



# Appraisal Report

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# Appraisal Report

*Ministry of Defence and Armed Forces*

*1963 – 2014*

## **CONTENTS**

<b>Executive Summary</b>	<b>4</b>
<b>Background Information</b>	<b>6</b>
<b>Selection Decisions</b>	<b>20</b>
<b>Technical Report</b>	<b>27</b>
<b>Annex A - Generic records selection criteria</b>	<b>52</b>
<b>Index</b>	<b>54</b>



### **Document History**

<b>Draft No</b>	<b>Date</b>	<b>Appraisal Stage</b>	
1	18 Dec 13	MOD enters key information. Preliminary ideas expressed for the sort of material it wishes to select. Executive summary completed in draft. Draft sent to TNA's IMC.	Complete
2	28 Jan 14	Specific decisions for groups of records have been made and any 'review' has been recorded. This must be done through consultation between IMC and MOD's DRO but may involve a wider discussion between IMCs.	Complete
3	3 Feb 14	Final draft. Submission of consultation draft to Records Decision Panel for approval.	Complete

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### **Approvals**

<b>Name</b>	<b>Role</b>	<b>Date</b>
Michael Rogers	IMC	28/01/2014
Simon Marsh	DRO	28/01/2014
Julia Stocken	Records Decision Panel	03/02/2014

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## EXECUTIVE SUMMARY

*The Ministry of Defence (MOD) has two high-level outputs reflecting its roles as a Department of State and the nation's Armed Forces. These outputs are Defence policy, comprising the definition of the military capability and other objectives required of Defence to meet the Government's overall policy aims within planned resources; and the Military capability needed to deliver Defence policy and to support wider Government policy objectives. The Defence Secretary of State is responsible for making and executing Defence policy, providing the means by which it is executed through the Armed Forces and accounting to Parliament for the resources used to do so; chairing the Defence Board and the Defence Council and its three delegated Service Boards; and providing strategic direction. The Secretary of State is supported by a number of subordinate Ministers; the Permanent Secretary (PUS), who is the departmental Accounting Officer and principal civilian adviser on Defence; and the Chief of the Defence Staff (CDS) as his, and the Government's, principal military adviser. Together, PUS and CDS are the joint professional heads of Defence.*

*The Defence Council provides the formal legal basis for the conduct of Defence in the UK through a range of powers in respect of the Armed Forces that are vested in it by Parliament and the Queen. Letters Patent require the Defence Council to have three Service Boards (the Admiralty Board, the Army Board and the Air Force Board). The Defence Board is the Department's senior body driving and managing change and delivery and its principal responsibility is to provide the strategic leadership of Defence. The Defence Board delegates specific subjects to three sub-committees: The Investment Approvals Committee, the Defence Audit Committee, and the People Committee (Appointments Committee).*

*MOD Head Office interprets political direction for military use, reports to Parliament on the Department's performance and allocates resources to empowered Top Level Budget (TLB) holders. The outputs that TLB holders are required to deliver, as well as the resources that are provided to them to do so, are set out in the Defence Plan. TLB holders are accountable to the PUS and CDS through the Defence Board for the delivery of their outputs and for the use of their resources.*

*The records that result from the Defence Board, the Defence Council and their subordinate high level boards and committees, will be selected for permanent preservation and transferred to The National Archives. Additionally, the principal MOD policies, recorded actions, structures and decision making processes that will be selected for permanent preservation are reflected in its six Core Functions: Direct Defence activity at the strategic level; Operate Defence and military capability on operations and other Military Tasks; Generate and develop the capability needed to meet current and future operational demands; Acquire the equipment, systems and commodities needed to deliver and support military capability in the short to long-term; Enable other functions by setting the corporate framework of policies,*

*rules and standards for Defence and providing or commissioning the delivery of corporate services; and Account for and report on Defence activity and spending to Parliament and public. The records selected will be those that make or contribute to policy decisions of an immediate, broad impact on domestic or international events and conditions; record the development, advice on and communication of primary and secondary legislation; record the advice on carrying out primary or secondary legislative provisions but without any legal force; and record the decisions affecting the way MOD conducted its Core Functions.*

*MOD's records management policy is contained in the Joint Service Publication (JSP) 441 and all units in Defence are expected to comply with this policy. JSP 441 makes units responsible for determining what information has value and ensuring that such information is securely stored and retained as a record. Defence records are now predominantly born digital with a small number being created in a physical format. There are a number of information systems operating in deployed environments creating digital records and processes have been established to secure the capture of operational records from these systems. These operational records have been selected for permanent preservation as they depict the activities of those units deployed on operations and events from these operations are deemed to have high historic value. The Defence Information Infrastructure is the primary means for creating, storing and managing the majority of MOD's digital records. These records are a mixture of operational, case and policy records created in UK headquarters. It is not expected that digital records from either the operational record or the Defence Information Infrastructure will begin to be transferred to The National Archives until 2023.*

*The UK Hydrographic Organisation, the Atomic Weapons Establishment and the Defence Geographic Centre have responsibility for the selection and ongoing preservation of their records. This report has not covered the functions and activities of these organisations.*



## 1 BACKGROUND INFORMATION

### 1.1 Ministry of Defence

1.1.1 The Ministry of Defence (MOD) has two high-level outputs, reflecting its roles as a Department of State and the nation's Armed Forces. These are:

- Defence policy, comprising the definition of the military capability and other objectives required of Defence to meet the Government's overall policy aims within planned resources; and
- Military capability needed to deliver Defence policy and to support wider Government policy objectives.

1.1.2 The MOD is the whole set of organisations, people and activities, both military and civilian, which Parliament funds to ensure military capability is delivered effectively and efficiently, both in current operations and in preparation for potential future ones. This includes, in addition to the Armed Forces themselves, organisations, people and activities involved in:

- Contributing to the formulation of Government policy and setting Defence policy and strategy;
- Providing military capability and supporting infrastructure and services;
- Using military capability to meet agreed military tasks;
- Managing Defence activities, including commanding and administering the Armed Forces and managing, controlling and accounting for the resources voted by Parliament.

1.1.3 The MOD is headed by a Cabinet Minister, the Secretary of State for Defence, who is accountable to the Prime Minister and Parliament for all its activities. It also has an Accounting Officer, the Permanent Secretary (PUS), who is separately accountable to Parliament for managing the Department, and for the proper use of the funds voted by Parliament.

1.1.4 The MOD includes the Armed Forces, which are the professional organisations responsible for delivering military capability on the ground. The Chief of the Defence Staff (CDS) is the professional head of the Armed Forces as a whole, and is responsible for the delivery of military capability, including the direction of military operations. The Royal Navy, Army and Royal Air Force each has a Service Chief of Staff (COS) as its professional head, who is responsible, among other things, for ensuring the fighting effectiveness, efficiency and morale of their Service.

1.1.5 The overarching policy framework for the MOD is provided by the National Security Council, which is responsible for the National Security Strategy and the Strategic Defence and Security Review and for overseeing their implementation. The Strategic Defence and Security Review identified the cross-cutting National Security Tasks.

1.1.6 Within the overall framework of the National Security Tasks, the contribution of the Armed Forces is further defined through Military Tasks which describe what the Government may ask the Armed Forces to undertake; and through more detailed Defence Planning Assumptions about the size of operations, how often they might be undertaken, how far away from permanent bases, with which partners and allies, and how soon forces are expected to recover from the effort involved. The MOD protects the security, independence and interests of the UK at home and abroad, working with our allies and partners whenever possible. MOD's aim is to ensure that the Armed Forces have the training, equipment and support necessary for their work, and that it keeps within budget. The MOD has 7 military tasks:

- Defending the UK and its overseas territories;
- Providing strategic intelligence;
- Providing nuclear deterrence;
- Supporting civil emergency organisations in times of crisis;
- Defending our interests by projecting power strategically and through expeditionary interventions;
- Providing a defence contribution to UK influence;
- Providing security for stabilisation.

1.1.7 In its role as a Department of State, the MOD works with a number of agencies and other public bodies. These are:

1.1.8 Executive agencies:

- Defence Science and Technology Laboratory (Dstl): was launched as a Trading Fund on the 1 July 2001 and provides specialist scientific and technical support to the MOD. Its purpose is to maximise the impact of science and technology for the defence and security of the UK.

- Defence Support Group (DSG): provides the MOD with secure access to assured onshore capacity and capability for the through-life maintenance, repair, overhaul, upgrade and procurement support services for defence equipment.
- Ministry of Defence Police and Guarding Agency (MDPGA): Formed as an Agency in 1992 called the Ministry of Defence Police (MDP), it was amalgamated with the Ministry of Defence Guard Service (MGS) in 2004 to form MDPGA. Its role is to deliver effective Policing and Guarding as a part of the UK's Defence capability.
- Service Children's Education (SCE): provides education to the children of Her Majesty's Armed Forces, MOD personnel and sponsored organisations stationed overseas.
- Service Personnel and Veterans Agency (SPVA): was formed on 1 April 2007 following the merger of the Armed Forces Personnel Administration Agency and the Veterans Agency. It provides essential support services to the armed forces and veterans communities including personnel administration services, payment of pay, allowances and pensions, compensation payments to those injured or bereaved through service and one to one veterans welfare support.

### 1.1.9 Executive non-departmental public bodies:

- National Army Museum:
- National Museum of the Royal Navy:
- Royal Air Force Museum:

### 1.1.10 Advisory non-departmental public bodies (see Table 3.1 for more details):

- Advisory Committee on Conscientious Objectors;
- Advisory Group on Military Medicine;
- Armed Forces Pay Review Body;
- Central Advisory Committee on Pensions and Compensation;
- Defence Nuclear Safety Committee;
- Defence Scientific Advisory Council;



- National Employer Advisory Board;
- Nuclear Research Advisory Council;
- Review Board for Government Contracts;
- Science Advisory Committee on the Medical Implications of Less-Lethal Weapons;
- Veterans Advisory and Pensions Committees.

