(^{239}\)
Trainer (WT) portfolio is to be signed off by a DTS, DTM or nominated TMS. On successful completion of the WTS, DTSs are to be awarded the JPA ‘DTS Level 2 Practitioner’ competence. Further details can be found in JSP 822, Part 2, Chapter 1, Section 1.4.

17. Defence Trainer Manager (DTM). The DTM is likely to be an SME in their professional area and may not have experience of training delivery. They are responsible for advising the chain of command on the implementation of this Direction and other Defence training and education policies. They act as the functional managers of the DTSs in a training establishment or on a unit and will oversee trainer-specific CPD. They are also the lead for Continuous Improvement (CI) relating to the DTC. They will not be expected to duplicate the role of the DTS. Where a unit is so small that there is no individual suitable to act as a DTM, Front Line Commands (FLC) may nominate other SQEP outside that Unit to undertake the role.

18. DTMs must:
   a. complete the DSAT (Managers) Course and be awarded the JPA competence ‘Defence Trainer Manager’.
   b. undertake a minimum of 5 hours Continuous Professional Development (CPD) per annum, focussed on trainer skills and competences.

19. Higher Education (HE) Lecturers. It is recognised that HE lecturers in Defence, both military and civilian, require a different set of skills from their FE counterparts. Defence mandates that HE lecturers must be suitably qualified/trained to undertake their role; accordingly, there are a number of training solutions in existence within the FLCs and it is the role of the FLC Training Delivery Authority (TDA) to assure the quality of the training delivery.\(^2\)

   a. HE lecturers delivering Phase 1 or 2 training must complete Basic/Advanced Care of Trainees (CoT) as directed by the SCD, in addition to the FLC’s mandated training intervention.
   b. Military personnel who have been HE lecturers and are assigned to a non-HE environment must be assessed to ensure they are competent in the delivery of training using Present, Apply, Review (PAR), that they understand DSAT. Modules are available on the Defence Learning Environment (DLE) to meet any training delta.

20. Commanding Officer of Training Establishment (COTE). Information is provided in Part 1 Chapter 4.5 - Personnel and Training to Support Care and Welfare in Initial Training. The requirement is for Phase 1 and Phase 2 only.

21. Short Term Training Team (STTT) Trainer and Monitor, Mentor, Train (M2T) Trainer. FLCs are to direct an appropriate DTC training intervention depending on the individual’s role. The DTC up to Stage 2 is the suggested minimum standard but if, for example, the role requires greater facilitation techniques then all 3 stages of the DTC may

\(^2\) The Defence Higher Education Trainer (DHET) course run at the Defence Academy for HE Lecturers is an example of an HE Lecturer training intervention.
be appropriate. Additional mandated training to operate in a STTT or in a M2T role falls out with the DTC and is to be completed as part of Pre-Deployment Training (PDT). Units are to deliver local induction training for those Trainers delivering training to foreign personnel in the UK.

22. **Contractors.** Contractor staff delivering, supervising or managing DTC Training Interventions must be qualified, monitored and developed to the standards detailed in this Direction. The majority of DTC training is not available outside MOD, therefore contractual arrangements must be in place to ensure contractors are trained to the required standards. The minimum external qualification for contractor staff who are Defence Trainers is the Level 3 Award in E&T. In addition, COs must satisfy themselves that the contractor is qualified, at the appropriate level of competence, and has undertaken the required supervisory care training, i.e., Basic or Advanced CoT Part 1 Ch 4.5. Contractors who are Defence Trainers who are qualified by virtue of a higher civilian qualification must also be inducted and socialised appropriately into the military environment and must complete TPs 4, 5 and 6 associated with Stage 3 of the DTC. Guidance on contractors attending DTC Training Interventions, contractual agreements and processes can be found in JSP 822 Part 2.

**DELIVERING AND ASSESSING DTC TRAINING INTERVENTIONS**

23. **Delivering Defence Trainer Course (DTc).** In order to deliver DTc, instructors must:

a. complete the ‘DTc Level 2 Practitioner’ as a trainee.

b. observe a full DTc.

c. successfully deliver a minimum of 3 lessons whilst under observation by DCTS DTS or in an established franchise.

24. DTc trainers must achieve an RQF L3 Assessing Vocationally Recognised Achievement (L3AVRA); and L4CET qualification, or higher award within 12 months.

25. Trainers assessing the L3AET portfolios are required to be L3AVRA qualified. These qualifications are supported by the DAO, through DCTS.

26. The DCTS Franchise Development Team (FDT) will assess the competence of selected trainers of DTc during assurance visits.

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241 For example, operating in austere environments, operating with an interpreter and understanding culture. The latter two are covered as part of the Army IPDT. For the RAF and RN, the TRAs for the STTT/M2T requirement should liaise with the Army to request SOTR places.

242 For example, Officer Cadets are taught planning skills including model making and are tested on these skills on exercise. ORs also receive similar training whilst operating on exercise in training locations with no access to mobiles or IT.

243 Further advice can be obtained from the Defence Cultural Support Unit and International Defence Training (Army), (IDT(A)), ARITC.

244 Existing contracts are not required to be amended to reflect the changes to this DTC Direction. New contracts, or those undergoing significant contract amend, must reflect the current Direction.

245 ‘Established’ is a franchise that has been running for at least a year and has had a successful assurance visit. The assurance report will contain a sentence that states the franchise can conduct qualifying observations.

246 Those registered for or qualified in a higher-level qualification, e.g. PGCE are exempt. Additionally, those not delivering DTC in a full-time post should complete the qualification within 18 months.

247 Or contracted accreditation provider if FLCs have chosen this route.
27. **Delivering Defence Trainer Supervisor (DTS) Courses.** In order to deliver DTS Courses, personnel must:

   a. Complete the ‘DTS Level 2 Practitioner’ as a trainee.

   b. Observe a full DTS course.

   c. Co-deliver lessons whilst under observation, conducted as per para 13c above.

   d. A DTS who is working as a DTS Trainer at DCTS or in a DTS franchise must be JPA DTS Level 2 Practitioner qualified.

28. **Delivering Care of Trainee (CoT) courses.** See Part 1 Chapter 4 Section 4.5.

29. **Franchises.** DTc and DTS training interventions can be delivered under franchise\(^ {248}\). Franchising allows these courses to be delivered as standalone packages or to be embedded into a longer course\(^ {249}\). DCTS is responsible for setting up franchises and awarding licences as well as providing the 2\(^ {\text{nd}} \) party assurance function. Further detail on how to apply for and manage a franchise is contained in the Franchise Protocols in JSP 822, Part 2.

**ASSESSMENT OF PREVIOUS EXPERIENCE AND EQUIVALENT, HIGHER OR LEGACY QUALIFICATIONS/COMPETENCES**

30. Defence must recognise those with previous experience and qualifications and provide the necessary up-skilling to refresh and professionalise trainers. Assessment of personnel identified for the delivery or supervision of Defence training is key. It is the responsibility of DTSs or nominated TMS to carry out such assessments and to ensure the completion of any necessary training interventions\(^ {250}\). Annex B details the training interventions available to ensure an individual is fit to undertake their role and includes online PAR and ‘Understanding DSAT’ modules.

31. **DTc.** Those who undertook DTc training iaw the DTC Policy issued in Jun 14 are deemed to be qualified iaw this policy\(^ {251}\).

32. **Defence Trainers (External Qualification).** Defence Trainers holding a recognised external equivalent or higher qualification are to be assessed on arrival in post\(^ {252}\) to ensure that they are competent. The DTS or nominated TMS will carry out the assessment. If the individual’s skill set is below the standard required for the type of training they will be delivering, they are to complete the necessary training interventions. Additionally, they must also undertake Basic/Advanced CoT as per Part 1 Chapter 4 Section 4.5.

33. **Defence Trainers (Legacy Defence Qualification).** Defence Trainers with legacy Defence training delivery qualifications/competences are to be assessed on arrival in

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\(^ {248}\) A review of franchises will be undertaken by TRA and TDA in 2021.

\(^ {249}\) e.g. the Aircrew Instructor Course and the Section Commanders’ Battle Course.

\(^ {250}\) The DTS course has been updated to incorporate the legacy assessment responsibilities.

\(^ {251}\) Link to Jun 14 DTTT policy.

\(^ {252}\) Or prior if there is an opportunity for a familiarisation visit prior to arriving in post.
post to ascertain their level of competence. The DTS or nominated TMS will carry out the assessment which must consider the qualifications held, when they were awarded and what experience the individual has had since. Qualifications/competences obtained prior to 2002 are not recognised. It is also recommended that the individual delivers a micro lesson of approximately 30 minutes duration to demonstrate their level of competence. If the individual’s skill set is below the standard required for the type of training they will be delivering, they are to complete the necessary training intervention. Worked examples to assist in this assessment are at Annex D.

34. **DTS (Legacy Defence Qualification).** A nominated TMS or suitably qualified and experienced DTS/DTM will carry out an assessment which must consider the qualifications held, when they were awarded and what experience the individual has had since. Qualifications/competences obtained prior to 2002 are not recognised. It is also recommended that the individual delivers a micro lesson of approximately 30 minutes duration to demonstrate their level of competence. If the individual’s skill set is below the standard required for the type of training they will be supervising, they are to complete the necessary training interventions. A worked example to assist in this assessment is at Annex D.

35. **Adventurous Training (AT) Trainers.** All direction in this JSP applies to adventurous training trainers with the following exception: if a trainer solely delivers adventurous training, then the CO of that unit may apply to TESRR for an exemption of the requirement to complete the DTc. This will only be supported for those trainers who hold a nationally recognised instructional qualification or JSAT qualification in the AT they are delivering (such as the RYA Yacht Master Instructor qualification). If AT is delivered to those in initial training (Phase 1 or 2) all trainers/staff regardless of civilian qualification must be compliant with Care of Trainee (CoT) training as detailed in JSP 822 Part 1, Chapter 4.

**MANAGEMENT OF TRAINING SYSTEM (MTS)**

36. **Lead Training Requirement Authority (TRA).** Head (Hd) TESRR is the Lead TRA for DTC. The desk level point of contact for the DTC Direction is SO1 Trg Policy, TESRR. Hd TESRR will be briefed on matters relating to the DTC via the Defence Training Policy Working Group (DTPWG). The DTPWG is chaired by SO1 Trg Pol, TESRR, and comprises stakeholders from FLC TRAs. The Lead TRA, or their representative, is to:

   a. undertake Lead TRA functions iaw JSP 822 for all DTC training.
   
   b. attend the Training Support Customer Board (Trg Spt CB) and the Trg Spt CB WG.
   
   c. brief members of the DTPWG and the TESRR PAG on DTC matters in order to manage risk and endorse any changes.
   
   d. examine the impact of external influences (such as Government Regulations/legislation) on this Direction.

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253 Or prior if there is the opportunity for a familiarisation visit prior to arriving in post.

254 In exceptional circumstances, FLCs have authority to grant a waiver for qualifications gained pre-2002 if the Trainer has been continuously employed in trainer duties and is assessed as competent by a DTS.

255 Whilst TESRR has Lead TRA status, the requirements setting for DTC lies with the FLC TRAs supported by the Lead TRA. Responsibilities therefore include providing a Defence SOTR for DTC (and agreement of the SOTT with the TDA).

256 FLC TRAs are RN: Trg Strat Pol; Army: Pers Pol; RAF: 22 Gp; and for Strategic Command: currently under review and this will be updated in V4.1. Strategic Command will also act as co-ord for the DTC training requirement from Dstl, DE&S, DIO and HOCS TLBs.

257 Less certain WT training solutions owned and managed by the FLCs.
e. review this Direction annually to ensure its continued relevance & effectiveness.

f. identify and record risks and issues which impact on safety in training and the mitigation measures in place.

37. **FLC TRAs.** FLC TRAs are to:

a. undertake FLC TRA functions iaw JSP 822 for all DTC training.

b. attend the Trg Spt CB and the Trg Spt CB WG.

c. determine annually, through their SOTRs, their demand for DTC training and, through the CB, manage any risk that arises from a difference between the Statement of Training Requirement (SOTR) and the Statement of Training Task (SOTT)\(^{258}\).

d. put processes in place to ensure that personnel selected for Defence Trainer duties with previous experience and equivalent, higher or legacy qualifications are assessed with a view to appropriate training interventions being selected for them if necessary.

e. direct that all JPA Numbers (JPANs) that require DTc and DTM training are annotated with the correct competences\(^ {259}\).

f. contextualise training interventions for delivery within their own FLC whilst still meeting the training standard as agreed in the FTS\(^ {260}\).

g. identify appropriate WT requirements.

h. manage, deliver and assure other WT training solutions for which DCTS is not the Lead Training Provider (LTP).

i. ensure that 1\(^{st}\) party audit functions are undertaken in the franchised delivery of DT and DTS training.

j. work with DCTS to develop a risk-based 2\(^{nd}\) party audit programme.

k. assure training delivery by HE lecturers within their FLC.

l. educate FLC Contracts Branches\(^ {261}\), to ensure that the requirements within this Direction are met.

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258 FLC SOTRs must include a breakdown of the contractor requirement for places required at either DCTS or within a franchise. Places for contractors that are not delivered as part of an existing FLC contract are to be applied for through IDT (A).

259 Whilst desirable, is not always possible to annotate a DTS and DWT competence to a JPAN because selection of personnel to fill these posts is often based on locally assessed SQEP rather than the post itself.

260 Where a FLC is delivering to a Defence audience, contextualisation must not favour any particular FLC.

261 Contract Managers for contracts already in place prior to the issue of this updated version of the policy should seek to bring contracted training into line with updated requirements as soon as possible where it is practicable to do so within resource. Contract Managers must be cognisant of these updates when existing contract reach renegotiation point and ensure that contracted staff are pre-qualified to the required standard. Queries and clarification on requirements should be addressed to the relevant FLC TRA.
m. ensure that processes are in place within their FLC for the recording of competences relating to this Direction. For Regular and Reserves, JPA is to be used. Competences for Civil Servants (CS) must be recorded on HRMS. For contractors, it is the role of the FLC that has let the contract to ensure that a system is in place for the recording of contractor competences.

n. identify and record risks and issues which impact on safety in training and the mitigation measures in place.

38. TDA. Hd Technology School, Defence Academy (DefAc), is the TDA for DTC training, but the desk level point of contact is SO1 T&E Mgt, DefAc (DefAc Lead TDA). The TDA, or their representative, is to:

a. undertake TDA functions iaw JSP 822 for all DTC training specifically FTS creation delegated from the Lead TRA and the management of the SOTR and the SOTT.

b. attend the Trg Spt CEB WG.

c. provide, at 1* level, the Chair of the Trg Spt CEB (which considers DTC training as part of its agenda).

d. provide, through the Joint Individual Training Assurance Team (JITAT), assurance support to the DCTS FDT.

e. contextualise, manage, deliver and assure Defence Workplace Trainer course\(^\text{262}\) using the core materials provided by the Lead Training Provider (LTP).

f. on behalf of the Lead TRA, maintain and, if necessary, update the DTCF in accordance with the direction given by the Lead TRA.

g. identify and record risks and issues which impact on safety in training and the mitigation measures in place.

39. Lead Training Provider (LTP). DCTS is the LTP for all DTC training less FLC WT training solutions. The desk level POC is SO1 DCTS. DCTS will:

a. undertake LTP functions iaw JSP 822 for DTC training.

b. attend the Trg Spt CEB.

c. provide, at OF 4 level, the Chair of the Trg Spt CEBB WG.

d. maintain and update course documentation for which they are the LTP or only TP\(^\text{263}\).

e. deliver DTC training that is not delivered under franchise.

\(^{262}\) Once this is established.

\(^{263}\) For DTTT (W) this means maintenance of the FTS, LSpecs and ASpecs.
f. assure, through the FDT, the quality and standard of DTc and DTS franchised courses. This will be a collaborative risk-based effort between FLCs and DCTS FDT staffs as articulated in FLC TRA responsibilities above. DCTS must, in liaison with the FLCs, draw up an annual DTC Assurance Programme. The programme is to be presented at the Trg Spt CB WG and 1* CB in Apr/May for the current TY and a progress report given in the Sep/Oct WG/1*CB meetings. DCTS may remove franchise licences if necessary, if ratified at the Trg Spt CEB.

g. maintain the accreditation of the DTc and Defence Trainer tutorials to the RQF.

h. conduct the administration to ensure that military and CS personnel completing the DTc receive a L3AET, the L4CET (for Trainer Trainers) and, for Trainer Trainers, L3AVRA264.

i. on behalf of the TDA, compile and deliver the DCTS DTC SOTT, derived from the FLC SOTRs. This includes all DTC courses.

j. facilitate multiple CPD opportunities throughout the year for Defence Trainers, DTS and DTMs to share good practice and to discuss the standardisation and assessment of DTC delivery with the DTC stakeholder community.

k. identify and record risks and issues which impact on safety in training and the mitigation measures in place.

40. **Commanding Officers (COs)**265 / **Heads of Training Establishments**266. COs and Heads of Training Establishments will be held to account for ensuring that:

   a. the Training Quality Manual (TQM) reflects the structure of the organisation and the monitoring and development procedures for Defence Trainers.

   b. people under their command who are engaged in training delivery or have contact with trainees are appropriately trained and qualified in accordance with this Direction and also have any additional necessary competences.

   c. there are sufficient Defence Trainers, DTSs and DTMs and the command structure within which they operate is configured to ensure that the requirements of this policy direction are achieved.

   d. their FLC TRA is informed via the TDA of any risks and/or issues relating to the DTC so that these can be raised at the appropriate governance meeting.

**ASSURANCE**

41. DTC is a key enabler for safe and effective training in Defence, therefore the evaluation and assurance of DTC must be robust. TDAs, FLC TRAs and the Lead TRA must routinely evaluate the extent to which the training requirement is being delivered to the correct

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264 Unless this function has been contracted out by a FLC.

265 ‘Commanders’ covers those commanding / in-charge of any Unit or organisation where formal Phase 1, 2 or 3 training takes place. (including Operational Units, Training or Education Establishments, Defence Colleges, Training Schools and Training Units).

266 See Chapter 4 Care and Welfare.
standard and that the requirement continues to meet Defence’s needs. A matrix outlining DTC assurance responsibilities is at Annex C.

42. **Governance.** All parties in the MTS must adopt a continuous improvement approach whilst tracking, reporting and responding to emerging risks and issues through the training governance processes set out in this policy.

43. **Reports and Data.** Validation, assurance and audit reports from which to draw findings must be made available upon request in order to drive change and improvements to DTC where necessary. Statistics relating to training completion for those in roles covered by this Direction are to be reported in accordance with the requirements of FLC Command Plans and the Defence Plan.

44. **WTS Completion.** In order to achieve professional recognition and to transfer skills into the workplace, Defence Trainers and DTS have further training to complete which is articulated in the respective WTS of the FTS. 1st and 2nd party audit/inspection teams are to confirm that robust systems are in place to support WT completion and the awarding of the JPA competences. Competence recording is to be administered by unit HR staff.

45. **Trainer Monitoring.** Once qualified the ongoing development of training delivery staff is to be monitored267. Individuals are to be monitored in line with the relevant Management Practice Documents (MPD) and/or unit performance appraisal and reporting procedures; the minimum monitoring requirement is every six months for all Defence Trainers. Training Providers are to hold an auditable record of its training delivery staff's assessments. For training delivery staff already in post who are assessed as not meeting the standards for their training delivery role, the CoC, in conjunction with MOD CS managers or Heads of Profession (HoP), are to ensure that an action plan is agreed to bring the identified training delivery staff up to the required standard.

46. **CPD.** Training Providers are to facilitate a regular programme of CPD events and opportunities268. The minimum requirement is 5 hours’ CPD269 per annum to allow Defence Trainers, DTS, DTM and Trainer Trainers further develop their T&E knowledge and skills in addition to keeping up with developments in the 'content' of their delivery. DTs and DTS who are Practitioner Level have the opportunity to work towards Level 3 Advanced Practitioner competences by engaging in CPD270. Further guidance is in JSP 822, Part 2.

**ANNEXES**

A. Types of Personnel Employed as Defence Trainers.
B. List of DTC Training Interventions.
C. DTC Assurance Matrix.
D. Worked Examples for the Legacy Assessment of Defence Trainers and DTSs.
E. Defence Trainer Capability: Competencies Mapped to Legacy Courses.

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267 For civilian staff this is outlined in the relevant MPD.
268 JSP 822, Part 2, Chapter 1, Section 1.4 provides Guidance and ideas for best practice for CPD interventions.
CPD is to be agreed and discussed as part of an individual's training and development plan.
269 Ongoing CPD accords with the spirit of the new Further Education Standards issued in May 2014. JSP 822, Part 2, Chapter 1, Section 1.4, details specific examples of CPD activities, where this should be recorded and links to the DTCF.
270 Details on how to reach this standard can be found in JSP 822, Part 2, Chapter 1, Section 1.4.
TYPES OF PERSONNEL EMPLOYED AS DEFENCE TRAINERS

1. DTC Direction applies to all of the following who may be employed as Defence Trainers:
   a. Military Regulars.
   b. Military Reservists.
   c. Civil Servants.
      (1) Includes all CS involved in delivering and managing training (e.g., DTS).
      (2) Specialist Instructional Officers
      (3) CS lecturers of all occupational groups, e.g., Burnham Lecturers.
   d. Contractors.
      (1) Defence Contractors
      (2) Lecturer Contractors, e.g., at DefAc, RTS (Halton) and RAFOTA (Cranwell).
   e. Other Trainers as directed by FLCs, e.g., University Air Squadrons, Officers’ Training Corps.

271 Providing training in the workplace and/or in a Training Organisation to Phase 1, 2 or 3 Trainees.
272 All types of Reservists including UTCs are in scope less Cadet Instructors.
273 Contractors employed locally in Educations Centres teaching GCSEs and A’ Levels, for example, are not classified as Defence Trainers. Best practice dictates that they should be qualified at one level higher than the subject they are teaching. The local CRA must address Care and Welfare issues relating to their employment.
274 Currently deemed to be working in ‘HE’ not FE. DefAc do DHET and RTS/RAFOTA do Fellowship of the Higher Education Academy within 12 months of taking up employment. This is a condition of the contract of employment. They must undertake CoT.
LIST OF DTC TRAINING INTERVENTIONS

Defence Trainer course. Training delivered to Defence Trainers.

Defence Trainer Supervisor Training (DTS Training). Training delivered to staff carrying out a DTS role.

Defence Trainer Manager Training (DTM Training). Training delivered to staff carrying out a DTM role.

Basic Care of Trainee (CoT) Training (Basic CoT). Training delivered to staff working in Phase 1 and 2 training. Attendance is determined by the Commanders Risk Assessment CRA and Supervisory Care Directive (SCD), (see Part 1 Chapter 4.5).

Advanced Care of Trainees (CoT) Training (Advanced CoT). Training delivered to staff with regular 1-2-1 interaction with Phase 1 or 2 trainees. Attendance is determined by CRA and SCD. Advanced CoT is embedded in the Defence Trainer course and is also available as a standalone module (see Part 1 Chapter 4.5).

Commanding Officers of Training Establishments (COTE). Training for COs of Phase 1 and 2 training establishments, including regular, reserve and University Cadet Units.

Present, Apply, Review (PAR) Training. An online module of the DLE which is part of Stage 1 of the Defence Trainer course, to be used as a refresher training package for Defence Trainers who need to be up-skilled in order to deliver training using PAR methodology. PAR is a key tenet to the DTc and its predecessor Defence Trainer the Trainer version 2 (DTTTv2).

Defence Higher Education Trainer (DHET). Trainer training for those, predominantly HE Lecturers, delivering training in the Defence Academy275.

Workshops for Trainers delivering the Defence Trainer course. A series of workshops run by the FDT at DCTS, for Trainers who are going to deliver the DTc who do not already have the requisite qualifications (L3 AVRA and L4 CET).

275 Note that HE Lecturers in other parts of Defence undertake different training interventions as determined by the FLC.
# DTC ASSURANCE MATRIX

<table>
<thead>
<tr>
<th>Ser</th>
<th>Course</th>
<th>1PA</th>
<th>2PA</th>
<th>3PA</th>
<th>InVal</th>
<th>ExVal(^{276})</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Franchised Defence Trainer course</td>
<td>Unit</td>
<td>DCTS</td>
<td>TESRR/Ofsted</td>
<td>Unit</td>
<td>TESRR</td>
</tr>
<tr>
<td>2</td>
<td>Franchised DTS</td>
<td>Unit</td>
<td>DCTS</td>
<td>N/A</td>
<td>Unit</td>
<td>TESRR</td>
</tr>
<tr>
<td>3</td>
<td>Basic/Advanced COT</td>
<td>Unit</td>
<td>FLC</td>
<td>TESRR/Ofsted</td>
<td>Unit</td>
<td>TESRR</td>
</tr>
<tr>
<td>4</td>
<td>Other FLC training solutions</td>
<td>Unit</td>
<td>FLC</td>
<td>N/A</td>
<td>Unit</td>
<td>FLC</td>
</tr>
<tr>
<td>5</td>
<td>DCTS DTC course at DCTS</td>
<td>DCTS</td>
<td>JITAT</td>
<td>Ofsted/N/A</td>
<td>DCTS</td>
<td>TESRR</td>
</tr>
</tbody>
</table>

\(^{276}\) Whilst, as Lead TRA, TESRR has overall responsibility for ExVal, the activity itself is completed on behalf of TESRR by the FLCs. The DTC ExVal Programme is agreed as part of Trg Spt CEB.
Example 1. Individual with a legacy qualification assigned to Defence Trainer Role. Legacy assessment to be undertaken by DTS or FLC-nominated Training Management Specialist. DTTT V2 trainers qualified to Practitioner level are competent to train, subject to a successful DTS micro teach observation.

1. JPA check to establish previous quals, e.g. DDT, DTTT Ph 3, DTTTv1, DTTT V2 (DTTT Ph 1 and 2), B/A COT and PAR
   - Discuss previous and current/recent experience
   - Observe micro lesson if appropriate
   - Is the evidence above sufficient not to recommend Defence Trainer course?
     - Yes
       - Individual completes Basic/Adv CoT module and/or PAR module (exempt if completed DTTT Ph1/Ph2)
       - On satisfactory completion of Basic/Adv COT module and/or PAR module, DTS or FLC-nominated TM Specialist awards JPA Defence Trainer Level 1 Foundation
       - Individual completes Defence Trainer course Stage 3
       - On satisfactory completion of Stage 3, DTS or FLC-nominated TM Specialist awards JPA Defence Trainer Level 2 Practitioner
     - No
       - Individual attends Defence Trainer course and is awarded JPA Defence Trainer Level 1 Foundation competence
Example 2. Individual with a legacy qualification assigned to DTS training role. Legacy assessment to be undertaken by experienced DTS, DTM or FLC-nominated Training Management Specialist.

JPA check to establish previous quals, e.g., CONIC, DIAD, DIME, AIS, SCI, DDT, DTTTv1, DTTTv2 (P1 and 2), B/A COT, PAR

Discuss previous and current/recent experience

Is the evidence above sufficient not to recommend DTS course?

