



Ministry of Defence

Appraisal Report

22 December 2020

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Appraisal Report

Ministry of Defence and Armed Forces

1963 – 2020

CONTENTS

Executive Summary	4
Background Information	6
Selection Decisions	18
Technical Report	23
Annex A - Generic records selection criteria	43
Index	45



Document History

Draft No	Date	Appraisal Stage	
0.1	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 for consultation.	Complete
0.2	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 TNA and MOD's DRO but may involve a wider discussion at TNA.	Complete
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EXECUTIVE SUMMARY

The Ministry of Defence (MOD) has three high-level outputs reflecting its roles as a Department of State and the nation's Armed Forces. These outputs are Defence policy, which defines what needs to be done by MOD, and it articulates the aim and provides the overarching framework for all the outputs MOD delivers; the Military capability, which is the ability and readiness of the Armed Forces to conduct Military Operations; and Military Operations, where the UK's Armed Forces are used to undertake specific tasks under the command of the Chief of the Defence Staff (CDS) as directed by the Prime Minister. The Secretary of State for Defence 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 subordinate Ministers; CDS as the Secretary of State's, and the Government's, principal military adviser; and the Permanent Secretary, who is the departmental Accounting Officer and principal civilian adviser on Defence. Together, CDS and PUS 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 five sub-committees: The Executive Committee, the Defence Safety and Environment Committee, the Investment Approvals Committee, the Defence Audit and Risk Committee, and the People Committee. MOD Head Office interprets political direction for military use and reports to Parliament on the Department's performance.

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 seven core activities. 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 activities.

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. MOD's corporate information system 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 MOD's corporate information system will begin to be transferred to The National Archives until 2024.

Ministry of Defence and Armed Forces - Records Appraisal Report

The UK Hydrographic Office, the Atomic Weapons Establishment and the Defence Geographic Centre have responsibility for the selection and ongoing preservation of their operational 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 Defence purpose is “To protect the people of the United Kingdom, prevent conflict, and be ready to fight our enemies. We are prepared for the present, fit for the future.”

1.1.2 The Ministry of Defence (MOD) is both a Department of State and a Strategic Military Headquarters that directs Military Operations on behalf of the government. It 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. MOD has three main outputs:

- Defence policy, which defines what needs to be done by, or within, MOD, now and in the future. It articulates the aim and provides the overarching framework for all the outputs MOD delivers, how it contributes to wider government, and all activities carried out within Defence;
- Military Capability, which is the ability and readiness of the Armed Forces to conduct Military Operations; and
- Military Operations, where the UK’s Armed Forces are used to undertake specific tasks under the command of the Chief of the Defence Staff (CDS) as directed by the Prime Minister.

1.1.3 The MOD is made up of:

- Head Office, that undertakes the policy development, strategy and planning core activities. It also provides the key governance mechanisms to ensure the department is well run, that risks are managed and that a strong corporate governance framework is in place. It is also the primary support mechanism for the Defence Ministerial team, led by the Secretary of State for Defence.
- Four Military Commands: the three single Service Commands – Royal Navy, Army and Royal Air Force – and Strategic Command, which exists to support the joint nature of warfare conducted by the Armed Forces, including the generation of military capabilities that are common to each of the Armed Services.
- Defence Nuclear Organisation is responsible for the delivery of all the UK’s submarines from procurement through to safe disposal, and for nuclear policy and activity.
- Twelve Enabling Organisations that provide a range of supporting services across Defence. These are:
 - Defence Business Services (DBS) provides the financial, human resources (HR), archival and other shared services that underpin UK Defence.
 - [Defence Digital](#) delivers digital services and capability and provides both direction/coherence in the development and exploitation of digital technologies across the whole of Defence and acts as the primary delivery agent for Defence core digital systems and services.
 - [Defence Electronics Component Agency](#) (DECA) supports the UK’s Armed Forces by providing maintenance, repair, overhaul, upgrade, procurement and managed service provision in the defence avionics, electronics and components field.
 - [Defence Equipment & Support](#) (DE&S) equips and supports the UK’s armed forces.

- [Defence Infrastructure Organisation](#) (DIO) is the professional estate expert for Defence and provides infrastructure advice and delivers infrastructure services both in the UK and overseas.
- [Defence Safety Authority](#) (DSA) is an independent organisation, empowered by charter on behalf of the Secretary of State to undertake the roles of Defence Health, Safety and Environmental Protection (HS&EP) Regulator and safety related accident investigator. The DSA aims to reduce and ideally prevent loss of life, avoidable harm and damage to the environment.
- [Defence Science and Technology Laboratory](#) (Dstl) is an Executive Agency of the MOD. Dstl delivers high-impact science and technology to Defence and ensures that innovative science and technology contribute to the defence and security of the UK.
- [Ministry of Defence Police](#) (MDP) is a statutory civilian police force that provides specialist armed policing services to the MOD, other UK Government Departments and US Visiting Forces.
- [Oil and Pipelines Agency](#) (OPA) is a statutory public corporation sponsored by the Secretary of State for Defence that provides the safe, reliable and cost-effective storage and issue of petroleum products.
- [Single Source Regulations Office](#) (SSRO) is an executive arms-length body designed to be the independent expert on MOD single source procurement, and the custodian of the single source procurement framework. SSRO fulfils an adjudication role in single source procurement between the MOD and industry where disagreements with industry occur that might otherwise prove intractable.
- [Submarine Delivery Agency](#) (SDA) exists to programme and support, through life, the safety, availability, reliability and security of UK submarines that are in-service in order to maintain the UK submarine capability.
- [UK Hydrographic Office](#) (UKHO) supports defence, safe maritime navigation and marine development around the UK and worldwide by providing marine geospatial data, products and services to inform maritime decisions across multiple thematic areas from defence, merchant shipping and maritime security to Official Development Assistance and Blue Economic activity. UKHO is a place of deposit for hydrographic and navigational records and its Archive contains hundreds of thousands of records.

1.1.4 The work of Defence also extends into many companies who supply goods and services, other government departments (OGDs) who work with the MOD, and allies and partners around the world. In its role as a Department of State, the MOD works with several agencies and other public bodies. These are:

1.1.5 Executive non-departmental public bodies:

- [Armed Forces Covenant Fund Trust](#): funds projects and delivers other funding programmes that support the Armed Forces Community.
- [National Army Museum](#): gathers, maintains and makes known the story of the British Army and its role and impact in world history.
- [National Museum of the Royal Navy](#): preserves and presents the history of the 'Fleet' - the ships and the men and women who manned them.
- [Royal Air Force Museum](#): tells the story of British aviation, from early bi-planes to the latest strike-jets.

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

- [Advisory Committee on Conscientious Objectors](#);
- [Armed Forces' Pay Review Body](#);

- [Defence Nuclear Safety Committee](#);
- [Independent Medical Expert Group](#);
- [Nuclear Research Advisory Council](#);
- [Science Advisory Committee on the Medical Implications of Less-Lethal Weapons](#);
- [Veterans Advisory and Pensions Committees](#).

1.1.7 Ad-hoc advisory group (see Table 3.1 for more details):

- [Central Advisory Committee on Compensation](#): gives advice on all service compensation schemes and on policy issues related to them.

