



Ministry
of Defence

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Release of Information

Thank you for your correspondence of 15 May 2018 in which you requested the following information:

1. 'For the Royal Navy branch of Engineer (Training Management) (E(TM)), the total numbers of officers within the Transfer Zone, as defined in BR3 (Vol 1) Naval Personnel Management (June 2016 Version 6, Effective October 2017), Part 7, Chapter 49, Article 4912, that applied to each of the annual Initial Commission to Career Commission Transfer Selection Boards convened in the years 2007 to 2015 inclusive.
2. Of those officers at Para. 1 above, the total numbers of officers who were eligible for Transfer from Initial Commission to Career Commission, as defined in BR3 (Vol 1) Naval Personnel Management (June 2016 Version 6, Effective October 2017), Part 7, Chapter 49, Article 4903 a. 6 (c), that applied to each of the annual Initial Commission to Career Commission Transfer Selection Boards convened in the years 2007 to 2015 inclusive.
3. The policy document in which it is defined how the NAVY PCAP-PPLAN, or other relevant organisation, generates, handles and stores MAuN data for E(TM) Transfer Boards and E(TM) Promotional Boards, including for how long the data sets are directed to be retained in official records.'

Your enquiry has been considered to be a request for information in accordance with the Freedom of Information (FOI) Act 2000. A search for the information has now been completed within the Ministry of Defence (MOD) and I can confirm that some information in scope of your request is held.

In response to your requests for the number of officers that applied for Initial Commission to Career Commission transfers, I should point out that the Royal Navy boards all eligible candidates; individuals do not need to volunteer or apply and they have an 'Opt Out' date if they choose to not take up the longer commission.

With regard to part two of your request, the MOD is able to provide you with the number of eligible personnel for commission transfer from 2007 to 2015, detailed in the following table:

YEAR	ELIGIBLE
2007	93
2008	102
2009	106
2010	96
2011	66
2012	52
2013	55
2014	71
2015	84

In response to part three of your request, the policy document which details the 'Officer Transfer and Promotion Records' policy including the retention schedule can be found as an attachment to this letter. As this document is used as an internal method of guidance and was not intended for public distribution, the document has been redacted to remove any personal information in accordance with Section 40(2) of the FOI Act.

Section 40(2) applies to personal data relating to third parties. The release of personal information relating to other individuals would contravene the principles of Data Protection legislation.

If you have any queries regarding the content of this letter, please contact this office in the first instance.

If you wish to complain about the handling of your request, or the content of this response, you can request an independent internal review by contacting the Information Rights Compliance team, Ground Floor, MOD Main Building, Whitehall, SW1A 2HB (e-mail CIO-FOI-IR@mod.uk). Please note that any request for an internal review should be made within 40 working days of the date of this response.

If you remain dissatisfied following an internal review, you may raise your complaint directly to the Information Commissioner under the provisions of Section 50 of the Freedom of Information Act. Please note that the Information Commissioner will not normally investigate your case until the MOD internal review process has been completed. The Information Commissioner can be contacted at: Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF. Further details of the role and powers of the Information Commissioner can be found on the Commissioner's website at <https://ico.org.uk/>.

Yours sincerely

Navy Command Secretariat – FOI Section

PCAP(PROMS)/3/1

12 Aug 17

INTRODUCTION

1. This document defines the policy for the retention of officers' appraisal reports (AR) and the official records generated by the annual transfer, promotion and command selection boards, and other less frequent selection boards, taking into account the requirements of the Freedom of Information Act (FOI) and the Data Protection Act (DPA).

BACKGROUND

2. Over the years the Promotions Division has generated a large number of records arising from transfer, promotion and command selection boards. These records are held in the Officer Promotions Section (OPS) in Victory Building, Portsmouth Naval Base (PNB) and the dedicated archive in a separate building in PNB. Records of a more historical nature are held in the Departmental Archive operated by TNT at Swadlincote near Derby.

3. The FOI and DPA require full disclosure of electronic and hard copy documents on request. This document defines in detail those documents required to facilitate the transfer, promotion and command selection process in the future, and those required to be retained for historical and other business purposes.

