

CHAPTER 66
OFFICER PROMOTIONS

POINT OF CONTACT - PART 8

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CHAPTER 66

OFFICER PROMOTIONS

Reference: Promotions DIN released annually in March/April

SECTION 1 - INTRODUCTION

6601. The Promotion System

The officer promotion system is controlled centrally, relies on objective reporting over an individual's career to allow consideration for progressive promotion, and has many safeguards. A promotion system is necessary to ensure that:

- a. Personnel of the appropriate quality are assigned to positions of responsibility.
- b. High-quality recruits to the Naval Service are attracted and retained.
- c. A fair chance of promotion in the Service is given, and is seen as being given, to those concerned.

6602. Promotion Types

In the initial stages of an officer's career, automatic, non-selective, substantive promotion is used to ensure proper remuneration tied to rank and length of service or seniority in the rank. Selective substantive promotion is used thereafter as responsibilities increase, based on open zones which enable outstanding officers to achieve very rapid progress but which also allow for experienced officers to be promoted later at each rank. The selection process is formal, objective and thorough. Timed substantive promotion to Lieutenant Commander is granted to Lieutenants (and equivalent) who were entitled before the introduction of the Three Tier Commission (3TC) and to Surgeon Lieutenants and Surgeon Lieutenants (D) following the introduction of Common Terms of Service (CTOS) in April 2003.

6603. Non-Substantive Promotion

This is available to Career Managers as a short-term palliative to meet a Service requirement that cannot be satisfied by substantive means. There are two types of non-substantive promotion, as briefly outlined below.

- a. **Acting Higher Rank (AHR).** This may be used to fulfil short-term Service requirements which cannot be met by those who already hold the substantive rank or for those who have been selected for it competitively and are required to serve in the AHR until the effective date of substantive promotion (see [Para 6620](#)). Award of the AHR attracts the pay of the higher rank. Personnel must be in date for the Royal Navy Fitness Test (RNFT) to be awarded the AHR.
- b. **Local Rank.** Granted occasionally for representational or traditional purposes. Local rank may be higher or lower than substantive rank, and pay remains at the substantive rank level.

6604. Substantive Promotion.

There are three types of substantive promotion:

- a. **Selective.** Selective promotions are competitive within each branch at each rank, across defined zones of seniority (see [Annex 66B](#)).

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- b. **Non-selective.** Non-selective promotions are automatic, based on seniority in the rank and/or time in service, and satisfactory performance. (See [Section 3](#), starting at [Para 6627](#))

- c. **Exceptional.** A mechanism exists for out-of-zone promotions to Lieutenant Commander, Commander, Captain and Commodore and equivalents (see [Para 6607](#)).

SECTION 2 - SELECTIVE PROMOTION

6605. Introduction

The common principles covering the selection process for all promotions are detailed below. Specific instructions for selective promotion to Flag, General, 1 Star and Captain/Colonel rank, the selection of Chaplain of the Fleet and Principal Chaplains, Full Term Commission (Aviator) officers, and Medical, Dental, Medical Services and QARNNS officers and Reserves officers can be found at [Annex 66A](#).

6606. Zones for Promotion

- a. Details on zones for selective promotion up to and including substantive 2 Star rank can be found at [Annex 66B](#)
- b. In-zone officers not recommended for promotion, temporarily physically or medically unfit, or awaiting Court Martial or other disciplinary proceedings will be considered by Selection Boards but, if selected, their promotion may be deferred or cancelled depending upon the outcome of the prevailing circumstances. However, since 1 Jan 08, the possession of an in-date RNFT certificate has been a mandatory requirement of selection for promotion unless the candidate holds an approved permanent or pregnancy/maternity waiver, or a temporary operational/medical extension or waiver.

6607. Selective Promotion Out of Zone

Promotion Selection Boards will consider, very exceptionally, any Captain/Colonel, Commander/Lieutenant Colonel, Lieutenant Commander/Major or Lieutenant/Captain who, although above or below the zone, is recommended by the Commanding Officer as being especially worthy of out of zone promotion. A "SPECIAL" OJAR is to be raised for officers so recommended and supported by the appropriate intermediate authorities. The completed OJAR is to be forwarded to the Assistant Chief of Naval Staff/Naval Secretary with a covering letter signed by the Departmental Navy Board Member setting out the background and reasoning why the officer should be considered out of turn, who will instruct the Deputy Assistant Chief of Staff Promotions (DACOS (Prom)) accordingly. If the application is successful, the officer will be placed before the next relevant annual Promotion Board and will compete against the other candidates presented to the Board. Should the officer be selected, then the promotion will be confirmed at the Common Promotion Date (CPD) provided the officer meets the required criteria at [Para 6622](#).

6608. Notification at Zone Exit

- a. Following their final in-zone Selection Board, all officers will receive a personal letter stating whether or not they have been selected for promotion. This letter will be despatched from Naval Secretary's Department in advance of the announcement date.
- b. Letters will be sent to officers' present assignments. Officers who wish letters to be sent to another address (e.g. home address) are to inform their Career Manager at least three weeks prior to the formal announcement.
- c. Officers on commissions other than a Full Term Commission/Full Career Commission/Full Commission or RNR/RMR officers who are not selected for promotion at their last opportunity will, if subsequently transferred to a longer commission, become eligible again for consideration providing they fall within the appropriate new promotion zone. This does not apply to those on extensions of service on their current commissions.