### 1.1.11 Public corporation:

- Oil and Pipelines Agency: is responsible for managing the Government Pipeline and Storage System. It oversees all aspects of the facilities' operation and maintenance, ensuring that UK military requirements for aviation fuel are met.

### 1.1.12 Other:

- Defence Academy of the United Kingdom: is responsible for postgraduate education and the majority of command, staff, leadership, defence management, acquisition and technology training for members of the UK Armed Forces and MOD civil servants. It is also the MOD's main link with UK universities and international military educational institutions.
- Defence Sixth Form College: The Welbeck Defence Sixth Form College offers a unique programme of personal, physical and intellectual development, which provides its students with an education designed to meet the needs of today's modern technical Armed Forces.
- Defence, Press and Broadcasting Advisory Committee (see Table 3.1 for more details).
- Fleet Air Arm Museum Royal Marines Museum: is the world's second largest naval aviation museum.
- Royal Navy Submarine Museum: was established in 1963 and traces the international history of submarine development to the present day.
- Service Complaints Commissioner: aims to ensure all Service men and women and their families have confidence in the complaints system and are treated properly. The Commissioner's role is to provide a rigorous and independent oversight of how the complaints system is working and to report back to Ministers and to Parliament. The Commissioner also provides an alternative point of contact for Service personnel, or someone acting on their behalf, such as a member of their family, a friend or MP to raise concerns.

- Service Prosecuting Authority: was formed in 2009 and provides for the independent, efficient and consistent consideration of criminal cases and offences contrary to military discipline. It will initiate prosecutions where justified and conduct fair and thorough proceedings in the service courts of first instance and the service appellate courts.

## **1.2 Type of agency**

1.2.1 Not applicable

## **1.3 Annual budget (if an Agency)**

1.3.1 Not applicable

## **1.4 Number of employees (if an Agency)**

1.4.1 Not applicable

## **1.5 History of the MOD**

1.5.1 The co-ordination of defence measures by a single minister was first attempted in 1936 when a Minister for the Co-ordination of Defence was appointed to assist the Prime Minister. The post was abolished in April 1940 and when Churchill became Prime Minister in May 1940 he assumed the additional title of Minister of Defence.

1.5.2 Following a review of how the lessons learnt from wartime experience could be preserved and developed, the White Paper on Central Organisation for Defence proposed the creation of a new post of Minister of Defence. The holder of the new post would be in charge of a Ministry and responsible to Parliament for the inter-relation of the three armed services and their supply. The Ministry of Defence Act, 1946, laid upon the Minister the responsibility for 'the formulation and general application of a unified policy relating to the Armed Forces of the Crown as a whole and their requirements'. The Act received royal assent on 19 December 1946 and a Minister of Defence was appointed on 21 December 1946. The Ministry was formally constituted on 1 January 1947.

1.5.3 In 1957 it was announced that the Minister of Defence was to have increased authority to take decisions on matters of general defence policy affecting the size and shape, organisation and equipment of the Armed Forces, and this was confirmed in the White Paper on Central Organisation for Defence of July 1958.

- 1.5.4 In July 1963, a similarly titled White Paper proposed the establishment of a unified Ministry of Defence in which complete authority and responsibility for the Armed Forces would be invested in a single secretary of state. These proposals were given statutory authority under the Defence (Transfer of Functions) Act, 1964, the vesting date being 1 April 1964. From that date the Ministry of Defence, Admiralty, War Office and Air Ministry were amalgamated, and arrangements were made for collaboration with the Ministry of Aviation. The Secretary of State now had complete control of both defence policy (there had previously been three cabinet places for single service ministers) and the machinery for the administration of the three services.
- 1.5.5 The new unified Ministry marked the start of a period which saw increasing pressure to improve efficiency and increase the effectiveness of the administrative functions of the Armed Forces and the Ministry of Defence. It was mostly organised on a joint rather than an 'integrated' or 'functional' basis in that sections of the Navy, Army and Air Staffs with similar responsibilities remained separate within their own departments, but were brought together in joint committees.
- 1.5.6 The new organisation included three Ministers of state who headed and implemented policy within the Navy, Army and Air Departments. They also had responsibilities across the whole of the defence field for international policy, personnel and logistics, and research development and production, although they did not have executive responsibilities. They were assisted by three Parliamentary under-Secretaries of State.
- 1.5.7 The Chiefs of Staffs Committee, which was initially established as a sub-committee of the Committee of Imperial Defence in 1923, was unchanged by the creation of the new Ministry, and remained collectively responsible to the Government for professional advice on military strategy and operations.
- 1.5.8 1967 saw a re-organisation of the Ministry aimed at moving towards a functional rather than service based structure. The three single service ministerial posts were replaced by two functional ministerial positions:
- Minister of Defence (Administration): responsible for managing personnel and logistics for the entire defence establishment. He was assisted by Chief Adviser, Personnel and Logistics.
  - Minister of Defence (Equipment): responsible for managing research, development, production, procurement and sales. He was assisted by Chief Adviser (Projects), formerly the Chief Scientific Adviser. The positions of Head of Defence Sales and Deputy Under-Secretary of State (Equipment) were created to assist the Minister of Defence (Equipment) in general questions of research and development, procurement and production and sales.

- 1.5.9 The three single service second permanent under secretaries were replaced by two functional second permanent under secretaries, for administration and equipment, and ministerial responsibility for the single service Departments was delegated to the Parliamentary under-Secretaries of State.
- 1.5.10 The Defence Staff was formed from the existing Naval, General, Air and Joint Service Staffs, and was responsible to the Chiefs of Staff Committee. The appointment of Deputy Under-Secretary of State (Civilian Management), created a single civilian management organisation for all civilian staff.
- 1.5.11 By this time rationalisation of many of the functions previously undertaken in isolation within each service had been centralised including financial control, civilian management, statistics and contracts but the process of rationalising the Armed Forces continued.
- 1.5.12 In 1969 the Directorate for Statistics, Management Services, Accounts and Contracts was established.
- 1.5.13 1970 saw a new administration. During the previous six years there had been a shift to a more centralised Ministry, breaking away from the single service divisions in many areas. However, the new Government moved to reverse this trend through the appointment of three single service Parliamentary under-Secretaries of State appointed under one minister of state.
- 1.5.14 The new administration shifted the emphasis of UK Defence Policy towards maintaining the UK's overseas military presence outside NATO, and an increase in manpower and equipment. The additional responsibilities incurred by this change in policy led to a new drive to streamline the Ministry of Defence.
- 1.5.15 In August 1971 the Procurement Executive was established under a Minister of State for Defence Procurement (this post was abolished at the end of 1972 when responsibility passed to the Minister of Defence). The new Executive provided for the integration of all defence research, development and production under a single minister. 1971 also saw the defence functions of the Ministry of Aviation Supply (as it had by then become) absorbed into the MOD as MOD took over responsibility for supplying military aircraft and guided weapons.

- 1.5.16 In 1972 the Directorate of Internal Audit was created and the Atomic Weapons Research Establishment transferred into the Controllerate of Research and Development Establishments and Research. There was also a split from Civil Aviation research, which passed to the Department of Trade and Industry, but a Ministerial Aerospace Board attended by both Secretaries of State was established to ensure communication between the two departments on aviation matters.
- 1.5.17 The operations of the Atomic Weapons Research Establishment, including responsibility for the management of the UK's nuclear deterrent, were transferred from the UK Atomic Energy Authority to the MOD in 1973.
- 1.5.18 The overall scope of the MOD has remained largely unchanged since then, although it has been through a number of major reorganisations.
- 1.5.19 The 1984 Heseltine reforms strengthened the Head Office and its role in deciding on the major 'size and shape' issues, while at the same time more clearly delegating responsibility for delivery. Development of these reforms over the next ten years, in what became known as the 'New Management Strategy', changed the way MOD planned and accounted for its resources, aligning financial and management responsibilities and delegating authority and budgets from the centre to empowered delivery organisations - 'Top Level Budgets' (TLBs) and agencies; and created a smaller core Head Office by moving functions to the TLBs.
- 1.5.20 The development of 'jointery' – organising and operating on a tri-Service basis – was a key theme of the 1994 Rifkind reforms (the Defence Costs Studies / Front Line First report). These led to: an integrated civilian / military Head Office covering both departments of state and military headquarters functions; the creation of a Permanent Joint Headquarters, a Joint Staff College, and a Defence Estates organisation; and a greater use of agencies and contracting out to deliver particular functions and services.
- 1.5.21 The 1998 Strategic Defence Review, created more joint service organisations, including a Defence Logistics Organisation and Joint Helicopter Command. Further significant changes, including: the merger and collocation of the separate operational and personnel organisations for each Service into single TLBs under the respective single service Chiefs of Staff; the merger of the Defence Logistics Organisation with the Defence Procurement Agency to form the single Defence Equipment and Support organisation; the split of the Defence Evaluation Research Agency into two separate organisations forming the Defence Science and Technology Laboratory and Qinetiq in 2001; a large reduction in the number of agencies; and a 'Streamlining' of Head Office.

1.5.22 In 2010, the Strategic Defence and Security Review took a more holistic view of defence, security, intelligence, resilience, development and foreign affairs capabilities and set out the strategy to deliver the objectives set out in the National Security Strategy. It also set a clear target for the national security capabilities the UK would need by 2020.

1.5.23 The 2011 Defence Reform aimed to create a Defence organisation that was simpler, more effective and better able to deal with existing and future challenges, as well as significantly reducing the running costs of Defence and as part of this Reform, 2012 saw the many duties of the two Permanent Under Secretaries being taken on by a single Permanent Secretary (PUS). The on-going Transformation programme will produce a battle winning Armed Forces, with a smaller more professional MOD taking a rational approach to what the Department can afford.

## **1.6 Functions, activities, and recordkeeping**

1.6.1 The Prime Minister is the ultimate decision maker for committing the Armed Forces to Operations.

1.6.2 The Prime Minister chairs the National Security Council (NSC) that brings together all the senior Ministers with an interest in national security for collective discussion of the Government's national security objectives and how best to deliver them. The Prime Minister and the NSC set the strategic and political priorities and the requirements and direction for Defence and Security.