1.1.8 Other:

- [Advisory Group on Military Medicine](#): provides specialist advice to the MOD on the medical aspects of defence against chemical, biological and radiological threats (see Table 3.1 for more details).
- [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 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 and Security Media Advisory Committee](#): oversees a voluntary code that operates between the government departments which have responsibility for national security and the media (see Table 3.1 for more details).
- [Fleet Air Arm Museum](#): is the world's second largest naval aviation museum.
- [Reserve Forces' and Cadets' Associations](#): are comprised of 13 individual associations covering the United Kingdom, that as arms-length bodies of the MOD, gives advice and assistance to the Defence Council, and to the army, navy and air force on matters that concern reserves and cadets.
- [Royal Marines Museum](#): explores the history of the Royal Marines from their origins in 1664 through to current day operations around the world.
- [Royal Navy Submarine Museum](#): traces the international history of submarine development to the present day.
- [Service Complaints Ombudsman](#): aims to ensure that all Service personnel have access to and confidence in a Service complaints system that is efficient, effective and fair. The Ombudsman's role is to provide independent and impartial oversight of the Service complaints process for Service personnel in the United Kingdom and to report back to Ministers and to Parliament.
- [Service Prosecuting Authority](#): provides independent, efficient and consistent consideration of criminal cases and offences contrary to service 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. Whilst maintaining independence from the service chain of command, the Service Prosecuting Authority fulfils its functions in support of operational effectiveness of the Armed Forces throughout the world.
- [United Kingdom Reserve Forces Association](#): is an unregistered charity that promotes the efficiency of the reserve forces by providing opportunities for education, personal development and international experiences.

- 1.1.9 The MOD is led by the Secretary of State for Defence, who has the general executive role, as one of Her Majesty's Principal Secretaries of State and a member of the Cabinet, is accountable to the Prime Minister and Parliament for all its activities and is the Chair of the Defence Council. The Secretary of State is supported by the Chief of the Defence Staff (CDS); who is the professional head of the Armed Forces and principal military adviser to the Secretary of State for Defence and the Government. CDS is also the main military voice on the Defence Board; and a senior policy adviser, the Permanent Secretary who, as the department's Accounting Officer, is separately accountable to Parliament for managing the Department, and for the proper use of the funds voted by Parliament.
- 1.1.10 The four Military Commands generate military capability and operate it in accordance with Defence Policy objectives as directed by Head Office. Each Command has a Service Chief as its professional head. Each Service Chief is the budget holder for the organisation and is responsible, among other things, for ensuring the fighting effectiveness, efficiency and morale of their Service and the delivery of their prescribed operational commitments in the Defence Plan.
- 1.1.11 The overarching policy framework for the MOD is provided by the National Security Council (NSC), which is a sub-committee of the Cabinet and the main forum for setting national security strategy across Departments of State (including MOD) and other parts of the Government. The NSC is chaired by the Prime Minister and attended by the Secretary of State and, if necessary, the CDS. The Government's national security priorities are decided using the National Security Strategy (NSS), which considers the strategic context in which the UK finds itself, and by Strategic Defence and Security Reviews (SDSRs). The work to produce the National Security Strategy and Strategic Defence and Security Review is usually conducted every five years or when a new Government takes office. The National Security Adviser leads the production of the National Security Strategy and the Strategic Defence and Security Review under the authority of the NSC.
- 1.1.12 The NSS sets out three, cross-departmental National Security Objectives: protect our people, protect our global influence, and promote our prosperity; and MOD is responsible for implementing the commitments that it owns. The work to produce the NSS and SDSR is often undertaken alongside a Comprehensive Spending Review (CSR), to ensure policy objectives and financial resources are aligned.
- 1.1.13 The 'means' (resources) and 'ways' (or courses of action) across Government that are needed to deliver the 'ends' described in the NSS are set out in the SDSR. The MOD develops its strategy from the SDSR and explains how Defence will use its existing Military Capability and achieve the Future Force described in the SDSR, in its Defence Strategic Direction (DSD). The SDSR explains why Defence must be capable of delivering particular Defence Tasks and the DSD defines the Defence Tasks, provides the framework for long-term planning, and describes the Defence Planning Assumptions. The DSD is approved by the Secretary of State.
- 1.1.14 The DSD defines 25 Defence Tasks, eight of which are denoted 'permanent tasks' because Defence will continue to perform these tasks irrespective of other demands. The eight permanent tasks are:
- Provide nuclear deterrence;
 - Deter and defend against threats to UK;
 - Deter and defend against threats to UK bases and territories overseas;
 - Contribute to the resilience of the UK by supporting civil contingency operations and the protection of Defence's Critical National Infrastructure and cyber space;
 - Hold forces at readiness to support and conduct Counter-terrorism operations in the UK;
 - Contribute to understanding the global security environment;
 - Resource NATO staff posts and the highest priority NATO force contribution;
 - Resource core staff posts within the global Defence Network.

1.1.15 Head Office prepares an annual Defence Plan from the DSD and uses both documents to task the various organisations across Defence, such that the required military capability can be delivered. The Military Commands, the Defence Nuclear Organisation, Enabling Organisations and Head Office business areas each respond to Head Office direction with their plans for meeting the objectives assigned to them. These plans are known as Command and Corporate Plans, Functional Plans and Portfolio and Programme Plans.

1.2 History of the MOD

- 1.2.1 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.
- 1.2.2 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.
- 1.2.3 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.
- 1.2.4 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.
- 1.2.5 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.
- 1.2.6 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.
- 1.2.7 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.
- 1.2.8 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.
- 1.2.9 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.
- 1.2.10 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.
- 1.2.11 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.
- 1.2.12 In 1969 the Directorate for Statistics, Management Services, Accounts and Contracts was established.
- 1.2.13 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.
- 1.2.14 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.
- 1.2.15 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.
- 1.2.16 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.
- 1.2.17 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.
- 1.2.18 The overall scope of the MOD has remained largely unchanged since then, although it has been through a number of major reorganisations.
- 1.2.19 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.

- 1.2.20 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.
- 1.2.21 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.
- 1.2.22 Following the 11 September 2001 terrorist attacks in the USA, the 2002 Strategic Defence Review: New Chapter, responded to and focused on the threat of strategic effect terrorism. It also discussed the impact of technological change on the military. The 2003 Defence White Paper: Delivering Security in a Changing World, made clear the need to continue to modernise the structure of the armed forces, embrace new technology, and focus on the means by which the armed forces can work with other Government agencies to meet the threat of international terrorism and the forces of instability in the modern world. The Defence Industrial Strategy White Paper was published in 2005 to consider how best the MOD should seek to engage with the evolving defence industrial base in order to provide the Armed Forces with the equipment they require, on time, and at best value for money for the taxpayer.
- 1.2.23 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. Two major announcements from this Review included the decommissioning of the Royal Navy flagship aircraft carrier, HMS Ark Royal, and the early retirement of the Joint Force Harrier aircraft, the Harrier GR7/GR9. Both measures were to help save money for the production of the Queen Elizabeth-class aircraft carriers.
- 1.2.24 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. 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).
- 1.2.25 The National Security Strategy and Strategic Defence and Security Review 2015 (SDSR 2015) set out plans to tackle the threat of extremism and state aggression. It identified four key threats to the UK and the capabilities required to address them. It set out plans to maintain the size of the Army at 82,000, increase the size of the Royal Navy and Royal Air Force, by 400 and 300 respectively, whilst continuing to increase the size of the Reserves to 35,000. It also looked to strengthen the procurement and in-service support of nuclear-powered submarines by setting up a new delivery organisation to manage the UK's submarine Programme. The National Security Council (NSC) reviewed SDSR 2015 after the general election in 2017 and concluded that the SDSR, and its three National Security Objectives, should continue to frame UK's approach to national security. The NSC commissioned a focused National Security Capability Review ([NSCR](#)) to identify how UK could develop, deliver and deploy its considerable national security capabilities to maximum collective effect. A new national security doctrine, the Fusion Doctrine, was used to build on the creation and early years of the NSC, embed the lessons from The Report of the Iraq Inquiry ('the Chilcot report') and support a whole-of-government approach to national security. The Fusion Doctrine created a more accountable system to support collective Cabinet decision-making, with the introduction of senior officials as senior responsible owners to deliver each of the NSC's priorities.