6609. Promotion Requirement

a. Promotion Boards are required to select suitable officers for promotion primarily on the basis of merit (see [Para 6508](#)) subject to the defined numerical, branch and specialisation, and promotion years targets (see [Para 6609 sub para d](#)) set annually for each rank and branch. Competition within each branch is across the whole of the zone and not confined to peer-groups of similar seniority and background. Profiles of seniority on promotion will vary according to rank and zone length, but in general there will be small numbers at the extremes, and a gradual rise and fall around the mid-zone.

b. Smoothed Promotion to Requirement (SPR) was introduced on 1 Apr 99 to cater for the officers' 3TC structure and to provide a means of reacting swiftly to the predominantly short-notice changes to the manpower requirement for each rank. Promotion targets, in the form of Maximum Authorised Numbers (MAUN), are based on the Planning Liability (see [Para 0304](#)), and fluctuations are smoothed over a rolling 3-5 year period. The aim is to give some predictability and to maintain as steady a flow as possible into the higher ranks.

c. Board members are informed of the MAUN by branch and in some cases specialisation. However, Promotion Boards are not obliged to select the number authorised if there are insufficient candidates of the required quality. Where there are additional mandated specialisation, structural and/or reserved rights requirements, selections are required to be made on merit from the list of A-graded candidates (see [Para 6610](#)) only. If the quality is such that the board is unable to satisfy the definitive requirement, the Senior Board Adviser (see [Para 6616 sub para c](#)) will be consulted before a decision is taken.

d. The branch structural requirement, where appropriate, will be expressed in "promotion years" form to ensure steady flow and maintain career expectations. For each individual, promotion years represents the period from the effective date of promotion until retirement assuming no further rank progression. Boards will be advised of the maximum permitted or average "promotion years" target for each rank and branch. Once the numerical and specialist targets have been satisfied, the board will consider the promotion years' target and adjust their selections as necessary.

6610. Promotion Categories

The following promotion definitions are used during the promotions process:

a. **A** Officers who, in comparison with others of their branch and rank:

(1) Are ready in all respects for substantive promotion and broad employment this time;

(2) Or (for promotion to OF5 and OF6) are nearing retirement and are considered worthy of promotion and employment in their stated deep specialist field only, this time, should the opportunity arise (see [Annex 66A Para 3 sub para d](#)).

b. **B+** Officers who, in comparison with others of their branch and rank, do not justify promotion this time but who stand every possibility, on current reporting, of being assessed **A** at the next board.

- c. **B** Officers who, in comparison with others of their branch and rank, do not justify promotion this time but who are judged to have the potential to become serious contenders for promotion in the next two years.
- d. **C** Officers who are not currently showing the potential for promotion in the next two years.

6611. Promotion Guidelines

- a. Officers are considered for promotion on the basis of their whole record and Selection Boards are not bound to accept the recommendation of a current reporting officer. If any candidate receives less than a YES recommendation for promotion, the board is free to select that officer if they feel that other considerations outweigh the recommendation. If the recommendation is IK the board will base its judgement on earlier reports; in this way no officer is unfairly treated because of discontinuity of reporting. It also avoids unlawful discrimination against females who have taken maternity leave. However, under no circumstances will the board upgrade an officer to **A** who clearly does not merit promotion.
- b. Officers assigned to NATO/EU staffs, exchange assignments and those on secondment may well only be reported on by Foreign and Commonwealth officers or private sector civilians, many of whom are not familiar with the naval reporting system. Experience of non-UK service and non-MOD civilian reporting officers is that they do not always focus on the attributes of specific interest to Selection Boards, nor do they always follow the guidance on reporting provided. Furthermore, the fact that some of these assignments are high profile, politically sensitive and demanding may not be represented adequately by reporting officers. Board members will consider carefully the weight they give to these reports.

6612. Convictions for Offences and Censures

- a. **Discrimination.** The fact that officers have been convicted of offences or awarded censures is recorded in promotion files until they are “spent” in accordance with the Rehabilitation of Offenders Act 1974 (ROA74) and MOD policy. Board members are required not to discriminate unlawfully against candidates, in accordance with MOD Diversity and Inclusion policy (see [Chapter 30](#)).
- b. **Offences.** Sentences passed by Service and civilian courts are subject to statutory and MOD-directed rehabilitation periods. The general purpose of the ROA74 and MOD policy is to enable all but the most serious criminal offender to live down their criminal record after a specified time. Convictions by civilian courts, courts martial and, in some cases summary trials, are recorded in promotion files, as are the dates on which they will be spent. Once spent, references to offences are expunged from promotion files by the Officer Promotions Section.
- c. **Censures.** Censures may be awarded either as a Naval penalty following conviction by a civilian court or by Higher Authorities in circumstances which do not warrant criminal or disciplinary proceedings or sanctions. They are recorded in promotion files together with the dates on which they will be spent. Censures awarded as a Naval penalty will be spent after the statutory or MOD-directed rehabilitation period has elapsed. All other censures will be spent after five years or earlier if so directed by the Higher Authority awarding the censure. Once spent, references to censures are expunged from promotion and archived files by the Promotions Section.

d. **Diversity and Inclusion.** Board members are also required to give due consideration and weight to comments within appraisal reports that indicate any failings in officers' attitude towards the principles and practices of diversity and inclusion. Any indication that performance has fallen short in this area will not be regarded lightly (see [Chapter 30](#)).