1.6.3 The Operating Model for Defence is based on the 6 Core Functions that:

- Direct Defence activity at the strategic level: for policy, strategic direction of military operations and MOD's contribution to national security;
- Operate Defence and military capability on operations and other Military Tasks (for example, providing a Defence contribution to UK influence);
- Generate and develop the capability needed to meet current and future operational demands;
- Acquire (procuring and supporting) the equipment, systems and commodities needed to deliver and support military capability in the short to long-term;
- Enable other functions by setting the corporate framework of policies, rules and standards for Defence and providing or commissioning the delivery of corporate services; and
- Account for and report on Defence activity and spending to Parliament and public.

- 1.6.4 In performing these functions individuals and organisations within Defence work with a range of external bodies, including: Other Government Departments on common policy and delivery issues; with international organisations and allies to advance UK influence and interests; and with industry to commission goods and services.
- 1.6.5 The Defence Secretary of State is responsible for making and executing Defence policy, providing the means by which it is executed through the Armed Forces and accounting to Parliament for the resources used to do so; chairing the Defence Board and the Defence Council and its three delegated Service Boards; and providing strategic direction on: operations; personnel; SDSR implementation; Defence planning, programme and resource location; Defence Policy; international relations; the nuclear programme; acquisition; and Parliamentary business and communications. The Secretary of State is supported by a number of subordinate Ministers, each of whom has responsibility for specific areas of defence business; the PUS, who is the departmental Accounting Officer and principal civilian adviser on Defence; and the Chief of the Defence Staff (CDS) as his, and the Government's, principal military adviser. Together, PUS and CDS are the joint professional heads of Defence.
- 1.6.6 The Defence Council provides the formal legal basis for the conduct of Defence in the UK through a range of powers in respect of the Armed Forces that are vested in it by Parliament (through statute) and the Queen (through Letters Patent and known as prerogative powers). Membership of the Council is determined by Letters Patent, which provide for it to be chaired by the Secretary of State, embodying the constitutional principle that the Armed Forces are commanded by a body headed by a Member of Parliament, who represents the people. Currently, its other members are the other Defence Ministers, CDS, PUS, Vice Chief of the Defence Staff (VCDS), the single Service Chiefs, the Chief Scientific Adviser (CSA) and the Chief of Defence Materiel (CDM).
- 1.6.7 The Letters Patent require the Defence Council to have three Service Boards (the Admiralty Board, the Army Board and the Air Force Board), chaired by the Defence Secretary of State, to whom the administration and command of the Royal Navy, Army and Royal Air Force are delegated and which exercise its quasi-judicial functions.

1.6.8 The Defence Board is the Department's senior body driving and managing change and delivery. Chaired by the Secretary of State, its principal responsibility is to provide the strategic leadership of Defence. The Defence Board comprises the Minister for the Armed Forces, PUS, CDS, VCDS, CDM, Director General Finance and four Non-Executive Board Members, one of whom acts as the Department's lead Non-Executive. The Defence Board's role is to advise and assist the Secretary of State and PUS in their accountabilities. The Defence Board's key objectives are: the alignment of resources and objectives; monitoring the performance on the top 20 projects; monitoring the Department's performance on recruitment, development, training, motivation and retention of people; and reviewing performance and risk management. The Defence Board delegates specific subjects to three sub-committees:

- The Investment Approvals Committee (IAC): chaired by Director General Finance and responsible for considering major investment proposals;
- Defence Audit Committee (DAC): chaired by one of the Non-Executive Board Members and responsible for challenging and validating internal controls and risk management process across Defence; and
- People Committee (Appointments Committee): chaired by one of the Non-Executive Board Members and concerned with senior Military and Civilian personnel.

1.6.9 MOD Head Office interprets political direction for military use and reports to Parliament on the Department's performance. It advises the Defence Board on which policy ambitions should be funded, sets the strategic direction and provides a corporate and financial management framework. Head Office allocates resources to empowered Top Level Budget holders, who will be accountable for delivery by PUS and CDS. To fulfil its role, Head Office works closely with:

- Top Level Budget (TLB) holders: defining requirements, developing an affordable Defence Programme and holding TLB holders to account for delivery of capability. The outputs that TLB holders are required to deliver, as well as the resources that are provided to them to do so, are set out in the Defence Plan. TLB holders are accountable to the PUS and CDS through the Defence Board for the delivery of their outputs and for the use of their resources. PUS delegates to TLB holders extensive financial, personnel, commercial and other authorities within which they must work, and for which they are personally accountable to PUS as the Departmental Accounting Officer. Most Defence activity is managed through 7 TLBs, namely:
  - Navy Command, headed by the Chief of the Naval Staff;
  - Land Forces, headed by the Chief of the General Staff;



- Air Command, headed by the Chief of the Air Staff;
- Defence Equipment & Support, headed by the Chief of Defence Materiel, is responsible for providing equipment and support to the Armed Forces for current and future operations. It acquires and supports through-life, including disposal, equipment and services ranging from ships, aircraft, vehicles and weapons, to electronic systems and information systems.
- Joint Forces Command, headed by the Commander Joint Forces Command, ensures that a range of vital military capabilities, functions and organisations – such as medical services, training and education, intelligence, and cyber – are organised and managed effectively and efficiently to support success on operations.
- Defence Infrastructure Organisation, headed by its Chief Executive; brings together all aspects of Defence infrastructure asset management and facilities management under one organisation. The organisation manages the majority of the MOD's technical infrastructure, accommodation, training and volunteer estate UK and worldwide and is responsible for most MOD expenditure on infrastructure management and delivery activities.
- Head Office and Corporate Services, headed by the Director General Transformation & Corporate Services, comprises a number of business units and Defence Agencies delivering a wide range of Head Office, support and operational functions, including: Director General Transformation and Corporate Strategy, Chief Scientific Adviser, Director General Finance, Chief Information Officer, Director Human Resources Directorate, Director General Military Aviation Authority, Director General Security Policy and Deputy Chief of Defence Staff (Operations), Deputy Chief of Defence Staff (Personnel and Training), Deputy Chief of Defence Staff (Capability), Director Central Legal Services, Director Media and Communications, Director Analytical Services, Director of Resources for Head Office and Corporate Finance, Defence Business Services.
- Other Government Departments: defining top-level strategy.
- Permanent Joint Headquarters: ensuring the use of deployed military forces meets political intent.
- Parliament and the Media: reporting openly and honestly on the performance of the Department and the Armed Forces.

- International partners: sharing knowledge and developing joint capabilities.

- 1.6.10 Defence records are now predominantly born digital with a small number being created in a physical format. There are a number of systems operating in deployed environments creating digital records and a process has been established to secure the capture of operational records from these systems. These operational records provide a body of information that can be used for historical operational analysis to support MOD decision making, the development of operational capability and lessons processes, as well as providing a basis for much of the record required to assist legal activity involving the Department. These records have been selected for permanent preservation as they depict the activities of those units deployed on operations and events from these operations are deemed to have high historic value. The Defence Information Infrastructure is the primary means for creating MOD's digital records, which are stored and managed in an electronic records management system. The records created on the Defence Information Infrastructure are a mixture of operational and policy records created in UK headquarters. It is not expected that digital records from either the operational record or the Defence Information Infrastructure will begin to be transferred to The National Archives until 2023.
- 1.6.11 MOD's records management policy is contained in the Joint Service Publication (JSP) 441 and all units in Defence are expected to comply with this policy. Each unit is responsible for developing their own file plan to reflect their individual business needs, but the JSP 441 states that all units are to adopt the Defence File Plan methodology. Defence agencies and trading funds are free to create their own file plans.
- 1.6.12 JSP 441 makes units responsible for determining what information has value and ensuring that such information is securely stored and retained as a record. The first review of records is normally conducted by local unit staff who make use of published retention schedules to determine whether the records should be destroyed, kept for a longer period because they have ongoing business value or considered for selection for permanent preservation. Physical records that are not destroyed at first review are transferred to the MOD's archives, where after a period of years, a second review of the files is performed no later than 25 years (reducing to 15 years in accordance with the 20 Year Rule Implementation Plan) after their last recorded action, by staff acting on the Departmental Record Officer's behalf. This second review will consider the records' current value to the Department and determine if they should be selected for transfer to The National Archives or Place of Deposit or destroyed.

1.6.13 Electronic records that are not destroyed at first review are retained in the electronic records management system on the Defence Information Infrastructure until second review. It is expected that the first, second review of electronic records will take place in 2020. MOD is implementing systems, tools and processes to ensure the digital continuity and preservation of vital records, including those that will be selected for permanent preservation.

## **1.7 Name of the parent or sponsoring department (if an Agency)**

1.7.1 Not applicable

## **1.8 Relationship with parent department (if an Agency)**

1.8.1 Not applicable

## **1.9 Relationship with other organisations (agencies / NDPBs / departments / other statutory bodies)**

1.9.1 The MOD works closely with the Foreign and Commonwealth Office and the Department for International Development in work to tackle the underlying causes of conflict and to minimise the likelihood of a need for UK military intervention arising. The MOD also works with the international community such as the United Nations, NATO and the Western European Union. Records concerning interdepartmental relationships will be held in Head Office files.



## 2 SELECTION DECISIONS

### 2.1 Areas of Policy Work Undertaken in the MOD

2.1.1 Including those records dated earlier than 1660 or those records the subject of which would be of general interest nationally or internationally, the principal MOD policies, recorded actions, structures and decision making processes that will be selected for permanent preservation are reflected in its six Core Functions. The records selected will be those that make or contribute to policy decisions of an immediate, broad impact on domestic or international events and conditions; record the development, advice on and communication of primary and secondary legislation; record the advice on carrying out primary or secondary legislative provisions but without any legal force; and record the decisions affecting the way MOD conducted its Core Functions.