Yes

Individual completes PAR module and/or Basic/Adv CoT module (exempt if completed DTTT Ph1/Ph2)

On satisfactory completion of PAR module and/or Basic/Adv CoT module, DTS, SQE DTM or FLC-nominated TM Specialist awards JPA DTS Level 1 Foundation competence

Individual completes DTS WTS

On satisfactory completion of WTS, DTS, SQE DTM or FLC-nominated TM Specialist awards JPA DTS Level 2 Practitioner competence

No

Individual attends DTS and is awarded JPA DTS Level 1 Foundation
### DEFENCE TRAINER CAPABILITY: COMPETENCES MAPPED TO LEGACY COURSES

#### Defence Trainer

<table>
<thead>
<tr>
<th>Legacy Courses</th>
<th>Additional Training and Actions Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>DTTT v2 (DTTT Phase 1 and 2)</td>
<td>Defence Trainer (Foundation): Nil.</td>
</tr>
<tr>
<td>DTTT v1</td>
<td>(1) PAR module on the DLE (2) Successful Lesson Observation by DTS</td>
</tr>
<tr>
<td>DTTT Phase 3 (Army Pers only)</td>
<td>(1) Advanced CoT Course (if not already held)</td>
</tr>
<tr>
<td>DTTT (Flying)</td>
<td>(1) Advanced CoT Course (if not already held) (2) PAR module on the DLE (3) Successful Lesson Observation by DTS</td>
</tr>
<tr>
<td>Teaching qualifications: L3AET, L4 CET, L5 DET, Cert Ed or PGCE or legacy L4CTLLS, L3 PTLLS</td>
<td>(1) Advanced CoT Course (if not already held) (2) PAR module on the DLE (3) DSAT module on DLE</td>
</tr>
</tbody>
</table>

Eligibility for Defence Trainer (Practitioner): Candidate to already hold Defence Training (Foundation) level competence.
### Defence Training Supervisor

<table>
<thead>
<tr>
<th>Legacy Courses</th>
<th>Additional Training and Actions Required</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Defence Training Supervisor (Foundation)</td>
</tr>
</tbody>
</table>
| DIAD, DIME, AIS & SCI | (1) PAR module on the DLE  
(2) Successful Observation by DTS/DTM of potential DTS conducting lesson and subsequent feedback | (1) DTS Workplace Portfolio |

Eligibility for Defence Trainer Supervisor (Practitioner): Candidate to already hold Defence Trainer Supervisor (Foundation) level competence.
7 Defence Direction for Technology Enhanced Learning (TEL) and the Defence Learning Environment (DLE) and Simulated Training

7.1 Technology Enhanced Learning (TEL)

Policy Sponsor: DTEL, DefAc and TESRR (CDP277).

1. The TEL Direction contained within this Section provides Defence policy and guidance for anyone involved in developing, procuring or integrating TEL within Defence. TEL is defined as technology that improves the delivery of training in order to enhance learners’ experience. Guidance is available through the TEL Knowledge Hub278, which replaces the Learning Technologies Handbook (2012), and which provides the latest Policy and Guidance for TEL. The TEL Knowledge Hub is to be treated as Defence Instructional Notices for TEL.

2. This Policy and Guidance is distributed between the following areas:
   a. TEL Governance and Strategy
   b. TEL Knowledge-Hub and Workshop
   c. TEL Identification and Integration
   d. TEL Development and Procurement

TEL Policy Overview

3. TEL governance and assurance coordinates and coheres TEL knowledge across Defence through the Technological, Andragogical and Content Knowledge Model, enabling the DTEL WG to provide a focal point for TLB collaboration for exploring and exploiting TEL across Defence and wider Government.

4. The DTEL Team’s focus and activity is articulated in the TEL Strategy which provides a coherent approach towards TEL research, innovation and integration across Defence. The content and prioritisation of the TEL Strategy is set and endorsed by the DTEL WG and is to support both extant Defence training and the single Service Training Transformation initiatives.

5. The TEL Knowledge Hub provides a single repository for current information on TEL, which enables designers, trainers and managers to explore and exploit TEL opportunities in a collaborative manner. The Knowledge Hub is reinforced by the one-day DTEL Introduction

277 Training, Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.
278 For systems where the link does not work from this document copy this link to your browser: DLE: https://www.dle.mod.uk/course/view.php?id=14579.
to Learning Technologies course, based at the Defence Academy, which provides a foundation into TEL and its utility for Defence training and education.

6. Defence has been using TEL for decades with numerous examples of good practice, innovation including its use to mitigate training risk. TEL is a key thread throughout Defence Training policy including mandated and auditable activities such as the Scoping Exercise, Training Options Analysis and Methods and Media Analysis. TEL is not an ‘End’ in itself, but a means to an end as not all TEL enablers are suitable for all training requirements and identifying the optimal blend of TEL through Methods and Media analysis will maximise the effectiveness and efficiency of training. Furthermore TEL, underpinned by the principles of Digital Literacy is essential to create the optimal learning culture across Defence, from recruits to senior leaders. Leaders play a critical role in supporting learning as a workplace activity and should ensure the facilitation of a learning environment to maximise operational capability.

7. For new individual and collective training requirements, DSAT mandates an iterative process through several auditable stages for the integration of TEL. However, many extant training courses have evolved over time to reflect changing requirements and lack the associated documentation, including investment in Methods and Media analysis. The Methods and Media Tool within the Knowledge Hub enables the analysis of current training delivery and provides recommendations for integrating TEL. This facilitates a deeper blended learning approach, drives potential efficiencies, enhances effectiveness and mitigates risk. The output from the tool should signpost TEL development opportunities and inform the TEL Ruleset.

8. The TEL Ruleset consists of 12 principles279 based on the Government Digital Services Technical Code of Practice, which must be adhered to in order to facilitate Cabinet Office approval of TEL funding. Following the Ruleset ensures activity is not duplicated across Government, such as extant training provision on the DLE, or the creation of localised VLEs. The answering of the Ruleset provides key information towards a robust business case for TEL funding as illustrated in the TEL procurement pathway.

7.2 The Defence Learning Environment (DLE)

Policy Sponsor: DTEL, DefAc

The DLE is Defence’s primary Virtual Learning Environment (VLE) which broadly uses four systems, Moodle (Learning Management System), Mahara (ePortfolio), Alfresco (File repository) and Learning Locker (Learning Record Store). These systems are under continuous development to improve user experience and increase the effectiveness of online training within Defence.

The links\textsuperscript{280} below provide the most up-to-date Policy and Guidance for the DLE and are to be treated as Defence Instructional Notices on the use of the DLE. This Policy and Guidance is distributed between three categories:

- Systems and Management.
- DLE Quality, Design and Use.
- Education, Training and Learning.

- DLE Policy and Guidance on the Defence Gateway
- DLE Policy and Guidance on MODNET

The DLE will be merged with TAFMIS into the Defence Learning Capability Management (DLMC) by 2022 to provide a single Defence Learning and Management tool.

DLE ROLES

1. The DLE has a number of roles that require training and additional system permissions. Below is a brief description of each role. For full role competencies see link above.

   a. **Defence Administrators**. Provide overarching support and guidance on the system, supporting Category Managers to maintain appropriate working practices within their School.

   b. **Category Managers**. Manage the TLB presence on the DLE. Provide governance and responsible for managing and maintaining their TLB structures, including but not limited to ensuring that their environment holds only official information.

   c. **Sub-Category Managers**. Manage the Sub-Category presence on the DLE. Provide communication and support of endorsed policy while providing governance for courses within their remit.

   d. **Course Designers**. Design and develop courses on the DLE. Provide advanced course design for learning iterations on the DLE within their remit. All courses delivered on the DLE must be designed by a DLE Course Designer.

   e. **Course Owners**. Own the course content and are the single point of contact for any queries relating to course content and functionality.

\textsuperscript{280} For systems where the links do not work from this document, copy these links to your browser: Defence Gateway: https://www.dle.mod.uk/course/view.php?id=14579. MODNET: https://modgovuk.sharepoint.com/teams/17799/DTEL/SitePages/Home.aspx.
f. **Administrators.** Administer courses hosted on the DLE, including but not limited to managing DLE course instances and assigning permissions at course-level.

g. **Trainer.** Deliver and support training hosted on the DLE, including but not limited to creating course content. Will also facilitate learner use of the DLE.

(1) **Non-Editing Trainers.** Use the DLE to deliver and support training but have no editing rights to change course content.

(2) **Assessors.** Manage, maintain and administer assessments within the DLE ensuring that requirements for aspects such as copyright, plagiarism and security classification are met. Note: it is anticipated that all Trainers will become accredited assessors in due course.

(3) **Turnitin.** A new DLE role is being created specifically to manage anti-plagiarism tools (Turnitin) and check assignments. There will be two types of users that will hold the Turnitin DLE role:

(a) Turnitin account manager, responsible for unit management of Turnitin.

(b) Trainers or assessors who will create Turnitin assignments and check outcomes.

**QUALITY ASSURANCE OF FORMAL TRAINING DELIVERED ONLINE**

2. Formal training that is delivered online should be subject to formal training quality assurance processes in the same way as any other formal training and education activity. The DLE Quality RUBRIC should be used as part of the 1st and 2nd party audit process for any course that uses online learning or has identified digital Work Based Training. This will help improve the quality of courses and to identify key areas for improvement. The DLE Quality RUBRIC involves scoring courses against a range of criteria and any Red scores should form part of a non-compliance task list for each course.

3. It is recommended that an additional Topic is created within each course and that the DLE Quality RUBRIC and its action plan are stored there, where it is visible to students.

4. A copy of the up to date DLE Quality RUBRIC can be found here: [https://www.dle.mod.uk/mod/resource/view.php?id=691077](https://www.dle.mod.uk/mod/resource/view.php?id=691077)

**DLE NAMING CONVENTIONS**

5. Every effort should be made to allow learners to identify the type of course being delivered from its name. To help this process all courses are required to place one of the abbreviations below at the beginning of their course title. The full name and its abbreviation should also be clearly identified at the beginning of any course description.

a. Formal Training delivered Online OT

b. Pre-Course Learning PC

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281 Note: if this link does not work, use the DLE search tool for ‘rubric’.

282 Online Training.
c. Information Point IP

d. Collaborative Learning Environment CL

e. Collective Training CT

A copy of the DLE course naming convention can be found here: https://modgovuk.sharepoint.com/teams/17799/DTEL/SitePages/Home.aspx.
8 Defence Direction for Education and Development

8.1 Specific Learning Difficulties

Policy Sponsor: TESRR, CDP

Specific Learning Difficulties (SpLD) is a term that is used to describe a range of learning difficulties that are inherent to an individual and which have the potential, to varying degrees, to affect an individual's ability to function effectively within the workplace. Those personnel who may have a SpLD, as part of the wider neurodiversity piece, quite often bring unique and valuable strengths to their work, which should be harnessed and embraced by any organisation.

The various SpLDs, which include Dyslexia, Dyspraxia and Dyscalculia, sit under the neurodiversity umbrella and are part of a much wider spectrum of neurodiversity conditions. The term neurodiversity describes the range of differences in individual brain function and behavioural traits, regarded as part of normal variation in the human population.

The range of SpLDs are not always easy to identify and are sometimes confused with poor Skills for Life. SpLD can affect: organisation; sequencing; memory; auditory and/or visual perception; spoken language; motor skills; and time management. The earlier SpLD are identified the better the support that can be provided, with through career ‘Learning Support’ as the focus rather than ‘testing/diagnosis/tracking’. SP need not be screened for SpLD during the recruitment process, nor is there a requirement to test for it during initial training (although there is no limitation where single Service (sS) see a benefit). Difficulties relating to SpLD can manifest at any stage during a career. It is most likely that SpLD will become apparent at key career change points such as promotion exams or during periods of stress.

This Defence Direction seeks to ensure that SpLD is recognised as being an issue that is principally and proactively managed by the individual, supported where possible by their sS and not a condition that should draw undue attention, impractical or unmanageable special measures. SpLD should not be treated as anything more than a naturally occurring difference to learning that, through targeted support and the implementation of coping strategies, can generally be successfully mitigated.

SCOPE

1. This Defence Direction is the SpLD policy for Service Personnel (SP) only. It provides a Learning Support framework for those identified with SpLD. Reservists should be offered support for their SpLD in the following circumstances (when they are subject to Service Law):

283 Training, Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.
286 As per the Scottish Qualifications Authority Skills Framework - Skills for Life are Literacy, Numeracy, Health and Wellbeing, Employability, Enterprise and Citizenship and Thinking Skills.
287 An analogy can reasonably be drawn when Reservists are subject to Service law (see JSP 830 MSL Version 2.0 Ch 3 para 11).
a. During permanent Service on call-out (either by virtue of the statutory requirement under the Reserve Forces Act 1980 or the Reserve Forces Act 1996 or any other call-out obligation of an officer).

b. During home defence Service on call-out

c. When engaged in a full-time Service commitment.

d. When undertaking any duty or training (whether or not in pursuance of an obligation). This includes any additional duties commitment undertaken.

e. When serving on the permanent staff of a reserve force.

Outside of these circumstances, the onus is on the Reservist to identify support or obtain it from their civilian employer. Ministry of Defence (MOD) Civil Servants and contractors are outside the scope of this policy. Civil Servants with SpLD are to refer to the contents of the Disability Toolkit\textsuperscript{288}.

\textbf{AIM}

2. To ensure that SP with SpLD are provided with support appropriate to their needs, where feasible within Service and resource constraints. This support should be provided as long as it does not detrimentally affect others, erode mandated training standards or threaten operational effectiveness. Such support is to be consistent with this policy and individuals may access support for their SpLD at any career stage, whether during initial training or in productive Service.

\textbf{PRINCIPLES}

3. The Defence principles for SpLD are:

a. The Armed Forces are exempt from the work provisions relating to protection against disability discrimination in the Equality Act 2010.\textsuperscript{289}

b. SpLDs are not in themselves a bar to recruitment or Service in the Armed Forces, as long as the required standards are met. Individuals who fail to achieve or maintain the standards required for Service, despite feasible support, may be moved to a more suitable role or discharged from the Service.

c. SpLDs are recognised as part of a wider spectrum of neurodiversity but the Armed Forces can provide screening and assessments for Dyslexia, Dyspraxia\textsuperscript{290} and Dyscalculia only. However, regarding Visual Difficulties, following screening in accordance with “A Guide for Assessors and SpLD Practitioners”\textsuperscript{291}, dependent on the results\textsuperscript{292} of any required referral to an optometrist, appropriate support should be

\textsuperscript{288} A link to the Civilian Disability Toolkit can be found \url{here}.
\textsuperscript{289} EA10 Schedule 9 Work Exceptions, Part 1 paragraph 4(3).
\textsuperscript{290} Also referred to as Developmental Co-ordination Disorder (DCD).
\textsuperscript{291} Specialist guidance on screening and subsequent referral, if necessary, for Visual Difficulties can be found at the link here: \url{SASC Working Group 2018 - SpLD and Visual Difficulties}. Screening Protocol Jun 19: \url{link here}.
\textsuperscript{292} If the outcome of the referral requires medical intervention, then the Service Person is to seek support or treatment from the Medical Services accordingly.
offered based on any subsequent recommendations, such as the provision of coloured overlays/filters. Screening or assessment, including support, for all other neurodiversity issues are outside of the scope of this Direction and may require clinical or psychological diagnosis.\(^293\)

d. Support may include specialist advice, guidance and other adjustments, whether occupational or otherwise where feasible. It must be within Service and resource constraints as long as such support does not detrimentally affect others, erode mandated training standards or threaten operational effectiveness.

e. Training, Role Performance Statements and the Competency Framework are not to be varied to allow an individual with a SpLD to complete a training event.

f. Management of a SpLD is an individual’s responsibility but Defence may help through appropriate and feasible support, which should be supported by the Chain of Command.

g. Funding for specialist assessment may be provided (refer to paragraph 11e).

h. When undertaking elective learning individuals may use Enhanced Learning Credits (ELC) or Standard Learning Credits (SLC)\(^294\) for additional personal support, or to provide specialist software or equipment specifically to help develop workplace coping strategies.

**APPROACH**

4. Single Services and Strategic Command should ensure that they maintain appropriately trained, qualified and placed SpLD Advisors throughout their Commands, who can provide Learning Support specific to SP with SpLD. The level of SpLD qualification Advisors should hold is to be in line with that recommended by the SpLD Assessment Standards Committee (SASC), British Dyslexia Association (BDA) and the Professional Association of Teachers of Students with Specific Learning Difficulties (PATOSS). Detailed below are the levels of qualification SpLD Advisors must hold depending on the role they are performing:

a. **Screening, Classroom and Trainer Support**: Should be currently working towards a Level 4 SpLD qualification or complete the mandatory centralised MOD Level 4 course and qualification, currently being developed\(^295\).

b. **For Specialist One to One Support**: SpLD Level 5 (current Approved Teacher Status (ATS)/Teaching Practicing Certificate (TPC)).

c. **For the Assessment, diagnosis and One to One Support** SpLD Level 7 (current Approved Teacher Status (ATS), Teaching Practicing Certificate (TPC), Assessment Practising Certificate (APC) or be a qualified Educational/Occupational Psychologist).

\(^{293}\) JSP 950 Medical Policy refers at the link [here.](#)

\(^{294}\) JSP 822 Part 1 Sections 8.4 (SLC) and 8.5 (ELC) refer. Support can include Formal External Assessment by an Educational or Occupational Psychologist, Specialist Tuition, Assisted Technology (Software) and training designed to assist SP with SpLD. Note this excludes tints/lenses for use by SP.

\(^{295}\) It is anticipated that the centralised MOD 3-day SpLD Advisors Level 4 course will be available in mid-2020, which will include the opportunity for Continuous Professional Development.
d. **For Joint Council for Qualifications (JCQ) Form 8 Access Arrangements**
   Level 7 Assessment Practising Certificate (APC) status.

5. The responsibility for managing SpLD, once it has manifested, lies with the SP. Where the SP has SpLD that impacts on their work, training, or requires Defence involvement they are advised to make their line manager, trainer or commander aware so that appropriate support may be either signposted or provided. Where the line manager, trainer or commander suspects that a SP is displaying signs of a SpLD, they should engage with the SP to jointly identify the most appropriate type of support or intervention, if that is what is necessary, working closely with the SpLD Advisor.

**RESPONSIBILITIES**

6. The responsibilities that rest with the individual, as well as Defence are outlined below. Learning Support provision should be co-ordinated by and through the sS SpLD Advisor.

7. **Defence.** The MOD, through the SCs should ensure that SP with SpLD needs should, where practicable and subject to this Direction, be met. SP with SpLD have already passed the required minimum standards to enter Service, meaning that SpLD should, in most cases, not prevent a SP from participating fully in training or fulfilling productive Service. However, where flexibility exists, and resources allow, the needs of SP with SpLD may be accommodated, provided there is no detriment to others, or to the mandated training standards or operational effectiveness. The Specialist Report or Individual Learning Plan (ILP)\(^{296}\) agreed should take into consideration the practical implications of meeting these needs in a training or work environment. All SP should be made aware of their SpLD Advisor so that informal advice may be sought when required.

8. **Single Services (sS) should:**

   a. ensure that there are suitably trained, qualified and placed SpLD Advisors throughout the SCs. Including making provision for ongoing SpLD Advisor training and Continuous Professional Development (CPD).

   b. ensure that the Chain of Command, including trainers are, suitably educated as to the nature of SpLD and emphasise the necessity to take appropriate action early but sensitively when a SP displays signs of a learning difficulty.

   c. treat all records with care, obtaining a MOD Consent to Share SpLD Information and Data form when required, marking up any documentation as OFFICIAL SENSITIVE – PERSONAL\(^{297}\) (refer to the requirements at paragraph 16).

   d. fund appropriate and feasible support for the SP, as well as making changes to the working or training environment, which may also need external support, such as assessments by a Specialist Teacher or Psychologist. Advise the SP on what funding support they may expect.

9. **Chain of Command** should:

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\(^{296}\) Broadly defined as a formalised plan that is put in place by the SpLD Advisor, often with Educational or Occupational Psychologist, after formal diagnosis.

a. make all SP under command aware of their SpLD Advisor.

b. monitor the development of any tailored support initiative or ILP and should provide such support that is appropriate and within resource constraints. Should ensure that any work or training-based changes to support a SP do not detrimentally affect others, erode mandated training standards or threaten operational effectiveness.

c. instil a culture of wider understanding, awareness and education around the subject of SpLD.

10. **Commanding Officers of initial training (Phases 1 and 2) and Phase 3 establishments** should, in addition to the responsibilities of the Chain of Command:

a. within resources and without compromising the mandated training performance standards, or operational effectiveness, or causing a detriment to others, provide appropriate support for recruits, trainees or students with SpLD.

b. ensure that trainers and staff involved in supervisory care are aware of SpLD and their recruits, trainees or students that have such conditions are signposted to the right support and their SpLD Advisor.

c. resource, where possible, appropriate support by trained SpLD Advisors during Phase 1, 2 and 3 training. Time and space should be created to allow such support to take place, within resources and training standards.

11. The **SpLD Advisor** should:

a. be appropriately trained and qualified at, or formally working towards, the levels stipulated at paragraph 4.a-d above. Additionally, undertaking personal CPD to maintain and enhance their current working level, including professional accreditation, working within the boundaries of their qualifications. A copy of the SpLD Advisers Initial Screening Guidelines can be found at Annex B. 298

b. be available to the SP with SpLD and ensure that their SP is aware of their role and responsibilities, working within the Chain of Command to provide guidance, advice and support, together with coaching assistance as required by the SP. Additionally, to liaise with the Chain of Command on any changes to the working or training environment that may appropriately be made to create a more suitable environment.

c. offer advice on what support may be available to those SP requiring it. Early emphasis should be placed on coaching and the development of coping strategies for the SP to implement and manage. The SpLD Advisor can monitor and assist as appropriate, but it should be emphasised that the responsibility for managing SpLD lies with the individual and with the SpLD Advisor in a supporting role only.

d. if appropriate and with the agreement of the SP, conduct screening to ascertain if/what SpLD may be present to better focus support. Assessment should be conducted

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298 The SpLD Advisors Initial Screening Guidelines are currently being developed due for issue Dec 19.
using an approved SpLD Adult Screening tool. A SpLD Assessors’ Requirements and Guidelines can be found at Annex C.

e. where a SpLD is identified, if due to the severity or uncertainty of the learning difficulty, as indicated by the SpLD Adult Screening Tool result, an assessment assisted by an Educational, Occupational Psychologist or Specialist Teacher, if deemed necessary, may be conducted. This should lead to a formal statement of practical strategies to be adopted by the SP. In consultation with the SP and the agreement of the line manager, trainer or commander, the SpLD Advisor may then draw up an ILP that provides an appropriate level of support, coaching and coping strategies. On posting, the ILP should be communicated to the individual’s new establishment (refer to paragraph 16 for guidance on confidentiality and handling of personal data).

f. where Defence-funded support has been provided, sS are encouraged to record all externally directed ILPs, track and pass from losing to gaining unit on reassignment of SP concerned and keep records for a minimum of 7 years before archiving (refer to paragraph 16 for guidance on confidentiality and handling of personal data).

g. understand that it is the responsibility of the SP to proactively manage their SpLD, seeking support where appropriate. Any support that is offered should be done so at the earliest opportunity and at the most appropriate level, such as through coaching and the provision of guidance on coping strategies. More formalised assessments and support mechanisms should be viewed as escalatory measures rather than a start point and enacted only if absolutely necessary.

h. apply any appropriate assessment access arrangements as recommended by a Specialist Teacher or Psychologist, which should be managed and recorded by using the Joint Council for Qualifications (JCQ) Form 8 process.

12. Individual responsibilities. Individuals who enter service or join a new unit, station or ship, with a SpLD that impacts on their work or training or requires some form of Defence involvement, are advised to inform their line manager, trainer or commander at the first opportunity; bringing to their attention any previously agreed form of support, or ILP, for action where appropriate. SP with SpLD that does not impact on their working lives, or who have evolved coping strategies that do not require Defence involvement, need not inform their line manager, trainer, or commander; although it may be prudent to do so. It is the primary responsibility of the individual to manage their SpLD, supported where and when appropriate by their SpLD Advisor. The individual is free to seek advice from their SpLD Advisor at any time, but any formal support should be provided in conjunction with the Chain of Command.

299 Dyslexia Adult Screening Test (DAST). In addition, sS/SCs may choose to investigate the applicability of the LUCID LADS Plus and other appropriate tools. Army Recruiting and Initial Training Command and the RAF screen for SpLD during initial training but in the context of ‘Learning Support.’ SP may wish, or be encouraged, to conduct online assessments to ascertain if/what SpLD may be present.

300 A Psychologist can examine the individual needs of SP in training, education or work and, through tests and interviews will establish a greater understanding of and individual’s Learning Support requirements. The use of a psychologist should be considered as a last resort and a supporting activity to the SpLD Advisor. Too early involvement of a Psychologist and ‘over recommendation’ should be avoided.

301 These assessment access arrangements also apply to appropriate examinations taken by SP with identified SpLD needs at any Defence Training Establishment. The JCQ Form 8 process should be adopted within 15 working days of notification. Link here: https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/forms/form-8-application-for-access-arrangements-profile-of-learning-difficulties.
GOVERNANCE

13. Sponsor. This Defence Direction is sponsored by TESRR who is responsible for maintaining the policy. The POC is C1 Personal Development and Education (People-TESR-PersDevEdC1), who chairs the SpLD Forum, which takes place biannually.

FUNDING

14. Responsibility for managing and mitigating SpLD lies with the individual SP. This includes financial aspects that may be a consequence of such management or mitigation that falls outside the MOD’s responsibilities to provide suitable working conditions. To support, advise and assist, SCs are required to fund through their Top Level Budget, the following provisions:

   a. Establishment of trained, qualified and placed SpLD Advisors.

   b. Specialist diagnosis, assessment and support through external professional assistance, such as psychologist assistance, if required.

   c. Practical and appropriate changes to the training and working environment (such as coloured overlays) where feasible within resource constraints, that do not detrimentally affect others, erode mandated training standards or threaten operational effectiveness.

   d. When undertaking elective learning, Individuals may also choose to use their Standard Learning Credits and Enhanced Learning Credits\(^302\) for certain types of additional support i.e. Specialist Tuition or assisted technology.

MANAGEMENT

15. Tracking and record keeping. There is no requirement for SS to identify and track all SP with SpLD, as the responsibility for informing the Chain of Command of a SpLD condition that may affect training or work lies with the individual. However, SS are encouraged to make SpLD documentation available when required (subject to paragraph 16 below).

16. Confidentiality. There is no requirement for SP with SpLD to inform their line manager, trainer or commander, if their condition does not affect their training or work. However, if they do notify their line manager, that information is to be treated with care and a MOD Consent to Share SpLD Information and Data form must be completed when required, marking up any documentation as OFFICIAL SENSITIVE – PERSONAL. If consent has been given, that information may be retained, recorded and shared within the Chain of Command. Processing SPs’ SpLD information will enable MOD to offer an effective SpLD support service and to meet our obligations to our personnel.\(^303\) Any processing should be conducted in accordance with the Data Protection Principles.

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\(^{302}\) Funding policy relating to SpLD support via the SLC and ELC schemes is contained in JSP 822 Part 1 Sections 8.4 and 8.5 respectively.