6613. Promotion Documentation

All Selection Boards will be provided with the following documentation on all candidates who will be within the promotion zone on the appropriate effective dates of promotion, along with any officers who have been recommended for over- or under-zone promotion:

a. **Official Record.** The Official Record, often referred to as the promotion file, is a folder containing all ARs and other reports and admissible documentation on an officer written during a specified period for consideration by promotion boards.

b. **Curriculum Vitae (CV).** The CV, a standard print taken from JPA and legacy NMMIS data immediately prior to the Selection Board, is included in the Official Record. In addition to key personal data, it contains the officer's rank and assigning history, academic and professional qualifications including staff training completed.

c. **Profile Sheet.** A Profile Sheet accompanies every Official Record and provides a historical record of the Annual Reports raised on the officer through their career, and catalogues the assessments awarded and recommendations for promotion given on each, and the vote awarded by the last Selection Board.

6614. Promotion Selection Process

a. For promotions to Commander/Lieutenant Colonel and above, there are normally two formal promotion Selection Boards for each rank and branch:

(1) *Preliminary Selection Board (PSB).* PSB members read, independently, the promotion files (see [Para 6617](#)) of all candidates and vote independently on each candidate's potential for promotion (see [Para 6618](#)). In session and following discussion, each officer is awarded an assessment based upon the corporate view of the PSB. The list of officers graded **A** is forwarded to the FSB in seniority order for promotion to Commander/Lieutenant Colonel and merit order for promotion to Captain/Colonel and above; the remainder, voted **B+**, **B** and **C** are listed for the record in seniority order.

(2) *Final Selection Board (FSB).* Conducting its business solely in session, the FSB read the promotion files of all candidates graded **A** by the PSB and vote on each candidate's potential for promotion. Having generated an initial Order of Merit (OOM) and considered the detailed promotion requirement (see [Para 6609](#)), the FSB select the required number of officers of the desired quality for promotion.

b. **APB.** For promotions to Lieutenant Commander/Major, a single Annual Promotion Board (APB) only is convened for each branch whose tasks are an amalgam of those of the PSB and FSB.

c. **Pre-Board Review (PBR).** For Warfare and Engineering branch promotions to Lieutenant Commander, Commander and Captain, a PBR of all eligible candidates is carried out. The purpose of the PBR is to reduce the pre-reading load on the APBs and the PSBs, and the baseline for the PBR is the final outcome of the previous year's APB and FSB as appropriate, at which time all candidates were awarded an **A**, **B+**, **B** or **C** grading.

d. The PBRs are carried out by the Branch Secretaries (in the CNPers Promotions Section), whose task is to take the previous year's APB or FSB final statement, review the files of all in-zone officers and recommend (List 1) the required number of candidates, approximately five times the promotion target, for consideration by the APB or PSB. Those candidates appearing before the board for the last time, who do not make List 1, will be separately identified and read by the PSB. In the event that the number of eligible candidates precludes the achievement of five times the MAUN, the size of List 1 will be adjusted to capture all candidates likely to be graded **A**, **B+**, **B** and **C** by the PSB.

e. Those candidates not recommended for consideration by the PSB will appear as List 2 and are likely to be those for whom there are insufficient reports available to assess the true potential of the candidate, those not yet recommended for promotion and those not yet sufficiently professionally qualified or broadened. The PSB members will then each audit 25% of List 2 and call forward, and collectively read and discuss in-session the files of those they consider may be worthy of a higher than **C** grade.

f. Because of their much smaller branch/corps size, the PBR process is not part of the promotions process for Logistics, Royal Marines, Medical, Dental, Medical Services, QARNNS Officers and the Maritime Reserves.

6615. Promotion Board Members

a. Branch Promotion Boards are convened to select officers for promotion to Lieutenant Commander/Major, Commander/Lieutenant Colonel and Captain/Colonel. They consist of four members, one of whom is a non-branch member. For promotion to 1 Star and 2 Star rank, cross-branch boards are convened. For board membership, the rule of thumb for PSBs is two ranks up on the rank being considered for the Chairman and one rank up for the branch and non-branch members. For APBs and FSBs, it is three ranks and two ranks up respectively.

b. DACOS (Prom) is responsible for assigning board members and this is done in accordance with instructions approved by the Navy Board. The requirements for each rank and branch are specific and it is also DACOS (Prom)'s duty to make sure the spread of expertise is such that each arm and specialisation is adequately represented.