2.1.2 Core Function 1 – Direct Defence activity at the strategic level: for policy, strategic direction of military operations and MOD's contribution to national security. Records in this category that will be considered for selection under The National Archives' Records Collection Policy (Selection criteria 2.1 unless otherwise stated) will include that:

- Illustrate the formation and/or evolution of Defence policy or significant developments in the relationship or dealings of the Ministry with other organs of government and with other authorities both national and international;
- Show the authority under which the MOD exercises or has exercised any function;
- Document the minutes, and circulated papers, of major MOD committees such as the Defence Council, the Defence Board, the three Service Boards, working parties, etc., and of similar, interdepartmental, bodies for which MOD provided the secretariat, or held the main papers, regarding the treatment of Combined (UK/US) Chiefs of Staff, UK Chiefs of Staff and Joint Planning Staff papers and those of certain other major MOD committees;
- Originated by Ministers' private offices;
- Document the preparation of legislation sponsored by the Ministry of Defence (Selection criteria 1.2);
- Document the preparation of Codes of Practice and Public consultation papers (Selection criteria 1.3).

2.1.3 Core Function 2 – Operate Defence and military capability on operations and other Military Tasks. Records in this category that will be considered for selection include those that:

- Contain important decisions relating to the organisation, disposition, or use of the Armed Forces, or about strategy, or tactics, and the means employed to implement them (Selection criteria 1.1);
- Shared Commonwealth records including: all documentation that results from Commonwealth Heads of Government meetings, meetings of Commonwealth Ministers and all meetings at the level of Senior Officials (Selection criteria 2.5).

2.1.4 Core Function 3 – Generate and develop the capability needed to meet current and future operational demands. Records in this category will be those that document:

- The principles on which the activities that generate and develop capability will be prioritised (Selection criteria 1.6);
- The policy under which the formulation of the research and development programme by the Research and Development Board takes place (Selection criteria 2.1);

2.1.5 Core Function 4 – Acquire (procuring and supporting) the equipment, systems and commodities needed to deliver and support military capability in the short to long-term. Records in this category will be those that:

- Describe the principles by which Defence Procurement is undertaken (Selection criteria 2.1).

2.1.6 Core Function 5 – Enable other functions by setting the corporate framework of policies, rules and standards for Defence and providing or commissioning the delivery of corporate services (for example human resources). Records in this category that will be considered for selection include those that:

- Relate to Royal or other important visits where the department is the direct lead (Selection criteria 3.2);
- Describe how the department provided a duty of care and provided access to historic buildings and sites of archaeological interest (Selection criteria 4.3);

- Describe the disposal of potentially hazardous materials e.g. asbestos, ordnance, either on land or at sea (Selection criteria 4.1);
- Document Honours policy and include records from the Committee on the Grant of Honours, Defence Services Lists, and all records relating to awards for gallantry (Selection criteria 3.2);
- Document the standing orders and similar instructions of Commands, Establishments, etc. (Selection criteria 1.5).

2.1.7 Core Function 6 – Account for and report on Defence activity and spending to Parliament and public. Records in this category that will be considered for selection include:

- Records known to have been consulted by the official (Cabinet Office or Departmental) historians, and/or cited in official histories;
- The reasons for important decisions and actions, or which might be invoked as a precedent in legal cases (Selection criteria 1.5). Policy records related to Military Law and Court Martial's will be selected subject to the criteria laid down in Operational Selection Policy 46;
- The setting up, proceedings and reports of committees such as the Investment Approvals Committee, the Defence Audit Committee, the People Committee (Appointments Committee'), working parties, study groups, and similar bodies (Selection criteria 2.1);
- The formation, organisation, reorganisation, re-designation, dress, change of role, expansion, contraction and disbandment of key departmental units (Selection criteria 2.7);

## **2.2 Areas of High-level Operational Work undertaken in the MOD**

2.2.1 Including those records dated earlier than 1660 or those records the subject of which would be of general interest nationally or internationally, the principal high-level operational work that MOD is involved in and that will be selected for permanent preservation are reflected in its six Core Functions and seven Military Tasks. The records selected will be those that contribute to policy decisions of an immediate, broad impact on domestic or international events and conditions; record the development, advice on and communication of primary and secondary legislation; record the advice on carrying out primary or secondary legislative provisions but without any legal force; and record the decisions affecting the way MOD conducted its Core Functions and Military Tasks.

2.2.2 Core Function 1 – Direct Defence activity at the strategic level: for policy, strategic direction of military operations and MOD's contribution to national security. The records in this category that will be considered for selection include those that:

- Document the preparation of Codes of Practice and Public consultation papers (Selection criteria 1.3).

2.2.3 Core Function 2 – Operate Defence and military capability on operations and other Military Tasks. A process has been established to secure the capture of operational records from those units operating in deployed environments. These operational records, which demonstrate the Department's capability in defending the UK and its overseas territories, provide a body of information that can be used for historical operational analysis to support MOD decision making, the development of operational capability and lessons processes, as well as providing a basis for much of the record required to assist legal activity involving the Department. These records have been selected for permanent preservation (Selection criteria 1.1) as they depict the activities of those deployed units and these operations are deemed to have high historic value. Records in this category will be those that:

- Report on significant military campaigns and operations, intelligence, organisational and logistics matters including: records relating to Northern Ireland dated August 1969 or later; which will include Commanders Diaries/Unit Historical Records and records from HQ Northern Ireland;
- Depict the operations of the Special Forces in deployed environments;
- Depict the operations of the Navy, for example:
  - Ships' books, drawings, plans and specifications (note: UKHO records excluded);
  - Ships' covers (Curator's Ships' Books), Office Ships' Books, Captain's Ship's Books, Captains Ships Records and Ships' Log Books;
- Depict the operations of the Army including Commander's Diaries, and key Operational Records, including those from the British Army of the Rhine;
- Depict the operations of the Royal Air Force, including Operations Records Books;
- Depict the strategic intelligence used by the Department in all formats to inform policy and decision-makers;

- Report on the provision of the nuclear deterrent and includes the Department's contribution to disarmament and counter-proliferation activities – AWE select many of these records on MOD's behalf following the criteria in Operational Selection Policy 11: Nuclear Weapons Policy;
- Demonstrate MOD's support to civil emergency organisations in times of crisis, where the records depict the Department's contribution of military assets to provide assistance to civil authorities and its peace-time contribution to Other Government Departments;
- MOD actions when defending UK interests by projecting power strategically and through expeditionary interventions, and will cover the threat or actual use of lethal military force overseas, either on a national basis or as part of a coordinated international effort with allies and partners;
- Demonstrate MOD's support to the Government's overseas objectives by directing international defence engagement towards support to operations, defence diplomacy and defence sales, conflict prevention, security sector reform and capability building in priority countries;
- Show how MOD provides security for stabilisation in support of Other Government Departments strategic objectives. The records created will reflect the precise nature of MOD's engagement which may vary from permissive 'policing' to high-intensity combat.

2.2.4 Core Function 3 – Generate and develop the capability needed to meet current and future operational demands. The records in this category that will be considered for selection include:

- Significant advice and recommendations created by MOD units and other official MOD organisations such as Dstl (for, science and technology) in support of capability development (Selection criteria 1.5);
- Registered patents and other Intellectual Property Rights records including: claims against the Crown concerning inventions, patents and Intellectual Property Rights (Selection criteria 1.6).

2.2.5 Core Function 4 – Acquire (procuring and supporting) the equipment, systems and commodities needed to deliver and support military capability in the short to long-term. Records in this category that will be considered for selection (Selection criteria 1.5) will include those that:



- Provide significant advice and recommendations including that derived from trials and exercises created by MOD units and other official MOD organisations such as Dstl (for science and technology) in support of procurement and maintenance of capability;
- Detail the introduction of new types of equipment and weapons;
- Detail contracts and Firms files including records that relate to contracts of major importance and/or historical interest.

2.2.6 Core Function 5 – Enable other functions by setting the corporate framework of policies, rules and standards for Defence and providing or commissioning the delivery of corporate services. Records in this category that will be considered for selection include:

- Histories produced by Service units, including key departmental papers, relating to the 1982 Falklands Crisis (Selection Criteria 1.1);
- Official diaries, journals, logs, kept regularly and containing information on the core activities of the Department which provide an insight into the nature of particular operations or activities of wide interest (Selection criteria 2.4). Personal diaries will not be selected for permanent preservation (Selection criteria 6.8);
- Maps, plans, and drawings of possible historical interest for UK and overseas – including technical drawings of important equipment and installations (Selection criteria 4.1);
- Those that document matters of significant regional interest or local interest, for example RAF Chaplaincy baptism, marriage and burial registers (Selection criteria 2.4).

2.2.7 Core Function 6 – Account for and report on Defence activity and spending to Parliament and public. Records in this category that will be considered for selection (Selection criteria 1.1) include:

- Major reports from the MOD and outside establishments;
- Those that have been identified as of use to Cabinet Office/Departmental/Unit historians in compiling official histories;
- Judicial and investigatory proceedings including noteworthy courts martial and other legal matters such as:
  - Boards of Inquiry (The Ministry of Justice assumed responsibility for any Courts Martial held after 2002); Trials of War Criminals;

- Public Inquires – these are selected on a case-by-case basis and will include evidence to the Baha Mousa Inquiry and Nuclear Tests related files.

## 2.3 Hybrid or Electronic Datasets / Business System

2.3.1 MOD publishes a number of datasets in a machine-readable format on the internet. These include:

- Those provided by the Defence Analytical Services and Advice organisation who provide professional analytical, economic and statistical services and advice to the MOD, and defence-related statistics to Parliament, Other Government Departments and the public.
- Those published under the Government's Transparency Agenda on the Gov.UK internet website. These datasets will conform to [The National Archives' requirements](#), as these records will be captured by The National Archives as part of their web archiving programme (Selection criteria 6.12).