1.2.26 Changes to the international security environment, including the resurgence of state-based threats and increasing competition between states; the rise in cyber-attacks from both state and non-state actors and the wider impact of technological developments; and the increase in threat posed by terrorism, extremism and instability, led to the 2018 National Security Capability Review (NSCR) and the Modernising Defence Programme. The formal establishment as an Executive Agency of the Submarine Delivery Agency (SDA) in April 2018 to oversee the acquisition of four new Dreadnought Class nuclear-armed submarines was announced in the NSCR. The [Modernising Defence Programme](#) described the intent to invest significant sums in addition to the uplift agreed in 2015 to improve readiness and availability of key Defence platforms; set out a vision for further adaptation and modernisation; and described how Defence was to transform significantly to deliver these plans.

1.3 Functions, activities, and recordkeeping

- 1.3.1 The Prime Minister is the ultimate decision maker for committing the Armed Forces to Operations.
- 1.3.2 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.
- 1.3.3 The Secretary of State for Defence is a permanent member of the National Security Council (NSC). The Chief of the Defence Staff (CDS) also attends as required and represents the four Service Chiefs (First Sea Lord, Chief of the General Staff, Chief of the Air Staff, Commander UK Strategic Command). The National Security Adviser (NSA) is the secretary to the NSC and is the lead official responsible for producing the National Security Strategy (NSS) and Strategic Defence and Security Review (SDSR) and providing National Security policy options to the Prime Minister and the NSC.
- 1.3.4 'Defence' describes the various activities and organisations in the Ministry of Defence that deliver the three Defence Outputs: Defence Policy, Military Capability and Military Operations. These Defence Outputs can themselves be broken down into seven core activities:
- Policy: Defence's end goals are known as Defence Policy and are set in agreement with the National Security Council.
 - Strategy: MOD delivers Policy by setting its Strategy, the key elements of which are published in Defence Strategic Direction (DSD). The DSD defines 25 Defence Tasks, eight of which are denoted 'permanent tasks' because Defence will continue to perform these tasks irrespective of other demands.
 - Planning: The DSD sets the basis for the annual Defence Plan. Through the Defence Tasks, the Defence Plan provides detailed direction on what each part of Defence should deliver over the following twelve months and is used to allocate the appropriate resources.
 - Governance: Corporate Governance is about making an organisation work effectively and coherently to deliver its objectives and meet its obligations. As a Department of State, the Secretary of State is accountable to Parliament for how MOD is run, the decisions it makes and the use of its resources. This accountability to Parliament is enacted via both the Defence Ministerial team and the MOD Accounting Officer. Governance activity is therefore led by Head Office but takes place across Defence.
 - Generate (Military Capability): Each of the Military Commands and DG Nuclear generates or delivers the different aspects of Military Capability directed by the Defence Plan. Each Command produces an annual Command Plan, which details how they will deliver the tasks allocated to them.
 - Enable: The twelve Enabling Organisations provide support and specialist services across Defence in areas such as HR and financial shared services, procurement of military equipment and the management of infrastructure. Most Enabling Organisations produce an annual Corporate Plan detailing the outputs to be delivered over the following twelve months.

- Operate: Military Operations are the use of the United Kingdom's Armed Forces, made up of 4 Military Commands (Royal Navy, Army, Royal Air Force & the Strategic Command), to undertake specific tasks under the command of CDS, as directed by the Prime Minister.
 - Functions: Functions are cross-cutting activities that the Executive Committee judge need to be conducted on a coherent and centrally directed basis across Defence to enable outputs to be delivered effectively, efficiently, legally and in compliance with wider Government policy.
- 1.3.5 In performing these tasks, 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.
- 1.3.6 The Secretary of State for Defence 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 subordinate Ministers, each of whom has responsibility for specific areas of defence business; CDS as the Secretary of State's, and the Government's, principal military adviser; and the Permanent Secretary, who is the departmental Accounting Officer and principal civilian adviser on Defence. Together, CDS and PUS are the joint professional heads of Defence.
- 1.3.7 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 in her role as Commander-in-Chief of the British Armed Forces, Her Majesty 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 members are: Secretary of State for Defence, Minister of State in the House of Lords, Minister of State for the Armed Forces, Minister for Defence People and Veterans, Minister for Defence Procurement, Permanent Secretary, Chief of the Defence Staff, Vice Chief of the Defence Staff, First Sea Lord, Chief of the General Staff, Chief of the Air Staff, Commander UK Strategic Command and Director General Finance.
- 1.3.8 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 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. The Admiralty, Army and Air Force Boards have command of the personnel within their services and are charged with the administration of all matters relating to their service with direction given by the Defence Council. The membership and powers of the boards are set out in Queens Regulations for each service.
- 1.3.9 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 of State in the House of Lords, Minister of State for the Armed Forces, Minister of State for Defence Procurement, Minister for Defence People and Veterans, Permanent Secretary, Chief of the Defence Staff, Vice Chief of the Defence Staff, Director General Finance and up to five positions for Non-Executive Directors, 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 Permanent Secretary in their accountabilities. The Defence Board has five sub committees:

- The Executive Committee (ExCo) supports the Defence Board and is the main executive board for MOD. The ExCo is chaired by the Permanent Secretary and comprises Chief of the Defence Staff, Vice Chief of the Defence Staff, Chief of Defence People, Chief Scientific Adviser, Chief Operating Officer, Director General Nuclear, Deputy Chief of the Defence Staff Military Strategy and Operations, Deputy Chief of the Defence Staff Military Capability, Director General Security Policy, Director General Finance, Chief Information Officer, Director General Strategy and International. The ExCo drives the annual Defence Plan and identifies and responds to risks and issues through regular routine updates on sub-committee activity and by taking papers on other issues put forward by members and secretariat. The Committee considers the major managerial and strategic policy issues impacting Defence at a more delivery focused level than the Defence Board.
 - The Defence Safety and Environment Committee is responsible for the governance of Health, Safety and Environmental Protection. It considers issues and risks across the Department to ultimately make Defence safer for its own people, those affected by defence activities, and the environment.
 - The Defence Audit and Risk Assurance Committee supports the Defence Board and Accounting Officer in their responsibilities for risk control and governance by reviewing the comprehensiveness, reliability and integrity of MOD's risk assurance framework.
 - The People Committee provides departmental direction, guidance and oversight on all strategic Defence people and training matters and as a sub-committee of the Defence Board, provides advice as appropriate and takes decisions on its behalf on strategic People matters. It reports via the ExCo to help maintain departmental coherence on cross cutting issues.
 - The Investments Approval Committee acts on behalf of the Defence Board as the senior body in MOD responsible for decisions on major investment proposals. It sets and enforces the policy and guidance for all investment and disinvestment decisions including where decisions are delegated.
- 1.3.10 Head Office leads the activities of the Department of State and provides strategic leadership and direction to the whole of 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 is jointly led by the Permanent Secretary and the Chief of the Defence Staff (CDS) who support Ministers and the Defence Board in leading and directing the whole of Defence. To fulfil its role, Head Office works closely with the four Military Commands, the Defence Nuclear Organisation that manages the portfolio of Defence nuclear programmes and the 12 Enabling Organisations that deliver activities to support Defence.
- 1.3.11 The ExCo has also identified several cross-cutting Defence activities (or Functions) that they judge are critical to Defence Outputs and need to be carried out in a coherent way across all organisations in Defence, thus enabling MOD business to be done smoothly and efficiently. Each Function has an owner with personal accountability to the Permanent Secretary via the ExCo. Although most Functional Owners are in Head Office, some are in UK Strategic Command (but work directly to the Permanent Secretary/ExCo on this aspect). The Functions are split into two types: Core Government Functions: Analysis, Commercial, Communications, Digital, Finance, Legal, Project Delivery and Security; and MOD-specific Functions: Healthcare and Medical Operational Capability, Infrastructure, People, Health Safety & Environmental Protection, Support and Transformation.
- Analysis Function brings together the Department's analysts and analytical professions, e.g. economists, operational researchers, social researchers and statisticians, to support customers across the whole of MOD with making informed, evidenced-based decisions in the best interests of Defence.
 - Commercial Function co-ordinates the work of Defence's authorised Commercial Officers to ensure that they can effectively procure the equipment and resources needed by the Armed Forces to time, cost and quality within the correct legal framework.