Table 66-1. Promotion Board Membership

Promotion Board		APB Membership
Lt RN/Capt RM to Lt Cdr/Maj		Chair: Branch Capt/Col Branch NCM Cdr/Lt Col Branch Cdr/Lt Col Non-Branch Cdr/Lt Col Sec: PROMBS
	PSB Membership	FSB Membership
Lt Cdr/Maj to Cdr/Lt Col	Chair: Branch Capt/Col Branch NCM Cdr/Lt Col Branch Cdr/Lt Col Non-Branch Cdr/Lt Col Sec: PROMBS	Chair: Branch 1 Star Branch Capt/Col Branch Capt/Col Non-Branch Capt/Col Sec: PROMBS
Cdr/Lt Col to Capt RN/Col	Chair: Branch 1 Star Branch NPT Leader Branch Capt/Col Non-Branch Capt/Col Sec: PROMBS	Chair: NAVB member ACNS(Pers)/NavSec Branch CNO 2 Star or 1 Star Sec: PROMBS
Capt RN/Col to Cdre/Brig	Chair: ACNS(Pers)/NavSec Cdre X Cdre E Cdre L Brig RM Sec: DACOS (Prom)	Chair: CNS/1SL NAVB members Branch CNOs Sec: ACNS(Pers)/NavSec
Cdre/Brig to RAdm/Maj Gen	Chair: VAdm X RAdm X RAdm E RAdm L MGen RM Sec: ACNS(Pers)/NavSec	Chair: CNS/1SL NAVB members Branch CNOs Sec: ACNS(Pers)/NavSec

6616. Promotion Board Advisers

a. The appropriate Branch Career Manager will act as the Board Adviser. Their role is to provide an initial briefing to cover: the promotion target and any branch and specialisation considerations defined in the detailed promotion requirement (see [Para 6609](#)); relevant assigning factors such as continuity of reporting; further advice on reserved rights issues and the career management perspective.

b. There is a fine balance to be achieved between expecting Board Advisers to be present throughout FSBs, and APBs if not already there by right, to discharge these duties and gain the necessary background to fulfil their downstream responsibilities for career management and interviews, whilst maintaining the desired separation between promotion and assigning functions. However, rather than legislate on this issue, Naval Secretary has directed that Board Advisers' appearances, while at the discretion of the Board Chairman, should be sufficient for them to discharge their career management function.

c. Hitherto the Boards have not required a great deal of branch structural advice due to the relative simplicity of the MAUN target. The future will be different insofar as there are more likely to be conflicts between selecting candidates purely on merit and satisfying mandated structural guidelines (and therefore a greater call on the Board Advisers). To meet this increased challenge and mindful of the likely difficulties that some boards will have balancing the requirements specified, CNPers is the Senior Board Adviser and appointed representative of the joint view of CNPS (Officer Planning and Branch Requirement) and CNPers (Career Management) at all Boards on an 'as required' basis.

6617. Promotion Board Records

a. On completion of the PSB, the Branch Secretary will prepare a closing statement for signature by the Chairman. This document will contain the name, initials, branch and specialisation of the candidates graded A, B+, B and C who will be listed in seniority order; also included will be the names of the candidates appearing before and read by the Board for the last time. The closing statement will include confirmation that the Board was conducted in accordance with the Board Instructions and the 2010 Equalities Act. Once completed and signed, the Branch Secretary will forward it to DACOS (Prom) for action and retention as the formal historical record of the board.

b. On completion of the APB and FSB, the Branch Secretary will prepare a closing statement for signature by the Chairman. This document will contain the name, initials, branch and specialisation of the officers selected and A graded officers not selected in seniority order. Once completed and signed, the Branch Secretary will forward it to DACOS (Prom) for action and retention as the formal historical record of the Board.

6618. Data Protection Act (DPA) and Selective Promotion Boards

The data contained in the historical record of the Board and any other information generated during the Board process as it affects an individual is disclosable under the DPA, but only after the announcement of the promotion selections has been made. Given that the Board's decision is a corporate one and that minutes of the proceedings are not taken, it follows that individual board members' votes and personal notes may not be truly representative of the final outcome. It is for this reason that the Branch Secretary destroys all records and data other than the closing statements signed by the PSB, APB and FSB Chairmen. (Also see DPA at Bookmark.)

6619. Promulgation

Provisional selective promotions are announced on the RN Intranet website on dates promulgated in the annual promotions, transfers and command selections DIN. Following the announcement, they are released to the media for publication in newspapers and on the world-wide web. Non-selective promotions are not normally announced but a warning notice will be promulgated on the RN Intranet two months before the promotion date. Selections for substantive promotion to Surgeon Commander, Surgeon Commander (D), Commander MS and QA, Commander RNR, Lieutenant Colonel RMR, Captain, Colonel, Surgeon Captain, Surgeon Captain (D), Captain MS and QA, and Commodore and Brigadier are announced on the RN Intranet on the last Thursday of each month and released to the media at the same time once the individual and selected senior officers have been told. Promotions to Flag and General rank are released to the media once the individual and selected senior officers have been told. All selective and non-selective promotions are confirmed in the London Gazette.