### 3 TECHNICAL REPORT:

### ANALYSIS OF RECORDS PRODUCED

#### 3.1 Committee structure within the Ministry of Defence, including statutory committees directing the work of the organisation

Table 3.1: Key committees

<i>Name of committee</i>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
National Security Council	The main forum for the collective discussion of the Government's national security objectives and of how best to deliver them. A key purpose of the Council is to ensure that Ministers consider national security in the round and in a strategic way. The Council meets weekly and is chaired by Prime Minister.	NO	MOD is not the lead branch. Records created by Cabinet Office (Selection criteria 6.4)
Defence Council	The Defence Council is the senior departmental committee. It is chaired by the Secretary of State, and comprises the other Ministers, the Permanent Under Secretary, the Chief of Defence Staff and senior service officers and senior officials who head the Armed Services and the Department's major corporate functions. It provides the formal legal basis for the conduct of defence in the UK through a range of powers vested in it by statute and Letters Patent.	YES	High level governance records (Selection criteria 2.1)

## Ministry of Defence and Armed Forces - Records Appraisal Report

<b>Name of committee</b>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
Defence Board	The Defence Board is the Department's senior body driving and managing change and delivery. Chaired by the Secretary of State, its principal responsibility is to provide the strategic leadership of Defence. The Board's key objectives are: the alignment of resources and objectives; monitoring the performance on the top 20 projects; monitoring the Department's performance on recruitment, development, training, motivation and retention of people; and reviewing performance and risk management.	YES	High level governance records (Selection criteria 2.1)
Admiralty Board	The Admiralty Board has command over the officers, ratings and marines of Her Majesty's naval and marine forces. The Board is also charged with administration of all such matters relating to the Royal Navy and Royal Marines as may be administered by the Defence Council subject to Defence Council directions. The Secretary of State for Defence is Chairman of the Admiralty Board.	YES	High level governance records (Selection criteria 2.1)
Army Board	The Army Board, under the Defence Council, has command over the officers and soldiers of the Army and is charged with the administration of all matters relating to the Army; subject always to any further orders or directions given by the Defence Council. The Secretary of State for Defence is Chairman of the Army Board.	YES	High level governance records (Selection criteria 2.1)

## Ministry of Defence and Armed Forces - Records Appraisal Report

<b>Name of committee</b>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
Air Force Board	The Air Force Board of the Defence Council has command over the officers, airmen and airwomen of the RAF, and is charged with the administration of all matters relating to the Service. The Secretary of State for Defence is Chairman of the Air Force Board.	YES	High level governance records (Selection criteria 2.1)
Investment Approvals Committee	The Investment Approvals Committee (IAC) is responsible for considering major investment proposals on behalf of the Defence Board. On projects where cost, complexity, risk, precedence, innovation and/or contention are particular issues for which Ministerial approval is necessary, the IAC makes recommendations to Ministers. The IAC decides other cases itself or delegates decisions to a level consistent with the value and/or nature of the proposal. In line with the recommendations of the Defence Reform report, work on the new finance and military capability model, in consultation with HM Treasury, will delegate investment decisions on smaller projects to each TLB Director of Resources (who have a reporting line to DG Finance). DG Finance chairs the IAC, taking decisions and/or making recommendations in light of its advice. The other members are VCDS, CDM, CSA, Director Corporate Commercial and Director Central Legal Services.	YES	High level governance records (Selection criteria 2.1)

## Ministry of Defence and Armed Forces - Records Appraisal Report

<b><i>Name of committee</i></b>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
Defence Audit Committee	The Defence Audit Committee (DAC) reviews and challenges constructively the adequacy of internal controls and risk management assurance processes across Defence. The DAC is chaired by one of the Non-Executive Board Members, who is supported by the other Non-executives.	YES	High level governance records (Selection criteria 2.1)
People Committee	Also known as the Appointments Committee, the People Committee supports the Board in providing oversight of the appointments and career management processes for senior Armed Forces officers and senior civil servants, including talent management, behaviours and incentives. The Committee is chaired by one of the Defence Board's Non-Executive Board Members, who will be supported by PUS and CDS.	YES	High level governance records (Selection criteria 2.1)

## Ministry of Defence and Armed Forces - Records Appraisal Report

<b>Name of committee</b>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
The Armed Forces Committee	<p>The Armed Forces Committee ensures that CDS (and VCDS) are able to take account of the views of the Single Service Chiefs in preparing for Defence Board meetings.</p> <p>The Armed Forces Committee is the senior executive committee of the Armed Forces. It is designed to assist the Chief of the Defence Staff lead and direct the Armed Forces in his capacity as their head and as the UK's strategic military commander. It presents the Chiefs of Staff and Permanent Secretary with the opportunity to ensure unified decisions are delivered through a single, authoritative military voice. It is charged with establishing a consolidated military view on the development, delivery and management of military capability to meet the Military Tasks laid out in the National Security Strategy.</p>	YES	High level governance records (Selection criteria 2.1)
Chiefs of Staffs Committee	The Chiefs of Staffs Committee is the main forum through which CDS seeks and obtains the collective military advice of the Service Chiefs and through which CDS discharges his responsibility for the preparation and conduct of military operations.	YES	High level governance records (Selection criteria 2.1)
Navy Board	The Navy Board is the Executive Committee of the Admiralty Board and its primary role is to assist the First Sea Lord and Chief of the Naval Staff in discharging his executive responsibilities as Head of Service and Royal Navy Top Level Budget holder, and has a statutory role to provide a strategic policy focus for the Royal Navy.	YES	High level governance records (Selection criteria 2.1)

## Ministry of Defence and Armed Forces - Records Appraisal Report

<b><i>Name of committee</i></b>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
Executive Committee of the Army Board	The Executive Committee of the Army Board is the Service Executive Committee of the Army Board and is the principal decision-making forum through which CGS exercises his command of the Army. The Executive Committee of the Army Board is the senior official committee of the Army	YES	High level governance records (Selection criteria 2.1)
Air Force Board Standing Committee	The Air Force Board Standing Committee is the Service Executive Committee of the Air Force Board. Its purpose is to support the Chief of the Air Staff in the discharge of his responsibilities. It provides a mechanism for dealing with Air Force Board business which does not require the direct involvement of Ministers, and supports CAS, who is the Chairman, in his executive role, his management and operational advisory roles, and in his position as the professional head of the RAF.	YES	High level governance records (Selection criteria 2.1)



## Ministry of Defence and Armed Forces - Records Appraisal Report

<b>Name of committee</b>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
Defence Environment and Safety Committee	The Defence Environment and Safety Committee is chaired by the PUS. It supports PUS in carrying out the responsibilities as Process Owner for safety and environmental protection. These include providing strategic direction, setting objectives, assessing and prioritising the Department's safety and environmental protection risks, considering the safety and environmental protection risks arising from Planning Round options and providing advice to the Defence Board, monitoring and reviewing the implementation of the Department's safety and environmental protection strategy, and providing assurance to the PUS and the Secretary of State that the management of safety and environmental protection is effective and complies with Secretary of State's policy.	YES	High level governance records (Selection criteria 2.1)
Defence Strategy Group	The Defence Strategy Group is jointly chaired by PUS and CDS, and informs their advice to Secretary of State on defence strategy issues. In particular, the Group oversees the MOD's preparations for, and supports decision-making through, the National Security Strategy (NSS), Strategic Defence and Security Review (SDSR) and Comprehensive Spending Review (CSR) processes as well as overseeing the implementation of their outcomes.	YES	High level governance records (Selection criteria 2.1)

## Ministry of Defence and Armed Forces - Records Appraisal Report

<b>Name of committee</b>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
Research and Development Board	The Research and Development Board is chaired by the Minister for Defence, Equipment, Science and Technology with the MOD's Chief Scientific Adviser acting as the deputy chair. It provides strategic direction and priorities for MOD's research and development investment and is responsible for ensuring that robust management processes are in place to plan, fund and oversee a coherent programme.	YES	High level governance records (Selection criteria 2.1)
Advisory Committee on Conscientious Objectors	Advisory Committee on Conscientious Objectors provides advice the Secretary of State for Defence on all conscientious objection claims. These claims are made by those in the armed forces whose application for permission to retire, resign or be discharged have been refused by the service authorities.	YES	High level governance records (Selection criteria 2.1)
Advisory Group on Military Medicine	Advisory Group on Military Medicine provides specialist advice to the Department, as required, on the medical aspects of defence against chemical, biological and radiological threats.	YES	High level governance records (Selection criteria 2.1)
Armed Forces Pay Review Body	The Armed Forces Pay Review Body provides independent advice to the Prime Minister and the Secretary of State for Defence on the pay and charges for members of the Naval, Military and Air Forces of the Crown.	YES	High level governance records (Selection criteria 2.1)
Central Advisory Committee on Pensions and Compensation	The Central Advisory Committee on Pensions and Compensation provides advice on all service pension and compensation schemes and on policy issues related to them.	YES	High level governance records (Selection criteria 2.1)

## Ministry of Defence and Armed Forces - Records Appraisal Report

<b>Name of committee</b>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
Defence Nuclear Safety Committee	The Defence Nuclear Safety Committee advises the Secretary of State for Defence (and other ministers) on all public safety matters relating to the construction, operation and maintenance of nuclear powered warships and the design, manufacture, transport, storage, handling and operational training related to nuclear weapon systems.	YES	High level governance records (Selection criteria 2.1)
Defence Scientific Advisory Council	The Defence Scientific Advisory Council provides independent advice and analysis to the Secretary of State for Defence on science, engineering and technology matters.	YES	High level governance records (Selection criteria 2.1)
National Employer Advisory Board	The National Employer Advisory Board provides advice to the Secretary of State for Defence on issues like employing reservists.	YES	High level governance records (Selection criteria 2.1)
Nuclear Research Advisory Council	The Nuclear Research Advisory Council reviews the Atomic Weapons Establishment's nuclear warhead research and techniques and checks that the UK has the facilities needed to develop and maintain a UK nuclear weapon capability.	YES	High level governance records (Selection criteria 2.1)
Review Board for Government Contracts	The Review Board for Government Contracts reviews and maintains the Government Profit Formula used by MOD when pricing single source work. It also reviews the price of individual contracts that are referred to it under contract conditions, by one or both parties to the contract.	YES	High level governance records (Selection criteria 2.1)