- Communications Function provides guidance, communicates and monitors standards and supports communications teams across Defence with the aim of raising awareness and enhancing the reputation of the Armed Forces.
- Digital Function provides coherence to the delivery of the whole range of information services and encompasses digital professionals working across Defence. The aim of this Function is to harness the potential of new digital technologies and deliver capabilities and new ways of working that match the increasing speed of technology change.
- Finance Function ensures that clear rules and standards are set and followed and that financial considerations are at the heart of decision-making.
- Health Safety & Environmental Protection Function is responsible for ensuring that policy and regulation are correctly set and kept up to date to provide Defence Organisations with the framework within which they can operate safely.
- Healthcare and Medical Operational Capability Function provides healthcare and medical services to Defence.
- Infrastructure Function provides building, infrastructure and land for Defence people to live, work and train.
- Intelligence Function delivers leadership and coherence to sustain the trust in intelligence outputs and products.
- Legal Function provides legal advice to support the MOD's work and to be able to demonstrate that everything the MOD does is within the rule of law.
- Military Capability Management Function is currently under development.
- Project Delivery Function implements common standards, policies and processes to deliver projects for Defence.
- People Function sets military and civilian HR strategy and policy for Defence and provides a coherent strategic focus to maintain the MOD's workforce and ensure they are motivated to play their part in the delivery of Defence outputs.
- Security Function provides security policies, procedures, and guidance.
- Support Function encapsulates those support activities which maintain military capability at pre-planned availability, readiness and sustainability, and is made up of Logistic Support, Equipment Support and Engineering Support.
- Transformation Function provides strategic direction and vision to: enable next generation capabilities, drive a sustainable Defence Plan, streamline systems and processes and create a workforce and culture to enable change.

1.3.12 Defence records are now predominantly born digital with a small number created in a physical format. There are several 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 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. MODNET is the primary means for creating MOD's digital records. The records created on MODNET are a mixture of operational and policy records created in UK headquarters. It is not expected that the transfer of digital records from either the operational record or MODNET to The National Archives will begin until 2024.

- 1.3.13 MOD's records management policy is contained in the Joint Service Publication (JSP) 441 - Information, Knowledge, Digital and Data in Defence, and all units in Defence are expected to comply with this policy. Each unit is responsible for developing their own file plan or information structures to reflect their individual business needs, but JSP 441 states that all units are to ensure that their information structures support better collaborative working, information exploitation, information retrieval and record capture and disposal. Defence agencies and trading funds are free to create their own file plans/information structures.
- 1.3.14 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.
- 1.3.15 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 15 years 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.
- 1.3.16 Electronic records that are not destroyed at first review are retained in MODNET's electronic records management system until second review. It is expected that the first, second review of electronic records will take place in 2023. 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.

1.4 Name of the parent or sponsoring department (if an Agency)

- 1.4.1 Not applicable

1.5 Relationship with parent department (if an Agency)

- 1.5.1 Not applicable

1.6 Relationship with other organisations (agencies / NDPBs / departments / other statutory bodies)

- 1.6.1 The MOD works closely with the Foreign, Commonwealth and Development Office 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 and High-level Operational 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, high-level operational work, recorded actions, structures and decision making processes that will be selected for permanent preservation are reflected in each of its three Defence Outputs, and in particular within the seven core tasks: Policy, Strategy, Planning, Governance, Generate, Enable and Operate. 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 activities.

2.1.2 Defence **Policy** tasks sets out what MOD must do to achieve the government's Defence objectives. Policy records that will be considered for selection under The National Archives' Records Collection Policy (Selection criteria 2.1 [see Annex A] unless otherwise stated) will include those 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;
- Originate from Ministers' and the Permanent Secretary's private offices;
- Document the preparation of legislation sponsored by the MOD (Selection criteria 1.2);
- Document the preparation of Codes of Practice and Public consultation papers (Selection criteria 1.3);
- Contain UK's contribution to International Defence Organisation objectives (Selection criteria 1.1). Non-UK owned or created International Defence Organisation records will not be selected for permanent preservation. (Selection criteria 6.8).

2.1.3 Defence **Strategy** tasks focus on 'how' to achieve 'what' needs to be done to meet Defence Policy objectives. Policy records that will be considered for selection under The National Archives' Records Collection Policy will include those that:

- Contain important decisions about the strategy, or tactics, and the means employed to implement the Armed Forces (Selection criteria 1.1). Those records that sets out the government's approach to national security, e.g. the Strategic Defence and Security Reviews, will not be selected (Selection criteria 6.12);

High-level operational records to be selected will include those that:

- Depict the strategic intelligence used by the Department to inform policy and decision-makers (Selection criteria 1.1).

2.1.4 Defence **Planning** tasks turns Policy and Strategy into a set of activities and outputs to be delivered by different parts of Defence to agreed timescales. Policy records that will be considered for selection under The National Archives' Records Collection Policy will include those:

- 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 (Selection criteria 2.1).
- Describing the outputs that Defence will deliver and the key activities it will undertake in a particular year (Selection criteria 2.1).

2.1.5 The **Governance** task ensures the department is managed properly and in line with government rules and standards. Policy records that will be considered for selection under The National Archives' Records Collection Policy (Selection criteria 2.1 unless otherwise stated) will include those that:

- 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;
- Are known to have been consulted by the official (Cabinet Office or Departmental) historians, and/or have been cited in official histories (Selection criteria 5.2);
- Record 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 Courts Martial will be selected subject to the criteria laid down in [Operational Selection Policy 46](#);
- Document the setting up, proceedings and reports of committees such as the Investment Approvals Committee, the Defence Audit and Risk Assurance Committee, the People Committee (Appointments Committee'), working parties, study groups, and similar bodies;
- Record the formation, organisation, reorganisation, re-designation, dress, change of role, expansion, contraction and disbandment of key departmental units (Selection criteria 2.7);
- Record the strategic direction, policy and priorities under which the formulation of the research and development programme by the Defence Technology and Innovation Board takes place.

High-level operational records to be selected (Selection criteria 1.1) will include the following:

- Major reports from the MOD and outside establishments;
- 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, Allied Military Courts, Public Inquiries. These are selected on a case-by-case basis.