OFFICER SELECTION PROCESS

4. For transfer and promotion selection boards to function correctly, they need a variety of documents some permanent and some less so. Since both transfer, promotion and command selections are made on the basis of ARs, the forms S206, OJAR MOD form 2020s and JPA Appraisals raised on an officer are a major part of the documentation issued to board members. With officers reporting open, copies of these reports are available to Subject Officers (SO) and their Career Managers (CM) on JPA after the original ARs are received and finalised in the OPS. The reports are retained by DACOS PROM until they leave the Service at which time they are passed to TNT via the CM for long term storage. Access to TNT is maintained and officers' files can be called forward relatively easily if required.

5. For each branch and rank there is usually a Preliminary Selection Board (PSB) and a Final Selection Board (FSB). For commission transfers and transfer to Full Term Commission (Air) a single Transfer Selection Board (TSB) satisfies the PSB and FSB functions. Similarly an Annual Promotion Board (APB) only is used for promotions to Lt Cdr/Maj. The PSB, having considered the reports of eligible in-zone personnel, sorts the candidates into well-defined and understood selection categories¹ depending on their suitability for transfer and/or promotion. These are recorded on completion of the PSB on the PSB master voting sheet, which is signed by the board chairman as a true record of the PSB and passed to DACOS PROM for

¹ BR 3 6610 A, B+, B, C and C+

retention as the historical record of the board. The PSB master voting sheet is used by the Branch Secretary to form the equivalent for the FSB.

6. The FSB consider the candidates categorised A by the PSB and place them in an order of merit (OOM). They then select from their OOM the required number of officers to be promoted on that occasion taking into account the mandated detailed promotion requirement. The result is then recorded on the FSB master voting sheet, which is signed by the board chairman as the true record of the FSB. The master voting sheet is then passed to DACOS PROM for action and retention as the historical record of the board.

7. On completion of all FSBs below promotion to Captain, PROM COORD constructs a notification Loose Minute containing the names of all officers selected for transfer and/or promotion. This is released by DACOS PROM to the RN Intranet Web on the date specified in an annual DIN, which also contains the detailed instructions for the annual transfer, promotion and command selection round. Pool promotions to Captain and Commodore are notified on the last Thursday of each month as assignments in the higher rank are made.

8. In addition to files containing the officers' reports, PSBs and FSBs are issued with detailed procedural instructions based on the policy already published in BR 3 Ch 66, CVs and profile sheets on each officer which contain data electronically extracted from his/her ARs and a blank voting sheet which contains the list of officers being considered and some personalised details all of which are already known to the officer concerned.

9. For sea/air and military command appointments at OF4 and OF5² level, Sea (SASB), Air (AASB) and Military (MCB) Command Appointment Selection Boards are convened along similar lines. Officers' promotion files are placed before these boards and the other documentation used is the same as that for transfer and promotion. Similar arrangements exist for ad hoc selection boards required for Principal Chaplain and Chaplain of the Fleet.

OFFICER TRANSFER AND PROMOTION RECORDS POLICY

10. For the transfer and promotion rounds, a strict documentary regime designed to be consistent across all branches and selection boards was introduced in 2001. Annex A lists those documents approved for use and their specific purpose. Those to be retained for business and historical reasons are also identified in the table as is their final disposal. The provisions of the DPA are such that all the information on individual officers contained in those documents retained is disclosable subject to proper request, however, officers are not entitled to view documents which contain information on officers other than themselves.

11. Original FSB final result sheets relating to transfer and promotion are retained by DACOS PROM and, apart from personal information relating to individual, contain an officer's final transfer/promotion category. Individual requests for the release of information are handled by the Fleet FOI and DPA Cells, who copy and forward the relevant documents supplied by DACOS PROM.

² OF5 MCB is conducted by the Flag and Senior Officer Appointments Board (FSOAB)

12. ARs on officers of Commanders rank and below are retained by OPS as long as the subject officer remains in the Navy. On his/her retirement, the forms are passed to TNT for long term storage. The ARs of officers selected for promotion to Capt/Col are passed to the office of the Naval Assistant.