\(^{303}\) The lawful bases under Article 6 General Data Protection Regulation (GDPR) justifying the processing of SPs’ SpLD information will therefore be: Article 6(1)(e) (Public task); Article 6(1)(c) (Legal obligation) and/or Article 6(1)(b) (Contract). The lawful bases under Article 9 GDPR justifying the processing of SPs’ SpLD information (where this constitutes special category personal data) will be: Article 9(2)(g) (Substantial public interest); and/or Article 9(2)(h) (Assessment of the working capacity of the employee).
17. **SpLD Advisor training.** sS SpLD Advisors are encouraged to be members of professional institutions which run courses for SpLD training. The following list is not exhaustive and does not prevent sS from seeking training at any other suitable training establishment or alternative organisation.

<table>
<thead>
<tr>
<th>Key Organisations</th>
<th>Course, Accreditation and Other Details</th>
<th>Websites</th>
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</table>
| **British Dyslexia Association (BDA)** | Provides information on Continuous Professional Development, Training, Assessment, Resources, Tutor and Assessor Directory. BDA also has webinars and train the trainer material for Neurodiversity awareness training. | [https://www.bdadyslexia.org.uk/services](https://www.bdadyslexia.org.uk/services)  
Telephone Number: (0333) 4054555 |
Telephone Number: (01386) 712740 |
| **The Professional Association of Teachers of Students with SpLD (PATOSS)** | For all those concerned with the teaching and support of pupils with SpLD, for example: dyslexia, dyspraxia, dyscalculia. Membership is open to qualified teachers in SpLD and those studying for either the certificate or the diploma in SpLD. | [https://www.patoss-dyslexia.org/](https://www.patoss-dyslexia.org/)  
Telephone Number: (01386) 712650 |
ANNEXES

A. SpLD Points of Contact.
B. Specific Learning Difficulties Advisor’s Initial Screening Guidelines (Currently being developed).
C. MOD Specific Learning Difficulties Assessor’s Requirements and Guidelines.
### SpLD POINTS OF CONTACT

<table>
<thead>
<tr>
<th>SERVICE</th>
<th>POLICY LEAD</th>
<th>POC</th>
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<tbody>
<tr>
<td><strong>ROYAL NAVY</strong></td>
<td>LDO SO2 POL&lt;br&gt;Navy Command HQ MP 3.3&lt;br&gt;Leach Building&lt;br&gt;Whale Island&lt;br&gt;Portsmouth PO2 8BY</td>
<td>LDO SO2 POL&lt;br&gt;Navy Command HQ MP 3.3&lt;br&gt;Leach Building&lt;br&gt;Whale Island&lt;br&gt;Portsmouth PO2 8BY</td>
</tr>
<tr>
<td><strong>ARMY</strong></td>
<td>SO1 Learning Development Personnel Policy (Army)&lt;br&gt;Army HQ&lt;br&gt;Blenheim Building&lt;br&gt;Marlborough Lines&lt;br&gt;Andover SP11 8HJ&lt;br&gt;Mil: 94393 6132</td>
<td>SO2 Skills&lt;br&gt;Army HQ APSG Ed Branch&lt;br&gt;Ramillies Building&lt;br&gt;Marlborough Lines&lt;br&gt;Andover SP11 8HJ&lt;br&gt;Mil: 94391 2362</td>
</tr>
<tr>
<td><strong>ROYAL AIR FORCE</strong></td>
<td>OC A&amp;E Wing&lt;br&gt;22Gp Central Training School&lt;br&gt;A&amp;E Wg&lt;br&gt;Room 221B&lt;br&gt;Trenchard Hall&lt;br&gt;RAFC Cranwell&lt;br&gt;Sleaford NG34 8HB&lt;br&gt;Mil: 95751 6510</td>
<td>SO3 A&amp;E Wing&lt;br&gt;22Gp Central Training School&lt;br&gt;A&amp;E Wg&lt;br&gt;Room 221B&lt;br&gt;Trenchard Hall&lt;br&gt;RAFC Cranwell&lt;br&gt;Sleaford NG34 8HB&lt;br&gt;Mil: 95751 6888</td>
</tr>
<tr>
<td><strong>DEFAC</strong></td>
<td>SO2 Training &amp; Education Development&lt;br&gt;Development Faculty&lt;br&gt;Defence Academy&lt;br&gt;Shrivenham&lt;br&gt;Swindon SN6 8LA&lt;br&gt;Mil: 96161 8287</td>
<td>SO2 Training &amp; Education Development&lt;br&gt;Development Faculty&lt;br&gt;Defence Academy&lt;br&gt;Shrivenham&lt;br&gt;Swindon SN6 8LA&lt;br&gt;Mil: 96161 8287</td>
</tr>
<tr>
<td><strong>CIVIL SERVICE</strong></td>
<td>Team Leader&lt;br&gt;Diversity and Inclusion&lt;br&gt;Policy Team&lt;br&gt;CDP Pers Trg Sec&lt;br&gt;Level 6, Zone N&lt;br&gt;Ministry of Defence&lt;br&gt;Whitehall&lt;br&gt;London SW1A 2HB&lt;br&gt;Mil: 9621 82625</td>
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</tr>
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SPECIFIC LEARNING DIFFICULTIES ADVISOR’S INITIAL SCREENING GUIDELINES

(Currently being developed)
MOD SPECIFIC LEARNING DIFFICULTIES ASSESSOR’S REQUIREMENTS AND GUIDELINES

PURPOSE OF ASSESSMENT

Assessment within the Ministry of Defence (MOD) workplace should support an understanding of any inconsistencies between what is expected of an individual during training, and for their role in the workplace. The main purpose of assessment is to develop contextual understanding and should promote an insight for the organisation to appropriately and better support the person enabling them to flourish in their career.

ASSESSOR QUALIFICATIONS

Extracted from the Specific Learning Difficulties Assessment Standards Committee (SASC) Guidelines304:

Specialist teachers must hold a current practising certificate in assessing specific learning difficulties issued by their relevant professional association, for example, PATOSS (the Professional Association of Teachers of Students with Specific Learning Difficulties), Dyslexia Action or the British Dyslexia Association.

Psychologists must be registered with the Health Care and Professions Council [HCPC, mandatory from July 2012]. Before July 2012 psychologists were required to hold a current practising certificate issued by their relevant professional association, for example, the British Psychological Association. [The British Psychological Society has now ceased issuing practising certificates.] See news item on this site: http://www.sasc.org.uk/NewsItem.aspx?id=33.

MOD REQUIREMENTS

For a MOD-funded Assessment, there should be focus on the gap between the skills an individual has and those they need to be able to function in day-to-day work and to be operationally effective. The results of an assessment should always lead to an explanation which addresses the issue of why the individual sought advice or was referred for an assessment in the first place. The MOD will provide a general role performance statement, associated with the branch, trade or stream of work, and relevant job specifications or operational requirements for the individual. The assessment process is to be directly associated with this information and should use a holistic approach.

INDIVIDUAL’S NEEDS

The assessment and the subsequent written report is a form of advocacy that should lead the person, those working with them and the organisation, to being better informed as a result. The information discussed and generated during the process should be communicated in clear, straightforward language. The person should be given ample opportunity throughout to clarify and check understanding of contextual implications.

All tests, checklists and questionnaires used should be valid for the individual and clearly relate to explanations for any identified challenges. Every aspect of the assessment is to be focussed on providing advice on the development of strategies which are directly applicable to the individual’s role, workplace, operational requirements and wider life.

The use of feedback alongside normal distributions curve graphs or other visual aids is essential to allay concerns and worries about how the test is progressing. This is to be used to support the individual to develop a better understanding of what the results mean for them. Many people worry that the assessment will reveal stigmatizing information, so the assessor must provide reassurance about the positive aspects of having an assessment at the earliest possible opportunity in the process.

CONSIDERATIONS

The assessment is to be structured in the context of the MOD and the individual’s needs. There will be unique demands on education and training as well as MOD operational needs. Professional judgement should be used regarding which battery of tests are useful for each assessment using the SASC guidelines for Adult Assessment and are to be appropriately selected to meet the requirement, rather than simply following a sequence of testing.

Holistic Approach

Acceptance and understanding are essential factors in determining whether an individual can move forward and usefully develop strategies as the results of an assessment. Factors such as: family background; educational background and aspirations; cultural influences; appropriate physical and psychological health aspects; and employment history should be comprehensively explored. There should be clear benefit from the assessment process to support a wider understanding of the balance between the output of the MOD and the individual’s performance in their role.

Work and Training Focus

The assessment process in this context is one situated in the broader MOD remit and this must be kept in mind when planning, conducting, providing feedback and reporting on an individual. The MOD has some unique ways of training and working with operational considerations to manage. The differences in team working, individual roles and wider cultural norms (including frequent transition between jobs and locations) must be fully researched based on the information provided by the MOD prior to conducting an assessment. These aspects are all to be commented on in the final report where appropriate.

Adult Assessment in the MOD

Assessors should maintain an open-minded approach and avoid approaching the process as a labelling exercise. The assessment is a process of explanation in which underlying cognitive abilities and inconsistencies are highlighted in an informative and constructive way for the person within their role in the MOD and their wider life. A thorough assessment ought to identify a person’s abilities, strengths and existing ways of working so that future strategies and recommendations can be insightful and take appropriate consideration of balancing work-based contextual requirements and the individual’s normal ways of learning or working.
Boundaries and Referral

The assessor is to be clear about diagnosis boundaries within their qualifications and abilities. Inclusion of comments on Visual Stress require a professional optometry qualification and diagnosis of conditions such as Autistic Spectrum Disorders needs a clinical qualification. The boundaries of qualification level are to be explicitly explained to the MOD and the individual prior to assessment. Within the SASC guidelines, due comment can be made on additional factors, when disclosed by the individual, such as physical illness, medication and mental health-related considerations (such as low mood, persistent worry or a diagnosed condition). The assessor must always defer to a qualified professional in the appropriate area when further information is required, or concerns are raised during the assessment process.

Feedback and Disclosure

A tripartite reporting system is to be used so that the diagnostic section can be kept private if the individual feels that they do not want to share the details of the background interview and test results. The summary of the report and the recommendations must be shared with the MOD. Disclosure for this are to be done at the assessment and a signed agreement must be provided by the individual using the MOD Consent to Share SpLD Information and Data form. The reason for asking for disclosure of these elements must be discussed so that the individual can make an informed decision about the positive impact in context for development, compensations and adjustments. It is also to be made clear that the individual can opt out of the test process at any time and only the aspects which are relevant to the MOD will be shared, with consent, unless the person wishes to disclose more fully.

Lawful basis for processing SpLD information

Processing SPs’ SpLD information will enable MOD to offer an effective SpLD support service and to meet our obligations to our personnel. The lawful bases under Article 6 GDPR justifying the processing of SPs’ SpLD information will therefore be: Article 6(1)(e) (Public task); Article 6(1)(c) (Legal obligation) and/or Article 6(1)(b) (Contract). The lawful bases under Article 9 GDPR justifying the processing of SPs’ SpLD information (where this constitutes special category personal data) will be: Article 9(2)(g) (Substantial public interest); and/or Article 9(2)(h) (Assessment of the working capacity of the employee). Any processing should be conducted in accordance with the Data Protection Principles.

SUMMARY

Underlying all these guidelines would be the experience and professionalism of the assessor. This document sets out the requirement and standards for effective assessment reports within the MOD. The need for contextual understanding and constructive feedback to the individual and organisation is critical to supporting our people and maintaining the effectiveness of our organisation.
8.2 Literacy and Numeracy (Functional Skills)

Policy Sponsor: TESRR, CDP

The need to ensure acceptable levels of the Functional Skills (FS) of Service personnel (SP) is unequivocal. Sound FS enhance the ability of SP to assimilate training more effectively, cope with the demands of their increasingly technical roles more readily, and take full advantage of career opportunities, which all contribute to reduced wastage in training and improved retention. By addressing foundation level development needs of SP, through a whole organisational approach to FS, Defence makes a significant contribution to personnel strategies, including training, education, skills, recruitment, retention and resettlement. More specifically, it underpins the MOD’s Skills strategy. Additionally, the improvement of English, mathematics and ICT skills are a key part of the Government’s national skills strategy in which Defence must play its full part and be seen to be leading by example.

In Sep 10 the national FS qualifications in English, mathematics and ICT were introduced in England. FS (English), FS (Mathematics) and FS (ICT) qualifications have brought a shift in emphasis from simply learning how to do something to choosing and using skills to solve problems. This underpins the practical approach embodied in military training and complements the day-to-day work of SP. Since Sep 12, Defence has adopted FS qualifications as the accredited measures of literacy and numeracy skills for all SP accessing in-Service literacy and numeracy provision.

SCOPE

1. It is acknowledged that there will be differences in implementation of this overarching Defence Direction across the sS, owing to the differing needs, resource constraints and priorities. ICT is outside the scope of Direction. This Direction applies to all SP, noting:

   a. the application of this Direction to those not serving on full-time engagements may need to be adjusted to take account of the specific circumstances imposed by their different terms and conditions of service. sS are required to produce their own supporting FS policies and implementation plans for those not serving on a full-time basis.

   b. MOD Civil Servants (CS) will continue to offer the opportunity to their staff to raise their skill levels consistent with the Skills Pledge. The differing FS needs of CS and Service Dependants (not in full-time education and living with SP based overseas) will not be addressed in this Direction but will be incorporated in due course.

305 Training Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.
306 Literacy, numeracy and Information Communication Technology (ICT).
308 Full details of transition arrangements for adoption of FS within Apprenticeships are at Annex A.
309 It is anticipated that, as part of the Digital Economy Bill, ICT will be incorporated into the Defence approach to FS in due course. In the meantime, sS are to continue with their current arrangements for meeting their respective ICT requirements - including those that are integral to apprenticeship provision and specialist/generic productive Service ICT requirements.
c. MOD contractors are responsible for identifying and addressing the needs of their own people and this should be reflected in contractual arrangements.

d. SP identified as having ESOL\textsuperscript{310} needs and who are required to gain FS (English) qualifications, will require additional ESOL support and assessment from specialist practitioners.

e. the needs of SP with Specific Learning Difficulties (SpLD) are addressed by separate Direction\textsuperscript{311}.

**AIM**

2. To ensure that all SP have the literacy and numeracy skills needed to undertake training, operate effectively in productive Service and are able to exploit professional development opportunities.

**DEFINITIONS**

3. The following definitions are used throughout this Direction:

a. **Basic Skills.** This term is no longer widely used\textsuperscript{312}. It has been replaced with Skills for Life and, for the purposes of this Direction, FS.

b. **FS.** The term FS is defined by the Skills for Life Network\textsuperscript{313} as ‘practical skills in English, mathematics and ICT that enable learners to deal with practical problems and challenges. They allow individuals to work confidently, effectively and independently in everyday life’.

c. **National Standards.** National FS standards and qualifications remain defined within the nine levels\textsuperscript{314} of the old National Qualifications Framework (NQF) (rather than the Qualifications and Credit Framework (QCF) that has since replaced it). Details of these national levels and their relationship to FS qualifications are at Annex A.

d. **Components of FS provision.** An outline of the components of FS provision is provided for reference at Annex B.

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\textsuperscript{310} English for Speakers of Other Languages (ESOL). National ESOL qualifications are available for those SP designated as ESOL learners, but ESOL provision and qualifications are not publicly funded in England, for those ESOL learners in work. Where ESOL programmes are conducted for SP, SP will be required to meet these programme costs.

\textsuperscript{311} See Defence Direction on Specific Learning Difficulties contained within this JSP. It should be noted that having weak FS in itself is not a special educational need or a SpLD. Some FS learners may have SpLD tendencies, but having a SpLD does not in itself lead to having weak English or mathematics. Nevertheless, having SpLD can hinder learning and progress.

\textsuperscript{312} It is still used by the Army (Basic Skills Manager) as a legacy term.

\textsuperscript{313} http://www.skillsforlifenetwork.com/article/functional-skills/3946.

\textsuperscript{314} QCF: Entry Level (EL) and Levels 1 to 8 (9 levels). EL 1, 2 and 3, Levels 1 and 2 within QCF are FS levels. The QCF is being replaced by the Regulated Qualifications Framework (RQF) from 1 Oct 15. Ofqual expect the QCF will expire on 31 Dec 17.
APPRAOCH

4. Whilst the aim of this Direction is to address the FS needs of SP as early in their careers as possible, the significant legacy needs for SP in productive Service must also be addressed. Recruits and trainees will face training that places immediate demands on their FS abilities, particularly during technical Phase 2 training. It is essential, therefore, that they are capable of operating at an appropriate level upon reaching that stage of training. Such should seek to improve the FS (English) and FS (Mathematics) abilities of all recruits by at least one national level and, ideally and if achievable within resources, to a minimum of Level 2. Applicants who do not hold Level 2 FS (English) and FS (Mathematics) are to undergo an assessment of their skills levels to inform the planning of future in-Service FS provision. Additionally, recruits must have appropriate English Speaking and Listening (S&L) abilities in order to cope safely with initial training. These will be assessed against minimum standards during recruiting. For SP in productive Service, FS needs must be addressed at the earliest, practicable opportunity that take account of:

   a. the scale of this legacy population, particularly within the Army and its concentration within certain units, arms or Services.

   b. the level and prioritisation of operational commitments and the need to generate Defence capacity to meet mandated military tasks.

   c. Service Leavers (SLs) with FS needs should be given appropriate support, where practicable, prior to completing Service.

PRINCIPLES

5. SS are to apply the following principles:

   a. Assessment.

      (1) **SS Initial Assessment (IA).** FS IA for all recruits (who do not hold Level 2 English and mathematics equivalent qualifications), ideally, no later than Week 3 of Phase 1 training.

      (2) **S&L screening.** Screening of English S&L skills for all recruits as part of the recruitment and selection process.

      (3) **Diagnostic Assessment (DAss).** DAss of FS (English), ESOL and/or FS (Mathematics) for all those identified as having FS needs. DAss should be conducted, ideally before allocation to a programme of FS learning, to enable the FS specialist to devise a support programme that is most appropriate to the needs of the individual learner. DAss should be regarded as an on-going process that is repeated, as required, until the SP achieves Level 2 qualification.

   b. Assessment tools. To ensure consistency, reliability, and validity of assessment:

      (1) appropriate FS tools, such as the DAss Tool\(^{315}\), are to be used.

315 For illustrative purposes only; such as that provided online by OCR: [http://ocr.org.uk/qualifications/by-type/functional-skills/support-materials/](http://ocr.org.uk/qualifications/by-type/functional-skills/support-materials/); SS may choose a DAss Tool that most suits their needs.
(2) appropriate screening tools for English S&L skills\textsuperscript{316} are to be used.

(3) when measuring a SP’s attainment of FS standards, assessments tools used by the relevant Awarding Organisation (AO) (that lead to nationally recognised FS qualifications) are to be used\textsuperscript{317}.

c. **Support.** sS are to provide appropriate levels of FS support to ensure that the needs of its SP are met, including:

(1) ensuring that SP have access to FS Information, Advice and Guidance (IAG), and provision, including support for S&L skills. An appropriate blend of delivery methods (e.g. individual and group tuition, mentor support, distributed learning, class-based tuition and ICT-based support) should be utilised to meet the needs of the learners.

(2) where feasible and permissible, SP deployed on operations or extended training activities, are provided with appropriate FS support to meet their needs.

(3) offering FS support to collocated SP from other Services, where practicable.

(4) FS learning is progressive and coherent, through recruitment, selection, Phase 1 and 2 training and throughout productive Service.

d. **Responsibilities.** SP have a personal responsibility to address their identified FS shortfalls, supported and encouraged by their sS Chain of Command. However, sS must ensure that they have appropriate specialist support, opportunities and time available to do so. FS support and accreditation are to be free (publicly funded at the point of delivery) to SP.

e. **Qualifying standard.** The principal output is the attainment of a FS qualification (or equivalent nationally recognised qualification), appropriate to the SP’s needs. All FS support must be geared towards achieving this.

f. **Design and development of training.** The FS requirements within specific trade, branch and employment roles are to be identified using the Defence Systems Approach to Training process for new and revised training.

**GOVERNANCE**

6. **Defence.** Defence will:

a. set the Defence FS Direction and manage accordingly\textsuperscript{318}.

\textsuperscript{316} As, for example, laid out in this OCR FS Assessment Guide, English Speaking, Listening and Communicating, Level 1 & 2: \url{http://www.ocr.org.uk/Images/81136-english-speaking-listening-and-communication-assessment-guidance.pdf}.

\textsuperscript{317} For example, the OCR Assessments for FS Levels 1 & 2: \url{http://www.ocr.org.uk/ocr-for/teachers/e-assessment/e-testing/functional-skills/}.

\textsuperscript{318} Through TESRR, CDP.
b. monitor, report and address strategic implementation issues through the DESPWG\textsuperscript{319}.

c. provide the Departmental link with the Government’s Skills Agenda through liaison with the Cabinet Office, Department for Education (DfE), Department for Business, Innovation and Skills (BIS), and other public bodies.

d. support implementation through liaison with DfE, BIS, Skills Funding Agency (SFA) and Education Funding Agency (EFA)\textsuperscript{320}.

7. **sS.** Ss are to:

   a. identify SS leads for FS support to their SP.

   b. develop their respective FS policies and implementation plans to support this Defence Direction and evaluate their impact.

   c. manage the supply of support to meet their FS requirements, using internal and external resources.

   d. resource their FS support infrastructure.

   e. ensure quality assurance and quality improvement of FS support provided.

   f. capture and collate management information in order to monitor implementation and report progress, as required, to TESRR.

   g. liaise with Defence and other sS to ensure effective pan-Defence implementation of FS support.

**STANDARDS**

8. The minimum FS standards to be achieved by SP across Defence are shown in the table below. Evidence of meeting these standards is only to be demonstrated by SP holding the relevant FS qualification or their proxy (substitute) award. The list of proxy awards used to meet Defence requirements (such as recruitment or promotion) is given at Annex A. The following exceptions to this qualification rule apply as evidence of meeting recruiting and selection standards:

   a. results of pre-enlistment English S&L screening.

   b. results of the FS IAs, where no FS qualifications are held or where valid qualification certificates are not available for authentication.

\textsuperscript{319} The Defence Education, Skills, Policy Working Group; an OF5 TESRR led, biannual meeting.

\textsuperscript{320} And their equivalent organisations in Wales, Scotland and Northern Ireland, as well as national bodies concerned with the delivery of FS provision and qualification.
MINIMUM STANDARDS

<table>
<thead>
<tr>
<th>Timing</th>
<th>FS (English)</th>
<th>S&amp;L</th>
<th>FS (Mathematics)</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>On Enlistment</td>
<td>Entry Level 2</td>
<td>Level 1</td>
<td>Entry Level 2</td>
<td>To be determined and adjusted by sS in line with the prevailing recruitment environment and the needs/resources of each sS.</td>
</tr>
<tr>
<td>At start of Phase 2 Training</td>
<td>Entry Level 3</td>
<td>Level 1</td>
<td>Entry Level 3</td>
<td>Where commitments prevent this, then by no later than promotion to rank of substantive Cpl or equivalent.</td>
</tr>
<tr>
<td>Within 3 years of joining the Service</td>
<td>Level 1</td>
<td>Level 1</td>
<td>Level 1</td>
<td>Where commitments prevent this, then by no later than promotion to rank of substantive Cpl or equivalent.</td>
</tr>
<tr>
<td>Within 8 years of joining the Service</td>
<td>Level 2</td>
<td>Level 2</td>
<td>Level 2</td>
<td>To be determined by each sS, including action to take if SP fails to achieve this level as the sS regulations stipulate.</td>
</tr>
</tbody>
</table>

MANAGEMENT

9. **sS implementation in Joint Commands or Defence establishments.** sS are to ensure that this Defence Direction on FS is applied to their SP serving in Joint Commands or Defence Establishments, through their respective FS policy leads, and the agreed arrangements reflected in their implementation. Where pan-Defence issues arise, they should be raised initially through the DESPWG.

10. **Data capture.** sS should ensure that details of FS assessments and qualifications are captured appropriately in order to allow them to track and measure progress/success.

11. **Tracking.** sS may wish to ensure that the FS records for SP are transferred with them as they are assigned. In addition, sS should ensure that Individual Learning Plans (ILPs) are transferred when a SP moves and that there is appropriate liaison between the respective losing and gaining units to ensure that any programme of support is recommenced.

12. **Professional standards for FS support staff.** sS are to ensure that all staff employed in the delivery of FS assessment and provision hold the requisite professional qualifications, appropriate for their specific teaching/support role. Training staff should be provided with the opportunity to gain relevant professional qualification(s) free at the point of delivery and they must meet the requirements of the DTC Direction contained within this JSP. The specific qualification requirements are confirmed through the DESPWG.

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321 Flexibility is made available on the basis that the Phase 2 FS entry standards are rigorously imposed and are achieved within Phase 1 training resources.
13. **FS assessment and testing tools.** Only assessment and testing tools that have been validated against the national standards for FS are to be used. For the purposes of commonality, particularly in joint environments, sS should move to the adoption of common assessment and testing tools. This is to be co-ordinated through the DESPWG.

14. **Quality assurance.** sS are to ensure that all internally and externally delivered FS provision is quality assured in accordance with 3rd party assurance, the Common Inspection Framework (where applicable) and sS 1st and 2nd party assurance processes.\(^{322}\)

15. **IAG.** sS are to ensure that appropriate, high quality FS IAG is available, as required, to all SP and that they have access to specialist FS practitioners that can assess their needs and determine appropriate support options. This should be complemented by appropriate FS awareness training for all trainers (as part of their pre-employment training) employed in training units, establishments and groups; as well as recruiting and selection staff.

**FUNDING**

16. **Defence funding.** Defence FS provision will be (in most cases) a blend of in-house and external provision. FS provision and qualifications have been available and publicly funded in England since Sep 10. sS are to fund:

   a. **Specialist workforce.** Sufficient in-house specialist practitioners to meet the FS requirements that are not met from external or SFA/EFA-funded providers and, co-ordinate the delivery of that provision across their Service.

   b. **FS staff training.** Training for in-house specialist practitioners and support staff to meet the required professional standards, where this is not externally funded.

   c. **Trainee costs.** All direct and indirect costs incurred by initial training establishments, where training has to be extended to cover FS provision to meet the minimum FS Entry Level 3 standard, by the start of Phase 2 training.

   d. **FS resources.** FS support materials, essential ICT, audio-visual equipment and associated consumables, and any other essential resource costs.

17. **Public funding (outside Defence).** sS should fully exploit access to wider governmental, publicly funded FS provision and where appropriate, take advantage of opportunities to draw down public funding directly to support FS provision.\(^{323}\) This should be conducted within Government guidelines and in such a way that the balance of Defence and externally funded provision does not represent a strategic risk in the event of changing national priorities.

**POINTS OF CONTACT**

<table>
<thead>
<tr>
<th>Defence</th>
<th>C1 Personal Development and Education</th>
</tr>
</thead>
<tbody>
<tr>
<td>RN</td>
<td>Navy Command HQ, Trg, EL3</td>
</tr>
<tr>
<td>Army</td>
<td>HQ Army, AH L&amp;D, Pers Pol</td>
</tr>
<tr>
<td>RAF</td>
<td>Air Command, 22 Gp, Trg Pol</td>
</tr>
</tbody>
</table>

\(^{322}\) Plus requirements of Education and Skills Funding Agency (ESFA), where sS draw down public funding directly.