2.1.6 The **Generate** task covers the activities that are required to deliver Military Capability, as required by HM Government, for use on operations. Policy records that will be considered for selection under The National Archives' Records Collection Policy will document:

- The principles on which the activities that generate and develop capability will be prioritised (Selection criteria 1.6);

High-level operational records to be selected will include those that:

- Record significant advice and recommendations created by MOD units and other official MOD organisations in support of capability development (Selection criteria 1.5);
- Contain information on important scientific/technical developments (Selection criteria 1.1);
- Document registered patents and other Intellectual Property Rights records including: claims against the Crown concerning MOD inventions, and patents and Intellectual Property Rights (Selection criteria 1.6). Where the record shows that a claim was not subject to court, or other adjudication, proceedings, these will not be considered for selection (Selection criteria 6.9);
- Could help the government to establish, maintain, or control a legal claim or title. (e.g., deeds, or other documents, relating to land or property tenure, design rights or copyright) (Selection criteria 1.1).

2.1.7 The **Enable** task describes the wide range of activities that support various parts of Defence in carrying out their business. Policy records that will be considered for selection under The National Archives' Records Collection Policy will include those that:

- Describe the policy and principles by which Defence procurement is undertaken (Selection criteria 2.1);
- Relate to Royal or other dignitaries' visits where the department is the direct lead, including copies of programmes (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, including records from the Committee on the Grant of Honours, Decorations and Medals (Selection criteria 3.2);
- Relate to Defence Services Lists and will include all records relating to awards for gallantry; those records of interesting detail concerning some particular notable action or event, or those where a recommendation, or its acceptance or rejection were the subject of significant controversy; (Selection criteria 3.2);
- Document the standing orders and similar instructions of Commands, Establishments, etc. (Selection criteria 1.5).

High-level operational records to be selected (Selection criteria 1.1 unless otherwise stated) will include the following:

- Significant advice and recommendations including that derived from important trials and exercises created by MOD units and other official MOD organisations in support of procurement and maintenance of capability;
- Those that detail the introduction of new types of equipment and weapons;
- Those that document the Introduction of new types of uniforms, clothing etc
- Contracts and Firms files including records that relate to contracts of major importance and/or historical interest. Small value order contracts will not be selected for permanent preservation (Selection criteria 6.3);
- Histories produced by Service units, including key departmental papers;
- 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);
- Reports of unidentified flying objects. The MOD 'UFO' desk closed 1 December 2009 and all records relating to UFOs (or unidentified aerial phenomena) have been transferred to The National Archives (Selection criteria 6.11).

2.1.8 The **Operate** task is about conducting Military Operations when required by Ministers and describes the wide range of activities that support various parts of Defence in carrying out their business. Policy records in this category that will be considered for selection under The National Archives' Records Collection Policy will include those that:

- Contain important decisions relating to the organisation, disposition, or use of the Armed Forces (Selection criteria 1.1);

High-level operational records to be selected (Selection criteria 1.1 unless otherwise stated) will include 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; Ships' covers (Curator's Ships' Books), Office Ships' Books, Captains Ships Records and Ships' Log Books. Captain's Ship's Books will not be selected for permanent preservation (Selection criteria 6.7);
- 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 Record Books;
- 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 military assistance to civil authorities and its peace-time contribution to Other Government Departments (Selection criteria 4.2);
- Record 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;
- Contain UK's contribution to International Defence Organisation objectives (Selection criteria 1.1). Non-UK owned or created (NATO, United Nations and other) records will not be selected for permanent preservation (Selection criteria 6.8);
- 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 Areas of High-level Operational Work undertaken in the MOD

2.2.1 In addition to those highlighted in section 2.1, the Navy's Monthly Unit Record, the Army's Commander's Diaries and the RAF's Operations Record Books 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.

2.3 Hybrid or Electronic Datasets / Business Systems

- 2.3.1 MOD publishes several datasets in machine-readable format on the internet. These include those published under the Government's Transparency Agenda on the Gov.UK internet website. MOD publishes an inventory of datasets held by MOD, whether they have been published, the date of intended publishing and the reasons given where there is no intention to publish. Datasets which are unsuitable for public disclosure, for instance they contain defence sensitive information or personal data, are also indicated in the list. Unpublished datasets are reviewed annually. If they are required by MOD so that it can carry out its regulatory functions, then a retention instrument application will be submitted to permit retention beyond 20 years.
- 2.3.2 Once it is no longer required for ongoing business use, each dataset will be reviewed to determine its historic value. The dataset will either be published if it no longer contains sensitive information or destroyed if it has no ongoing value.
- 2.3.3 Published datasets will be captured by The National Archives and kept in the [UK Government Web Archive](#) (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>	Terms of reference	Select? Yes / No	Reasons for selection / non-selection, including comments on the quality of information
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.	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. The Secretary of State is the most senior individual on the Defence Council, which comprises the other Defence Ministers, the Permanent Secretary, the Chief of Defence Staff, 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)
Defence Board	The Defence Board is a senior body chaired by the Secretary of State, its principal responsibility is to provide the strategic leadership and management of Defence. The Board's key objectives are the alignment of resources and objectives 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 charged with administration of all 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)
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)
Executive Committee	The Executive Committee supports the Defence Board and is the main executive board for MOD. The Committee, which is chaired by the Permanent Secretary, drives the annual Defence Plan and identifies and responds to risks and issues through regular routine updates on sub-committee activity. The Committee considers the major managerial and strategic policy issues impacting Defence at a more delivery focused level than the Defence Board.	Yes	High level governance records (Selection criteria 2.1)

Ministry of Defence and Armed Forces - Records Appraisal Report

<i>Name of committee</i>	Terms of reference	Select? Yes / No	Reasons for selection / non-selection, including comments on the quality of information
Investment Approvals Committee	The Investment Approvals Committee (IAC) is responsible for considering major investment proposals. The Committee reports to the Defence Board through the Executive Committee (ExCo) and advises Defence Ministers on a course of action. The Permanent Secretary, as the Accounting Officer, formally chairs the Committee, however this is normally delegated to Director General Finance for all but the most significant or material decisions. The other members are Vice Chief of the Defence Staff, Chief Operating Officer, Chief Scientific Adviser, Chief Information Officer, Deputy Chief of the Defence Staff for Military Capability and a Non-Executive Director.	Yes	High level governance records (Selection criteria 2.1)
Defence Audit and Risk Assurance Committee	The Defence Audit and Risk Assurance Committee is a sub-committee of the Defence Board. It supports the Board and the Permanent Secretary, in their responsibilities for risk control and governance, by reviewing and constructively challenging the adequacy of MOD's risk assurance framework. The Committee 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	The People Committee provides departmental direction, guidance and oversight on all strategic Defence people and training matters to the Chief of Defence People. It is a sub-committee of the Defence Board, providing advice as appropriate and taking decisions on its behalf on strategic People matters. It reports via the Executive Committee to help maintain departmental coherence on cross cutting issues. The Committee is chaired by one of the Defence Board's Non-Executive Board Members, and others members of the Committee include the Permanent Secretary, Chief of the Defence Staff, Vice Chief of the Defence Staff, Chief of Defence People and Director General Finance.	Yes	High level governance records (Selection criteria 2.1)
Chiefs of Staffs Committee	The Chiefs of Staffs Committee is the main forum through which the Chief of the Defence Staff gathers the collective military advice of the Service Chiefs and through which the Chief of the Defence Staff discharges their 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 is the body responsible for running the Royal Navy. Its primary role is to assist the First Sea Lord and Chief of Naval Staff in discharging their executive responsibilities as Head of Service and Royal Navy Top Level Budget holder.	Yes	High level governance records (Selection criteria 2.1)
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 the Chief of the General Staff exercises their command of the Army. The Board dictates the policy required for the Army to function efficiently and meet the aims required by the Defence Council and government.	Yes	High level governance records (Selection criteria 2.1)
Air Force Board Executive	The Air Force Board Executive supports the Chief of the Air Staff in its executive, management and operational advisory roles, and in its position as the professional head of the RAF. The Board is responsible for providing oversight and stewardship of the RAF and provides a mechanism for dealing with Air Force Board business which does not require the direct involvement of Ministers.	Yes	High level governance records (Selection criteria 2.1)