## Ministry of Defence and Armed Forces - Records Appraisal Report

<b>Name of committee</b>	<b>Terms of reference</b>	<b>Select? Yes / No</b>	<b>Reasons for selection / non-selection, including comments on the quality of information</b>
Science Advisory Committee on the Medical Implications of Less-Lethal Weapons	The Science Advisory Committee on the Medical Implications of Less-Lethal Weapons advises the government on the biophysical, biomechanical, pathological and clinical aspects of generic classes of Less Lethal Weapons, including medical implications and potential injuries.	YES	High level governance records (Selection criteria 2.1)
Veterans Advisory and Pensions Committees (VAPC)	Formerly known as War Pensions Committees, the 13 VAPCs have existed since the 1920s, supporting war pensioners and war widows and widowers, hearing their complaints on war pension issues and making recommendations to the government and its agencies.	YES	High level governance records (Selection criteria 2.1)
Defence, Press and Broadcasting Advisory Committee	The Defence, Press and Broadcasting Advisory Committee oversees a voluntary code which operates between the Government Departments which have responsibility for national security and the media. It uses the Defence Advisory Notice system as its vehicle.	NO	Minutes from this committee are published on the internet and will be captured elsewhere. (Selection criteria 6.7)

### 3.2 Core / statutory functions and activities

Table: 3.2 Core / statutory functions and activities performed and records created

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non-selection
Direct Defence activity at the strategic level: for policy, strategic direction of military operations and our contribution to national security	All records created from the following committees: <ul style="list-style-type: none"> <li>• Defence Board</li> <li>• Defence Council</li> <li>• Admiralty Board</li> <li>• Army Board</li> <li>• Air Force Board</li> <li>• Investment Approvals Committee</li> <li>• Defence Audit Committee</li> <li>• People Committee</li> <li>• The Armed Forces Committee</li> <li>• Chiefs of Staffs Committee</li> <li>• Navy Board</li> <li>• Executive Committee of the Army Board</li> <li>• Air Force Board Standing Committee</li> <li>• Defence Environment and Safety Committee</li> </ul>	Defence Board	Statutory requirement	Digital records stored in an electronic records management system.	YES	<ul style="list-style-type: none"> <li>• Records that show the development of primary legislation where MOD is the lead – <b>Selection criteria 1.2.</b></li> <li>• Records that show the development of secondary legislation where MOD was the lead – <b>Selection criteria 1.3.</b></li> <li>• High level governance records – <b>Selection criteria 2.1.</b></li> </ul>

Ministry of Defence and Armed Forces - Records Appraisal Report

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non-selection
	<ul style="list-style-type: none"> <li>Defence Strategy Group</li> <li>Research and Development Board</li> </ul>					
Operate Defence and military capability on operations and other Military Tasks (for example, providing a Defence contribution to UK influence)	<ul style="list-style-type: none"> <li>Operational Records</li> <li>Strategic intelligence reports</li> <li>Nuclear deterrence records</li> <li>Military Aid to the Civil Authorities</li> <li>Support to operations</li> <li>Defence diplomacy and defence sales</li> <li>Conflict prevention</li> <li>Security sector reform</li> <li>Capability building</li> <li>Stabilisation</li> </ul>	<ul style="list-style-type: none"> <li>Single Services</li> <li>Single Service Historic Branches</li> <li>Joint Forces Command</li> <li>Defence Intelligence</li> <li>Defence Equipment and Support</li> </ul>	Operational records to support: <ul style="list-style-type: none"> <li>MOD decision making</li> <li>The development of operational capability</li> <li>lessons processes</li> <li>legal disclosure activity</li> </ul>	Hybrid, but mainly digital records. Stored in monthly volumes.	YES	<ul style="list-style-type: none"> <li>Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead – <b>Selection criteria 1.1.</b></li> <li>Constitutional relationships – <b>Selection criteria 2.5.</b></li> </ul>
Generate and develop the capability needed to meet current and future operational demands	<ul style="list-style-type: none"> <li>Force generation</li> <li>Technical, scientific and medical research and developments</li> <li>Inventions, patents, and Intellectual and Industrial Property Rights records</li> </ul>	<ul style="list-style-type: none"> <li>Single Services</li> <li>Joint Forces Command</li> </ul>	Operational and Administrative records to support the development of urgent operational requirements and future defence capability.	Digital records stored in an electronic records management system.	Yes	<ul style="list-style-type: none"> <li>Records of decisions that affect the way MOD conducts its core functions – <b>Selection criteria 1.5.</b></li> <li>Records of projects that were particularly innovative, or were significant from the perspective of cost, risk</li> </ul>

Ministry of Defence and Armed Forces - Records Appraisal Report

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non-selection
						or impact – <b>Selection criteria 1.6.</b> • High-level governance records – <b>Selection criteria 2.1.</b>
Acquire (procuring and supporting) the equipment, systems and commodities needed to deliver and support military capability in the short to long-term	<ul style="list-style-type: none"> <li>• Costing of equipment, services and commodities</li> <li>• Provision of logistic support to current operations</li> <li>• Defence commercial and industrial policy</li> </ul>	<ul style="list-style-type: none"> <li>• Defence Equipment and Support</li> </ul>	Administrative records to support the acquisition of equipment and the subsequent provision of logistic support	Digital records stored in an electronic records management system.	Yes / No	<ul style="list-style-type: none"> <li>• Records of decisions that affect the way MOD conducts its core functions – <b>Selection criteria 1.5.</b></li> <li>• High level governance records – <b>Selection criteria 2.1.</b></li> <li>• Operational or administrative records – <b>Selection criteria 6.3.</b></li> </ul>
Enable other functions by setting the corporate framework of policies, rules and standards for Defence and providing or commissioning the delivery of corporate services (e.g. HR)	<ul style="list-style-type: none"> <li>• Infrastructure projects</li> <li>• Major office building and improvement (design and execution projects)</li> <li>• Rationalisation and disposal of the government estate</li> <li>• Management and use of the defence estate strategic asset management and programming</li> </ul>	<ul style="list-style-type: none"> <li>• Defence Business Services</li> <li>• Defence Infrastructure Organisation</li> <li>• Chief Scientific Adviser</li> <li>• Defence Science and Technology Laboratory</li> </ul>	Administrative records to support the delivery of corporate services.  Specialist records relating to land/environmental responsibilities	Digital records stored in an electronic records management system.  Geospatial Information Systems / Computer-aided design [CAD] software	Yes / No	<ul style="list-style-type: none"> <li>• Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead – <b>Selection criteria 1.1.</b></li> <li>• Records of decisions that affect the way MOD conducts its core functions – <b>Selection criteria 1.5.</b></li> <li>• Records of tribunals,</li> </ul>

Ministry of Defence and Armed Forces - Records Appraisal Report

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non-selection
	<ul style="list-style-type: none"> <li>• Operations (working with industry to deliver infrastructure services)</li> <li>• Corporate and enabling services</li> <li>• Scientific advice and analysis</li> <li>• Science and technology programme budget and accounts</li> <li>• Statistical and analytical services</li> <li>• Civilian personnel records (Selection criteria 6.3)</li> </ul>					<p>commissions, inquiries or inquests that were of particular public interest or had a significant impact on policy or process – <b>Selection criteria 2.4.</b></p> <ul style="list-style-type: none"> <li>• Aggregated data which provides extensive information on individuals or groups – <b>Selection criteria 3.1.</b></li> <li>• Records that illustrate a significant event/person/group which led to a change in policy, set a precedent or caused controversy and add to what is already known – <b>Selection criteria 3.2.</b></li> <li>• Records which document the impact of policies / proposals on the natural environment, including records that document department's duty of care for estates and land] – <b>Selection</b></li> </ul>



Ministry of Defence and Armed Forces - Records Appraisal Report

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non-selection
						<p><b>criteria 4.1</b></p> <ul style="list-style-type: none"> <li>• Key summary of records of UK Crown responsibilities (property and major assets) – <b>Selection criteria 4.3.</b></li> <li>• Operational or administrative records – <b>Selection criteria 6.3.</b></li> </ul>
Account for and report on Defence activity and spending to Parliament and public	<ul style="list-style-type: none"> <li>• Judicial And Investigatory Proceedings</li> <li>• Law Officers' opinion</li> <li>• Courts Martial Records</li> <li>• Records of Proceedings –</li> <li>• Boards of Inquiry</li> <li>• Trials of War Criminals</li> <li>• Public Inquires - The records of public inquiries are selected on a case-by-case basis</li> <li>• Evidence to Baha Mousa</li> </ul>	<ul style="list-style-type: none"> <li>• Ministry of Justice assumed responsibility for any Courts Martial held after 2002.</li> </ul>	Statutory requirement	Digital records stored in an electronic records management system.	Yes	<ul style="list-style-type: none"> <li>• Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead – <b>Selection criteria 1.1.</b></li> <li>• Records of decisions that affect the way MOD conducts its core functions – <b>Selection criteria 1.5.</b></li> <li>• High level governance records – <b>Selection criteria 2.1.</b></li> <li>• Records reflecting the creations / development of key departmental function/structure – <b>Selection criteria 2.7.</b></li> </ul>

### 3.3 Information in Special formats and systems

Table 3.3: Special formats

1. Description	2. Owner / Creator of series	3. Format of record (include how record / series is being managed)	4. Volume of series (current size and volume generated each year)	5. Selection Yes/ No	6. Reasons for selection / non-selection (refer to criteria within Records Collection Policy)
Mapping	Defence Geographic Centre	Physical	Circa 1000 maps created each year, but operational tempo will determine the volume created.	N/A	Selection of maps and plans will be determined by Defence Geographic Centre.
Mapping	Defence Infrastructure Organisation (previously Defence Estates)	Electronic	Geographic Information Systems / CAD  Due to operational tempo, it is not possible to determine the volume generated each year with any accuracy.	Yes / No	Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead – <b>Selection criteria 1.1.</b>  Records which document the impact of policies/proposals on the natural environment – <b>Selection criteria 4.1.</b>  Copies and those published in publications and on the departmental website – <b>Selection criteria 6.1, 6.5 and 6.12.</b>

Ministry of Defence and Armed Forces - Records Appraisal Report

1. Description	2. Owner / Creator of series	3. Format of record (include how record / series is being managed)	4. Volume of series (current size and volume generated each year)	5. Selection Yes/ No	6. Reasons for selection / non-selection (refer to criteria within Records Collection Policy)
Photographs	Single Services	Physical	Due to operational tempo, it is not possible to determine the volume generated each year with any accuracy.	Yes / No	<p>Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead – <b>Selection criteria 1.1.</b></p> <p>Records which document the impact of policies/proposals on the natural environment – <b>Selection criteria 4.1.</b></p> <p>Copies and those published in publications and on the departmental website – <b>Selection criteria 6.1, 6.5 and 6.12.</b></p>

### 3.4 Publications

3.4.1 As part of the Government's Transparency agenda, MOD has made available a number of its unpublished publications on the GOV.UK website. These publications will conform to [The National Archives' requirements](#), as these records will be captured by The National Archives as part of their web archiving programme (Selection criteria 6.12).