6620. Effective Dates of Promotion

- a. Annual selective promotions will be effective as follows:
- (1) To Lieutenant Commander and Major - on 1 October.
 - (2) To Commander and Lieutenant Colonel - on 30 June of the year following the announcement signal.
 - (3) To Captain, Colonel, Commodore and Brigadier – on taking up assignment in the higher rank.
 - (4) To Commander, Captain and Commodore in the Medical, Dental, Medical Services, QARNNS branches and the Maritime Reserves - on taking up assignment in the higher rank.
 - (5) To 2 Star rank and above - as determined by the Naval Secretary in consultation with the First Sea Lord.
- b. The December promotion date for all officers of the ranks of Lieutenant Commander, Major, Commander, Lieutenant Colonel, Captain and Colonel was removed in 2000. Since 2001, no officer selected for promotion from these ranks has had a last promotion opportunity in December. To ensure that no officer is disadvantaged, those with a seniority prior to 1 Jul 01 (excluding Medical, Dental and QARNNS officers) and who would have had a last opportunity of promotion in December, will continue to be considered with those being considered for substantive promotion for the last time in the following June.

6621. Provisional Selection

The procedure for provisional selection and promotion to Commander and Lieutenant Commander (and RM equivalents) is designed to increase efficiency by allowing properly planned assignments. This aim will normally be met by timing the assignments of provisionally selected officers to posts complemented for the higher rank to take effect as closely as possible to the due day for confirmation of their promotion. Should circumstances arise that make it necessary to assign an officer to a post complemented for the higher rank before confirmation of the promotion, the grant of AHR will be decided by Naval Secretary at the time the assignment is made, and will not depend on representations being made by the officer or any administrative authority.

6622. Confirmation of Selective Promotion

Confirmation of selective promotion is subject to continued eligibility, for which officers selected must:

- a. Continue to be recommended for promotion. This will be assumed unless an adverse 'SPECIAL' Report is raised and received in Naval Secretary's Department before the effective date of promotion.
- b. Not have requested Early Termination.
- c. Not be awaiting medical review (see [Para 6625](#)). Eligibility in each case will be decided on its merit.

- d. Be certified for the Royal Naval Fitness Test (RNFT) on the effective date of promotion or in possession of an approved waiver (see Para 6626 [sub para f](#)).
- e. Not be awaiting Court Martial or other disciplinary proceedings. Eligibility in each case will be decided on its merit.

6623. Career Breaks and Unpaid Leave

Career breaks and unpaid leave will cause seniority to be adjusted by the period of that leave and can, therefore, affect zone entry. Once in zone, officers on unpaid leave will continue to be considered for promotion. RNR officers on List 6 are not eligible for promotion.

6624. Early Termination

In-zone officers whose applications for Early Termination have been received by their Career Manager become ineligible for further consideration for selective promotion from the date of their application. If, subsequently, the request for Early Termination is withdrawn (and approved) or if officers re-enter the Naval Service, and they are still within the appropriate promotion zone, they will be considered at their next opportunity.

6625. Medical Fitness

Officers who are medically downgraded, and those who are likely to be categorised as permanently unfit for sea service or be restricted otherwise medically in the future, will normally remain eligible for selective and non-selective promotion. In view of the differing circumstances of each case, at the time an officer's medical category is first permanently reduced by the Naval Service Medical Board of Survey (NSMBOS), a formal review will be conducted by the Naval Service Medical Employability Board (NSMEB) (see [Chapter 28](#)) to determine whether or not the officer can be retained and further employed in the Service. This review will take account of age, past experience, seniority, the nature and extent of the disability and the types of assignment for which the officer might be required in the current rank, and higher ranks if selected for promotion. During this process and prior to a decision being made, the officer will be informed if, and to what extent, the reduced medical category will restrict the officer's chances of being selected for promotion. Unless they are ineligible to be considered for promotion by being under or over-zone, such officers who are retained in the Service should be reported on in the same way and on the same occasions as other officers.

6626. Physical Fitness

- a. **Selective Substantive Promotion.** In order to be considered for promotion by Boards, officers need to be recorded as in date RNFT on JPA on the appropriate Common Reporting Date or recorded as issued with a waiver or extension (see [Para 2910](#)). Officers lacking RNFT certification will not have their reports considered by Promotion Boards. Having been selected, officers also need to be in date RNFT or in possession of a valid RNFT certificate or a waiver (permanent or pregnancy/maternity) on the effective date of promotion.
- b. **Non-Selective Substantive Promotion.** Officers entitled to non-selective promotion on a date determined by their seniority and/or qualifications will not be promoted unless they are recorded as in date for RNFT on JPA or recorded as issued with a waiver (permanent or pregnancy/maternity) on the Common Reporting Date.
- c. **Acting and Local Higher Rank.** Officers identified for assignments in the acting or local higher rank (AHR/LHR) will not be awarded the higher rank unless they are in possession of a valid RNFT certificate or a waiver (permanent, pregnancy/maternity or temporary) on the date of assignment in the higher rank.

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d. **Effective Date of Promotion Following Lack of RNFT Certification.** The following promotion rules apply to officers not in possession of a valid RNFT certificate on the date due promotion:

(1) Officers not in possession of a valid RNFT certificate but who have been granted a permanent or pregnancy/maternity waiver will be promoted substantively on the due date.

(2) Officers not in possession of a valid RNFT certificate or an approved temporary extension will be promoted with seniority and pay adjusted to the date of passing the RNFT.