Ministry of Defence and Armed Forces - Records Appraisal Report

<i>Name of committee</i>	Terms of reference	Select? Yes / No	Reasons for selection / non-selection, including comments on the quality of information
Defence Safety and Environment Committee	The Defence Environment and Safety Committee is chaired by the Permanent Secretary and is the principal forum within Defence responsible for the governance of Health, Safety and Environmental Protection. The Committee considers issues and risks across the Department and make Defence safer for its people, those affected by Defence activity, and the environment.	Yes	High level governance records (Selection criteria 2.1)
Defence Delivery Group	The Defence Delivery Group is an executive committee that focuses on strategic delivery performance and issues across MOD. The Group, chaired by Chief of the Defence Staff and Permanent Secretary, shapes and builds understanding of Defence plans and priorities, discusses and agrees the contributions that Group members will have to make to deliver Defence plans and transformation, and holds members collectively to account for their contributions.	Yes	High level governance records (Selection criteria 2.1)
Finance Committee	The Finance Committee, chaired by the Director General Finance, oversees the effective financial management of Defence business in MOD. The Committee reports regularly to Executive Committee (ExCo) and the Defence Board and works alongside other key boards to ensure delivery of a balanced Defence budget and coherent programme.	Yes	High level governance records (Selection criteria 2.1)
Defence Operating Model Board	The Defence Operating Model Board is chaired by the MOD's Chief Operating Officer. It is a formal sub-committee of the Executive Committee and supports the Chief Operating Officer in key decisions affecting the Defence Operating Model, including major changes to internal organisations, responsibilities, business or decision processes, and/or business relationships.	Yes	High level governance records (Selection criteria 2.1)
Transformation Board	The Transformation Board, which is chaired by the MOD's Chief Operating Officer, is a sub-committee of the Executive Committee that directs MOD's Transformation activity.	Yes	High level governance records (Selection criteria 2.1)
Strategy Development Group	The Strategy Development Group is the forum in which the Permanent Secretary and Chief of the Defence Staff shape the Department's approach to issues of strategic importance for Defence and develop advice to the Secretary of State on these matters. The Group formally reports to the Executive Committee and escalates any issues to it for resolution.	Yes	High level governance records (Selection criteria 2.1)
Defence Nuclear Executive Board	The Defence Nuclear Executive Board is the most senior board within MOD that deals exclusively with nuclear-related matters. It is co-chaired by the Permanent Secretary and Vice Chief of the Defence Staff and enables them to oversee and assure the delivery of the Continuous At Sea Deterrent and the Defence Nuclear Enterprise that sustains it on behalf of the Defence Board.	Yes	High level governance records (Selection criteria 2.1)
Joint Commitments Strategic Steering Group	The Joint Commitments Strategic Steering Group assesses the policy demand on the Current Force with available capability and advises Ministers on where best to balance these. The Deputy Chief of the Defence Staff Military Strategy and Operations and the Deputy Chief of the Defence Staff Military Capability co-chair the Joint Commitments Strategic Steering Group.	Yes	High level governance records (Selection criteria 2.1)
Defence Force Development Board	Chaired by the Vice Chief of the Defence Staff, the Defence Force Development Board provides strategic direction and guidance across the full range of Defence Force Development activities.	Yes	High level governance records (Selection criteria 2.1)

Ministry of Defence and Armed Forces - Records Appraisal Report

<i>Name of committee</i>	Terms of reference	Select? Yes / No	Reasons for selection / non-selection, including comments on the quality of information
Joint Requirements Oversight Committee	The Joint Requirements Oversight Committee ensures that the need for a military capability is understood, valid and aligned with other capabilities, and that the capability can be delivered. Chaired by the Vice Chief of the Defence Staff, the Committee assesses programmes before they are presented to the Investment Approvals Committee.	Yes	High level governance records (Selection criteria 2.1)
Defence Technology and Innovation Board	Chaired by the Vice Chief of the Defence Staff, the role of the Defence Technology and Innovation Board is to maximise the benefit that the Department obtains from its Science & Technology and Innovation investments and capabilities, ensuring the Military Commands and the Science & Technology and Innovation communities collaboratively deliver tangible, substantial and innovative benefits for Defence.	Yes	High level governance records (Selection criteria 2.1)
Advisory Committee on Conscientious Objectors	The Advisory Committee on Conscientious Objectors provides advice to 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	The Advisory Group on Military Medicine provides specialist advice to the Department on the medical aspects of defence against chemical, biological and radiological threats.	Yes	High level governance records (Selection criteria 2.1)
Independent Medical Expert Group	The Independent Medical Expert Group advises the Minister for Defence Personnel and Veterans on medical and scientific aspects of Armed Forces Compensation Scheme and related matters.	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 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)
Defence Nuclear Safety Committee	The Defence Nuclear Safety Committee provides advice to the Secretary of State for Defence and senior officials on all safety matters relating to the defence nuclear programme and provides assurance about the soundness of the safety practices and safety management arrangements relevant to the defence nuclear programmes.	Yes	High level governance records (Selection criteria 2.1)
National Employer Advisory Board	The National Employer Advisory Board provides advice to the Department on reservist employment issues.	Yes	High level governance records (Selection criteria 2.1)
Nuclear Research Advisory Council	The Nuclear Research Advisory Council advises MOD on the UK's ability to design, certify, manufacture and support an effective and reliable nuclear stockpile.	Yes	High level governance records (Selection criteria 2.1)

Ministry of Defence and Armed Forces - Records Appraisal Report

Name of committee	Terms of reference	Select? Yes / No	Reasons for selection / non-selection, including comments on the quality of information
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 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, advising the Minister of State for Defence Personnel, Welfare and Veterans and reviewing government initiatives about the veterans' community.	Yes	High level governance records (Selection criteria 2.1)
Defence and Security Media Advisory Committee (DSMA)	The Defence and Security Media Advisory Committee oversees a voluntary code which operates between the Government Departments which have responsibility for national security and the media. It uses the DSMA-Notice (historically known as 'D Notices') System as a means of providing advice and guidance to the media about defence and security information, the publication of which would be damaging to national security. Minutes from this committee are published on the DSMA Notice System website.	NO	information 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
<p>Core Defence activity (Policy, Strategy, Corporate Planning and Corporate Governance) conducted by both Head Office and the Commands to set the direction for and provide guidance enabling MOD to deliver the required Military Capability; and account for and report on Defence activity and spending to Parliament and public.</p>	<ul style="list-style-type: none"> • All records of decisions made in the committees identified in section 3.1 and their subordinate sub-committees and boards. • Command/Corporate Strategic Plans • Annual Assurance Reports • Functional Plans • Portfolio and Programme Plans • Judicial and Investigatory Proceedings • Law Officers' opinion • Courts Martial Records • Records of Proceedings • Boards of Inquiry • Trials of War Criminals • Public Inquires - The records of public inquiries are selected on a case-by-case basis 	<p>Head Office - Defence Council Defence Board Enabling Organisations</p> <p>Ministry of Justice assumed responsibility for any Courts Martial held after 2002.</p>	<p>Statutory requirement and policy development</p>	<p>Contemporary digital records stored in an electronic records management system. Legacy paper records stored in MOD archives managed using an electronic registry.</p>	<p>Yes</p>	<ul style="list-style-type: none"> • Records of policy decisions that had a significant impact on UK or international events and conditions where department was the lead – Selection criteria 1.1. • Records that show the development of primary legislation where department is the lead – Selection criteria 1.2. • Records that show the development of secondary legislation where department was the lead – Selection criteria 1.3. • Records of decisions that affect the way an organisation conducts its core functions – Selection criteria 1.5. • High level governance records – Selection criteria 2.1. • Records of discussions/actions where there was involvement of secretary