### 3.5 Scientific records

3.5.1 Records in this category include the records of departments responsible for scientific research including but not limited to microbiological, electronic, materials, chemical, clinical and pharmaceutical research, analysis and decision support. They are either stored locally with the originating unit or at MOD's main archive facilities until their disposition is determined (see 3.5.4 regarding the retention of technical reports).

3.5.2 Defence Science and Technology Laboratory (Dstl) and its predecessor organisations have created the bulk of scientific records selected for permanent preservation in this category. These records cover a wide range of subjects, are usually quite in depth and will detail all aspects of research as well as conclusions and recommendations. A varied range of scientific documentation is held. This includes but is not limited to technical reports and reviews, scoping studies, trials and workshop reports, presentations, academic theses, patents and visit reports not all of which are MOD records. This collection, which helps inform future work enabling Dstl to meet its objectives as a Trading Fund, is a valuable research knowledge base for the organisation, documenting research in science, technology, engineering and mathematics, and which contain the raw data and the models used to perform the relevant analysis. Where Dstl provide advice to support specific circumstances such as the Research and Development Board, special projects such as the London Olympics, or where they embed specialists for example in theatre, their advice would be summarised in reports - but the record would be contained in the decision records of MOD (Selection criteria 6.7).

3.5.3 Technical reports may feed into the policy making process or support the generation and development of capability and the acquisition of equipment, systems and commodities, but they are often quite specialist and will have limited research value outside Dstl. Records of decisions taken on the basis of technical advice are captured elsewhere in the MOD record (Selection criteria 6.7). The full range of information formats supporting ongoing research and development are maintained as the knowledge base of the Trading Fund. Published research is deposited with the British Library under Legal Deposit rules (Selection criteria 6.7).

- 3.5.4 Technical reports and file series from agency records prior to 1990 have been selected for permanent preservation on individual merit (Selection Criteria 1.6). Files and associated deliverables (including reports) from 1990 will be retained by the department for business and operational purposes to inform future research and protect intellectual property rights of MOD (Selection criteria 6.2). Records of decisions taken on the basis of technical advice are captured elsewhere in the MOD record (Selection criteria 6.7). The department may select individual reports and files if they add to what is already known or contain information that is not captured elsewhere (Selection criteria 3.2, 4.2).
- 3.5.5 Dstl strategic relationships for research are conducted within the framework of arrangements captured in the MOD Head Office or wider government records (Selection criteria 6.7).
- 3.5.6 As a Trading Fund the Intellectual Property Rights (except [copyright](#)) in all work done by Dstl are held in the name of the Secretary of State for Defence under the administrative and managerial control of Dstl. Records selected for permanent preservation will be administered in accordance with the associated licensing or ownership conditions. MOD will track and audit the retention of material identified in Reference 3.5.4 as part of management agreement with DSTL.
- 3.5.7 Scientific and engineering records are also created in other MOD units including the Single Services, both to develop capability and in support of maintenance, providing specialist technical information and with limited readership at The National Archives. Records of decisions taken on the basis of technical advice are captured elsewhere in the records of the relevant Service (Selection criteria 6.7).

### 3.6 Significant issues and events

This list is a guide only - to assist in the selection of any files that record reviewers encounter which refer to these events or issues. It does NOT reflect actual holdings or existence of special collections.

Year	Description	Selection Criteria
1945 - 48	Palestine (Counter Insurgency Operation)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1948 – 63	Malaya Emergency (Counter Insurgency Operation)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1950 – 53	Korean War	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.

## Ministry of Defence and Armed Forces - Records Appraisal Report

Year	Description	Selection Criteria
1951 – 54	Canal Zone, Egypt, (Counter Insurgency Operation)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1952 – 60	Kenya (Mau Mau) (Counter Insurgency Operation)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1955 – 59	Cyprus (Counter Insurgency Operation)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1956	Suez Conflict	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1957	The 1957 Sandys Review was the first major, wholesale strategic defence review conducted after the Second World War. It represented the first proper forward looking assessment of Britain's strategic interests and requisite military requirements.	2.7 – Records reflecting the creation / development of key departmental function/structure.
1960 – present	Cyprus (Peacekeeping)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1962 – 66	Borneo conflict	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1964 – 67	Aden/Radfan (Yemen) (Counter Insurgency Operation)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1965 – 68	The main purposes of the Healey reviews were to bring defence expenditure into balance with the nation's resources, reduce overstretch, and reduce overseas expenditure resulting from the deployment of forces.	2.7 – Records reflecting the creation / development of key departmental function/structure.
1969 - 76	Oman (Counter Insurgency Operation)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1969 – 2002	Northern Ireland (Op Banner) (Counter Insurgency Operation)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1974-1975	The Soviet Union and the Warsaw Pact countries were identified as the overriding threat to UK national security, and the Mason review concluded that "NATO should remain the first and overriding charge on the resources available for defence; that commitments outside the Alliance should be reduced as far as possible to avoid overstretching forces; and the general purpose forces should be maintained as insurance against the unforeseen."	2.7 – Records reflecting the creation / development of key departmental function/structure.

## Ministry of Defence and Armed Forces - Records Appraisal Report

Year	Description	Selection Criteria
1981	The aim of the 1981 Nott Review was to reduce defence expenditure during the recession and to focus on supporting NATO. Its intention was not to be a wholesale review of UK defence policy, but a review of the defence programme so that the equipment and procurement programme could be brought into line with available resources.	2.7 – Records reflecting the creation / development of key departmental function/structure.
1982	Falkland Islands conflict	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1982 – 84	Lebanon (Peacekeeping)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1990	The 'Options for Change' review implemented a major restructuring of the Armed Forces. The aim of the review was to establish "smaller forces, better equipped, properly trained and housed as well as motivated. They will need to be flexible and mobile and able to contribute to NATO and, if necessary, elsewhere".	2.7 – Records reflecting the creation / development of key departmental function/structure.
1990 – 91	Op Granby Conflict	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1992 - 2006	Bosnia (Peacekeeping)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
1994	The Defence Costs Study's focus was on making savings with respect to frontline support functions within the Armed Forces. Three main conclusions came out of the review: first that management and command structures across the whole of the MOD should be streamlined; secondly that many defence support functions could be outsourced to the private sector, mainly through the Private Finance Initiative; and thirdly that, as future defence operations were likely to be carried out on a joint Service basis, the rationalisation of command, training and support structures could potentially increase operational effectiveness as well as offer savings.	2.7 – Records reflecting the creation / development of key departmental function/structure.
1998	Strategic Defence Review (SDR). Two main themes emerged from this review: the need to move towards more rapidly deployable expeditionary forces capable of addressing any potential threat across the full military spectrum and in any location; and the need to co-ordinate the activities of the three Services more closely by pooling their expertise to achieve maximum operational effectiveness, while at the same time eliminating the duplication of resources.	2.7 – Records reflecting the creation / development of key departmental function/structure.
1999 – 2003	Kosovo (Peacekeeping)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.

## Ministry of Defence and Armed Forces - Records Appraisal Report

<b>Year</b>	<b>Description</b>	<b>Selection Criteria</b>
2000	Sierra Leone Conflict (Op Palliser)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
2001 – 14	Afghanistan Conflict (Op Fingal / Op Herrick)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
2002	SDR: The New Chapter (see also review in 1998). The New Chapter to the SDR, sought to re-examine the UK's defence posture in response to the challenges of asymmetric warfare and international terrorism, issues highlighted by the events of 11 September 2001. It emphasised three key aims for addressing terrorism and asymmetric warfare more generally: the use of defence diplomacy measures as a means to creating stability; maintaining a wide and flexible range of military and non-military options in order to deter any potential terrorist activity; and the use of military means to rapidly "detect and destroy" any potential terrorist threat.	2.7 – Records reflecting the creation / development of key departmental function/structure.
2003 – 10	Iraq Conflict (Op Telic)	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.
2003 – 04	The Defence White Paper provided an analysis of the future security environment, the implications for defence, and how defence intended to adapt planning and force structures to meet the potential threats. It introduced a series of cutbacks to core equipment and manpower and the scaling back of a series of future capital procurement projects. It outlined a major restructuring and consolidation of British Army Infantry regiments and the following posture for the UK armed forces: the ability to support three simultaneous small to medium scale operations, where at least one is an enduring peace-keeping mission and where these forces must be capable of acting as lead nation in any coalition operations; the ability, at longer notice, to deploy forces in a large scale operation while running a concurrent small scale operation.	2.7 – Records reflecting the creation / development of key departmental function/structure.
2010	Strategic Defence and Security Review took a more holistic view of defence, security, intelligence, resilience, development and foreign affairs capabilities and set out the strategy to deliver the objectives set out in the National Security Strategy. It also set a clear target for the national security capabilities the UK will need by 2020.	2.7 – Records reflecting the creation / development of key departmental function/structure.