(3) Officers not in possession of a valid RNFT certificate but in possession of an approved temporary extension will be promoted with seniority and pay backdated to the due date of promotion if they subsequently pass the RNFT on or before the date specified on the temporary extension. If they fail to pass the RNFT by the date specified on the temporary extension, their promotion, seniority and pay will be delayed until the date of passing the RNFT.

(4) Officers not in possession of a valid RNFT certificate, but in possession of an approved temporary waiver on the due date of promotion granted exceptionally, will be awarded AHR/LHR and be required to pass the RNFT by the date specified on the temporary waiver. If by that date they have not passed the RNFT, they will be required to relinquish the AHR/LHR unless overwhelming Service reasons subsist.

(5) Officers not in possession of a valid RNFT certificate or an approved waiver/extension on the due date of promotion will be promoted with seniority and pay adjusted to the day after the date of passing the RNFT.

e. **Application for Permanent Waivers.** Permanent waivers arising from the NSMBOS and NSMEB (see [Para 2910](#)) will be issued automatically by the NSMEB.

f. **Application for Temporary Extensions (Medical) or (Operational).** Applications for a temporary extension are to be made by letter to the individual's Commanding Officer. They should provide clear evidence why the officer will be unable to take the RNFT in time for their due promotion date. Temporary extensions are normally valid for three months from the date of issue. Officers in possession of a temporary extension are expected to take and pass the RNFT by the date stated; those prevented from doing so due to circumstances beyond their control may be granted a further extension by the Commanding Officer. Each extension must be justified in the form of written evidence provided by the applicant to the applicant's Commanding Officer.

SECTION 3 - NON-SELECTIVE PROMOTION

6627. Introduction

The timing of non-selective promotion is decided by seniority, service or completion of training. In the early stages, non-selective promotion is complicated by different rules for branches and age on entry. Full details of pay are contained in JSP 754 and training in BR 8374.

6628. Unsatisfactory Performance

Commanding Officers are to consider very carefully the performance of all Midshipmen and Sub Lieutenants (and equivalents) with a view to their suitability for non-selective promotion to Sub Lieutenant and Lieutenant respectively and, for those with reserved rights, Lieutenant to Lieutenant Commander (and equivalent). For officers on the Trained Strength whose performance is not satisfactory, thus making them unsuitable for promotion, Commanding Officers should not hesitate to recommend Quarterly Report action in accordance with the normal adverse report procedure (see [Para 5745](#)) or Command Report for Maritime Reservists (these are raised at appropriate intervals to take account of a reservist's training commitment but otherwise are the same as a Quarterly Report). This performance review must be carried out in sufficient time to enable Quarterly Report action, if merited, to be taken before non-selective promotion is due. Details of Quarterly Report action and delayed promotion are in [Chapter 57](#). Officers under training are governed by the process of Training Warnings described in [Chapter 57 Section 7](#).

6629. Conditions

Non-selective substantive promotion is subject to eligibility criteria and the following additional conditions:

- a. Recommended for promotion. This will be assumed unless an adverse Special Report (see [Para 5744](#)) is raised and received in Naval Secretary's Department before the effective date of promotion.
- b. Not under Character and Leadership Warning (see [Para 6643](#)) or on Quarterly Report (see [Para 6644](#)).
- c. Not awaiting medical review (see [Para 6625](#) and [Para 6645](#)). Eligibility in each case will be decided on its merit.
- d. Certified RNFT on the effective date of promotion or in possession of an approved waiver (see [Para 6626](#) and [Para 6645](#)).
- e. Not awaiting Court Martial or other disciplinary proceedings. Eligibility in each case will be decided on its merit.
- f. For the Maritime Reserves, successful completion of mandated training (Training Matrices).

6630. Notice of Promotions Due

A rolling three month warning notice is produced by the Officer Promotions Section monthly of anticipated non-selective promotions due. This is placed on the CNPers website (under Promotions section). Commanding Officers of affected officers are to contact the Officer Promotions Section and appropriate Career Manager if an officer does not meet the prescribed conditions above, in particular RNFT currency and Commanding Officer's recommendation, but loss of seniority for back-classing may also be relevant.

6631. Notice of Promotions Made

The Officer Promotions Section will input the promotion into JPA 10 days before the due date if there has been no such contact. The notice of promotion will then be sent to the London Gazette for insertion.

6632. Promotion up to Lieutenant RN pre and post 1 Sep 13 - Direct Entry Warfare, Engineering, Logistics and Medical Services Officers)

a. **From 1 Sep 13.** Regardless of an individual's age or educational qualifications held on entry, all Direct Entry Warfare, Engineer and Logistics officers will join BRNC Dartmouth as a Midshipman. On completion of 12 months' service from their date of entry, officers who have successfully completed Initial Naval Training (Officers) (INT(O)) will be promoted to Sub Lieutenant. Individuals who fail to complete INT(O) within a year of joining the RN will not be promoted at this point and, instead, will become eligible for confirmation as a Sub Lieutenant once the training has been completed successfully (see [Para 6641](#) for the rules relating to backdated awards of pay and seniority). Thereafter, officers will be eligible for promotion to the rank of Lieutenant on attaining 30 months' seniority as a Sub Lieutenant. Promotion beyond the rank of Lieutenant is by selection.

b. **Pre 1 Sep 13.** For Direct Entry RN officers entering prior to 1 Sep 13, the standard path to the rank of Lieutenant was to attain 2 years' seniority as a Midshipman and then 3 years' seniority as a Sub Lieutenant (a total of 5 years in all). However, officers could be awarded up to 3½ years' seniority on entry, depending on educational qualifications held (see also [Para 4803](#)), thereby reducing the amount of time spent as a Midshipman or Sub Lieutenant - this is shown at [Table 66-2](#) below.