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
						of state/minister – Selection criteria 2.6. <ul style="list-style-type: none"> Records reflecting the creation/development of key departmental function/structure – Selection criteria 2.7. Papers cited in or noted as consulted in the preparation of Cabinet Office official histories – Selection criteria 5.2.
	<ul style="list-style-type: none"> National Security Strategy Strategic Defence and Security Review Defence Strategic Direction Defence Plan 	Head Office - Defence Council Defence Board	Statutory requirement and policy development	Digital records stored in an electronic records management system.	Yes	<ul style="list-style-type: none"> Records published on the gov.uk website and are captured fully into the UK government web archive – Selection criteria 6.12.
		International Defence Organisations	Policy development	Digital records stored in an electronic records management system.	No	<ul style="list-style-type: none"> Non public-records – Selection criteria 6.8.
The activities required to deliver (Generate) Military Capability, as required by HM Government, for use on operations.	<ul style="list-style-type: none"> Capability Management Strategy Capability Management Plans Space related policy Military Capability Board decisions Infrastructure Joint Committee decisions International Capability Steering Board decisions 	<ul style="list-style-type: none"> Deputy Chief of the Defence Staff Military Capability Single Service Commands UK Strategic Command DNO 	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"> Records of policy decisions that had a significant impact on UK or international events and conditions where department was the lead – Selection criteria 1.1. Records of decisions that affect the way MOD conducts its core functions – Selection criteria 1.5.

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"> The fulfilment of the objectives in the Military Command's Command Plans Force generation 					<ul style="list-style-type: none"> Records of projects that were particularly innovative, or were significant from the perspective of cost, risk or impact – Selection criteria 1.6. High-level governance records – Selection criteria 2.1. Records that depict Constitutional relationships (e.g. Commonwealth records) - Selection criteria 2.5. Records that need to be retained by law but aren't considered to be of historical value – Selection criteria 6.9.
<p>Conducting Military Operations when required by Ministers where the record describes the wide range of activities that support various parts of Defence in carrying out their business.</p>	<ul style="list-style-type: none"> Operational Records Strategic intelligence reports Nuclear deterrence records Military Aid to the Civil Authorities Support to operations Defence diplomacy and defence sales Conflict prevention Security sector reform Capability building Stabilisation 	<ul style="list-style-type: none"> Single Services Single Service Historic Branches Joint Forces Command Defence Intelligence Defence Equipment and Support 	<p>Operational and Administrative records to support:</p> <ul style="list-style-type: none"> MOD decision making The development of operational capability Lessons processes Legal disclosure activity 	<p>Hybrid, but mainly digital records. Stored in monthly volumes.</p>	<p>Yes</p>	<ul style="list-style-type: none"> Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead – Selection criteria 1.1. Records of significant events which lead to a change in policy or set a precedent – Selection Criteria 4.2.

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"> • Solely foreign owned or created (NATO, United Nations and other) records • Captain's Ship's Books 	<ul style="list-style-type: none"> • International Defence Organisations • Single Services 			No	<ul style="list-style-type: none"> • Records where the MOD is not the lead – Selection criteria 6.4. • Records/information captured elsewhere or already preserved at The National Archives – Selection Criteria 6.7.
<p>The wide range of Enable activities that support various parts of Defence in carrying out their business and sets the corporate framework of policies, rules and standards for Defence and provides or commissions the delivery of corporate services</p>	<ul style="list-style-type: none"> • Costing of equipment, services and commodities • Provision of logistic support to current operations • Defence commercial and industrial policy • Inventions, patents, and Intellectual and Industrial Property Rights records • Technical, scientific and medical research and developments • Scientific advice and analysis • Science and technology programme budget and accounts • Infrastructure projects • Major office building and improvement (design and execution projects) 	<ul style="list-style-type: none"> • Defence Equipment and Support • Defence Business Services • Defence Infrastructure Organisation • Chief Scientific Adviser • Defence Science and Technology Laboratory • Defence Digital 	<p>Administrative records to support the acquisition of equipment and the subsequent provision of logistic support.</p> <p>Administrative records to support the delivery of corporate services and specialist records relating to land/environmental responsibilities.</p> <p>Administrative military personnel casework records that cover an individual's employment history, health, welfare, etc. and support various parts of Defence in carrying out its business.</p>	<p>Digital records stored in an electronic records management system.</p> <p>Geospatial Information Systems / Computer-aided design [CAD] software</p>	Yes	<ul style="list-style-type: none"> • Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead – Selection criteria 1.1. • Records of decisions that affect the way MOD conducts its core functions – Selection criteria 1.5. • High level governance records – Selection criteria 2.1. • Records of tribunals, commissions, inquiries or inquests that were of particular public interest or had a significant impact on policy or process – Selection criteria 2.4. • Aggregated data (e.g. Case files) which provides extensive

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"> • Rationalisation and disposal of the government estate • Management and use of the defence estate strategic asset management and programming • Operations (working with industry to deliver infrastructure services) • Pre- 31 December 1963 discharge Military service personnel records • Honours, awards and medals policy • Defence Information Strategies • Digital and information technologies strategies • Defence Information and Records Management Policies 					<p>information on individuals or groups – Selection criteria 3.1.</p> <ul style="list-style-type: none"> • 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 – Selection criteria 3.2. • 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] – Selection criteria 4.1 • Key summary of records of UK Crown responsibilities (property and major assets) – Selection criteria 4.3.
	<ul style="list-style-type: none"> • Civilian personnel records • Finance and other administrative records 	<ul style="list-style-type: none"> • Defence Business Services 	Administrative records to support various parts of Defence in carrying out their business.	Generally digital records stored in an electronic records management system or dedicated HR systems. However military and civilian service personnel records created prior to	No	<ul style="list-style-type: none"> • Operational or administrative records – Selection criteria 6.3. • Public correspondence – Selection criteria 6.11.

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
				1987 are predominately paper in format.		
	<ul style="list-style-type: none"> • Annual qualifying Defence Contracts Statistics • Allowable Costs guidance • SSRO profit rate • Strategic requirement for the MOD Police • MDP Policies • SDA Framework document • DECA Annual reports and accounts • Defence Safety Authority Annual assurance reports and Codes of Practice • Oil & Pipelines Agency Framework document 	<ul style="list-style-type: none"> • Single Source Regulations Office • Ministry of Defence Police • Submarine Delivery Agency • Defence Electronics Components Agency • Defence Safety Authority • Oil & Pipelines Agency 				<ul style="list-style-type: none"> • Records published on a departmental website – Selection criteria 6.12.