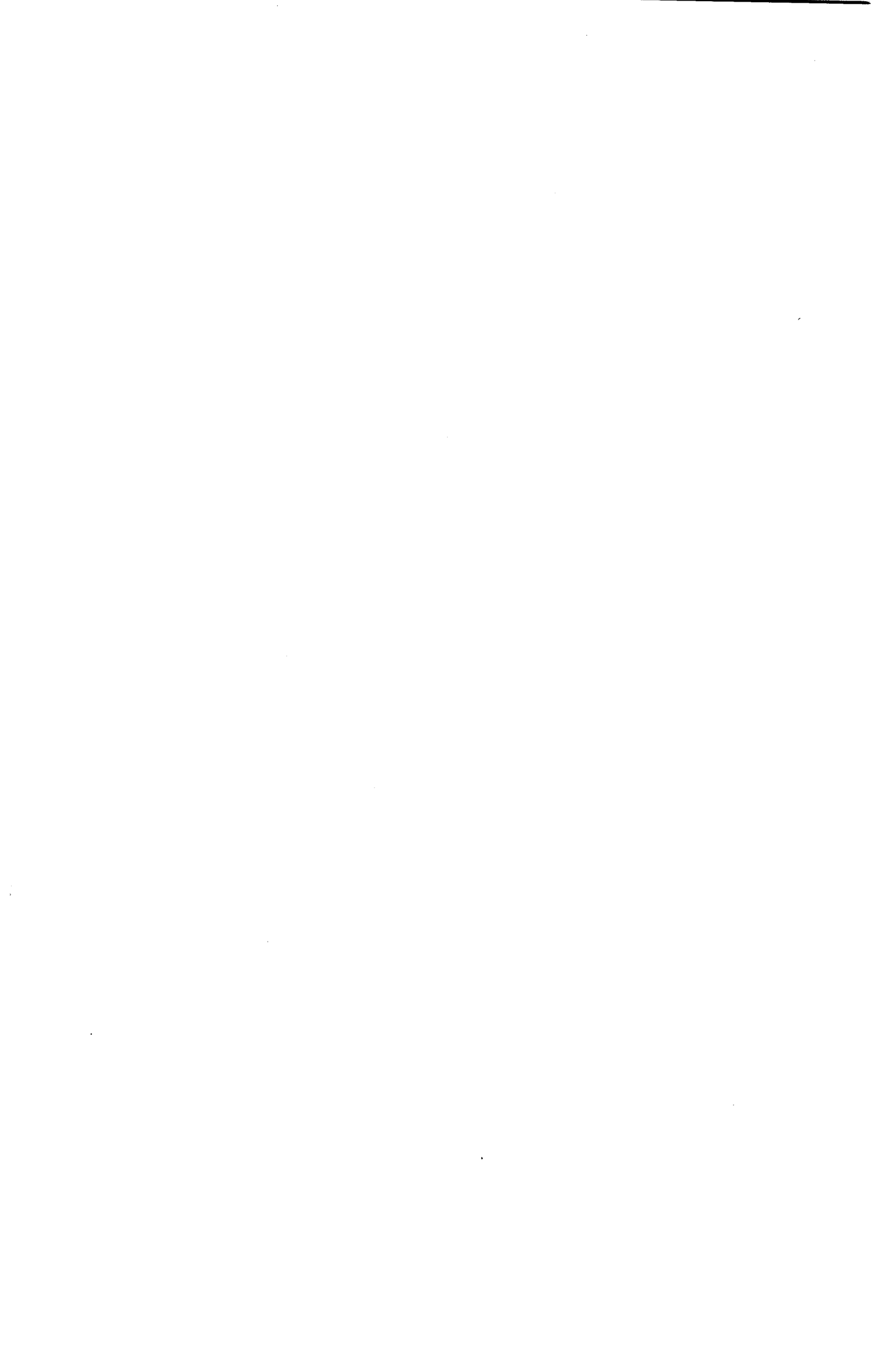
RELEASE TO MERIDIO

13. Data spreadsheets, notes and instructions compiled by the Branch Secretaries and their support teams are defined as "Work in Progress" for the current promotion round or to support the following round. They are therefore not releasable to MERIDIO as a Final Record. DACOS PROM will release such policy documents and official records as he considers appropriate to MERIDIO for historic and record purposes.