Table 66-2. Direct Entry pre 1 Sep 13 - Standard progression to Lieutenant RN

Years of Service (Note 1)	Basic Educational Qualifications (Note 2)	HNC or equivalent	Foundation Degree or equivalent	Graduate or equivalent	Masters Degree or equivalent
On Entry	Midshipman	Midshipman with one year's seniority	Sub Lt	Sub Lt with one year's seniority	Sub Lt with 18 months seniority
1 year	Midshipman with one year's seniority	Sub Lt	Sub Lt with one year's seniority	Sub Lt with 2 years' seniority	Sub Lt with 30 months seniority
18 months					Lieutenant
2 years	Sub Lt	Sub Lt with one year's seniority	Sub Lt with 2 years' seniority	Lieutenant	
3 years	Sub Lt with one year's seniority	Sub Lt with 2 years' seniority	Lieutenant		
4 years	Sub Lt with 2 years' seniority	Lieutenant			
5 years	Lieutenant				

Notes:

1. Any seniority adjustment which has a negative effect on an officer's seniority incurs a commensurate increase in the 'Years of Service' required to achieve the next rank. The basic date of seniority as a Lieutenant is the promotion date. The effect of any seniority gain was to advance subsequent pay and promotion dates; it had no retrospective effect for pay purposes. To conform with the standard progression, pre-3TC officers who had more than three years' seniority in the rank of Sub Lieutenant on 31 Mar 99 had their seniority adjusted and were promoted to Lieutenant on 1 Apr 99.

2. To ensure that RN officers entering BRNC prior to 1 Sep 13 as Midshipmen (with basic educational qualifications (up to and including A level standard)) cannot be overtaken by their peers entering after 1 Sep 13, transitional promotion arrangements will apply to officers who entered between January 2011 and May 2013. These are shown below.

Entry Date	Seniority as Midshipman for promotion to Sub Lieutenant	Expected date of promotion to Sub Lt	Seniority as a Sub Lieutenant for promotion to Lieutenant	Expected date of promotion to Lieutenant
Jan 11	24 months	(1 Jan 13)	34 months	1 Nov 15
May 11	24 months	(1 May 13)	34 months	1 Mar 16
Sep 11	24 months	(1 Sep 13)	32 months	1 May 16
Feb 12	22 months	1 Dec 13	32 months	1 Aug 16
May 12	21 months	1 Feb 14	32 months	1 Oct 16
Sep 12	18 months	1 Mar 14	32 months	1 Nov 16
Nov 12	18 months	1 May 14	31 months	1 Dec 16
Feb 13	17 months	1 Jul 14	30 months	1 Jan 17
May 13	16 months	1 Sep 14	29 months	1 Feb 17

6633. Promotion up to Captain RM pre and post 1 Sep 13 - Royal Marines Officers

a. **Post 1 Sep 13.** Regardless of an individual's age or educational qualifications held on entry, all Direct Entry RM officers will join CTCRM Lympstone as a Second Lieutenant and will remain in the rank until successful completion of the RM officer initial training course, at which point they will be promoted to Lieutenant RM with seniority backdated to 12 months from their date of entry (see [Para 6641](#) for the rules relating to backdated awards of pay and seniority for RM officers who fail to complete their initial training on time). Thereafter, RM officers will be eligible for promotion to the rank of Captain RM on attaining 30 months' seniority as a Lieutenant RM. Promotion beyond the rank of Captain RM is by selection.

b. **Pre 1 Sep 13.** Prior to 1 Sep 13, Direct Entry RM officers joined CTCRM with the rank of Second Lieutenant irrespective of educational qualifications on entry. Antedated seniority was applied for pay purposes but was not reflected in an individual's rank until they completed their initial training satisfactorily. The standard path to the rank of Captain RM was to attain 2 years' seniority as a Second Lieutenant and then 3 years' seniority as a Lieutenant RM (a total of 5 years in all). However, RM officers could be awarded up to 3½ years' seniority on entry, depending on educational qualifications held (see also [Para 4803](#)), thereby reducing the amount of time spent as a Second Lieutenant or Lieutenant - this is shown at [Table 66-3](#) below.