\(^{323}\) Through SFA and their equivalents in Northern Ireland, Scotland and Wales.
ANNEXES

A.  FS and ESOL Qualifications Levels and Proxy Qualifications.
B.  Components of FS Provision.
FS AND ESOL QUALIFICATION LEVELS AND PROXY QUALIFICATIONS

National FS and ESOL qualification levels

<table>
<thead>
<tr>
<th>Level</th>
<th>National Curriculum (NC) Equivalence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 2</td>
<td>GCSE Grades A* to C</td>
</tr>
<tr>
<td>Level 1</td>
<td>GCSE Grades D to G</td>
</tr>
<tr>
<td>Entry Level 3</td>
<td>NC Level 4 (Primary – Key Stage 2)</td>
</tr>
<tr>
<td>Entry Level 2</td>
<td>NC Level 2 (Primary – Key Stage 1)</td>
</tr>
<tr>
<td>Entry Level 1</td>
<td>NC Level 1</td>
</tr>
</tbody>
</table>

Defence approved proxy qualifications for FS

Despite Government direction that there are to be no proxy (substitute) qualifications for FS qualifications, Defence is authorised to determine FS proxies, for its own internal purposes (such as, recruit entry standards or for promotion). Where this is the case, UK qualifications that Defence will accept as proxies for FS Level 1 and 2 qualifications are shown below.

Proxy Qualifications for Level 1 FS (English) and FS (Mathematics)

<table>
<thead>
<tr>
<th>FS (English) Level 1</th>
<th>FS (Mathematics) Level 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>GCSE English – Grades 9 to 1</td>
<td>GCSE Mathematics – Grades 9 to 1</td>
</tr>
<tr>
<td>GCSE English Literature – Grades 9 to 1</td>
<td>Standard Grade Mathematics – Credit</td>
</tr>
<tr>
<td>AQA GCSE General Studies – Grades A* to G</td>
<td>Standard Grade Mathematics – General</td>
</tr>
<tr>
<td>Standard Grade English - Credit</td>
<td>Mathematics – Intermediate 1</td>
</tr>
<tr>
<td>Standard Grade English - General</td>
<td>Mathematics – Intermediate 2</td>
</tr>
<tr>
<td>English and Communication – Intermediate 2</td>
<td>Mathematics – Higher</td>
</tr>
<tr>
<td>English and Communication – Intermediate 1</td>
<td>Mathematics – Advanced Higher</td>
</tr>
<tr>
<td>English and Communication – Higher</td>
<td>Applied Mathematics – Advanced Higher</td>
</tr>
</tbody>
</table>

324 With effect from Summer 2017, in England, GCSEs awarded for English Language, English Literature and Mathematics will be graded on a scale of 9 to 1 (previously Grades A* to G). Subsequently, all other GCSEs will move to this new grading system from Summer 2018.

325 Other than GCSE English and mathematics.

326 From Oct 12, FS or GCSE qualifications became the mandated English and mathematics awards delivered within Apprenticeships. By Sep 17, all current Apprenticeship frameworks are to have been replaced with new standards and requirements – as detailed in the Future of Apprenticeships in England: Implementation Plan (Oct 13). Further information on the transition arrangements for can be found at www.gov.uk/government/topics/further-education-and-skills.
<table>
<thead>
<tr>
<th>FS (English) Level 1</th>
<th>FS (Mathematics) Level 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>English – Advanced Higher</td>
<td>Leaving Certificate Mathematics (Higher) Grade A1 - C2</td>
</tr>
<tr>
<td>Leaving Certificate English (Ordinary) Grade A1 - B3</td>
<td>Leaving Certificate Mathematics (Ordinary) Grade C1 - D3</td>
</tr>
<tr>
<td>Leaving Certificate English (Ordinary) Grade C1 - D3</td>
<td>GCE Mathematics Grade A to E</td>
</tr>
<tr>
<td>GCE English Language and Literature Grade A to E</td>
<td>GCE AS Use of Mathematics Grade A to E</td>
</tr>
<tr>
<td>GCE AS Level English Language Grade A to E</td>
<td>GCE AS Level Mathematics Grade A to E</td>
</tr>
<tr>
<td>GCE AS Level English Literature Grade A to E</td>
<td>GCE AS Level Pure Mathematics Grade A to E</td>
</tr>
<tr>
<td>GCE AS Level English Language and Literature Grade A to E</td>
<td>GCE AS Level Further Mathematics Grade A to E</td>
</tr>
<tr>
<td>GCE A Level English Language Grade A to E</td>
<td>GCE AS Level Statistics Grade A to E</td>
</tr>
<tr>
<td>GCE A Level English Literature Grade A to E</td>
<td>GCE AS Mechanics Grade A to E</td>
</tr>
<tr>
<td>Certificate in Adult Literacy – Level 1</td>
<td>GCE AS Discrete Mathematics Grade A to E</td>
</tr>
<tr>
<td>Certificate in Skills for Life ESOL - Level 1</td>
<td>GCE AS Applied Mathematics Grade A to E</td>
</tr>
<tr>
<td>Certificate in Adult Literacy – Level 2</td>
<td>GCE A Level Mathematics Grade A to E</td>
</tr>
<tr>
<td>Certificate in Skills for Life ESOL - Level 2</td>
<td>GCE A Level Pure Mathematics Grade A to E</td>
</tr>
<tr>
<td>Certificate in Adult Numeracy – Level 1</td>
<td>GCE A Level Further Mathematics Grade A to E</td>
</tr>
<tr>
<td>Certificate in Adult Numeracy – Level 1</td>
<td>GCE A Level Statistics Grade A to E</td>
</tr>
</tbody>
</table>

Proxy Qualifications for Level 2 FS (English) and FS (Mathematics)

<table>
<thead>
<tr>
<th>FS (English) Level 2</th>
<th>FS (Mathematics) Level 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>GCSE English – Grades 9 to 4</td>
<td>GCSE Mathematics – Grades 9 to 4</td>
</tr>
<tr>
<td>GCSE English Literature – Grades 9 to 4</td>
<td>Standard Grade Mathematics – Credit</td>
</tr>
<tr>
<td>AQA GCSE General Studies – Grades A* to C</td>
<td>Mathematics – Intermediate 2</td>
</tr>
<tr>
<td>Standard Grade English – Credit</td>
<td>Mathematics – Higher</td>
</tr>
<tr>
<td>English and Communication – Intermediate 2</td>
<td>Mathematics – Advanced Higher</td>
</tr>
<tr>
<td>English and Communication – Higher</td>
<td>Applied Mathematics – Advanced Higher</td>
</tr>
</tbody>
</table>

137 JSP 822 Pt 1 (V4.0 May 21)
## Notes

1. All publicly funded, national qualifications must be aligned to the QCF. The Frameworks have nine categories rising from Entry Level (expected primary school attainment – treated as a single pre-Level 1 category) through Level 1 (GCSE D-G) to Level 6 (Graduate) to Level 8 (Doctorate). See Figure 11 below.

2. National ESOL standards are the same as for FS (English). ESOL learners work towards these standards through a separate curriculum and programme of learning that is tailored specifically to the needs of learners whose first language is not English.

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27 The QCF was introduced in Sep 10 to replace the NQF. However, all FS qualifications remain on the NQF until directed by Office of Qualifications and Examinations Regulation (Ofqual). The QCF is being replaced by the Regulated Qualifications Framework (RQF) from 1 Oct 15. Ofqual expect the QCF will expire on 31 Dec 17.

28 Comprising three sub-categories: Entry Level (EL) 1, EL2 and EL3.
3. A proxy qualification is a recognised substitute qualification. An equivalent qualification is one that has the same recognised attainment standards but may vary significantly in the breadth of curriculum covered. For instance, the mathematics skills’ demands of a Certificate in Adult Numeracy at Level 2 are broadly the same as those of a GCSE Mathematics Grade A* to C (Level 2) but the breadth of the GCSE curriculum (and that assessed for qualification) is much greater than for the numeracy certificate. In this example, whilst both awards are equivalent, the Level 2 GCSE is a recognised proxy for the Level 2 certificate but not vice-versa.

![Diagram showing levels of education]

Figure 11
1. The full range of FS provision may be described as four broad categories:

   - **INITIAL ASSESSMENT**
   - **DIAGNOSTIC ASSESSMENT**
   - **LEARNING SUPPORT**
   - **TESTING FOR QUALIFICATION**

2. **Initial Assessment (IA).** IA gives an indication of the general level of a SP’s English, mathematics [or ICT] ability in terms of national attainment levels (from Entry Level 1 up to Level 2). Prior to IA, it may be desirable to conduct a quicker but less comprehensive screening or skills check to identify if a SP has difficulties in these areas. The results of screenings should not be used to determine a SP’s level of ability. IA should, where practical, be conducted only once (ideally as part of the recruitment/selection process) with results recorded for subsequent use and placed on JPA. Additional IAs should be considered when a year or more has elapsed and no FS learning programme has been followed.

3. **Diagnostic Assessment (DAss).** DAss identifies a SP’s specific ability profile and highlights strengths and areas for improvement. This helps to provide a description of learning needs and assists the specialist FS practitioner in the compilation of a learner’s ILP. The ILP is used to outline the short- and longer-term learning targets, the tailored programme to address the English and mathematics needs, as well as a record of progress and achievement. DAss should be conducted in a timely fashion in order for the FS specialist to devise a programme of support that is most appropriate for the needs of the learner.

4. **Learning support.** This is the programme of support developed by the specialist FS practitioner for the learner. It may comprise 1:1 tuition, group work, intensive courses, ICT-based programmes and distributed learning. For some, this support may be a week’s intensive course to brush up skills forgotten since school. For others with significant English or mathematics difficulties, this may require much longer term (and perhaps 1:1) support. This provision may be delivered as discrete, standalone FS programmes, or integrated/embedded within appropriate military/vocational training.

5. **Testing for qualification.** All FS programmes offered to SP must lead to the appropriate, nationally recognised qualification. This will most usually require an externally set and marked assessment. National qualification assessment criteria are issued by the Office of Qualifications and Examinations Regulation (Ofqual).
8.3 Accreditation of Training, Education and Skills

Policy Sponsor: TESRR, CDP

The provision of opportunities to gain nationally recognised civilian qualifications through the accreditation of education, training and experience is an important component of MOD civilian and military personnel strategies, since they provide recruiting, developmental, retention and resettlement benefits. Engagement in learning beyond the military requirement that is demanded by many accreditation schemes supports the development of general intellectual abilities. This enables personnel to contribute more effectively to the organisation, to respond better to change and to cope more effectively with the novel situations that the dynamic Defence environment presents.

SCOPE

1. This Defence Direction applies to all Regular and Reserve Service personnel (SP), and MOD Civil Servants (CS). The intention is to maintain a strategic approach to accreditation, by ensuring a close fit with external academic and skills developments and coherence across Defence. Differences in Terms and Conditions of Service (TACOS) between SP and CS are reflected in this Direction.

AIM

2. To set out the responsibilities for the provision of through-career accreditation, in order to support the delivery of Defence operational capability through improved personal effectiveness, contributing to recruitment, retention, career development and resettlement activities.

GOVERNANCE

3. The focus of this Direction is the accreditation of nationally recognised civilian qualifications rather than awards or professional memberships. Accreditation is to be sought for all mandatory military training and education, and some civilian training as and when appropriate, subject to it being able to meet all the criteria laid out in this Direction and the necessary resources being available. Accreditation is the gaining of a whole or partial civilian qualification through recognition of the internal training, education and experience of SP, against the qualification’s specific requirements. Where accreditation does not meet the requirements for the full national qualification, an accreditation scheme should provide opportunities for individuals to ‘top up’ their learning to enable them to achieve the full qualification through part accreditation and part additional learning. Accreditation schemes relating to Defence courses must be offered to all attendees on an equal opportunity basis. The identification of accreditation opportunities should be undertaken by the Heads of Profession (HoP), who have responsibility for the professional development of their

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329 Training Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.

330 A distinction should be made between accreditation schemes which simply accredit military training/experience and those that demand additional learning beyond the military training requirement and accreditation of military training experience. Where courses are short and un-assessed, sS may choose not to seek accreditation, where this is impractical or unfeasible.

331 This role is undertaken specifically by the Branch Managers in the Royal Navy, the Capability Directors in the Army and the Branch/Trade Sponsors in the RAF. HRD are working to determine responsibilities for this role (through HoPs) within the CS.
people, in conjunction with the appropriate Defence, CS\textsuperscript{332} and sS training establishments. The development of accreditation opportunities is to be pursued through a coherent governance process.

4. **Defence accreditation lead.** TESRR is the lead for the development of Defence Direction for accreditation, which is endorsed by the TESRR PAG\textsuperscript{333}. It will direct the implementation of this Direction through the DESPWG \textsuperscript{334}, which is attended by representatives of the Service Directors of Education (SDEs) and the CS HR Director. The Accreditation WG will sit, chaired by and with sS desk level attendance, prior to the Defence Accreditation Forum, which takes place biannually, in order to inform it. The role of the SDEs in the governance process is at Annex A.

5. **sS accreditation policy leads.** The accreditation policy leads for Defence are:

<table>
<thead>
<tr>
<th>Defence</th>
<th>C1 Personal Development and Education</th>
</tr>
</thead>
<tbody>
<tr>
<td>RN</td>
<td>Navy Command HQ, Trg, EL3</td>
</tr>
<tr>
<td>Army</td>
<td>Army HQ, AH L&amp;D, Pers Pol</td>
</tr>
<tr>
<td>RAF</td>
<td>Air Command, 22 Gp, Accreditation and Education Wing</td>
</tr>
<tr>
<td>CS</td>
<td>HRD, HR Strat</td>
</tr>
</tbody>
</table>

6. **Accreditation Sponsor.** Accreditation schemes are to be sponsored by either a HoP or an SDE. HoPs are to sponsor accreditation schemes relating to their professional area whereas the SDEs are to sponsor wider opportunities, such as schemes to gain management qualifications, unless the SDE agrees that a particular scheme would be more appropriately sponsored by another appointee. The responsibilities of the Accreditation Sponsor are detailed at Annex A. Where a scheme is run on a pan-Defence or tri-Service basis, the most appropriate Accreditation Sponsor will be nominated through the DESPWG.

7. **Commanders\textsuperscript{335}**. The key accreditation responsibilities and tasks of Commanders of both training and non-training establishments and units are at Annex A.

**SELECTION OF ACCREDITATION SCHEMES**

8. **Wider employability skills.** The Government regards the achievement of a full Level 2 qualification as the platform for wider employability. The Ministry of Defence fully supports the government apprenticeship agenda. Apprenticeships are an alternative route in to higher education. All employers\textsuperscript{336} with a pay bill over £3M pa pay 0.5%\textsuperscript{337} of their total pay bill to the HRMC as an apprenticeship levy. This money can then be drawn down to pay for apprenticeships which give the employee or serviceperson (SP) a nationally recognised qualification, at no cost to the individual.

\textsuperscript{332} In general terms CS are employed based upon being qualified, which differs from their military counterparts, who are predominantly ‘trained-in’ to their employment. Therefore, accreditation has more applicability to SP. Where appropriate, the CS will consider the accreditation of specialist skills gained within Defence, using the Civil Service Learning Gateway framework as the process through which such determinations are made.

\textsuperscript{333} TESRR Policy and Assurance Group, a 1* level, biannual meeting.

\textsuperscript{334} The Defence Education, Skills, Policy Working Group; an OF5 TESRR led, biannual meeting.

\textsuperscript{335} Commandants, Commanding Officers and Heads of Establishments.

\textsuperscript{336} https://www.gov.uk/government/publications/apprenticeship-levy-how-it-will-work

\textsuperscript{337} This levy is subject to change by HM Government.
9. **HE level skills.** A HE qualification (at Level 4 to 8) is generally needed for entry to most professions. Entry to HE through a Foundation Degree should lead to opportunities for full honours and postgraduate courses. Specifically:

   a. **Regular SP.** Accreditation Sponsors should look to develop personnel in all career groups the opportunity to enter HE through the Foundation Degree route, at an appropriate career development point. This may be through a trade specialism or through a more general scheme linked to broader generic competences such as management.

   b. **Reserve SP.** Opportunities should be developed by Accreditation Sponsors, where possible, for members of the Reserves within the constraints of their TACOS to gain credits from appropriate military training and experience that could be counted towards a HE qualification that will progress their development in the Reserves.

   c. **CS.** CS may undertake degrees where they support the development of skills in line with the Skills Frameworks and where there is a required business need, and appropriate management and financial approvals are obtained.

10. **Other principles.** In choosing the appropriate qualification for an accreditation scheme there are a number of other principles that are to be considered; these are at Annex B.

11. **Selection of awarding organisations.** The selection of the most appropriate awarding organisation is a key consideration in the overall development of an accreditation scheme. SS must consider the use of DAO for all existing or new accreditation requirements as appropriate, and use DAO for accreditation guidance.

12. **Selection and management of external accreditation scheme providers.** Where external accreditation schemes are publicly funded, external providers are to be selected in accordance with MOD commercial process. Technical evaluation criteria are to be based upon the principles listed at Annex C. CS should follow the appropriate management, commercial and procurement approval routes, in line with Cabinet Office guidance on external training.

13. **Professional memberships.** Requirements for membership of professional bodies vary, but generally comprise a combination of relevant training and education (normally demonstrated through achievement of an acceptable qualification) and demonstration of professional competence (often related to experience and job responsibilities). Where practicable, Defence courses should be mapped entirely, or in part, against the training and education requirements of a professional body.

**APPENDIX TO ACCREDITATION**

14. **Pre-existing training and education courses.** Many existing training courses have elements whose main purpose is to support accreditation. In some cases, these are explicit stand-alone periods whereas in others they have been incorporated through modification of

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338 All Foundation Degrees must be able to demonstrate clear routes of entry to full honours degrees, towards which they provide 240 out of the 360 credit points needed. An HND, on the other hand, provides 180 credit points.


340 See 2014DIN07-11, which describes the route to the market under the CS Learning Gateway process.
the course content under the original training objectives. It is important that pre-existing accreditation opportunities are not dismantled without viable alternative schemes being offered in their place. Consequently:

a. **Pre-existing accredited courses.** Those courses with additional accreditation elements are to continue to offer accreditation schemes on the same basis unless or until:

   (1) a major revision of the course training objectives and/or redesign is conducted.

   (2) a strategic review of comparable accreditation schemes within or between the sSs leads to a recommendation that changes are made to the accreditation scheme.

   (3) a significant change to the qualification’s content and/or assessment requirements is made.

b. **New courses and accreditation schemes.** New courses should be designed to satisfy the operational requirement, taking into account the course accreditation potential.

   (1) Additional content should not normally be added for accreditation purposes other than short periods to introduce and administer the scheme. However, the course designers should liaise with the designated Accreditation Sponsor to identify an appropriate scheme at the outset and seek to incorporate the mapping and assessment of accredited elements within the course where possible.

   (2) Only where it can be demonstrated by the Accreditation Sponsor\(^{341}\) that it is impractical or inefficient to deliver specific components of an accreditation scheme outside of the course programme, may it be extended to accommodate them. In these circumstances the Accreditation Sponsor must seek the approval of the sS Authorities and the training establishment (receiving the additional funding to extend the course, and reflected in the Formal Training Statement). Such an extension should not exceed 10% of the original course length.

   (3) The remaining elements of schemes that are not gained through the accreditation of courses must be pursued in the work place and/or through personal study, and be properly supported.

15. **Tracking and transfer of learner records.** Effective tracking of learner progress is essential to running successful accreditation schemes with high completion rates. Both Accreditation Sponsors and external providers (where used) must be kept updated with learner contact details to enable progress to be tracked. This is particularly important for SP who will often commence accreditation schemes in a training establishment and then complete them in productive Service. JPA can assist in the tracking of personal qualifications. It is the responsibility of accreditation scheme students to keep both the Accreditation Sponsor and the external provider (where used) updated with their contact details. However, training establishments and units should ensure that SP notify

\(^{341}\) The Accreditation Sponsor will often be the Training Sponsor but where this is not the case the Accreditation Sponsor must consult the Training Sponsor, in addition to the relevant training establishment.
accreditation scheme providers of changing circumstances (including withdrawal, where necessary) as part of routine administrative procedures.

16. **Personal documentation.** SDEs should ensure that appropriate guidance (ideally online) is available to support student accreditation scheme documentation.

17. **Quality assurance.** Quality assurance measures must be an integral part of all accreditation schemes, in accordance with:

   a. **External quality assurance standards.** All Skills Funding Agency (SFA)-funded provision is subject to inspection by the Office for Standards in Education (Ofsted). Defence also has a direct partnership agreement with Ofsted under which they will inspect aspects of Defence training, including those that are accredited. HE schemes must comply with academic standards developed by the Quality Assurance Agency (QAA) for HE. QAA reviews of academic institutions may extend to Defence schemes. Full support is to be given to all Ofsted inspections and QAA reviews.

   b. **Internal measures.** The achievement of national quality assurance standards should be underpinned by internal measures including the following:

      (1) **Analysis of learner evaluation surveys.** The Accreditation Sponsor is to develop a student feedback process to enable the survey and monitoring of schemes.

      (2) **Periodic evaluation of schemes.** The Accreditation Sponsor is to hold biannual reviews of schemes, to ensure they meet the needs of the individual, the Service and, if appropriate, external funding and awarding organisations.

      (3) **Internal Inspection.** Accreditation Sponsors may request the support of the SDE in the inspection of schemes. SDEs may also initiate their own inspections.

**FUNDING**

18. Accreditation is subject to the availability of resources. Where insufficient funding is available to comply with this Direction for a particular training stream or group, the SDE is to report the shortfall to the DESPWG for action.

19. **Mandatory civilian qualifications.** Where Defence people are assigned to posts for which a qualification is a mandatory requirement (reflected in the job specification), responsibility for funding the qualification lies with the sS or employing organisation which owns the requirement for the qualification to be held.

20. **Elective accreditation schemes.** Elective accreditation schemes can only be offered where any necessary additional costs can be funded. The potential sources of funding for include: the MOD, the SFA and the individual learner\(^\text{342}\). The provision of Defence accreditation schemes is limited by affordability, in terms of both direct and indirect costs, so it is necessary to ensure prioritisation of funding. In general, Defence should seek to raise skills levels from the bottom up. This has maximum impact on trainability and provides

\(^{342}\) Including SP access to the Defence Standard and Enhanced Learning Credit schemes, the Direction for which is contained within this JSP.
maximum return on investment. However, with multiple entry standards across the sS, accreditation schemes will have to vary accordingly, and there may be additional recruiting and retention factors that drive accreditation priorities.

21. **SFA funds.** SFA funds are to be drawn upon and managed in accordance with SFA regulations and guidelines.

22. **Personal funding.** For some (especially second and subsequent) qualifications Defence people may be required to meet the whole or partial cost of elective accreditation. In general, the higher the level of qualification offered through an accreditation scheme, the more reasonable it is for some of the cost to be borne by the individual. However, Defence will negotiate the most favourable cost with providers and/or Awarding Bodies. Where individuals are asked to make a personal contribution, it must be the same for all except where individuals can gain accreditation of prior learning that reduces the requirement and associated costs. SP can also draw on the Standard and Enhanced Learning Credit schemes. CS are able to apply for financial assistance as detailed in civilian training and development policy.

**MONITORING AND REPORTING**

23. Regular, accurate data is an important requirement for sSs to effectively manage their accreditation activities. Two sets of management information are to be maintained:

   a. **Directory of qualifications.** A directory containing details of all accreditation schemes maintained by sS, supported by SDEs and Accreditation Sponsors. This information can then be used to develop and evolve accreditation schemes across Defence.

   b. **Activity data and reporting.** Quantitative and qualitative data is to be gathered by SDEs and training establishments in accordance with sS reporting requirements. Completion rates of accredited courses are to be recorded and reviewed in accordance with current sS reporting procedures, as at 31 Jul each year (consistent with SFA/Academic year).

**ANNEXES**

A. [Responsibilities and Tasks for Defence Accreditation Activities](#).
B. [Principles Governing the Selection of Accredited Qualification](#).
C. [Direction for the Selection and Management of External Accreditation Scheme Providers](#).
D. [Apprenticeships](#).

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343 Direction relating to Standard and Enhanced Learning Credits is contained within this JSP.
RESPONSIBILITIES AND TASKS FOR DEFENCE ACCREDITATION ACTIVITIES

1. **Service Directors of Education (SDEs).** SDEs direct accreditation activity within their own Service and assist with Defence schemes for which they retain an interest:

   a. **Existing accreditation schemes.**
      
      (1) **Within own Service.** SDEs are to review and maintain existing accreditation qualifications in accordance with this Direction.
      
      (2) **Across Defence.** SDEs may be called upon by the DESPWG to assist with reviewing or maintaining existing accreditation schemes, where potential for convergence is identified.

   b. **New accreditation schemes.** SDEs are to approve all new accreditation proposals within their Service. Before doing so, each SDE is to:
      
      (1) review the proposal against existing schemes across their Service. Appropriate existing schemes should first be considered for expansion to incorporate the new proposal.
      
      (2) once satisfied that the proposal has utility, the DESPWG is to be informed so that Defence is kept situationally aware. The DESPWG may direct the expansion of pre-existing schemes to include the proposal, where appropriate and cost effective. TESRR PAG endorsement must be given before proceeding further.
      
      (3) designate an appropriate Accreditation Sponsor and ensure that the scheme complies with the principles regarding the selection of qualifications, awarding organisations and providers.

   c. **Manage SFA funding.** Draw down and allocate SFA funding, through a national contract, for eligible accreditation schemes for which the SDE is responsible. For SFA-funded schemes, assume responsibilities for their management in accordance with SFA requirements and Defence Direction. Report annually to sS PPO and TESRR PAG on the use of SFA funding.

   d. **Collect management information.** Gather periodic management information on all sS accreditation activities, and Defence schemes where they are the lead, in order to maintain the directory of qualifications and meet reporting requirements.

   e. **CS activities.** Ensure that CS HR team or line managers have access to appropriate advice and guidance accreditation schemes\(^{344}\).

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\(^{344}\) These are provided by the Service Directors of Education for each Service. In the CS this is provided by the Learning and Development Advisers within HRBP/HRD.
2. **Accreditation Sponsors** are to:

   a. **oversee sponsorship of accreditation schemes**; sponsor appropriate accreditation schemes and seek approval from the SDE and make adjustments where necessary.

   b. **lead the development of accreditation schemes**; co-ordinate the work of course sponsors, training deliverers, accreditation providers and awarding bodies to develop approved schemes.

   c. **support and guide**; provide support and guidance to training establishments in the development and delivery of accreditation schemes.

   d. **promote and update**; promote accreditation and promulgate updates and policy developments to all stakeholders within own Services.

   e. **evaluate delivery**; establish processes to review and evaluate the delivery of accreditation schemes on a biannual basis in conjunction with the accreditation scheme provider and other key stakeholders, and support wider reviews led by the SDE.

   f. **ensure relevance**; ensure that existing accreditation schemes remain relevant to Service and individual needs.