### **3.7 Internal Administration**

- 3.7.1 It is not anticipated that any records of an administrative nature will be worthy of selection under OSP 38, OSP 15 or OSP 17. Civilian personnel records will not be selected for permanent preservation (Selection criteria 6.3).
- 3.7.2 The Ministry of Defence and The National Archives will consider the transfer and disposition of pre-1963 Service Personnel records, e.g. WW1, interwar, WW2 and other administrative records from this era (such as RAF Casualty Packs and Prisoner of War Cards) separately to the decisions outlined in this report.

## 4 Additional information and follow-up

### 4.1 Additional Checks

4.1.1 Operational Selection Policies that MOD reviewers use when reviewing records for selection include:

4.1.1.1 Operational Selection Policy 11, Nuclear Weapons Policy 1967-1998. This OSP covers all public records relating to British nuclear weapons policy and development.

4.1.1.2 Operational Selection Policy 17, Preservation of the Built Environment 1970-1999, This OSP covers all records created between 1970 and 1999 about government policy on the preservation of the built environment (structures and landscapes), and to casework records relating to scheduled ancient monuments and research surveys. The Defence Infrastructure Organisation may retain legacy records for functions which are now the responsibility of the Office of Works.

4.1.1.3 Operational Selection Policy 23, Records of Britain's Overseas Representation, 1973-, section 6.2. This OSP covers the records produced overseas. The chief record of events at overseas naval, military, and air bases is; for the Navy the Monthly Unit Record, which documents a timeline of unit activity for each month as well as recording highlights and Command Comments, emphasising programme milestones and the unit's effectiveness against its directed tasks; for the army, the base commander's diary, but also unit level diaries for smaller detachments based overseas, or the unit historical record; and for the RAF, the station operations record book. Other records of overseas bases are not required for permanent preservation and are disposed of when no longer required for administrative purposes.

4.1.1.4 Operational Selection Policy 36, Publications Grey Literature. The OSP covers publications produced across government that are, in general, not formally published and is often referred to as grey literature i.e. publications produced at all levels by government both in print and electronic formats, but which are not controlled by commercial publishing interests, and where publishing is not the primary business activity of the organisation.

4.1.1.5 Operational Selection Policy 46, Records Relating to Military Law and Courts-Martial. This OSP covers the public records of the MOD that generates most of the policy and legislation relating to military law. These include those public records relating to high-level policy relating to discipline and justice in the main military services: Army, Royal Air Force and Royal Navy.

## **4.2 Implications of this report for the selection of records held in related departments / agencies**

4.2.1 The UK Hydrographic Organisation, the Atomic Weapons Establishment and the Defence Geographic Centre have responsibility for the selection and ongoing preservation of their records. While this report has not covered the functions and activities of these organisations, they have been consulted in term of the development of this report. As this report does not refer to their records, the report should have no effect on their existing processes in place for the review and selection of paper records held by these organisations. The Defence Science and Technology Laboratory has also been consulted, particularly in respect to Section 3.5 – Scientific Records.

## **4.3 Implications of the report for the review and selection of paper records relating to the functions covered here**

4.3.1 This report will have no effect on the existing processes in place for the review and selection of paper records.

## **4.4 Follow-up**

4.4.1 This appraisal report will be reviewed, updated and republished every five years or following a defence review. In the interim, the MOD Departmental Records Officer will ensure that this document is updated internally to reflect any changes to MOD's organisation, its core functions or military tasks, or the datasets it produces.

## Annex A - Generic records selection criteria

<b>1</b>	<b>The principal policies and actions of UK government</b>
1.1	Records of policy decisions that had a significant impact on UK or international events and conditions where department was the lead (for example, foreign policy, policing, asylum and other legal cases, deployment of troops, setting the budget, intervention on foreign exchanges)
1.2	Records that show the development of primary legislation where department is the lead (for example, work on White or Green papers, Bills, Acts, notes on clauses, policy working groups or committees)
1.3	Records that show the development of secondary legislation where department was the lead (for example, work on statutory instruments)
1.4	Key records that illustrate how legislation was implemented where department was the lead
1.5	Records of decisions that affect the way an organisation conducts its core functions (for example, decisions that set a precedent or had an impact on wider political developments)
1.6	Records of projects that were particularly innovative, or were significant from the perspective of cost, risk or impact (for example, Millennium Dome project and project to build the new British Library)
<b>2</b>	<b>The structures and decision-making process in government</b>
2.1	High-level governance records (for example, agendas, minutes and papers of Cabinet Committees, management boards, key committees, ministerial committees) – see OSP 35 – Board and Committee records
2.2	Records that show dissolution, creation, merger of departments, agencies (for example recent machinery of government changes under the programme to reform public bodies in 2010/11) – see OSP 24 – Machinery of Government Changes and the management of the Civil Service 1974 to 2000
2.3	Records that illustrate how a body or function was privatised/nationalised (for example, privatisation of British Rail)
2.4	Records (for example, evidence, transcripts, reports) of tribunals, commissions, inquiries or inquests that were of particular public interest or had a significant impact on policy or process
2.5	Constitutional relationships (for example, government relationship with devolved administrations)
2.6	Records of discussions/actions where there was involvement of secretary of state/minister (unless they are non-public records such as party political and constituency records - see OSP 12 on the central direction and oversight of government policy)
2.7	Records reflecting the creation/development of key departmental function/structure
<b>3</b>	<b>The state's interaction with the lives of its citizens</b>
3.1	Aggregated data which provides extensive information on individuals or groups (see OSP 30 on interaction between the state and the citizen), places or organisations (case files or datasets, for example, Census records)
3.2	Records that illustrate a significant event/person/group which lead to a change in policy, set a precedent or caused controversy and add to what is already known - see OSP 48 on case files (for example, a legal case that set a precedent in how a particular law was applied in practice)
3.3	Websites of UK Government departments and agencies in accordance with OSP 27

<b>4</b>	<b>The state's interaction with the physical environment</b>
4.1	Records which document the impact of policies/proposals on the natural environment (for example, impact of decision to build a nuclear power station on the surrounding area)
4.2	Records of significant events (natural/man-made) which lead to a change in policy, or set a precedent (for example, foot and mouth crisis)
4.3	Key records that establish or re-affirm UK Crown responsibilities (property and major assets) (for example, OS maps, Thames Barrier, Channel Tunnel, Olympic venues)
<b>5</b>	<b>Records that should always be selected</b>
5.1	Any record created earlier than 1660 (a requirement of the Public Records Act 1958)
5.2	Papers cited in, or noted as consulted in the preparation of Cabinet Office official histories
<b>6</b>	<b>Records that should not selected</b>
6.1	Copy papers (for example, copies of policy or discussion papers circulated between departments)
6.2	Information of reference/short-term value
6.3	Operational or administrative records (for example Finance records such as invoices, receipts and HR records such as grievance papers)
6.4	Department or branch is not the lead (for example, inquiry records where the department was not the secretariat, policy papers where another government department was the lead)
6.5	Newspaper cuttings/copies of publications
6.6	Routine or stand-alone case files that do not fall within criteria 3.1 or 3.2
6.7	Records/information captured elsewhere or already preserved at The National Archives (for example Hansard, published advice and guidance, annual reports, Parliamentary papers)
6.8	Non public-records
6.9	Records that need to be retained by law but aren't considered to be of historical value (for example, finance records, health and safety, nuclear waste disposal records)
6.10	Minimal content (for example very few papers on a file) or where the content doesn't add substantially to what is already known
6.11	Public correspondence unless it forms a part of records selected under criteria 1, 2, 3, and 4
6.12	Records published on a departmental website providing they are captured fully into the UK government web archive

# Index

## A

Act, 11  
    Public Records Act, 58  
Advisory non-departmental public bodies, 9  
Atomic Weapons Establishment, 5, 37, 56  
    Atomic Weapons Research Establishment, 13  
    AWE, 26

## C

Core Functions, 5, 15, 22, 25

## D

Defence Board, 4, 16, 17, 22, 30, 31, 32, 33, 35, 39  
Defence Council, 4, 16, 22, 29, 30, 31, 39

## E

Executive Agencies  
    Defence Science and Technology Laboratory, 8, 14, 42,  
        48, 56  
    Defence Support Group, 8  
    Dstl, 8, 27, 48, 49  
    Ministry of Defence Police and Guarding Agency, 8  
    Service Children's Education, 8  
    Service Personnel and Veterans Agency, 8  
Executive non-departmental public bodies, 8

## H

Head Office, 4, 14, 17, 19, 21, 49  
History, 3, 10

## J

JSP 441, 5, 20

## M

Military Tasks, 5, 7, 15, 23, 25, 33, 40  
Ministry of Defence, 2, 4, 6, 8, 11, 13, 22, 29, 54

## N

National Security Council, 7, 15, 29  
NATO, 13, 21, 51

## O

Operational Selection Policy, 24, 26, 55, 56  
    OSP, 53, 55, 56, 57

## R

Royal Air Force, 7, 9, 16, 26, 56  
Royal Navy, 7, 8, 10, 16, 30, 34, 56

## S

Strategic Defence and Security Review, 7, 14, 35, 53  
    SDR, 52, 53  
    SDSR, 16, 35  
    Strategic Defence Review, 14, 52

## T

The National Archives, 4, 5, 19, 20, 22, 28, 48, 49, 54, 58  
Top Level Budget, 4, 14, 17, 34  
    Air Command, 18  
    Defence Equipment & Support, 18  
    Defence Infrastructure Organisation, 18, 42, 46, 55  
    Head Office and Corporate Services, 19  
    Joint Forces Command, 18, 40, 41  
    Land Forces, 18  
    Navy Command, 18  
    TLB, 4, 17, 31