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Capt RN/B2 MSF
DACOS PROM
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Annex:

List of Approved Documents raised and held by the Officer Promotions Section



LIST OF APPROVED DOCUMENTS RAISED AND HELD BY OFFICER PROMOTIONS SECTION

ANNEX A

	TYPE	PURPOSE	FINAL DISPOSAL
Officers Appraisal Report	Form	Annual (and other occasions) performance and potential report on officers used to inform transfer/promotion boards and appointing authorities.	Copies retained by DACOS PROM and NA/CM as appropriate until officer leaves the Navy at which time they are transferred to TNT for long term retention. IZ officers retained in VB OPS racks, UZ & OZ retained in local archives in PNB.
Officers Appraisal Report	JPA	Electronic input to JPA. Data used to populate individual officers' profile sheets (see below).	Electronic data retained until officer leaves the Navy at which time it is erased.
Curriculum Vitae	JPA print	Extract of officer's personal and career data produced as required for transfer/promotion boards.	Destroyed on completion of transfer/promotion boards.
Profile Sheet	JPA print	Electronic extract of certain information on ARs including JPA data produced as required for transfer/promotion boards and used by board members for making pre-board notes. Also contains details of Courts Martial, censures and formal warnings.	Destroyed on completion of transfer/promotion boards. Recordable Court Martial convictions, censures and formal warnings expunged after 5 years i.a.w. Rehabilitation of Offenders Act or iaw CM ruling. Severe Reprimands awarded summarily are expunged after 3 years or i.a.w HA instructions
Officer's Official Record	File	Raised for officers in-zone for transfer/promotion. Contains copies of: all in-rank ARs and other reports required by the board including reports on special formats; letters of appreciation, praise and commendation; and censure and formal warning.	Destroyed when officer is promoted or goes over-zone. Letters of censure and formal warning destroyed after 5 years i.a.w. Rehabilitation of Offenders Act or iaw HA instructions. Severe Reprimands awarded summarily are expunged after 3 years or i.a.w HA instructions

TSB/APB/PSB/FSB Calling Notice	Letter	Standard letter drafted by DACOS PROM. Despatched to board members by Branch Secretary. Informs board members of time, date and venue of board, and other administrative detail.	Copy retained in MOSS for 1 year; used by DACOS PROM to generate letters for following year.
Transfer/Promotion Board Instructions	Letter	Document drafted by DACOS PROM. Despatched to board members by Branch Secretary with the board calling notice. Includes standing instructions for the conduct of selection boards and other advice.	Copy retained in MOSS for 1 year: used by DACOS PROM to generate instructions for following year.
PSB Voting Sheet	Table	Produced and despatched to board members by Branch Secretary with the board calling notice. Includes: list of promotion candidates in seniority order; specialisation; seniority; last board dates; and space for the individual board member's vote and comments.	Hard copies destroyed on completion of PSB. Electronic data carried forward to Master Voting Sheet by Branch Secretary.
PSB Master Voting Sheet	Table	Produced by Branch Secretary for use at the board. Includes: list of promotion candidates in order of merit; specialisation; seniority; last board dates; individual board member's votes, aggregated board members vote and space for the final board decision.	Hard copies destroyed on completion of PSB. Electronic data carried forward to Final Result Sheet by Branch Secretary.
PSB Final Result Sheet	Table	Produced by Branch Secretary on completion of the board. Includes: list of promotion candidates in seniority order ¹ and grade order (A, B+, B, C and C+ as appropriate); specialisation; seniority; last board dates; board membership; and board conduct declaration signed by the board chairman. The Final Result Sheet is also to include the names those officers excluded from consideration by the board for lack of RNFT.	Original hard copy retained by DACOS PROM for 10 years. Copy passed to NA if appropriate and the appropriate CM for CI purposes. Electronic data, excluding individual and aggregated votes which are destroyed, used by Branch Secretary to formulate FSB Master Voting Sheet and the next years PSB Voting Sheet. Previous year e-copy deleted o/c.
FSB Master Voting Sheet	Table	Produced by Branch Secretary for use at the board. Includes: list of A graded promotion candidates in seniority order ² , specialisation; seniority; last board dates; individual board member's votes, aggregated board members vote and space for the final board decision.	Hard copies destroyed on completion of FSB. Electronic data carried forward to Final Result Sheet by Branch Secretary.