3. **Commanders** are to:

   a. **provide accreditation element delivery**; ensure the effective delivery of course-based elements of accreditation schemes, whether dedicated modules or accredited components of the training course.

   b. **promote schemes**; promote elective accreditation schemes to encourage maximum uptake.

   c. **provide agreed numbers of support staff**; where training establishment staff are involved in the assessment or verification of accreditation schemes, agree and maintain appropriate numbers of trained staff.

   d. **support learners**; provide support and mentorship to students pursuing accreditation activities. Ensure facilities are adequate to support study requirements.

   e. **facilitate Accreditation Scheme Provider delivery**; facilitate the Accreditation Scheme Provider, in accordance with contractual arrangements, including appropriate and timely access to learners; act as first line management for the resolution issues relating to the training course; support the Accreditation Sponsor.

   f. **maintain and transfer learner records**; ensure that schemes commenced elsewhere are documented and recorded when personnel arrive or return to their unit or establishment; maintain documentation of learners’ progress and ensure records are forwarded on assignment.
g. **identify Unit Advisers**: identify an appropriate training staff to provide advice and guidance to learners; Unit Advisers should ensure that line managers are aware of the specific accreditation schemes being pursued by their personnel.

h. **pursue accreditation activities during working hours**: provide opportunities for learners to meet tutors, attend study groups or workshops to complete approved accredited qualifications in normal working hours, where practicable.

i. **provide access to learner resources**: provide learners with access to ICT, including the Internet, and study facilities for legitimate accreditation-related activities.

j. **provide support staff**: trained personnel providing support as internal verifiers and assessors of accredited schemes.

k. **bring accreditation activities into the induction and appraisal process**: accreditation schemes are to be covered as part of induction, review and appraisal interviews, and reflected in training and development plans.

l. **provide management information**: provide management information to the Accreditation Sponsor, as required; actively monitor and take management action to maximise completion.

m. **promote a supportive learning environment**: promote accreditation schemes and ensure a supportive learning environment is maintained; consider the use of mentor schemes to support completion.

n. **recognise achievement**: ensure that all learner achievement is given due recognition.

4. **Withdrawal from accreditation schemes**. Defence people wishing to withdraw from accreditation schemes should discuss their reasons for wishing to do so with their line manager. Line managers should generally counsel strongly against withdrawal and explore positive options to overcome the underlying reasons, as failure to complete a scheme may have an impact on the learner’s ability and motivation to progress with further learning at a later stage. Where personal circumstances prevent continuing study at that time, the line manager should explore the possibility of pausing study until an agreed future point when the learner can continue.
PRINCIPLES GOVERNING THE SELECTION OF ACCREDITED QUALIFICATION

1. The following principles are to be applied to the selection of the most appropriate accredited qualification:

a. **Appropriate to the level of the learner.** Where practical and in line with broader training needs, an accreditation scheme should be no more than one level higher than the assessed or certified level of the students on entry. This can be important where Functional Skills (FS) are undertaken as part of an Apprenticeship programme\(^\text{345}\). Where a minority of learners are more than one level below the level of the course the scheme should only be adopted if it provides support for them to reach this required level before they begin the accreditation scheme\(^\text{346}\).

b. **Recognition by UK Qualification Frameworks.** Accredited qualifications should sit within the existing frameworks for England, Scotland, Wales and Northern Ireland.

c. **Appropriate to the course level.** Courses should be accredited to the highest justifiable and valid level. However, in mapping course components against the requirements of a civilian qualification, the majority must equate to the required level. Where this is not the case a lower qualification should be sought.

d. **Opportunities to achieve the whole qualification identified.** When accreditation is based on a course that does not fulfil the requirements to gain the whole qualification being pursued, the opportunity for learners to complete the remaining components must be confirmed before the qualification is selected. Such opportunity must be based either on activities that all learners should have the opportunity to undertake in their normal duties, or through further study offered by the accreditation scheme provider.

e. **Provision of assessor and verifier support.** There must be appropriately trained\(^\text{347}\) assessors and internal verifiers in place to support all learners undertaking schemes before they commence.

f. **Link to higher qualifications.** Wherever possible, selected qualifications should offer a route of progression to the next level of qualification. These must be identified at the outset and where necessary negotiated with the provider of the higher qualification beforehand.

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\(^{345}\) For Level 2 Apprenticeships, the FS requirement is Level 1. For Level 3 Advanced Apprenticeships, the requirement is FS Level 2.

\(^{346}\) The SFA will fund additional learning hours to raise the FS levels of those starting (SFA funded) Apprenticeships to the appropriate entry standard.

\(^{347}\) Meaning holding the appropriate assessor or verifier qualifications and meeting any other requirements specified by the respective Awarding Organisation.
DIRECTON FOR THE SELECTION AND MANAGEMENT OF EXTERNAL ACCREDITATION SCHEME PROVIDERS

1. **Quality assurance.** The provider is to comply with the Defence quality assurance principles that apply to the associated training and education courses on which it is based. In addition, the provider must specify how the relevant external quality assurance requirements will be met. These might include those applied by the Awarding Organisation, the HE Institution, Ofsted, the National Employers’ Service Audit Team or the Quality Assurance Agency, as appropriate.

2. **Recording, tracking and reporting.** The provider must demonstrate the ability to conduct effective recording, tracking and reporting (to the sponsor) of learner performance, and ensure data protection in accordance with the Data Protection Act 1998.

3. **Staffing levels, structures and resources.** The provider must demonstrate sufficient staffing levels, structures and resources to provide an effective accreditation service. Where the provider proposes to use military staff (such as, as internal verifiers) the requirement for such support must be fully articulated. The provider must further demonstrate their plan to train and maintain adequate numbers of qualified SP. The Accreditation Sponsor must ensure that Commanders agree to undertaking support to accreditation schemes before they commence.

4. **Learner support.** There must be adequate support to the learner at all stages of the accreditation scheme.

5. **Integrated into education or training courses and the workplace.** The Accreditation Sponsor is to ensure close liaison between the accreditation scheme provider and the key Defence stakeholders to ensure that accreditation activities are integrated into core activities as far as possible.

6. **Delivery in isolated locations.** The provider must demonstrate the ability to support and assess learners effectively when completing schemes in remote locations.

7. **Responsive to learner assignments and deployments.** The provider must be able to provide continuity of support when learners move to new locations. When learners are deployed on long exercises or operational tours, the provider must demonstrate the required flexibility to pause programmes or deliver by alternative means where practicable.

8. **Value for Money (VfM).** Defence will seek best VfM when contracting with external providers, regardless of whether schemes are funded by the MOD, other public funding or individual contributions (or a combination thereof). Any contribution by Defence to the delivery of an accreditation scheme such as marketing, the use of buildings or other resources is to be reflected in the cost of the scheme.

9. **Maximisation of completion rates.** Providers are expected to demonstrate that they can achieve a minimum of 75% learning completion rates.
10. **Continuous Improvement (CI).** Providers must demonstrate processes by which they will seek CI to support schemes. They must agree to target setting and periodic review with the Accreditation Sponsor, who is to consider setting progressively higher targets year on year, as part of an agreed development plan.

11. **Strategic considerations.** The selection of provider, be it new or a pre-existing, is to be endorsed by the SDE. The SDE may wish to refer this to the DESPWG for pan-Defence consideration. Providers for civilian staff should be chosen using the existing CS Learning Gateway framework process.
APPRENTICESHIPS

1. **General Principles.** The support of apprenticeships does not negate or override any principles contained within this JSP regarding the DSAT process. All apprenticeship training should be based on a clear requirement for that training. Where an apprenticeship requires more training than is required by the SP’s or MOD civil servant’s job, the appropriate CEB will need to make a judgement as to whether Defence is best served by providing the apprenticeship and providing additional training not required by Defence, or by training the SP/civil servant without providing an apprenticeship; however, accreditation should still be sought as per direction in this JSP.

2. **Support to OGDs.** sS and the CS are encouraged to support trailblazer groups and route panels with personnel where possible to facilitate the close match of apprenticeship standards to the relevant trade. sS are to inform TESRR of personnel attached to such duties. Personnel who attend trailblazer groups and route panels are to be aware they represent Defence and should liaise accordingly.

3. **Regular SP.** Where viable phase 2 training should be accredited through a relevant apprenticeship at an appropriate level. New recruits are to be offered the opportunity to commence an appropriate apprenticeship at a minimum of level 2 where a suitable standard exists or can be developed and is a viable way of delivering training. If one is not available, then an alternative qualification should be offered at no cost to the individual. sS and the CS are free to support through life development with apprenticeships throughout a person’s career. Through-life apprenticeships must be matched to job requirements.

4. **FTRS personnel.** Apprenticeships for FTRS personnel are at the discretion of the single-Services.

5. **Reserve SP.** The offer of a full apprenticeship to members of the Reserve Forces is not possible because of the constraints of their TACOS. An alternative strategy of accrediting transferable skills (such as leadership and management) should be developed by Accreditation sponsors to demonstrate the potential value to civilian employers of skills gained during military Service. Accreditation Sponsors should develop appropriate vocational accreditation opportunities, where possible. Where this is not possible, alternative opportunities to accredit transferable generic skills should be developed.

6. **MOD Civil Service.** Defence offers over 30 different apprenticeship schemes in many professional areas to its Civil Service staff. These schemes can be undertaken by existing staff as a way to upskill and build capability for the department or line managers can recruit apprentices to build a pipeline of new talent and skills for the department.

7. **Governance.** sS and the CS are responsible for delivering their own apprenticeship programmes, and for setting their own requirement. TESRR is responsible for providing overarching strategy for the Armed Services with the support of the sS and CS. TESRR is the lead for engaging with OGDs on behalf of the single Services, in particular the DfE, and sS are to inform TESRR of any engagement with OGDs. For civilian staff policies and strategies are the responsibility of CivHR and all engagement with OGDs and other key stakeholders will be conducted by them.
8. **Assurance.** Apprenticeships should undergo 1PA and 2PA as per this JSP and SS/CS direction. Training providers are inspected by Ofsted at training schools and in the workplace. This link provides information on the process. These inspections are organised by the SS in coordination with Ofsted; it is essential that they are not confused with the separate Welfare and Duty of Care inspections that TESRR commissions Ofsted to undertake.

9. **Levy.** The civil service and military are funded separately. Should the military/CS be running an underspend, especially if money is to be lost to treasury permanently due to the 2-year rule, the military/CS are encouraged to transfer levy to each other to support the whole force. This will be organised by TESRR with the support of the SS and CS. The Armed Forces pay the levy bill into a centralised levy pot. External training providers and the SS then draw down levy when the appropriate training is provided. The MOD CS contributes to a separate levy pot, which is then drawn down by external training providers when the appropriate training is provided.

10. **Co-funding.** Should the military and/or MOD civil service draw down more funding than they pay in they will enter co-funding where the government will fund 95% of the cost of the apprenticeship. The ESFA Funding website is used to monitor military and MOD civil service funding. A named person for each service is to ensure that only those personnel from their service requiring access are given access, and that when people no longer require access they have their access removed. For CS the Apprentice Management Office is responsible for managing the funding.

11. **Functional skills.** Apprenticeship frameworks and standards require Functional Skills. SS and the CS are to follow functional skills (FS) rules as required by the ESFA. SS and the CS should also follow any FS direction contained within this JSP.

12. **Apprenticeship leads.**

<table>
<thead>
<tr>
<th>Defence</th>
<th>SO1 Trg Strategy TESRR (People-TESRR-Skills Strat SO1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>RN</td>
<td>Head of Naval Service Apprenticeships (NAVY TRG HQ-LDO CDR)</td>
</tr>
<tr>
<td>Army</td>
<td>SO1 Apprenticeships (Army Pers-Pol-Apprenticps-SO1)</td>
</tr>
<tr>
<td>RAF</td>
<td>Head of Apprenticeships (22Gp-APP-SO1)</td>
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<tr>
<td>CS</td>
<td>Apprenticeships AHd Civ HR (People-CivHR-Strat AppsOR AHd)</td>
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</tbody>
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348 This is subject to government review and change.
8.4 Standard Learning Credit Scheme

Policy Sponsor: TESRR, CDP\textsuperscript{349}

The MOD promotes lifelong learning among members of the Armed Forces, and this is encouraged through the Learning Credit schemes. The Standard Learning Credit (SLC) scheme supplies financial support, throughout the career of Service personnel (SP), for multiple, small-scale Learning Purposes to further motivate Regular and Reserve SP to pursue personal development throughout their Service. All SP seeking SLC support are required to adhere to this Direction.

SCOPE

1. The generic use of the term SP throughout this Direction implicitly includes serving Regular and Reserve Armed Forces personnel who meet the eligibility criteria for this scheme. These definitions provide the scope for this Direction:

   a. ‘Ed Staff’ refers to all RN/RM, Army and RAF education and resettlement staff, including: RN/RM Education and Resettlement Officers (EROs), Naval Resettlement Information Officers (NRIOs), RN and Army Learning and Development Officers (LDOs); and Individual Education and Resettlement Officers (IEROs), and RAF Learning Centre and Education Staff.

   b. The term ‘Learning Provider’ (LP) is used to describe any educational or training institutions who deliver courses that may or may not result in the award of a nationally recognised qualification.

   c. The term ‘Learning Purpose’ is used to describe the reason or objective of learning, which \textbf{could} be in direct pursuit of a nationally recognised qualification in order to be eligible for SLC support. There is no restriction on the way the training can be delivered i.e. self-tuition packages, computer-based training, distance learning, informal teach-ins are all acceptable as are more formal classroom-based methods.

   d. The terms ‘applicant,’ ‘claimant’ and ‘learner’ describe individuals accessing this education support scheme. For ease, the term SP will be used throughout.

AIMS

2. The aims of the SLC scheme are:

   a. To provide funding support to SP who wish to enhance their educational or vocational achievements.

   b. To enhance the reputation of the MOD, thereby encouraging the recruitment and retention of high-quality SP.

\textsuperscript{349} Training, Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.
FEATURES

3. SLC is a personal development refund scheme and operates as an annualised allowance, available each FY. It does not operate as an account in which the allowance can be carried forward from FY to FY, nor does the scheme permit retrospective payments from previous FY, except in exceptional operational or compassionate circumstances. SLC is paid, as a refund, to SP upon completion of a Learning Purpose. Where SLC courses are due to be completed after the March Payroll and before the end of the FY (ie 31 March) respective SLC claims would normally be processed on 1 Apr and will be applied to the next FYs entitlement. TESRR and the three Service leads for SLC have agreed that should the SP wish to claim SLC against their current FY SLC entitlement they are to gain confirmation, in writing from the appropriate learning provider at the beginning of March, that they have been satisfactorily attending the course and will complete it prior to 31 March. The SP may then submit their SLC claim, in advance of the March Payroll, to their Local Training Manager/Unit HR Administrator for processing within the current FY. The responsibility to obtain the learning providers confirmation and submitting the claim prior to the March Payroll date lies with the SP only (Link to JPA BPG for SLC claims is here).

4. SLC is not an entitlement. Provided SP fulfil the relevant criteria (set out below) they will be eligible to claim SLC support. Eligible SP may claim 80% of fees, up to a maximum of £175 per FY, paid to LPs for certain personal development courses, examinations and support. This support is provided on a ‘burden sharing’ basis reflecting the mutual benefit that personal development brings to the SP and the organisation. SP in receipt of funding are expected to make a personal contribution using their own funds, as well as using off-duty or leave periods for study. Undertaking SLC funded study does not confer duty status and does not count towards Reserve training commitments or bounty arrangements.

ELIGIBILITY CRITERIA

5. Before embarking upon an activity for which SLC may be claimed, the SP is to be interviewed by Ed Staff, which can be conducted remotely, SP should consider:

   a. relevance of the course or qualification to their personal development goals and choice of funding.

   b. their ability to cope with the pressures of study (or provision of evidence for assessment), the flexibility of the study method and the risk of disruption, and loss of course fees, by exigencies of Service life.

   c. Furthermore, all the following conditions must be satisfied:

      (1) The SP must be authorised to undertake the activity and registered with Ed Staff in accordance with single Service (sS) instructions.

      (2) The SP must be able to demonstrate that the activity will directly benefit the Service, unless the activity is being undertaken as preparation for resettlement.

      (3) The proposed activity has a substantial developmental value or, where applicable, resettlement content, and is appropriate to the SP personal development needs and within their ability. Evidence that the activity is part of a Personal Development Plan (PDP) contained within a Personal Development Record (PDR) will assist in securing this support.
d. SP who claim ELC support may not simultaneously claim SLC support (e.g. SLC may not be used to fund an exam for a course which has been supported by ELC funding).

e. For eligible courses it is permissible for Service Leavers (SL) undergoing resettlement to use the Individual Resettlement Training Cost (IRTC) grant, in addition to SLC. It is permitted, in these circumstances only, for SL to use the IRTC grant to offset, or pay in full, the 20% personal contribution required when using SLC. Allowing SL to use both funding streams ensures that they have the greatest level of flexibility when financing their preferred Learning Purpose.

f. Claims for both SLC and IRTC to pay towards a single resettlement learning activity should continue to be submitted in accordance with each scheme’s regulations. Any unspent IRTC may be directed towards another training activity. It is the SLs responsibility, using the advice and guidance from Ed Staff and Resettlement Advisers, to determine how best to optimise the funding support available when undertaking resettlement.

g. Other than the use of SLC and IRTC when undertaking resettlement, the SP must not be in receipt of any other funding from Service sources for the proposed activity, including ELC\(^{350}\).

h. Any learning activity undertaken must be done so by the most cost-effective means. Proof that learning has taken place must be produced, this is not limited to formal certificates and can include electronically held records of learning, such as progress reports and records of learning hours. The SP must agree what evidence will be produced at the time of the SLC authorisation with their Ed Staff.

**ELIGIBILITY TO CLAIM**

6. Subject to the eligibility criteria above, where applicable, Regular and Reserve\(^{351}\) SP may be eligible to claim from SLC for the following:

a. **External courses and qualifications.**

   (1) Part-time academic and vocational courses at Further Education (FE) colleges and similar institutions.

   (2) Learning courses which require regular attendance at a local access centre.

   (3) Courses of individual tuition (including foreign language).

   Leading to the contribution to, or award of, a nationally recognised qualification as defined at:

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\(^{350}\) SLC is not to be used to pay for Summer/Residential school fees.

\(^{351}\) From 1 Apr 2014, the following categories of Reserve personnel may be eligible to SLC:

- Volunteer Reserves – RN Reserve, RM Reserve, Army Reserve (excluding Reserves in category B), Royal Air Force Reserve.
- Full-Time Reserve Service (FTRS) (including personnel serving on Full Commitment, Limited Commitment, Home Commitment and Home Commitment Reserve Staff Group (RSG).
- Additional Duties Commitments (ADC).

(b) The National Academic Recognition Centre for the UK (UK NARIC); www.naric.org.uk.


(d) The Scottish Credit and Qualifications Framework (SCQF); https://scqf.org.uk/.

(e) The Scottish Qualifications Authority (SQA); https://www.sqa.org.uk/sqa/70972.html.

b. **Scottish/National Vocational Qualifications (S/NVQs).** S/NVQs are recognised national qualifications designed to be gained in the workplace and are eligible. SLCs cannot be claimed for an S/NVQ gained only through submission of a portfolio of evidence; there must be evidence of fresh individual work (not merely work previously undertaken) leading to the completion of a portfolio of evidence. Recognition of Prior Learning (RPL) assessment fees leading to partial or complete qualifications are eligible. Applicants must prove to Ed Staff that they have undertaken a minimum of 30 hours new additional work.

c. **Distance learning courses.** Distance learning and online courses are eligible, provided that Ed Staff, or appropriate sS Authority, approve them. Distance learning and online courses for resettlement during the last 24 months are administered under normal SLC arrangements.

d. **Resettlement preparation courses.** Resettlement activities are eligible once a SL has formally commenced their resettlement. Fees paid for courses which form part of a SL’s resettlement strategy may be eligible for a full or partial refund:
<table>
<thead>
<tr>
<th>Ser</th>
<th>Time period eligibility and admissibility</th>
<th>SLC for educational purposes (inc personal development, S/NVQ)(^1)</th>
<th>SLC for resettlement purposes(^2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Throughout career up to last 24 months</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>2</td>
<td>Last 2 years of Service - eligible for Graduated Resettlement Time(^1, 3, 4)</td>
<td>YES</td>
<td>YES(^4)</td>
</tr>
<tr>
<td>3</td>
<td>Earlier than last 2 years of Service for those over 50 years of age or with 30 or more years' Service (^1, 4)</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>4</td>
<td>Last 2 years of Service - ineligible for Graduated Resettlement Time</td>
<td>YES</td>
<td>YES</td>
</tr>
</tbody>
</table>

\(^1\) S/NVQ - Individuals cannot claim SLC for an S/NVQ gained through witness testimony only. There must be evidence of fresh individual work, preferably in written format, although audio/video recording is an acceptable form of evidence of a professional discussion. Branch or trade training is not admissible.

\(^2\) A course which supports an individual’s approved resettlement strategy. Branch or trade training is not admissible. For resettlement purposes only, the course undertaken need not result in a nationally recognised qualification.

\(^3\) Agreed Tri-Service resettlement preparatory phase normally the last 24 months.

\(^4\) For details of the Graduated Resettlement Time Scheme, see JSP 534: Tri-Service Resettlement Manual.

e. **Deferred resettlement.** The use of SLC during deferred resettlement is subject to the scheme regulations that would have applied if the SLC had been used pre-discharge. Deferred SLC use is not permitted if SLC was drawn down in the last year of Service.

f. **External examinations.** Fees paid for examinations are eligible. This includes fees paid for examinations\(^352\) taken following an eligible resettlement training course, including those at Regional Resettlement Training Centres, which leads to a nationally recognised qualification. A refund is also admissible for the cost of an assessment, which leads to the award of a recognised qualification following a course for which no fees have been paid.

g. **Professional bodies and institutes.** Initial registration and accreditation fees paid to professional bodies and institutes expressly to gain qualifications (i.e. Certificates or Diplomas rather than categories of membership) are eligible.

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\(^352\) SLC cannot be used to pay for an exam for a course which has been funded by ELC.
h. **Specific Learning Difficulties (SpLD)**\(^{353}\). SP, identified by a SpLD Adviser as likely to have a SpLD, are eligible at any stage in their career to claim SLC support for formal external assessment, in line with sS policies. Before such an external professional\(^{354}\) is engaged, clearance for funding must be sought in line with this Direction. The external professional must be made aware of the over-arching ethos behind the Defence approach to SpLD. Specialist tuition and support\(^{355}\) for a SP professionally diagnosed with a SpLD need can be funded through SLC, provided: the support has been recommended in the Individual Learning Plan (ILP) produced by the SpLD Adviser or the external professional’s report; any software is bought in direct support of the SP’s SpLD; and all other requirements for claiming SLC are observed.

i. **Credit transfer fees.** Fees charged by FE or Higher Education Institutions (HEIs) to calculate the amount of course credits which may be awarded to a SP based upon previous academic and vocational qualifications and experience are eligible.

j. **Coaching and management of sport and Adventurous Training (AT).** Courses and qualifications which are required for the coaching and management of sport or AT in the Services, provided that they are in support of a SP’s PDP, and recorded, are eligible. There must be evidence of intellectual development. Cases of this kind are to be examined by Ed Staff and where there is any doubt, they should be referred to appropriate sS Authority. SP must prove either that the activity is not provided under the auspices of Joint Service Adventurous Training Schemes (JSAT) or that a place is not available on such a course\(^{356}\). In some cases, qualifications are available through courses sponsored and authorised by sS Sports Boards. Ed Staff should check availability before approving the use of SLC.

k. **Initial driver training courses.** For SP outside their resettlement phase, SLCs may be used to fund driving training in order to obtain a first driving licence. The use of SLCs to fund additional categories of licence or advanced driver training is not admissible. SP within their resettlement phase, however, may use SLC to fund additional driver training.

l. **Paid maternity/paternity leave** qualifies as eligible service as SLC use but not unpaid additional maternity/paternity leave.

m. **Online Courses.** Payments and individual course fees where these are required for certification of completion, the earning of academic credit and the retention of learning material beyond the end of the course. This refers to a one-off payment or upgrade necessary to access a particular course or programme of courses. It is not to fund a subscription, which is a regular payment (e.g. monthly) with no specific learning attached to it.

n. **Books and training materials.** Where there is a requirement within the course to purchase course books or training materials i.e. audio/video tapes or digital files, course books or literature, other stationery, compact discs these can be funded by SLC and at the end of the course the SP could retain them tax free. However, SLC funding cannot be used by SP for simply purchasing study books (without undertaking a course).

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\(^{353}\) Defence Direction for SpLD is provided elsewhere in this JSP and is in line with sS policies.

\(^{354}\) Such as an Educational or Occupational Psychologist.

\(^{355}\) Such as assisted technology. Note this excludes tints/lenses for use by SP with SpLDs.

\(^{356}\) A list of JSAT courses can be found in JSP 419: Adventurous Training in the UK Armed Forces.
or purchasing books which are unrelated to a training course they are not actually undertaking.

o. **Language courses or language refresher courses** in preparation for a possible (but not agreed) move to an overseas location, in support of Defence Engagement activity, or in the development of a Defence priority language. However, refer to paragraph 8.d.

7. The maximum proportion of any fee which may be refunded is 80%; the SP is responsible for the balance through a personal contribution. The total amount which may be refunded to an individual in respect of fees paid in any of the above categories in any FY is £175. The MOD forbids the acceptance of inducements or incentives from LP, including subsidies, free accommodation, travel, food and equipment. SP who breach these rules risk forfeiting their SLC support.

8. **Where SLC may not be claimed.** SLC may not be claimed for:

   a. **Service training.** General Service training, courses or qualification undertaken for the benefit of a Service, branch, trade or specialism.

   b. **Civilian accredited Service training.** The funding of qualifications and examinations of this kind is not within the spirit of SLC. The only case for authorising a refund under SLC in this area is where both criteria are met:

      (1) A minimum of thirty hours of additional work, which is not an integral part of the Service course syllabus and is completed in the SP’s own time. Applicants must prove to Ed Staff that they have undertaken a minimum of **30 hours new additional work**.

      (2) An examination, assessment or assignment which is not an integral part of the Service course syllabus, is assessed by an external assessor and is undertaken by the SP as an option.

   c. **Professional bodies and institutes.** Annual membership fees for institute or professional bodies, other than in the first instance where membership is required as part of gaining a qualification (para 6.g. refers). Membership fees and subscriptions to professional bodies may be reclaimed against income tax. Further details are at: [www.hmrc.gov.uk/incometax/relief-subs.htm](http://www.hmrc.gov.uk/incometax/relief-subs.htm).

   d. **Language courses** purely for leisure or personal interest.

   e. **Pure sport and AT.** All sporting and AT, or courses where the aim is solely to learn the sport or activity or improve by undertaking that sport or activity (refer to paragraph 6.j.).

   f. **Battlefield tours.**

   g. **City and Guilds Professional Recognition Awards scheme.** No additional study is undertaken towards this qualification.

9. **Continued eligibility during resettlement.** In the event of medical discharge of SP, the eligibility to continue payment of SLC is to be assessed using the qualifying criteria
detailed in JSP 534 - The Tri-Service Resettlement and Employment Support Manual. The SLC allowance may be used by the SP post discharge at the discretion of the sS.

10. **Transfer of eligibility to spouse or partner.** In the event of death or medical discharge of a SP due to injury or illness, caused or worsened by Service in the Armed Forces and whose condition renders them unable to utilise their SLC, it may be permissible to transfer payment of tuition fees to the individual's spouse, eligible partner or family member under a tax exemption. The eligibility to transfer payments is reliant upon study being at **Level 3**, or equivalent, on the Regulated Qualification Framework or higher.