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.	Yes	<ul style="list-style-type: none"> • Selection of maps and plans will be determined by Defence Geographic Centre.
Mapping	Defence Infrastructure Organisation (previously Defence Estates)	Digital	Geographic Information Systems / CAD Due to operational tempo, it is not possible to determine the volume generated each year with any accuracy.	Yes	<ul style="list-style-type: none"> • Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead – Selection criteria 1.1. • Records which document the impact of policies/proposals on the natural environment – Selection criteria 4.1.
				No	<ul style="list-style-type: none"> • Copies and those published in publications and on the departmental website – Selection criterion 6.1, 6.5 and 6.12.

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 and digital	Due to operational tempo, it is not possible to determine the volume generated each year with any accuracy.	Yes	<ul style="list-style-type: none"> Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead – Selection criteria 1.1. Records which document the impact of policies/proposals on the natural environment – Selection criteria 4.1.
				No	<ul style="list-style-type: none"> Copies and those published in publications and on the departmental website – Selection criterion 6.1, 6.5 and 6.12.

3.4 Publications

- 3.4.1 As part of the Government's Transparency agenda, MOD has made a number of its unpublished publications available on the GOV.UK website. Published publications will be captured by The National Archives and kept in the UK Government Web Archive (Selection criteria 6.12).

3.5 Scientific records

- 3.5.1 Records in this category include the records of organisations 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 in MOD's archive facilities until their disposition is determined (see section 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. 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, 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 their scientists working on rapid-test systems during the 2020 Covid-19 pandemic and the 2018 Novichok nerve agent attack in Salisbury, or special projects such as the 2012 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 or other government departments (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 Dstl's knowledge base. 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 criterion 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 Dstl's Intellectual Property Rights (except [copyright](#)) are held in the name of the Secretary of State for Defence under the administrative and managerial control of Dstl. MOD will track and audit the retention of material identified in section 3.5.4.
- 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 but 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.
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.

Ministry of Defence and Armed Forces - Records Appraisal Report

Year	Description	Selection Criteria
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 overstressing 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.
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.

Ministry of Defence and Armed Forces - Records Appraisal Report

Year	Description	Selection Criteria
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.
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.

Ministry of Defence and Armed Forces - Records Appraisal Report

Year	Description	Selection Criteria
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.
2011 - 12	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. As part of this Reform, 2012 saw the many duties of the two Permanent Under Secretaries being taken on by a single Permanent Secretary	2.7 – Records reflecting the creation / development of key departmental function/structure.
2015	The National Security Strategy and Strategic Defence and Security Review 2015 set out plans to tackle the threat of extremism and state aggression. It identified four key threats to the UK and the capabilities required to address them. It also looked to strengthen the procurement and in-service support of nuclear-powered submarines by setting up a new delivery organisation to manage the UK's submarine Programme	2.7 – Records reflecting the creation / development of key departmental function/structure.
2017	The National Security Council commissioned a focused National Security Capability Review (NSCR) to identify how UK could develop, deliver and deploy its considerable national security capabilities to maximum collective effect. A new national security doctrine, the Fusion Doctrine, was used to build on the creation and early years of the NSC, embed the lessons from The Report of the Iraq Inquiry ('the Chilcot report') and support a whole-of-government approach to national security. The Fusion Doctrine created a more accountable system to support collective Cabinet decision-making, with the introduction of senior officials as senior responsible owners to deliver each of the NSC's priorities.	2.7 – Records reflecting the creation / development of key departmental function/structure.
2018	Changes to the international security environment, led to the 2018 National Security Capability Review and the Modernising Defence Programme. The Modernising Defence Programme described the intent to invest significant sums to improve readiness and availability of key Defence platforms; set out a vision for further adaptation and modernisation; and described how Defence was to transform significantly.	2.7 – Records reflecting the creation / development of key departmental function/structure.
2020	MOD's contribution towards the provision of Military Aid to Civil Authorities (MACA) in support of the Government's response to the Corona virus disease 2019 (COVID-19) outbreak.	1.1 – Records of policy decisions that had a significant impact on UK or international events and conditions where MOD was the lead department.

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 15](#), [OSP 17](#) or [OSP 38](#). Civilian personnel records will not be selected for permanent preservation (Selection criteria 6.3).

Ministry of Defence and Armed Forces - Records Appraisal Report

3.7.2 Surviving Service Personnel records for those discharged up to and including to 31 December 1963 (i.e. the end of National Service), e.g. WW1, interwar, WW2 and other administrative records from this era (such as RAF Casualty Packs and Prisoner of War Cards) will be selected for transfer to The National Archives (Selection criteria 3.1). The Ministry of Defence and The National Archives will consider the selection and disposition of post-1963 Service Personnel records 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 were 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 high-level policy records relating to discipline and justice in the main military services: Royal Navy, Army and Royal Air Force.

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

4.2.1 The UK Hydrographic Office, AWE 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 in detail, 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. 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

1	The principal policies and actions of UK government
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)
2	The structures and decision-making process in government
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
3	The state's interaction with the lives of its citizens
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
4	The state's interaction with the physical environment
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)
5	Records that should always be selected
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
6	Records that should not be selected
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, 10
 Public Records Act, 44
Advisory non-departmental public bodies, 7
Armed Forces, 2, 4, 7, 8, 10, 11, 13, 14, 21, 26, 38
Army, 4, 7, 10, 14, 21, 23, 24, 39, 42
Atomic Weapons Establishment, 5
 Atomic Weapons Research Establishment, 11
 AWE, 21

C

Core Functions, 18

D

Defence Board, 4, 14, 15, 19, 23, 24, 28
Defence Business Services
 DBS, 6
Defence Council, 4, 14, 19, 23
Defence Digital, 6
Defence Equipment & Support
 DE&S, 6
Defence Industrial Strategy, 12
Defence Nuclear Organisation
 DNO, 6
Defence Reform, 12

E

Executive Agencies
 Defence Science and Technology Laboratory, 12, 31, 36, 42
 Dstl, 36
Executive Committee
 ExCo, 4, 14, 15, 23, 24, 25
Executive non-departmental public bodies, 7

F

Fusion Doctrine, 12, 40

H

Head Office, 4, 6, 9, 10, 11, 12, 13, 15, 17, 28, 29, 36

History, 3, 10

J

JSP 441, 4, 17

M

Ministry of Defence, 2, 4, 6, 10, 11, 23
 MOD, 3, 4, 6, 7, 8, 9, 10, 11, 16, 17, 18, 19, 20, 21, 22, 23, 29,
 30, 31, 34, 35, 36, 37, 38, 39, 40, 42
Modernising Defence Programme, 13, 40

N

National Security Council, 9, 13, 23
National Security Strategy
 NSS, 9, 12, 13, 29, 40
NATO, 11, 17, 38

O

Operational Selection Policy, 19, 21, 42
 OSP, 40, 42, 43

R

Royal Air Force, 7, 9, 14, 21, 42
Royal Navy, 7, 8, 14, 23, 24, 42

S

Strategic Defence and Security Review, 12, 40
 SDR, 39
 SDSR, 14
 Strategic Defence Review, 12, 39

T

The National Archives, 4, 16, 17, 18, 36, 44
Top Level Budget, 11, 24
 Defence Infrastructure Organisation, 31, 34, 42
 Joint Forces Command, 29, 30