¹ In Order of Merit for pool promotions to Capt/Col

² In Order of Merit for pool promotions to Capt/Col

FSB Final Result Sheet	Table	Produced by Branch Secretary on completion of the board. Includes: list of promotion candidates in seniority and grade order (P and A); specialisation; seniority; last board dates; board membership; and board conduct declaration signed by the board chairman.	Original hard copy retained by DACOS PROM for 10 years. Copy passed to NA if appropriate and the appropriate CM for CI purposes. Electronic data, excluding individual votes which are destroyed, retained by Branch Secretary and used with the PSB equivalent to form the next years PSB Master Voting Sheet. Previous year e-copy deleted o/c.
TSB/APB Voting Sheet	Table	Produced and despatched to board members by Branch Secretary with the board calling notice. Includes: list of transfer/promotion candidates in seniority order; specialisation; seniority; last board dates; and space for the individual board member's vote and comments.	Hard copies destroyed on completion of TSB/APB. Electronic data carried forward to Master Voting Sheet by Branch Secretary.
TSB/APB Master Voting Sheet	Table	Produced by Branch Secretary for use at the board. Includes: list of transfer/promotion candidates in order of merit; specialisation; seniority; last board dates; individual board member's votes, aggregated board members vote and space for the final board decision.	Hard copies destroyed on completion of TSB/APB. Electronic data carried forward to Final Result Sheet by Branch Secretary.
TSB/APB Final Result Sheet	Table	Produced by Branch Secretary on completion of the board. Includes: list of transfer/promotion candidates in seniority and grade order (T/P, A, B+, B, C and C+ as appropriate); specialisation; seniority; last board dates; board membership; and board conduct declaration signed by the board chairman.	Original hard copy retained by DACOS PROM for 10 years. Copy passed to the appropriate CM for CI purposes. Electronic data, excluding individual votes which are destroyed, retained by Branch Secretary and used to form the next years TSB/APB Voting Sheet. Previous year e-copy deleted o/c.
TSB/APB/FSB Final Result Letter	Letter	Produced by DACOS PROM on completion of each board. Separate letter for each board result sent to NA if appropriate and the appropriate SO1 CM. Contains the list of those selected for transfer/promotion, and the list of the last shot officers who were not selected.	Original hard copy destroyed once the result has been notified; electronic version used by DACOS PROM to generate letters for following year. Previous year e-copy deleted o/c.

Last Shot Instructions and Letters	Letter	Standard instructions and letter drafted by DACOS PROM and passed to all SO1 CM. Raised for all officers who are being considered by boards for the last time, signed by the appropriate CM or CNPERS and despatched before the signal announcement. Informs last shot officer whether or not he/she has been selected.	Electronic version used by DACOS PROM to generate instructions and letters for following year. Previous year e-copy deleted o/c.
Transfer and Promotion Advanced Notification Letters	Letter	Standard letters drafted by PROMCO and passed to Buckingham Palace, NAVB members, CNOs, DMC, Naval Review and Navy News. Raised for each transfer and promotion round, and despatched before the signal announcement.	Electronic version used by PROMCO to generate letters for following year. Filed in Meridio by DACOS Proms o/c.
Notification	LM on RN Intranet Web	Notification drafted by PROMCO and released to the RN Intranet Web on the due date having been authorised by NAVSEC.	Hard copy retained by DACOS PROM for 10 years; electronic data retained by PROMCO for 1 year. Filed in Meridio by DACOS Proms o/c.