11. **Authority for travel.** There is no entitlement to travel at public expense for SLC funded training purposes, unless the SLC is drawn for resettlement activities in accordance with JSP 752: Tri-Service Regulations for Expenses and Allowances.

**MAKING A CLAIM**

12. **Making an application.** sS have procedures for processing and implementing SLC applications. **Before embarking on a SLC funded course,** SP must complete the Tri-Service application form (MOD Form 1950 – link here: SLC Application Form) and ensure it is signed by their Ed Staff and Line Manager. Without this SP will be ineligible for a refund. MOD F1950 can be obtained from all RN/RM, Army and RAF education and resettlement staff.

13. **Submitting a claim.** The SLC claim submission process is:

   a. **Courses up to 12 months.** The refund payment is to be made on completion of the course. That is to say after the SP has taken the relevant examination or, for non-examination courses, on production of evidence of satisfactory attendance throughout, or of a certificate of course completion from the institute concerned. This is not limited to formal certificates and can include electronically held records of learning, such as progress reports and records of learning hours. Only one payment may be made per course, even if it begins and ends in different FYs. The payment is normally to be made in the FY in which the course is completed. Where there are exceptional operational or compassionate circumstances that prevent the claim being made by FY end, a case should be presented to the relevant sS at the earliest opportunity, in accordance with JPA guidelines.

   b. **Courses exceeding 12 months.** For courses lasting longer than 12 months, the refund payment may be paid at the end of each study year, on production of evidence of satisfactory attendance for that period. SP must complete the appropriate sS application form for each year of study for which they intend to claim a refund. Further claims may be made at 12 monthly intervals, and on completion, normally subject to a maximum of three refunds for any one course of study.

14. **Refund payments.** The SLC refund payment procedure is:

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357 Injury or illness which is made worse by service is described in JSP 765 and requires endorsement under the Armed Forces Compensation Scheme.

358 ‘Qualification level learning’ means a first qualification at Level 3 or above on the Regulated Qualification Framework or Devolved Administrations equivalent, a first vocational qualification which is the equivalent of the preceding qualification, a first undergraduate degree (including a foundation degree), a first Higher National Certificate, a first Higher National Diploma or such other equivalent qualifications in respect of which qualifying persons may claim tuition fees.
a. **Payment of refunds.** The authorisation and payment of refunds is to be carried out in accordance with sS procedures.

b. **Assignments and withdrawals.** If a SP is assigned during a course, the information on any refunds authorised or paid during the current FY is to be included with the SP’s personnel records according to sS instructions. If, as a result of assignment, discharge or retirement, an SP must withdraw from a course, or complete it after discharge, a refund of fees will not normally be admissible. However, if the assignment, discharge or retirement could not have been foreseen at the time of enrolment, a refund up to the full value of SLC may be authorised. A refund in excess of £175 will not be authorised.

c. **Refunds to members of other Services.** Refunds may be authorised within the scheme to members of other Services providing the above criteria are met and the SP cannot reasonably be expected to process a claim through their parent Service. All such refunds are to be carried out in accordance with the instructions of the administering Service.

15. **Further Guidance.** Further sS Guidance is available from:

<table>
<thead>
<tr>
<th>Service</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>RN</td>
<td>RN/RM Education and Resettlement Officers (EROs), Learning and Development Officers (LDOs) and Naval Resettlement Information Officers (NRIOS) at RN/RM Learning Centres. Education and Resettlement Staff seeking further clarification of sS instructions should contact SO3 EL3R, at ‘NAVY TRG HQ-LDO POL RESET ELC’ (Mil: 93832 5954).</td>
</tr>
<tr>
<td>Army</td>
<td>Individual Education and Resettlement Officers (IERO) and Learning and Development Officers (LDOs), at Army Education Centres, which must be used by SL on resettlement. Education and Resettlement Staff seeking further clarification of sS instructions should contact the relevant SO2 Retention and Resettlement in Regional Command (RC): RC-Pers-ETS-N-RetResSO2 or RC-Pers-ETS-SRetResSO2</td>
</tr>
<tr>
<td>RAF</td>
<td>Personal Learning Advisors (PLAs), and Resettlement and Education Coordinators (REC) at RAF Learning Centres. Education and Resettlement Staff seeking further clarification of sS instructions should contact SO3 Accreditation and Education Wing at ‘22TrgGp-CTSAndEWg-SO2’ (Mil: 95751 6888).</td>
</tr>
</tbody>
</table>

ANNEX

A. Application for Standard Learning Credits (SLC) Funding – MOD Form 1950 (Revised 03/14).
APPLICATION FOR STANDARD LEARNING CREDITS (SLC) FUNDING

MOD Form 1950 (Revised 03/14)

SLC funding cannot be claimed retrospectively. Prior authorisation must be obtained or the application will be refused.

Part 1: Personal details (please use block capitals)

<table>
<thead>
<tr>
<th>Rank/Rate:</th>
<th>Surname:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Forename</td>
<td>Service Number:</td>
</tr>
<tr>
<td>TX/Discharge Date:</td>
<td>Ship/Station/Unit:</td>
</tr>
<tr>
<td>Section/Unit Address (in full)</td>
<td>Unit Identification Number (UIN):</td>
</tr>
</tbody>
</table>

Part 2: Course details

<table>
<thead>
<tr>
<th>Course Title</th>
<th>Awarding Body</th>
<th>Level of Qualification</th>
<th>SQL No. (Ed Staff use only)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Qualification Gained</td>
<td>Name &amp; Address of Learning Provider</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Start Date</th>
<th>End Date</th>
<th>Total Cost of Course £</th>
<th>SLC Amount £</th>
<th>Applicant Contribution (min 20%) £</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<td></td>
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</tbody>
</table>

Method of Study: Day/Shift Release Yes No

Part 3: Reason for study/previous course details

Details of previous study/courses relevant to this application:

Reason for study:

What benefit will this course bring to the service?
Part 4: Undertaking by Applicant

I have read the relevant policy. This learning activity forms part of my Personal Development Plan. I agree to inform the relevant Ed Staff of any changes in circumstances that may affect my ability to complete my course of study.

Applicant’s signature:         Date:

Part 5: Action by Applicant’s Line Manager

I have noted the details of the course at Part 2 and I approve/do not approve this application to study.

<table>
<thead>
<tr>
<th>Name:</th>
<th>Signature:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date:</td>
<td>Contact Tel:</td>
</tr>
</tbody>
</table>

Part 6: Action by the sSS specific Education/Training/Learning/Resettlement Officer

* I have consulted the applicant and confirm that this course is eligible for SLC funding in accordance with the relevant policy.

* I have consulted the applicant and informed them that this course is ineligible for SLC funding.

* Delete as appropriate.

<table>
<thead>
<tr>
<th>Ed Staff Name:</th>
<th>Contact Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ed Staff Signature:</td>
<td>Date:</td>
</tr>
</tbody>
</table>

Explanatory Notes (Ed Staff use only):

<table>
<thead>
<tr>
<th>RN</th>
<th>Education &amp; Resettlement Officer (ERO)</th>
</tr>
</thead>
<tbody>
<tr>
<td>RN</td>
<td>Learning and Development Organisation Operations Officers (LDO Ops Officer)</td>
</tr>
<tr>
<td>RN</td>
<td>Naval Resettlement Information Officer (NRIO)</td>
</tr>
<tr>
<td>Army</td>
<td>Army Education Centre ETS Officers/Individual Education and Resettlement Officers (IEROs)</td>
</tr>
<tr>
<td>RAF</td>
<td>Personal Learning Adviser (PLA)</td>
</tr>
</tbody>
</table>

Name: Signature: Date: Contact Tel:
8.5 Enhanced Learning Credit Scheme

Policy Sponsor: TESRR, CDP359

The Ministry of Defence (MOD) promotes lifelong learning among members of the Armed Forces, and this is encouraged through the Learning Credit schemes. The Enhanced Learning Credit (ELC) scheme helps eligible Service personnel (SP) or Leavers (SL) with the cost of learning. The Scheme allows a single award in each of a maximum of three separate Financial Years, or a single aggregated lower tier award. ELCs may be claimed for learning which is an integral part, and results in the cost-effective achievement, of a nationally recognised qualification at Level 3360 or above. The ELC scheme permits Regular SP to pursue their personal development, both during their Service and generally for 5 years after discharge361, subject to the eligibility criteria being met. This Defence Direction explains the rules of the ELC Scheme as it applies to SP. All SP eligible to receive ELC support are required to adhere to this Direction. The rules of the ELC Scheme are based on legislation362.

SCOPE

1. The following terms, defined as below, are used in this Direction:

   a. ‘Ed Staff’ refers to all RN/RM, Army and RAF education and resettlement staff, including: RN/RM Education and Resettlement Officers (EROs), Naval Resettlement Information Officers (NRIOs), Learning and Development Organisation Operations Officers (LDO Ops Officer); Army Learning and Development Officers (LDOs) and Individual Education and Resettlement Officers (IEROs); and RAF Learning Centre and Education Staff.

   b. The Designated Officer for the ELC scheme is ‘People-TESRR-PersDev Ed C2’ and works on the staff of TESRR, CDP in the MOD.

   c. The contractor to administer the ELC scheme is M Assessment Services Ltd (branded the Enhanced Learning Credit Administration Service (ELCAS)) and known as the Customer Service Provider (CSP).


   e. The term ‘Learning Provider’ (LP) is used to describe those educational or training institutions that are eligible to provide courses under the ELC scheme and are properly registered and endorsed by the CSP.

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359 Training Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.
360 (A level and equivalent) and above as defined by the Regulated Qualification Framework (RQF) (England, Wales and Northern Ireland), a Level 6 or above on the Scottish Credit and Qualifications Framework (SCQF) or, if pursued overseas, an approved international equivalent higher-level qualification.
361 See paragraph 11.
f. The term ‘Learning Purpose’ is used to describe the reason or objective of learning, which must be in direct pursuit of a nationally recognised qualification at Level 3 or above in order to be eligible for ELC support.

g. The terms ‘applicant,’ ‘claimant’ and ‘learner’ describe individuals accessing the ELC scheme. For ease, the generic terms ‘SP’ and ‘SL’ are used and include serving Regular and ex-Regular Armed Forces personnel who meet the eligibility criteria for this scheme.

h. ‘Date of enlistment’ also includes date of commission (where relevant).

AIMS

2. The aims of the ELC scheme are to:

a. Provide funding support to SP who wish to enhance their educational, academic, professional or vocational achievements by pursuing learning (Level 3 to 8); and

b. Enhance the reputation of the MOD, thereby encouraging the recruitment and retention of high-quality SP.

FEATURES OF THE ELC SCHEME

3. The features of the ELC scheme:

a. ELC is not an entitlement unless SP and SL fully satisfy the eligibility criteria of the scheme to claim ELC support.

b. ELC is not a refund scheme. Under no circumstances will MOD refund any SP or SL who pay for or commence their learning in advance and subsequently seek a retrospective ELC claim.

c. Prior to 1 Apr 16, SP were required to make a positive commitment to Level 3 to 8 lifelong learning by registering as a member of the ELC scheme to claim ELC support. From 1 Apr 16, those completing Phase 1 training, plus all currently serving SP who are not already members of the ELC scheme, will automatically become members of the scheme.

d. Three types of ELC award are available:

(1) The Lower Tier level provides funding for up to a maximum of 3 awards of up to £1k per FY. SP or SL must have completed either 4 or more years’ qualifying service completed before 1 Apr 17, or otherwise 6 or more years’ qualifying service completed on or after 1 Apr 17.

(2) From 1 Apr 16, a new type of award is available, called an Aggregated Lower Tier award, which provides a single award of up to £3k for SP who have completed 6 or more years’ qualifying service on or after 1 Apr 16. This type of award may not be taken by SP or SL who previously accessed a Lower Tier award or who qualify for Higher Tier awards.

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(3) The Higher Tier level provides funding for up to a maximum of 3 awards of up to £2k per FY. SP or SL must have completed 8 or more years’ qualifying service.

Providing SP and SL meet all the eligibility criteria, they may make ELC claims in up to three separate FYs (which need not be consecutive and may be a combination of Lower Tier and Higher Tier awards) either while in Service or generally for 5 years after discharge\(^{364}\). ELC funds may be directed at one Learning Purpose (such as successive years’ study towards a particular qualification) or different Purposes in each of the 3 years. An Aggregated Lower Tier award replaces the 3 Lower Tier awards that could otherwise be made.

e. ELC is an individual award to assist in the personal development of eligible SP and SL. It cannot be transferred to any other individual except under the terms stated in Para 17.

f. This support is provided on a ‘burden sharing’ basis reflecting the mutual benefit that personal development brings to SP and the organisation. SP in receipt of ELC funding are expected to make a personal contribution of at least 20% of fees using their own funds, as well as using off-duty or leave periods for study. Undertaking ELC funded study does not confer duty status and sS regulations should provide further clarification, if required.

MEMBERSHIP

4. Prior to 1 Apr 16 SP had to be in Service both when they applied and when they were registered as members of the ELC scheme. Acknowledgement letters for membership were forwarded to SP via Ed Staff, to be retained by the SP in their Personal Development Record (PDR). On 1 Apr 16 all current SP who have completed Phase 1 training will be auto-enrolled in the scheme if they are not already members. From 1 Apr 16 new SP will be auto-enrolled as members of the ELC scheme on completion of Phase 1 training. SP will no longer register as members on enlistment, during second registration opportunity or by late registration (see paragraphs 5 to 7).

5. On enlistment. All new recruits are to be made aware of the existence of ELC during the recruitment process. During Phase 1 (initial) training, recruits are to be briefed by the appropriate staff as to the detailed benefits of ELC.

6. Second registration opportunity. SL who chose not to register for the scheme in their 1st year of service may have registered as members of the ELC scheme before 1 Apr 16 by completing an ELC application form during a six-month window between the 8 and 8½ year Service point, measured from their enlistment date. They may not make an ELC claim unless they have completed the required qualifying service, which is measured from: if the person left service before 1 Apr 16, the first day of the six-month window; or in all other cases, whichever is the later of 1 Apr 2000 and the date of enlistment.

7. Exceptional authorisation for late registration. In exceptional cases, SL who failed to register during the initial or second registration opportunity periods could submit a request to their single Service (sS) Authority for exceptional authorisation for late registration. This request had to prove that the SL was, for Service reasons, unable to register in accordance

\(^{364}\) See paragraph 9.
with the existing scheme regulations while they were serving (such as, on operational deployment or due to administrative error by their Phase 1 unit) during the recognised registration periods.

8. **SP on other engagements.** Full Time Reserve Service (FTRS), Military Provost Guard service (MPGS) and Non-Regular Permanent Staff (NRPS) may have elected to join the ELC scheme in the expectation of meeting the eligibility requirements, noting:

a. Eligible Service, for the purpose of calculating qualifying service as a requirement to establish eligibility, includes only that time on active service after 1 Apr 00.

b. Qualifying Service may include a mix of periods of Regular and non-Regular service and need not be continuous. It should be recorded on the ‘Interrupted Service’ Form, available from the ELCAS website and should be submitted with the registration application and with each ELC claim.

c. These SP, if still in service on 1 Apr 16, will also be auto-enrolled as members of the scheme on 1 Apr 16.

**ELIGIBILITY CRITERIA**

9. In order to make ELC claims, scheme members must:

a. Complete the required length of eligible service before submitting the ELC claim form and prior to commencing the course of study for which ELC support is being claimed; and

b. The SP or SL must start the course in respect of which the claim is made before the end of their period of eligibility.

10. **Length of eligible service requirement.** SP or SL must complete ‘eligible service’ (i.e. sufficient qualifying service) to qualify for different levels of award:

a. For Lower Tier claims, those who complete 4 years’ qualifying service before 1 Apr 17 are eligible: for those who do not complete 4 years’ qualifying service before 1 Apr 17, 6 years’ qualifying service is needed.

b. For aggregated Lower Tier claims, 6 years’ qualifying service completed on or after 1 Apr 16 is required.

c. For Higher Tier claims, 8 years’ qualifying service is required.

11. ‘Eligible service’ commences as follows:

a. For SL who were already serving before 1 Apr 03 and who registered on the scheme by 1 Apr 04, eligible service runs from 1 Apr 00 or date of enlistment, whichever is later.

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365 All other Reserve engagement types are ineligible for this support.
366 See paragraph 11.
367 ‘Qualifying service’ means service in the Armed Forces and includes time spent on ordinary maternity leave, additional maternity leave, paternity leave, shared parental leave, additional paternity leave, ordinary adopting leave or additional adoption leave, but does not include time spent on any unpaid career break.
b. For SP and SL who entered Service on or after 1 Apr 03 and registered on the scheme during the initial registration opportunity (paragraph 5), eligible service runs from the date of enlistment.

c. For SP and SL who joined at the second registration opportunity (paragraph 6), eligible service runs: for a member who left service before 1 Apr 16, from the date of the 8 years’ service point; and for SP and SL who were in service on 1 Apr 16, from 1 Apr 00 or date of enlistment, whichever is later.

d. For SP and SL who registered through late registration (paragraph 7): if the SP or SL was serving before 1 Apr 03, whichever is later of 1 Apr 00 and date of enlistment; and if the SP or SL was serving on or after 1 Apr 03, from the date of enlistment.

e. For SP and SL who were auto-enrolled while in service on 1 Apr 16, eligible service runs from 1 Apr 00 or date of enlistment, whichever is later.

12. Time spent on an unpaid career break does not count as qualifying service but an ELC claim can be submitted for learning to take place during a career break.

13. Paid maternity/paternity leave counts as qualifying service but not unpaid additional maternity/paternity leave.

14. **Period to use ELCs.** SP and SL must commence the course in relation to which they are claiming an ELC award before the end of the entitlement time limit, which is defined as follows:

   a. For SL who ceased to be members of the Armed Forces before 1 Apr 16, 10 years after discharge.

   b. For SL who ceased to be members of the Armed Forces on or after 1 Apr 16, 5 years after discharge.

   c. Notwithstanding the above, for SL who is medically discharged on or after 1 Apr 11 and who receives a disablement pension under the War Pension Scheme or a guaranteed income payment under the Armed Forces Compensation Scheme, 10 years after discharge.

15. **Wounded Injured and Sick (WIS) SP.** SP who have completed initial (Phase 1 and 2) training and who are Scheme members, who become WIS before achieving the required ELC qualifying service, may be authorised to claim ELC at the lower tier rate. ELC use when WIS must be part of an Individual Recovery Plan (IRP) managed by S/S recovery schemes. Specific regulations are:

   a. Must have registered to join the ELC scheme or been auto-enrolled prior to the date of the injury or commencement of the illness.

   b. The injury or illness must be wholly or predominantly caused or worsened by Service.

368 Injury or illness which is made worse by service is described in JSP 765: Armed Forces Compensation Schemes.
c. SP must be briefed on, and agree, the implications of using a lower tier ELC claim at this stage of their career.

16. **Effects of attributable medical discharge on eligibility.** SL who have completed initial training and who are medically discharged from Service on or after 1 Nov 10 before achieving the required qualifying service, may be eligible to claim ELC at the Lower Tier. In such cases, the SL must already be a member of the ELC scheme and the injury or illness must be wholly or predominantly caused or predominantly worsened by Service. The period in which ELCs must be used is described in paragraph 14. If SL are in receipt of a disablement pension or a guaranteed income payment the period of eligibility is relaxed and they have 10 years after discharge to start their learning.

17. **Transfer of eligibility to eligible adult dependant.** In the event of the death of a Service Person (SP), which is caused either wholly or predominantly by service, or the attributable medical discharge of a SP who cannot use ELC support due to their injury or illness, it may be permissible to transfer all remaining ELC awards to the SP’s ‘eligible adult dependant’. The ‘eligible adult dependant’ is the SP’s spouse, civil partner or ‘eligible partner’ (or surviving spouse, civil partner or ‘eligible partner’).

18. A person is an ‘eligible partner’ if:

   a. The person and SP cohabit as partners in an exclusive and substantial relationship;
   
   b. The person and SP are not prevented from marrying or entering into a civil partnership; and
   
   c. The person is financially dependent on the SP, or the person and the SP are financially interdependent.

19. A person is a ‘surviving eligible partner’ if they met the requirements of paragraph 18 at the date of the SP’s death.

20. If the SP dies, the SP’s eligible adult dependant will be eligible to use the SP’s ELC in the following circumstances:

   a. The SP died on or after 1 Apr 04 and on the date of their death was a member of the ELC Scheme and had completed the eligible service described in paragraph 10 and calculated according to paragraph 11. This gives eligibility to a Lower Tier, Aggregated Lower Tier or Higher Tier award depending on the eligible service the SP completed; and

   b. The SP died on or after 1 Nov 10 and on the date of their death was a member of the ELC Scheme and had completed Phase 1 and Phase 2 training. This gives eligibility to Lower Tier awards.

21. If the SP has an attributable medical discharge and is unable due to the illness or injury to use the ELC, the SP’s eligible adult dependant will be eligible to use the SP’s ELC in the following circumstances:

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369 See para 11 on eligibility.
a. The discharge occurred on or after 1 Apr 04 and on that date the SP was a member of the ELC Scheme and had completed the eligible service described in paragraph 10 and calculated according to paragraph 11. For attributable medical discharge on or after 1 Apr 17, the SP must also be in receipt of a disablement pension under the War Pension Scheme or a guaranteed income payment under the Armed Forces Compensation Scheme. This gives eligibility to a Lower Tier, Aggregated Lower Tier or Higher Tier award depending on the eligible service the SP completed; and

b. The discharge occurred on or after 1 Nov 10 and on that date the SP was a member of the ELC Scheme and had completed Phase 1 and Phase 2 training. For attributable medical discharge on or after 1 Apr 17, the SP must also be in receipt of a disablement pension under the War Pension Scheme or a guaranteed income payment under the Armed Forces Compensation Scheme. This gives eligibility to Lower Tier awards.

22. The eligible adult dependant must start learning before the tenth anniversary of the SP’s death or attributable medical discharge.

23. In certain circumstances, SL may be able to transfer their entitlement to a Nominated Proxy (NP). This requires the NP to be providing ongoing care or financial support to the SL and for Service welfare agencies to approve the transfer. Full details are in JSP 534 para 0616.

24. Effects of redundancy on eligibility. SP who are made compulsorily redundant and who are ELC scheme members, will cease to accrue qualifying Service for ELC eligibility on the day they leave Service. Their entitlements to Lower Tier, Aggregated Lower Tier and Higher Tier awards are related to their length of qualifying service as for other SP.

SUBMITTING A CLAIM

25. Eligibility of a claim. Applicants for ELC awards must satisfy these conditions:

a. The Learning Purpose must be of direct benefit to the Service and have a substantial developmental value, appropriate to the SP’s personal development goals. SP are required to demonstrate that their proposed course of study is derived from a process of careful planning. They must provide evidence of such planning (such as, from Personal Development Plans in their PDR) as a condition of claim approval.

b. An activity undertaken by WIS SP to achieve a qualification as part of a managed IRP, must demonstrate that it has substantial developmental value appropriate to their personal development needs, and ability. Exceptionally, this does not have to be of direct benefit to the Service.

c. SLC may not be used simultaneously to fund elements of a course of study which is supported by ELC funding.

d. SL undergoing resettlement may use their Individual Resettlement Training Cost (IRTC) grant, in addition to their ELC, to finance the undertaking of a nationally recognised higher-level qualification at RQF Level 3 or above. The qualification must be delivered by an

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370 At RQF Level 3 or above.
approved ELC LP\textsuperscript{371}. It is permitted, in these circumstances only, for SL to use their IRTC grant to offset, or pay in full, the 20% personal contribution required when using ELC\textsuperscript{372}. Allowing SL to use both funding streams ensures that they have the greatest level of flexibility when financing their preferred Learning Purpose. In addition, the costs of gaining a QCF Level 3 qualification or above will generally exceed the sum of ELC and IRTC, meaning that in the majority of cases the principle of a personal contribution (at the higher educational level) will continue.

e. ELC and IRTC may be put towards a single resettlement Learning Purpose should continue to be submitted in accordance with the individual scheme regulations, noting: the 20% minimum personal contribution will be paid on receipt of the Claims Authorisation Note (CAN) from ELCAS, and MOD will be invoiced separately by the LP to pay the difference. The SL may then submit a retrospective IRTC claim on completion of the course and claim back the difference up to the maximum of £534 or, alternatively, they may continue to routinely apply for pre-payment of IRTC\textsuperscript{373}. Any unspent IRTC may be directed towards another Learning Purpose. IRTC may be used to finance multiple Learning Purposes whilst ELC cannot. It is the SLs responsibility, with advice from Ed Staff, to determine how best to optimise the funding support available when undertaking resettlement.

f. SP/SL are not permitted to claim any other source of MOD funding related to any application made under this scheme. When using ELC and IRTC for specific resettlement activities, SP/SL must not be in receipt of any other Service funding for the proposed activity\textsuperscript{374}.

g. SP/SL are not permitted to apply for, or be in receipt of, any other payment from public funds which is permissible to be used towards the cost of tuition fees for higher level learning, unless such payment is either an individual resettlement training costs grant or is made under the Publicly Funded Further Education – Higher Education scheme. This restriction applies to public funds where there is discretion to use the funding towards the cost of tuition fees, as well as for funds that are granted solely for that purpose. For example, a bursary, scholarship or student loan which can be used towards a range of the costs of a course.

h. Any Learning Purpose undertaken must be done so by the most cost-effective means available.

i. The LP must be an Approved Provider, which is administered by the CSP and their courses must be approved for participation in the scheme\textsuperscript{375}. LPs who are also resettlement Preferred Suppliers who are suspended or removed from the Preferred Suppliers List will also be suspended or removed from the approved Learning Providers List.

\textsuperscript{371} Publicly and Privately funded Learning Providers must request and have each course they wish to offer learners approved by ELCAS.

\textsuperscript{372} Noting that all other policy regarding the use of ELC remains extant, it is not permissible to use the ELC in concert with the IRTC for courses supplied by non-approved ELCAS LP.

\textsuperscript{373} Using the procedure laid down in the SPVA Business Process Guide.

\textsuperscript{374} In this context, SL who are utilising the ‘standby’ place facility on Career Transition Partnership (CTP) contract funded courses may not claim ELC as the course is already subsidised by the MOD contract with CTP for the course. Also, ELC is not be used to pay for Summer/Residential school fees.

\textsuperscript{375} LP may be eligible to apply for inclusion on the list of Approved Providers by applying to the CSP on the ELCAS website. The application process includes the submission of course structures for approval and these may be added to by further submission.
j. All training must be delivered directly by the registered approved LP. Training delivered by associated third parties is not permissible and will result in the LP’s immediate removal from the approved Learning Providers list.

k. The SP must be authorised to undertake the activity and registered in accordance with sS instructions.

l. For second and third claims, SP/SL must provide proof that they have completed their Learning Purpose and have completed the Electronic Course Evaluation (ECE) on ELCAS website. A separate claim form must be submitted for each year of a course.

m. If a number of separate courses are undertaken but combine to form a discrete, single Learning Purpose, delivered by one LP, then ELC can fund the total cost. SP, with Ed Staff advice, must be able to prove the validity of the proposed combination of courses in contributing to the Learning Purpose. The PDR enables demonstration that a claim is part of a PDP.

n. Only one ELC claim is permitted per Financial Year (FY (1 Apr - 31 Mar)) and must relate to learning that commences that FY. For longer courses, where the academic and FY are out of sync, it is permissible to use one claim for several modules that count towards a continuous block of study, which may extend into the subsequent FY. In all such cases, the start date of each course module must be within twelve months of the start date of the earliest. Additionally, where it is clear from the outset that a modular course is intended to be completed in one FY, one academic year or one calendar year, only one ELC claim is to be made for the entire course by claimants. Education Staff will not authorise the splitting of this type of modular course to enable more than one ELC claim to be made.

o. ELC is based upon the principle that SP/SL will make a personal contribution. The ELC contribution will not exceed 80% of the gross course cost. This includes tuition fees and VAT but excludes food, accommodation, travel and subsistence (which may be claimed from other sources, based upon sS regulations, but is not covered by ELC) or course materials, which are the personal responsibility of the SP.

p. SP/SL will meet their 20% personal contribution from their own resources. The MOD forbids the acceptance of inducements or incentives from LP including subsidies, free accommodation, travel, food and equipment.

26. **Overseas Resettlement Training (ORT) Application Priority over ELC.** Where a Service Leaver (SL) intends to use their ELC entitlement with ORT, it is the SL’s responsibility to ensure that they apply for and obtain the ORT authority **first.** Only on the receipt of a successful ORT approval authority may the SL make their ELC application. Under no circumstances may a SL make an ELC application for a non-UK based provider for resettlement purposes without having first obtained the ORT authority. Failure to follow this policy may result in the SL not being granted ORT approval with the outcome that they are unable to use their ELC.

27. **Making a claim.** Before applying, and having discussed their needs with their Ed Staff and Chain of Command, SP must consider:

a. Relevance of the course or qualification to their personal development goals and choice of funding; as well as resources in terms of time and money required.
b. Their ability to cope with the pressures of study (or provision of evidence for assessment), the risk of disruption due to Service life and the flexibility of the study method.

c. The time required to process the claim form. Claim forms must be received by Authorising Ed Staff a minimum of 25 clear working days prior to the course start date. Equally, SP must allow for the time it will take for a new LP to apply for ELCAS registration.

28. **Effect of assignment.** The effects of assignment and forced withdrawal from an ELC funded Learning Purpose, should be carefully understood by SP. Normally, failure to complete the course will result in further claims being denied. However, if failure to complete is due to Service or compassionate reasons that could not have been foreseen at the time of enrolment, then this ruling will not apply.

29. **Importance of completion.** First applications for ELC funding will take account of the likelihood of completing the proposed course of study. Ed Staff will assess this through interview and any supporting evidence. Should a SP subsequently fail to complete a course of study, they may have to repay the subsidy. For subsequent claims, a SP’s previous completion/non-completion will inform the decision as to whether to approve the claim. Electronic Course Evaluation for previous Learning Purposes is evidence to support subsequent claims.

30. **Admissibility of proposed study/course.** For SP, Ed Staff will provide advice as to whether or not a proposed course qualifies as appropriate use of ELC. If in doubt, Ed Staff should approach sS Authorities for assistance, who in cases of continuing doubt will seek direction from the Designated Officer. Where required the SP is responsible for providing proof that the qualification is at Level 3 or above (or equivalent).

31. **Purposes for which ELC may be claimed.** ELC may be claimed for part or full-time higher-level study, whether conducted centrally, or through distribution learning. Study must result in the cost-effective achievement of a nationally recognised Level 3 (or above) qualification. Useful references are:

   a. The list of Awarding Bodies approved to make awards accredited by the regulatory authorities in England, Wales and Northern Ireland as listed on the Register of Regulated Qualifications; [http://register.ofqual.gov.uk](http://register.ofqual.gov.uk).


   c. British Qualifications (a guide to educational, technical, professional and academic qualifications in Britain) and British Vocational Qualifications (a directory of vocational qualifications available in the United Kingdom).

   d. National Academic Recognition Centre for the UK (UK NARIC); [https://www.naric.org.uk](https://www.naric.org.uk).

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376 As defined by the RQF (England, Wales and Northern Ireland), a Level 6 or above on the SCQF (Scotland) or, if pursued overseas, an approved international equivalent higher-level qualification.

377 SP should be aware that the burden of proof of the Level of a course rests with them. They should seek proof from their LP.
32. **Study meriting ELC support.**

a. Study towards first degrees (including Foundation Degrees).

b. Study towards postgraduate qualifications, including teacher training.

c. Other academic study, such as AS/A level study, Higher Educational Institute (HEI) access courses, or foreign language study.

d. Professional self-development in addition to that provided in Service training.

e. Accreditation of prior learning assessment fees, including accreditation of Service professional skills, leading to partial or complete qualifications providing there is evidence that the SP has produced new, original work.

f. Vocational courses, providing there is direct benefit to the Service.

g. Examination fees for qualifications that meet the ELC eligibility criteria.

h. Initial registration fees and accreditation fees for professional bodies and institutes expressly to gain qualifications (such as certificates, diplomas or equivalent schemes of work rather than categories of membership).\(^{378}\)

i. Refresher training, provided that training results in the re-qualification or re-award.

j. Courses and qualifications which are required for the coaching and management of sport or Adventurous Training (AT) in the Services, provided that they are in support of a SPs PDP. There must be evidence of intellectual development. Cases of this kind are to be examined by Ed Staff and where there is any doubt, they should be referred to appropriate sS Authority. SP must prove either that the activity is not provided under the auspices of Joint Service Adventurous Training Schemes (JSAT) or that a place is not available on such a course.\(^{379}\) In some cases, qualifications are available through courses authorised by sS Sports Boards. Ed Staff should check before approving the use of ELC.

k. Some LP may offer discounts for certain qualifying courses to SP/SL ie where Recognition of Prior Learning negates the need to complete all modules of a course etc. SP should ensure any such discounts are fully taken into account in calculating the course fee and their personal contribution before submitting their claim.

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\(^{378}\) It may well be, however, that the modest scale of expenditure would make SLCs, together where appropriate with IRTC, a more useful vehicle, thus enabling SP/SL to reserve for future use the larger-scale support which ELCs provide.

\(^{379}\) A list of JSAT courses can be found in, JSP 419: Adventurous Training in the UK Armed Forces.
I. Overseas courses and qualifications may be eligible for ELC support. However, the LP must be approved through the CSP, and the activities must lead to a qualification recognised by UK NARIC at meeting the Level 3 or above equivalent qualification.

m. Resettlement preparation courses. ELC can be used for resettlement purposes once a SL has formally commenced their resettlement. Fees for courses or training, which form part of a SLs resettlement strategy may be eligible for a partial refund as follows:

<table>
<thead>
<tr>
<th>Ser</th>
<th>Time period eligibility &amp; admissibility</th>
<th>ELC for educational purposes (including personal development)</th>
<th>ELC for resettlement purposes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Throughout career up to last 24 months</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>2</td>
<td>Last 2 years of Service</td>
<td>YES</td>
<td>YES(^1, 2)</td>
</tr>
<tr>
<td>3</td>
<td>Earlier than last 2 years of Service, for those over 50 years of age, or with 30 or more years' Service.</td>
<td>YES</td>
<td>YES(^1, 2)</td>
</tr>
</tbody>
</table>

\(^1\) Providing the SP meets the ELC qualifying criteria and has identified a higher-level qualification. The course of study must be an integral part of, and result, in the cost-effective achievement of a nationally recognised qualification at Level 3 (A level and equivalent) and above as defined by the NFQ; a Level 6 or above on the SCQF or, if pursued overseas, an approved international equivalent higher-level qualification.

\(^2\) The LP must be on the Approved Provider List held by the CSP.

33. **Specific Learning Difficulties (SpLD)**\(^{380}\). SP with SpLD may be eligible for funding support under the ELC scheme. Funding arrangements for an assessment of SpLD are dealt with under separate sS funding arrangements or through the use of SLC. ELC may be used to support training designed to assist SP with SpLD\(^{381}\). The LP must be approved by the CSP. Where such training is considered to be essential for military Service, however, the costs should be met from sS training budgets, not through ELC.

34. **Where ELC may not be claimed.** ELC may not be claimed for:

a. **Service training.** General Service training, courses or qualifications undertaken for the benefit of a Service branch, trade or specialism.

b. **Civilian Accredited Service training.** The funding of qualifications and examinations of this kind is not permitted. The only case for authorising a partial refund under ELC in this area is where both these criteria are met:

   (1) A minimum of thirty hours of additional work, which is not an integral part of the Service course syllabus and is completed in the SP’s own time.

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\(^{380}\) As described in Defence Direction on Specific Learning Difficulties contained elsewhere within this JSP (Section 8.1).

\(^{381}\) Where SpLD needs have been formally assessed and diagnosed (noting that assessment leading to a diagnosis comes under separate sS funding arrangements).
An examination, assessment or assignment which is not an integral part of the Service course syllabus, is assessed by an external assessor and is undertaken by the SP electively.

c. **Professional bodies and institutes.** Annual membership fees for professional bodies or institutes.

d. **Course material.** Course material, for which there are additional charges\(^{382}\).

e. **Pure sport and AT.** All sporting and AT, or courses where the aim is solely to learn the sport or activity or improve by undertaking that sport or activity.

**ADMINISTRATION**

35. **Procedure for submitting a claim.** Claims are made online via the ELCAS website. Alternatively, forms are also available on the ELCAS website. SP are only to use the current version, which ELCAS has placed on the website. The procedure:

a. Claim must be completed by the SP and authorised by Ed Staff, with course attendance approved by the line manager, before electronic submission to the CSP database. A copy of all paperwork is held in the SP’s PDR and personal records where appropriate. The claim process is explained at Annex A.

b. Claim must be submitted to Ed Staff/sS Authority for approval at least 25 clear working days prior to the course start date. SP must ensure there is sufficient time to receive the CAN, in order to present to their LP before the course starts.

c. Payments will be made direct to the LP on receipt of a correctly completed invoice on or after the course start date. LP invoices will be accepted by MOD (through ELCAS) no earlier than six weeks and no later than 9 months after the SL starts their course. LP must confirm that the SL has completed six weeks of study. The SP is responsible for meeting the personal contribution balance ensuring that the personal contribution is rounded up. Any calculation less than the 20% minimum will be rejected by Ed Staff.

d. Retrospective claims will not be allowed under any circumstances if received after an agreed course/module start date. Any money paid to LP (as a deposit or to secure a place, for example) prior to receiving the CAN is paid purely at the personal risk of the SP. When making a claim, such an amount may count as part of the SPs personal contribution, but any money that exceeds this amount is not reclaimable under the Scheme. SP are not to commence a course without first receiving the CAN and presenting it to the approved LP. SP are not permitted to transfer the CAN to a different course or LP. SP may not pay a LP and then seek reimbursement directly from the LP on receipt of their CAN.

e. On receipt of the CAN, the SP is to submit the CAN to the LP and pay the balance of the total cost of the course. Thereafter, LP will deal directly with the CSP.

**CANCELLATION OF CAN AND REINSTATEMENT OF ELC**

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\(^{382}\) Textbooks may be obtainable on loan from the Joint Service Central Library through Education/Learning centres or via sS arrangements.
36. **Cancellation.** SP may only cancel their place on a course by adhering to the scheme cancellation regulations. Under certain operational or compassionate circumstances, SP will be permitted to cancel their course, and their CAN, but only if the LP has not yet sent the invoice to the CSP. If the LP has sent the invoice, the CSP are obliged to honour it and the SP is then to follow sS ELC reinstatement regulations. Where approval is given for cancellation, then the ELC earmarked for the [cancelled] course will not be used. SP who do not follow the procedure become personally liable for the payment of all fees and other costs due to the LP, and risk forfeiting their ELC and membership of the scheme.

37. **Reinstatement.** SP may only withdraw from the course by adhering to the scheme regulations. Under certain operational or compassionate circumstances, SP will be permitted to withdraw from the course and have that particular ELC instalment reinstated. The procedure may well involve money being reimbursed both to MOD and the SP. The MOD will not be held liable for any losses incurred in the recovery of personal contributions previously made by the SP to the LP. SP should note that they may not be reimbursed to the full value of the personal contribution. SP who do not follow the procedure become personally liable for the payment of all fees and other costs due to the LP, and risk forfeiting their ELC and membership of the scheme.

38. **Amendment.** SP may amend their submitted application by adhering to the scheme regulations governing amendments. What constitutes an amendment can be found at the ELCAS website. Under certain operational and compassionate circumstances, SP may be able to arrange with their LP to extend the duration of their course dates, in order to complete their qualification. SP cannot transfer their CAN to a different course or start date, unless under exceptional circumstances, they are authorised to do so by their sS Authority.

39. **Service quality assurance process.** On completion of a course SP are required to evaluate their learning using the Electronic Course Evaluation form available via the ELCAS website. The CSP will collate evaluations and forward an annual summary report to the Designated Officer. Failure to complete the end of course evaluation will result in future claims being denied.

**SECOND AND THIRD CLAIMS**

40. Claims will not be approved without receipt of the required documentation. For SP see Para 25. For Claimants No Longer in Service, see Para 43.

41. LP may require SP to register prior to the onset of the FY in which the course is due to start. This is likely to affect SP whose course starts early in the FY (April and May) and those who may be progressing from one module or element of a course to the next. In such circumstances, SP may be permitted to submit a claim no more than 3 months before the FY in which the course is due to start. The Ed Staff will send the CAN, which SP can give to their LP, with the balance of payment (their personal contribution). SP are to ensure that the LP understands that the CAN cannot be honoured until after start of the relevant FY, for which the ELC instalment is being drawn. The CSP will not accept or authorise invoices before the course start date.

42. **Submitting a claim.** sS ELC claims should be submitted through:
<table>
<thead>
<tr>
<th>RN</th>
<th>RN/RM Education and Resettlement Officers (EROs), Learning and Development Organisation Operations Officers (LDO Ops Officer) and Naval Resettlement Information Officers (NRIOs) at RN/RM Learning Centres. Education and Resettlement Staff seeking further clarification of SS instructions should contact Amanda Rayner: <a href="mailto:amanda.rayner893@mod.gov.uk">amanda.rayner893@mod.gov.uk</a> or Stephen Gowling: <a href="mailto:stephen.gowling100@mod.gov.uk">stephen.gowling100@mod.gov.uk</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Army</td>
<td>Individual Education and Resettlement Officers (IERO), at Army Education Centres, which must be used by SL on resettlement. Education and Resettlement Staff seeking further clarification of SS instructions should contact the relevant SO2 Retention and Resettlement in Regional Command (RC), SO2 Retention and Resettlement in Regional Command (RC): RC-Pers-ETS-N-RetResSO2 or RC-Pers-ETS-SRetResSO2</td>
</tr>
<tr>
<td>RAF</td>
<td>Personal Learning Advisors (PLAs), and Resettlement and Education Coordinators (REC) at RAF Learning Centres. Education and Resettlement Staff seeking further clarification of SS instructions should contact Learning Credits Administrator at <a href="mailto:michael.quainton100@mod.gov.uk">michael.quainton100@mod.gov.uk</a></td>
</tr>
</tbody>
</table>

43. **Procedure for Claimants no Longer in Service (CNLIS).** SL may apply within their post service eligibility period. Forms are available at the ELCAS website and are to be submitted to SS for endorsement:

| RN384 | NCHQ, Mailpoint 3.3, Leach Building, Whale Island, HMS Excellent, Portsmouth, PO2 8BY  
Portsmouth Amanda Rayner: amanda.rayner893@mod.gov.uk or Stephen Gowling: stephen.gowling100@mod.gov.uk  
West of England Alf Ramsay: alastair.ramsay994@mod.gov.uk  
North of England Garth Atkinson: garth.atkinson917@mod.gov.uk  
Royal Marines Scott Jamieson: scott.jamieson948@mod.gov.uk |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Army</td>
<td>SO3 Int Dev Education Branch Zone 4, Floor 2, Army Personnel Services Group, Home Command Ramillies Building, Army HQ Monxton Road, Andover SP11 8HJTel: 079 7722 9294 Email: <a href="mailto:Army-ELC-Veterans@mod.gov.uk">Army-ELC-Veterans@mod.gov.uk</a></td>
</tr>
</tbody>
</table>
| RAF385 | Learning Credits Administrator  
22 Gp, Rm 221b Trenchard Hall, RAFC Cranwell, Sleaford, Lincs, NG34 8HB michael.quainton100@mod.gov.uk |

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383 Who meet the eligibility criteria and have left Service.  
384 SP still serving are not to use this POC but are to consult the staff in their local RN Education Centre.  
385 SP still serving in the RAF are not to use this POC but are to consult the staff in their local Learning Centre. CNLIS are encouraged to refer to the RAF Learning Forces website for further information.
44. SL claiming after they have been discharged from Service must submit all of the documents listed below:

   a. Claim form.
   b. Information about the course.
   c. Copy of Service discharge document.
   d. Copy of utility bill (for address).

45. **Claims by eligible adult dependants.** Eligible adult dependants or nominated proxies may submit ELC claims to the SS Authorities utilising the same procedures as those detailed above for CNLIS.

46. **Payment approval.** Approval Authorities are:

   a. **RN.** NCHQ, Training HQ, DACOS Trg.
   b. **Army.** Army HQ, APSG Ed Branch.
   c. **RAF.** Air Command, 22 Gp, Comdt CTS.

47. **Tax liability.** Most courses undertaken by SP will be exempt from taxation either as income or as a ‘benefit in kind’ if they can be justified as being ‘work related’. Evidence that the course has a demonstrable developmental value (e.g. within the PDR) will aid the justification of a course as ‘work-related’. SP should be able to demonstrate that the Learning Purpose will directly benefit the Service in order to qualify as ‘work-related’. However, if in doubt, a SP should always seek the advice of HMRC. With effect from 2 Sep

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386 SP still serving are not to use this POC but are to consult the staff in their local RN Education Centre.
387 SP still serving in the RAF are not to use this POC but are to consult the staff in their local Learning Centre. CNLIS are encouraged to refer to the RAF Learning Forces website for further information.
12. ELC awards for courses undertaken after leaving Service are unlikely to be chargeable to tax. However, if in doubt, a SL should always seek the advice of HMRC.

48. **Authority for travel and subsistence.** There is no entitlement to travel at public expense, or to claim subsistence allowance, for ELC Learning Purposes, unless the ELC is used by a SL as part of their resettlement. Where ELC is being used in conjunction with IRTC and/or Graduated Resettlement Time, it may be permissible to claim both subsistence and travel.

**ANNEX**

A. **ELC Scheme Process for SP and LP.**

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388 In accordance with [JSP 534: The Tri-Service Resettlement and Employment Support Manual](#).

389 In accordance with [JSP 752: Tri-Service Regulations for Expenses and Allowances](#).
ELC SCHEME PROCESS FOR SP AND LP

1. SP/SL identified course of learning in liaison with Approved LP.

2. SP/SL completes ELC Claim (form ELC 005.01). See notes 1 & 2.

3. SP/SL submits claim (form ELC 005.01) to Line Manager/CO and Ed Staff for approval. See note 3.

4. Authorised Ed Staff/sSR checks eligibility of SP/SL and processes claim online if applicable. See note 3.

5. Ed Staff/sSR sends SP/Ex SP a CLAIM AUTHORISATION NOTE (CAN form ELC 005.02). See note 4.

6. SP/SL books course of learning with the LP, pays minimum 20% personal contribution/deposit and passes the CAN (form ELC 005.02) to the LP as authority to proceed. See note 4.

7. LP sends invoice addressed to Director General Financial Management Shared Service Centre to ELCAS (after course start date). See notes 5 to 9.

8. Within 15 working days of receiving an invoice ELCAS checks invoice against approved Claim record and passes to relevant MOD Budget Manager. The Budget Manager authorises the data and then passes on to the Director General Financial Management Shared Service Centre for Payment.

9. MOD Director General Financial Management Shared Service Centre makes payment to LP and issues a remittance. (Please note that once DGFM SSC receive payment instruction, it may take 30 days for payment to be made).

Key LP activities

Notes
1. All claims must meet the eligibility criteria as outlined in the current JSP and on the ELC website.
2. All forms required for the ELC process are available from the ELC website.
3. All claims must be received by Ed Staff/sSR, 25 clear working days prior to course start date.
4. The Claim Authorisation Note (CAN form ELC 005.02) confirms that the SP will receive ELC support to fund their chosen course with the identified LP. LPs should not accept confirmed bookings from SP unless they have received the original CAN (form ELC 005.02) and 20% personal contribution from the SP. LP should not accept a booking for a course, other than that detailed on the CAN (form ELC 005.02).
5. Invoices should be addressed to the MOD and must include:
   - The Invoice Number
   - The LP Number
   - The unique number (Claim Number) shown on the CAN (form ELC 005.02)
   - The SP Service Number
   - The LP own course code
   - Confirmation that the SP has paid the minimum of 20% of the course fee
6. Invoices must be received by ELCAS on or after the course start date and within nine months of the course start.
   An example invoice is available from the ELC website.
7. The amount claimed should include VAT or indicate that VAT is not applicable, and should not exceed the value of the CAN.
8. The LP invoice number will be quoted as the bill reference on the remittance sent by MOD.
9. Where a SP withdraws from the course before a payment file has been generated to the LP, by ELCAS, then the cancellation process should be followed. Where a SP withdraws from a course after a payment file has been generated to the LP, by ELCAS, the reinstatements process should be followed. Both of these processes are outlined on the ELC website.

Glossary
ELC website refer to ELCAS = Enhanced Learning Credits Administration Service
LP = Learning Provider
sSR = Service Representative
Ed Staff = Education Staff
CAN = Claims Authorisation Note
DGFM FM SSC = Director General Financial Management Financial Management Shared Service Centre
SL = Service Leaver
8.6 Further Education and Higher Education Scheme for Service Leavers

Policy Sponsor: TESRR, CDP\textsuperscript{390}

The Government announced to Parliament on 17 Jul 08\textsuperscript{391} a package of cross-government support to Armed Forces personnel, their families and veterans\textsuperscript{392}, which included a commitment to establish the Further Education and Higher Education Scheme to provide SL with access to a first full Level 3 (GCE A level or vocational equivalent), or a first higher education qualification (a foundation degree or a first undergraduate degree or vocational equivalent). Subsequently, the MOD engaged with Other Government Departments (OGDs)\textsuperscript{393} and Devolved Administrations (DA)\textsuperscript{394} to define and agree the parameters of this support, develop the policy and implement the proposals.

The support has been reviewed by MOD and OGDs to ensure that it correctly meets the needs of SL. This Direction outlines the eligibility criteria for Further Education and Higher Education support (“FE-HE support”) under the scheme (pertinent to submissions after 6 Apr 11).

In addition to the Defence Direction regarding the ELC scheme, detailed in the previous Section 8.5, the following additional Direction applies to SL seeking to receive FE-HE support using their enrolled ELC scheme entitlement. The rules of the FHEC Scheme set out in this JSP are based on legislation and apply to SL applying for FE-HE support\textsuperscript{395}.

AIMS

1. The aims of providing FE-HE support for SL are:

   a. To provide full state subsidised tuition fees for eligible SL undertaking their first FE or HE level qualification. This commitment comprises employer contributions to the Armed Forces ELC scheme, supplemented by resources made available by partner Department for Education (DfE)/DA.

   b. To build on the extensive range of professional and personal development opportunities made available to SL during a Service career and provide an incentive, especially to raise their skills levels in preparation for, and on returning to, civilian life.

   c. To enhance the reputation of the Armed Forces by returning high quality SL to the UK skills pool, by providing the opportunity for them to raise their skill levels by achieving nationally recognised qualifications in economically viable skills which benefit the nation.

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\textsuperscript{390} Training Education, Skills, Recruiting and Resettlement, part of Chief of Defence People, 6th Floor, MOD Main Building.

\textsuperscript{391} 2009DIN07-042 refers.

\textsuperscript{392} Cm 7424 dated Jul 08 - The Nation’s Commitment: Cross-Government Support to our Armed Forces, their Families and Veterans.

\textsuperscript{393} This was originally the Department for Business Innovation and Skills (BIS) and the Skills Funding Agency (SFA).

\textsuperscript{394} Scottish Government (SG) and Welsh Assembly Government (WAG) and the Department for Employment and Learning (DELNI).

\textsuperscript{395} The Armed Forces (Enhanced Learning Credit Scheme and Further and Higher Education Commitment Scheme) Order 2012, S.I. 2012/1796 (as amended most recently by S.I. 2016/310).
SUPPORTED QUALIFICATION LEVELS

2. SL are permitted to apply for funding for learning leading to one of the following ‘First’ qualifications:396.

   a. A Full Level 3 qualification as defined by the Regulated Qualification Framework (RQF). A full Level 3 achievement is equivalent to 2 or more A-levels.
   b. A vocational qualification which is the equivalent of a qualification falling within paragraph 2.a.
   c. An Undergraduate Degree (including a Foundation Degree).
   d. Higher National Certificate or Higher National Diploma for which the entry qualification is lower than a degree.
   e. Or such qualifications in Scotland which are the equivalent of qualifications falling within paragraphs 2.a to 2.d.

Features

3. The additional features of the FE-HE scheme are:

   a. The FE-HE scheme does not cover SL who left Service before 17 Jul 08. SP who left on or after 17 Jul 08397 are eligible, if they meet the qualifying criteria.
   b. If a SL’s ELC has already been exhausted, or are used up during the course of supported studies, the commitment to fund the full tuition fees for eligible SL transfers to the relevant DfE/DA.
   c. Both publicly-funded and privately-funded UK-based institutions delivering FE and HE qualifications may be approved LPs for this scheme. If not already listed as an ELC approved LP, they must apply for ELC provider status and agree to work within the specific administrative requirements of the ELC scheme. In all cases, the final decision regarding eligibility for course funding rests with the DfE/DA, with consultation by authorising Designated Officer or Ed Staff.

ELIGIBILITY CRITERIA

4. In order to make claims for FE-HE support, a SL must:

   a. be a member of the ELC scheme.
   b. have left Service on or after 17 Jul 08.

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396 Learners are not permitted to take a Masters Degree (unless a Masters qualification is inherent to the initial (Level 4-6) qualification (Integrated Masters).
397 This includes if an SP has died or has an attributable medical discharge on or after this date, and FE-HE support is transferred to the SP’s eligible adult dependant.
c. complete the required eligible service before submitting the FE-HE claim form and prior to commencing the course of study for which FE-HE support is being claimed (see paragraphs 7 and 8); and

d. be applying for payment of tuition fees to undertake at least half of a full-time course which is either a first full Level 3 or a first HE qualification (Level 4-6).

e. the course of study must commence prior to the period of scheme membership entitlement ending i.e. either 5 or 10 years post Service, which is dependent on the date when the SP left the Services (paragraph 7 applies). The SL will be responsible for self-funding periods of study which extend beyond the period of entitlement (see paragraph 8).

f. Meet the residency requirements specified by the DfE/DA.

g. SL are not permitted to apply for, or be in receipt of, any other payment from public funds which is permissible to be used towards the cost of tuition fees for qualification level learning, unless such payment is made under the ELC scheme. This restriction applies to public funds where there is discretion to use the funding towards the cost of tuition fees, as well as funds granted solely for that purpose. For example, a bursary, scholarship or student loan which can be used towards a range of the costs of a course.

5. **Length of eligible service requirement.** SL must complete ‘eligible service’ (i.e. sufficient qualifying service):

   a. For SL who complete 4 years’ qualifying service before 1 Apr 17, at least 4 years’ qualifying service; and

   b. For SL who complete less than 4 years before 1 Apr 17, at least 6 years’ qualifying service; and

   c. For SL who became a member of the ELC Scheme on or after 1 Apr 16, at least 6 years’ qualifying service.

   d. For SL who have an attributable medical discharge, the completion of Phase 1 and Phase 2 training.

6. ‘Eligible service’ commences as follows:

   a. For SL who were already serving before 1 Apr 03 and who registered on the ELC scheme by 1 Apr 04, eligible service runs from 1 Apr 00 or date of enlistment, whichever is later.

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398 SL must be applying for an award to undertake at least the equivalent of half of a first full Level 3 (GCE A level or vocational equivalent), or a first higher education qualification (a foundation degree or a first undergraduate degree or vocational equivalent). If studying part time, SL must be studying at a minimum of 25% of the full time commitment and must allow sufficient time to complete a part-time degree within the remaining post-Service discharge period, or self-fund the remaining period of study.

399 ‘Qualifying service’ means service in the armed forces and includes time spent on ordinary maternity leave, additional maternity leave, paternity leave, shared parental leave, additional paternity leave, ordinary adopting leave or additional adoption leave, but does not include time spent on any unpaid career break.

400 Medical discharge due to an injury or illness wholly or predominantly caused by or worsened by Service. An injury or illness which is made worse by service is described in JSP 765: Armed Forces Compensation Schemes.
b. For SL who entered Service on or after 1 Apr 03 and registered on the ELC scheme during the initial registration opportunity (para 5 in ELC Direction), eligible service runs from the date of enlistment.

c. For SL who joined at the second registration opportunity (paragraph 6 in ELC Direction), eligible service runs: for a member who left service before 1 Apr 16, from the date of the 8 years’ service point; and for SL who were in service on 1 Apr 16, from 1 Apr 00 or date of enlistment, whichever is later.

d. For SL who registered on the ELC scheme through late registration (paragraph 7 in ELC Direction): if the SL was serving before 1 Apr 03, whichever is later of 1 Apr 00 and date of enlistment; and if the SP or SL was serving on or after 1 Apr 03, from the date of enlistment.

e. For SL who were auto-enrolled in the ELC scheme while in service on 1 Apr 16, eligible service runs from 1 Apr 00 or date of enlistment, whichever is later.

7. **Period to use FE-HE support.** SP and SL must complete the course within the SL’s period of entitlement, which is defined as follows:

   a. For SL who ceased to be members of the Armed Forces before 1 Apr 11, 10 years after discharge.

   b. For SL who ceased to be members of the Armed Forces on or after 1 Apr 16, 5 years after discharge.

   c. Notwithstanding the above, for SL who is medically discharged on or after 1 Apr 11 and who receives a disablement pension under the War Pension Scheme or a guaranteed income payment under the Armed Forces Compensation Scheme, 10 years after discharge.

8. **Transfer of eligibility to spouse or eligible partner.** In the event of the death of a SP on or after 17 Jul 08 which is caused by service, or the attributable medical discharge of a SP who cannot use FE-HE support due to their injury or illness, FE-HE support may be transferred to the SP’s ‘eligible adult dependant’\(^{401}\).

9. The eligible adult dependant can claim FE-HE support if:

   a. The SP was a member of the ELC Scheme at the date of death or attributable medical discharge. For attributable medical discharge on or after 1 Apr 17, the SP must also be in receipt of a disablement pension under the War Pension Scheme or a guaranteed income payment under the Armed Forces Compensation Scheme.

   b. The SP had completed Phase 1 and Phase 2 training before that date.

   c. The eligible adult dependant meets the residency requirements specified by the relevant the DfE/DA.

10. The eligible adult dependant must start learning before the tenth anniversary of the SP’s death or attributable medical discharge.

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\(^{401}\) See paragraphs 17-20 in ELC Direction.
11. **Residency requirements.** FE-HE support is available only to ELC members who reside in the UK. To qualify SL must have been resident in the UK for at least 3 years, prior to the start of the course and they must continue to remain in the UK until the qualification completes (overseas Service counts towards UK residency). Any period during which the SL served outside the UK as a member of the armed forces is treated as a period of ordinary residence in the UK. SL who reside outside the UK after leaving Service do not qualify for this UK based support. If, however, they return to reside in the UK they may be eligible for support within any remaining eligibility window but only after having first completed a minimum of 3 years residency. However, for SLs accompanying their still serving spouse on posting overseas, who are ordinarily resident in the UK, it will be permitted that they can use the PF FE-HE scheme to complete an eligible distance learning course with a UK-based ELCAS approved LP for the duration of the overseas posting until their return to the UK. Funding responsibility lies with the DfE/DA region within which the SL has established their residential status. If an SL moves between regions (e.g. from England to Wales) funding responsibility remains with the initial department, until 3 years residence has been completed in the new location. It is also possible that some SL may have resided overseas in excess of 3 years whilst on Service duty prior to application.

12. **Foreign and Commonwealth personnel.** This support is available to eligible Foreign and Commonwealth (F&C) SL including Gurkha SL residing in the UK who must also meet the residency requirements. In addition, F&C personnel who have left Service will also be required to meet the relevant DfE/DA requirements in regard to settlement and citizenship in the UK to attract funding. The residency and citizenship rules for dependants are different. For further guidance, covering members of the Armed Forces and their dependants, see: www.bia.homeoffice.gov.uk/sitecontent/documents/policyandlaw/IDIs/idischapter15/.

13. F&C SL who have been medically discharged prior to achieving sufficient qualifying service are still required to meet the residency requirements specified by the DfE/DA before they can apply to study using this support. Medically discharged F&C SL who have achieved eligibility to access the scheme and are remaining in UK may apply to commence studies after the required residency period has been achieved. In exceptional circumstances, it may be possible for a SL to submit a case to the relevant DfE/DA for exceptional treatment; with the decision resting with the DfE/DA, not the MOD.

**EDUCATION PROVISION ATTRACTING SUPPORT FOR SL**

14. This support is targeted at eligible SP during their last 2 years of service (their resettlement phase) or SL generally for 5 years after discharge\(^\text{402}\). Application may be made for payment of tuition fees to undertake at least half of a full-time course\(^\text{403}\) or full-time study and SL must have enrolled to undertake an eligible first full further or higher-level course of study (level 4-6) or vocational equivalent (level 4-6) which results in the achievement of a nationally recognised qualification. Only qualifications listed on website links below are eligible for support:

   a. **FE** (Level 3 or national equivalent):

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\(^{402}\) See paragraph 9.

\(^{403}\) SL must be applying for an award to undertake at least the equivalent of half of a first full Level 3 (GCE A level or vocational equivalent), or a first higher education qualification (a foundation degree or a first undergraduate degree or vocational equivalent). If studying part time, SL must be studying at a minimum of 25% of the full-time commitment.

(2) **Scotland.** Working towards a first Level 6 qualification (SVQ Level 3) within the Scottish Credit and Qualifications Framework (SCQF). The qualification must be delivered by a FE college, holding a valid registration with the National Learning Opportunities Database (NLOD). Full details at [www.sqa.org.uk](http://www.sqa.org.uk).

b. **HE (HND, foundation degree, full undergraduate degree (including integrated Masters degree) or national equivalent):**

(1) **England and Wales.** Working towards a HE course at levels 4-6 on the FHEQ. Full details at [http://register.ofqual.gov.uk](http://register.ofqual.gov.uk) and [www.qaa.ac.uk](http://www.qaa.ac.uk).

(2) **Scotland.** Working towards a HE course at levels 7-10 on the SCQF, holding a valid registration with NLOD. Full details at [www.sqa.org.uk](http://www.sqa.org.uk).

c. **Private Pilot’s Licence and courses not listed on the national databases.** Qualifications not included on the national databases do not attract support. These, for example, may include some categories of sport or outdoor skills, flying such as pursuit of a Private Pilot’s Licence and the wider range of ‘industry standard or vendor’ qualifications which are not accredited by a UK nationally recognised Awarding Body.

15. **Accreditation of Service courses.** An SL who has attained a Level 4 (e.g. HNC) qualification purely by dint of completing Service training courses and has undertaken no extra personal study in order to obtain the qualification which has been accredited by the relevant civilian awarding body, may still be eligible to apply for support. SL should note the FE-HE Scheme aims to provide support for SL without a first HE qualification. MOD will confirm with DfE, the status of these courses, on a case by case basis.

16. **Foundation/Introduction to HE courses.** SL who undertake a Foundation Year/Introduction to HE course will be allowed to continue with it through this support, provided that they give an undertaking that they are completing the foundation year/intro to HE course as preparatory work for a full degree to commence immediately after the end of their initial studies.

**APPROVED LPs**

17. LPs are limited to approved institutions in England, Wales, Scotland and Northern Ireland. The relevant national bodies and websites are:

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404 UK Central Government Department for Education.

405 SL must use approved English, Scottish, Welsh or Northern Ireland based LPs delivering publicly-funded FE/HE qualifications listed on the national databases. If, for the purposes of this support, a LP is not already listed as approved ELC LP, the SL must first apply for approval through ELCAS.

406 The websites are not exclusively limited to publicly funded institutions; they also contain ineligible non-publicly funded LP.
a. **FE.**


(3) Scotland - Scottish Funding Council (SFC): [http://www.sfc.ac.uk/](http://www.sfc.ac.uk/)

b. **HE.**

(1) England – Office for Students: [www.officeforstudents.org.uk](http://www.officeforstudents.org.uk) and [www.ucas.ac.uk](http://www.ucas.ac.uk).

(2) Wales - HE Funding Council of Wales (HEFCW): [www.hefcw.ac.uk](http://www.hefcw.ac.uk)

(3) Scotland - Student Awards Agency for Scotland (SAAS): [www.saas.gov.uk/](http://www.saas.gov.uk/)

18. Having identified a LP, the onus is on the SL to first check that the provider is eligible to participate in the scheme. If the institution is not already listed on the ELC website as an approved LP, the institution may apply to join the scheme. This will require the LP completing an application and agreeing to participate within the rules of the ELC scheme. To comply with audit procedures a new LP’s details will be referred by ELCAS to the relevant national education authority for verification. Full details of LP status can be obtained from ELCAS at the ELC website. New LPs will, therefore, be added progressively to the ELC approved database on evidence of student demand.

**ADMINISTRATION**

19. In the case of courses funded by the Department for Education (DfE), Devolved Administrations (DA) or MOD (the relevant sS) fees will be initially paid up to £9,250 (Higher Floor Amount) for Publically Funded LPs and up to £6,000 for Privately Funded LPs for each year of study. DfE or DA contributions will be refunded to MOD for reimbursement to sS TLBs. Tuition fees above the capped amount must be paid by the SL. The fee caps for England are contained in The Higher Education (Fee Limits and Fee Limit Condition) (England) Regulations 2018 (2018 No. 903 Education England).

20. The effects of any assignment within the resettlement phase and withdrawals from the scheme should be carefully understood. Normally, failure to complete the activity or breaks in study outside of the usual term time breaks, will result in any further application being denied. A Gap year is not permitted under the Scheme unless this is integral to the course, e.g. to undertake a work placement as part of a ‘year in Industry’ requirement. This must be declared at the outset otherwise no funding under the Scheme will be provided. If failure to complete the course of study is due to Service or compassionate reasons that could not have been foreseen, then this ruling will not apply. The single Service representatives will need to keep TESRR informed.
MAKING AN APPLICATION/CLAIM

21. SL can apply on entering their resettlement phase\(^{407}\), or for up to 10 years after leaving Service\(^{408}\). Officers from the age of 50, or Other Ranks who have completed in excess of 30 years’ Service may register for resettlement support prior to the two-year point in accordance with ELC and resettlement policy.

22. Claims can be made via the ELCAS website. Alternatively, current forms (as published online) must be completed by the SL and countersigned by line managers and appropriate Ed Staff. Claims are not to be submitted directly to ELCAS. A copy of the form and interview record is to be held in the SL’s Personal Development Record (PDR) and personal records where appropriate. A separate claim must be submitted for each year of a course. The application and claim process is described at Annex A.

23. The claim must state the cost of the tuition fees to be paid; for longer courses this is to be calculated by each FY, so that the cost is evenly spread. The course fee must include any existing discounts or fee reductions. The claim must state the MOD contribution (up to a maximum of £1k or £2k depending on Tier eligibility) with the remaining balance (the amount which would have equated to the individual’s personal contribution). The two amounts, when added together, should total the course fee quoted by the LP. As normal, the ELC contribution will in no case exceed 80% of the gross course cost (tuition fees only). This includes VAT but excludes payment for food, accommodation, travel, subsistence and course material, which are the SLs responsibility. The DfE/DA will meet the minimum 20% cost towards the tuition fees. Where all ELC has been exhausted but the SL still qualifies for full state subsidy then course tuition fees will be met in full by the DfE/DA and MOD contribution.

24. On receipt of a properly completed and authorised application, the Ss Authority will send a Claim Authorisation Note (CAN) to the SL. The CAN is effectively a promissory note to the LP that the SL is eligible to receive fully subsided state support. All applications for study must be submitted at least 25 clear working days prior to start course date. The SL must ensure there is sufficient time to receive the CAN and present it to their chosen LP before the course starts, which, for many LPs, means the CAN must be submitted before final course registration date.

25. All payments will be made direct to the LP by MOD on receipt of a correctly completed invoice once the applicant commences the course. LP invoices will be accepted by MOD (through ELCAS) no earlier than six weeks and no later than 9 months after the SL starts their course. LP must confirm that the SL has completed six weeks of study.

26. SL will not be able to claim a refund for any money paid to a LP. SL are not to commence a course without first receiving their CAN and presenting it to their approved LP. Furthermore, SL are not permitted to transfer their CAN to a different course or LP. SL cannot pay upfront to a LP and subsequently seek reimbursement from MOD on receipt of their CAN. If SL do not complete the first six weeks of study, the DfE/DA will not fund any

\(^{407}\)Notwithstanding the general tenet that SL enter their resettlement phase at the start of their last 2 years of service, in many cases this is unlikely to align with the start date of courses. Therefore, SL may be authorised to commence a course under this scheme some months earlier if all other requirements are met. In these cases direction should be sought from the Ss ELC managers and/or People-TESRR-PersDev Ed C2 in TESRR.

\(^{408}\)For SL who ceased to be members of the Armed Forces between 1 Apr 11 and 31 Mar 16, until 31 Mar 21; for SL who ceased to be members of the Armed Forces on or after 1 Apr 16, 5 years after discharge.
tuition fee costs owed to the LP and the payment of all costs become the responsibility of the SL.

27. **sS points of contacts** are in accordance with ELC Direction.

28. **Length of support.** Support will be available within the entitled period of eligibility. In some instances, such as illness, compassionate circumstances or the SL being deployed during Resettlement or after Service (on transfer to the Reserves), it may be possible for the support to be made available beyond the normal length of the course of study.

29. **Evaluation and achievement tracking.** In accordance with MOD Direction, ELCAS will conduct an evaluation of LP training and support including site visits and student feedback.

30. **Self-declaration.** SL are required to complete the Self-declaration [on the application form] confirming that they are eligible to receive support and that by receiving the support it is their intention to complete the full qualification. They must also declare that they meet the residency and citizenship/settlement criteria. Ed Staffs are to advise the SL as appropriate on what constitutes eligibility, but it will be the SL’s ultimate responsibility to ensure they understand and fully comply with the scheme Direction. SL should also be able to provide documentary proof from JPA or through the Learner Records Service once in receipt of a Unique Learner Number.

31. **Cancellation and withdrawal procedures.** SL that have used up their ELC and are claiming full state subsidy and do not comply with cancellation and withdrawal regulations, risk forfeiting their membership of the ELC scheme and thus their access to the FE-HE scheme. SL are also subject to the criteria laid down by the DfE/DA, who will not fund any tuition fee costs owed to the LP, by SL who does not complete the first six weeks of study. See Para 27.

32. **SL re-entering Full Time Service.** SL who take up FE-HE support during their resettlement, and subsequently remain in or re-enter Service may, with the agreement of the DfE/DA, continue with their chosen qualification until completion without incurring any financial penalty. The SS Authority must take account of the study and its duration and be prepared to endorse and support its continuation to completion. However, such SL will forego any further state support under this commitment on finally leaving Service, having used up their opportunity to draw down subsided tuition fees. Alternately, the LP and DfE/DA may agree to defer the completion of the course, for which final authority rests with the DfE/DA. A record is to be retained by the CSP if such circumstances arise.

33. **Other funding streams.** SL are not permitted to claim any other source of MOD funding including the IRTC or SLC related to any application made under this scheme (additionally refer to paragraph 4.g. above).

34. **Cost recovery process.** JSP 462 sets out the policy and process for TLBs to recover costs from OGD, i.e. DfE and Agencies in accordance with HM Treasury guidelines,

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409 For their first full Level 3 or first HE qualification level 4-6.
410 This may require the SL to change the course to a part-time/blended learning basis, possibly with an alternate provider transferring CAT points etc.
‘Managing Public Money’. ELCAS will provide a quarterly report to sS TLB budget managers, copied to DfE/DA, to enable recovery action between DfE/DA and MOD.

35. **Procedure for Claimants no Longer in Service (CNLIS)**. SL\(^{412}\) may apply within their post service eligibility period. Forms are available at the ELCAS website and are to be submitted to sS for endorsement:

| Royal Navy          | NCHQ, Mailpoint 3.3, Leach Building, Whale Island, HMS Excellent, Portsmouth, PO2 8BY  
|                     | Portsmouth Amanda Rayner: amanda.rayner893@mod.gov.uk or Stephen Gowling: stephen.gowling100@mod.gov.uk  
|                     | West of England Alf Ramsay: alastair.ramsay994@mod.gov.uk  
|                     | North of England Garth Atkinson: garth.atkinson917@mod.gov.uk  
|                     | Royal Marines Scott Jamieson: scott.jamieson948@mod.gov.uk |
| Army                | SO3 Int Dev  
|                     | Education Branch Zone 4, Floor 2, Army Personnel Services Group, Home Command  
|                     | Ramillies Building, Army HQ  
|                     | Monxton Road, Andover  
|                     | SP11 8HJ  
|                     | Tel: 079 7722 9294  
|                     | Email: Army-ELC-Veterans@mod.gov.uk |
| RAF                 | Learning Credits Administrator  
|                     | 22 Gp, Rm 221b Trenchard Hall, RAFC Cranwell, Sleaford, Lincs, NG34 8HB  
|                     | Email: michael.quainton100@mod.gov.uk |

**ANNEX**

A. [FE/HE Support Scheme Process for SL and LP](#).

\(^{412}\) Who meet the eligibility criteria and have left the Services.
SL identifies learning requirement for first full Level 3 (GCE A level or vocational equivalent), or a first HE qualification (a foundation degree or a first undergraduate degree or equivalent, Level 4-6) free from tuition fees.

SL identifies eligible LP providing appropriate course.

SL completes a claim confirming:
- member of ELC scheme.
- qualifying ELC service.
- meets residency requirements.
- first full level 3 or first HE qualification (Level 4-6).
- left service or entered resettlement phase on or after 17/07/08.
- eligible LP used.
- ensuring claim form will reach sSR 25 clear working days before course start date.

SL submits claim to sSR who signs to confirm that:
- claim is completed correctly.
- course is eligible.
- LP is eligible.
- SL is eligible.
- SL country of residence correct.
- Identification of FE / HE correct.
- Learning consists of at least half of a first full Level 3 (GCE A level or vocational equivalent), or a first higher education qualification (a foundation degree or a first undergraduate degree or vocational equivalent). If the application is for part time study, applicants must be studying at a minimum of 25% of the full time rate.

Claim signed by sSR to confirm all details can be accepted.

Claim OK for submission

No

Claim Query or Claim Reject?

Yes

End of Process

sSR to process online

No

Override authority with claim?

Yes

sSR enter claim onto ELC database and carry out the following validations:
- member of ELC scheme.
- sufficient eligible service.
- SL signature present and signed before line manager and / or SSR.
- eligible LP.
- course dates correct.
- SSR signature present and correctly dated.
- Unit Stamp present.
- country of residence confirmed.
- claim monetary amounts valid.
- identify whether ELC + OGD or OGD only.

Claim signed by sSR to confirm all details can be accepted.

Claim OK for submission

No

Claim Query or Claim Reject?

Yes

End of Process

sSR explain query reason to SL and request amendment(s) to claim.

Refer back to sSR either for claim reject or for override submission only if within 5 days of course start date.

Rejected or overridden by sSR?

Yes

Rejected by sSR

End of Process

No

Completed

Refer back to SSR explaining reason for reject. Mark database record as claim rejected.

SSR makes appropriate amendments to claim.

Claim signed by sSR to confirm all details can be accepted.

Claim OK for submission

No

Claim Query or Claim Reject?

Yes

End of Process

sSR enter claim onto ELC database and carry out the following validations:
- member of ELC scheme.
- qualifying ELC service.
- meets residency requirements.
- first full level 3 or first HE qualification (Level 4-6).
- left service or entered resettlement phase on or after 17/07/08.
- eligible LP used.
- ensuring claim form will reach sSR 25 clear working days before course start date.

SL identifies eligible LP providing appropriate course.

SL identifies learning requirement for first full Level 3 (GCE A level or vocational equivalent), or a first HE qualification (a foundation degree or a first undergraduate degree or equivalent, Level 4-6) free from tuition fees.
SL books course, not paying any money to provider but using CAN as proof of future payment.

SL cancels course -- cancellation / reinstatement flows.

LP Sends invoice to ELCAS as follows:
- Invoice payee = DGFM MOD.
- Dated at least six weeks and no later than 9 months after start date.
- Confirm whether course is FE or HE.
- Confirm that the learner is participating and undertaking the learning effectively at the point of invoice.
- Confirm learner is undertaking at least the equivalent of 25% of a full-time course.

Course starts (Invoice cannot be submitted by LP until 6 weeks and no later than 9 months after course start date, invoice must be dated as such).

ELCAS enter invoice details onto database and carry out the following validations:
- Invoice payee identified as DGFM MOD.
- Invoice date at least six weeks after course start.
- Invoice matched to claim by either claim number or service number.
- LP code matches claim LP code and allocation.
- OGD amount matches CAN.
- ELCAS amount matches CAN.
- VAT amount = prevailing VAT rate.
- FE/HE matches CAN.
- LP confirmed learner has effectively undertaken course.
- LP confirmed learner is undertaking at least the equivalent of half of a full-time course and if studying part time at a minimum of 25% of the full-time commitment.

Invoice OK for authorisation?

No

ELCAS output payment file splitting payments by service. Payment files sent to appropriate budget office. Pay file detail to include claimant country of residence and whether course FE/HE to allow budget office to correctly identify reclaim source.

Invoice OK for authorisation?

Query

End of Process

EDGES
- Refer back to LP explaining reason for query.
- Refer back to LP explaining reason for reject.

Budget office raise request to invoice quarterly to each OGD through DGFM FM SSC.

DGFM arrange for reclaim via invoice
- England FE
- England HE
- Scotland FE
- Scotland HE
- Wales FE
- Wales HE
- Ireland FE
- Ireland HE

Glossary
OGD = Other Government Departments
ELCAS = Enhanced Learning Credits Administration Service
FE = Further Education
HE = Higher Education
LP = LP
WD = Working Days
sSR = Single Service Representative
CAN = Claims Authorization Note
DGFM FM SSC = Director General Financial Management Financial Management Shared Service Centre
SL = Service Leaver
9 Relocated Policies

Where appropriate, policies and guidance that were contained within the previous version of this JSP and JSP 898 but are better retained and maintained by the policy owners (for continued reference) have been relocated. They are listed here.

9.1 Management Practices Document - Specialist Instructional Officers
(formerly JSP 822, Part 3, Chapter 4)

This policy document has been removed from this JSP and retained by the owner, Head of Profession (Hop) for Training and Education.

9.2 Management Practices Document - Burnham Lecturers
(formerly JSP 822, Part 3, Chapter 4)

This policy document has been removed from this JSP and retained by the owner, Head of Profession (HoP) for Training and Education.

9.3 Learning Technologies Handbook
(formerly JSP 822, Part 5, Chapter 5, DTSM 5)

This guidance document has been removed from this JSP and retained, for reference, by the owner, Defence TEL (DTEL), HQ Defence Academy (policy sponsor is DEFAC-HQ-DTELDLEGpMailbox@mod.gov.uk).

9.4 First & Second Party Audit of Defence Individual Training (Section 7, Annex C: Defence Training Audit Checklist)
(formerly JSP 822, Part 5, Chapter 6, DTSM 6)

The Defence Training Audit Checklist only has been removed from this JSP and is no longer in use. Audit teams are to develop their own checklists using the mandated activities listed in Part 1, Chapter 2, Section 2.1 and Part 1, Chapter 2, Section 2.1.

9.5 Methods and Media Selection Tool User Manual
(formerly JSP 822, Part 5, Chapter 7, DTSM 7)

This guidance document has been removed from this JSP and retained, for reference, by the owner, Defence TEL (DTEL), HQ Defence Academy (policy sponsor is DEFAC-HQ-DTELDLEGpMailbox@mod.gov.uk).

9.6 The Delivery of Training (Defence Trainer Capability)
(formerly JSP 822, Part 5, Chapter 8, DTSM 8)

This guidance document is being amended and will be subsumed into Part 2 of this JSP later in 2017.
9.7 Defence Language and Cultural Awareness Training Policy  
(formerly JSP 898, Part 3, Chapter 10)

Reference to this policy, which remains extant in 2017DIN03-004, has been removed from this JSP (the sponsor is ACDS (Ops) and the POC is The Defence Requirements Authority for Culture and Language (DRACL)).

9.8 Defence Logistics Training Policy  
(formerly JSP 898, Part 3, Chapter 15)

Reference to this policy, which resides in JSP 896: The Defence Logistics Training and Education Handbook, has been removed from this JSP.

9.9 Guidance on Initial Action to be Taken when Discovering Incident involving Death or Serious Injury  
(formerly JSP 898, Part 5, Chapter 2)

Reference to this policy, which remains extant in 2010DIN02-023, has been removed from this JSP (the sponsor is DBR Def Sy and the POC is DBR-DefSy-Policing Pol 3).

9.10 Criminal Records Bureau (CRB) Employment Checks and Checks on Personnel Working with Children and Vulnerable Adults  
(formerly JSP 898, Part 5, Chapter 3)

Reference to this policy, which resides within JSP 893: Policy on Disclosure Checks, has been removed from this JSP.

9.11 Harassment Complaints Procedure  
(formerly JSP 898, Part 5, Chapter 4)

Reference to this policy, which resides within JSP 763: MOD Bullying, Harassment and Complaints Procedures, has been removed from this JSP.

9.12 Tri Service Operational and Non-Operational Welfare Policy  
(formerly JSP 898, Part 5, Chapter 7)

Reference to this policy, which is JSP 770: Tri Service Operational and Non-Operational Welfare Policy, has been removed from this JSP.