Table 66-3. Direct Entry pre 1 Sep 13 - Standard progression to Captain RM

Years of Service	Basic Educational Qualifications (Note)	HNC or equivalent	Foundation Degree or equivalent	Graduate or equivalent	Masters Degree or equivalent
Under year ^a	Second Lieutenant	Second Lieutenant	Second Lieutenant	Second Lieutenant	
1 year	Second Lieutenant	Second Lieutenant	Second Lieutenant	Second Lieutenant	
18 months					Captain
2 years	Lieutenant	Lieutenant with one year's seniority	Lieutenant with 2 years' seniority	Captain	
3 years	Lieutenant with one year's seniority	Lieutenant with 2 years' seniority	Captain		
4 years	Lieutenant with 2 years' seniority	Captain			
5 years	Captain				

Note. To ensure that officers entering CTCRM prior to 1 Sep 13 as Second Lieutenants (with basic educational qualifications (up to and including A level standard)) could not be overtaken by their peers entering after 1 Sep 13, transitional promotion arrangements will apply to officers who entered between January 2011 and May 2013. These are shown below.

Entry Date	Seniority as 2Lt for promotion to Lieutenant	Expected date of promotion to Lieutenant	Seniority as Lt for promotion to Captain	Expected date of promotion to Captain
Sep 11	24 months	(1 Sep 13)	32 months	1 May 16
Sep 12	18 months	1 Mar 14	32 months	1 Nov 16

6634. Promotion to Lieutenant RN/Captain RM pre and post 1 Sep 13 - Upper Yardman/ Corps Commission candidates

a. **Post 1 Sep 13.** With the exception of the September 2013 UY/CC entry, for whom pre-Sep 13 promotion rules will continue to apply (see Para 6634 sub para b), ratings and other ranks promoted via the UY and CC schemes respectively will be awarded the same rank and seniority on entry as their Direct Entry officer counterparts (set out at Para 6632 sub para a and Para 6633 sub para a).

b. **Pre 1 Sep 13.** UY/CC officers were awarded up to three years' antedated seniority on entry based on their time served as a rating or other rank that reckoned for engagement purposes (see Table 66-4). No additional award was made for educational qualifications held.

Table 66-4. Promotion progression for UY/CC officers

Reckonable service as a Rating or Other Rank	RN rank/seniority on entry (X, E, L and MS)	RM rank on entry	RM rank/seniority after 2 years' service and successful completion of Phase 2 training
Under a year	Midshipman	Second Lieutenant	Lieutenant
1-2 years	Midshipman with 1 year's seniority	Second Lieutenant	Lieutenant with 1 year's seniority
2-3 years	Sub Lieutenant	Second Lieutenant	Lieutenant with 2 years' seniority
3+ years	Sub Lieutenant with 1 year's seniority	Second Lieutenant	Captain

Notes:

1. Any seniority adjustment which has a negative effect on an officer's seniority will incur a commensurate increase in the 'Years of Service' required to achieve the next rank.

2. RN UY officers joined with a rank that reflected their antedated seniority, e.g. 3 years' antedated seniority equated to a Sub Lieutenant with one year's seniority, whereas RM CC officers all joined in the rank of 2nd Lieutenant and would only wear the rank that reflected their seniority after two years' service and on satisfactory completion of Phase 2 training.

6635. Medical and Dental Officers

a. **Rank on Entry.** Rank on entry for a Medical or Dental officer is laid down in JSP 527 Chapter 1 Section 5.

b. **Non-Selective Promotion.** Non-selective promotion to Surgeon Lieutenant Commander/Surgeon Lieutenant Commander (D) is as follows (see also JSP 527 Chapter 1 Section 7).

Table 66-5. Standard progression to Surgeon Lieutenant Commander/Surgeon Lieutenant Commander (D)

Rank	Pre 1 Apr 03	Post 1 Apr 03
Surg Lt/ Surg Lt(D)	Automatic (non-Selective) on full registration with the GMC/GDC.	Medical Officers - automatic on date of full registration with the GMC. Dental Officers - automatic on date of successful completion of 1 yr VDP training.
Surg Lt Cdr/ Surg Lt Cdr(D)	Automatic on attaining 5 yrs seniority in the rank of Surg Lt/Surg Lt(D)	Automatic on attaining: 5 yrs seniority in the substantive rank of Surg Lt 5 yrs seniority in the rank of Surg Lt(D) (Acting & Substantive time to count).

c. Promotion beyond the rank of Surgeon Lieutenant Commander/Surgeon Lieutenant Commander (D) is by selection.

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Note. Additional seniority may be awarded for previous medical experience. Eligibility for this award is laid down in JSP 527 Chapter 1 Section 4.

6636. Queen Alexandra's Royal Naval Nursing Service Officers

a. **Rank on Entry.** Rank on entry for QARNNS officers is laid down in JSP 527 Chapter 2 Section 3.

b. **Non-Selective Promotion.** Promotion to Lieutenant is automatic on attaining four years' seniority in the rank of Sub Lieutenant (see JSP 527 Chapter 2 Section 3). Thereafter, promotion is selective.

c. **Additional Seniority.** Additional seniority may be awarded for previous medical experience. Eligibility for this award is laid down in JSP 527 Chapter 2 Section 1 for QARNNS officers

6637. Family Services Officers

Family Services (FS) officers are promoted to Lieutenant on the date of joining the SUY officers' course. Details of selection of ratings to become FS officers are contained in [Chapter 50](#).

6638. Bursars

A small number of officers awarded bursaries in 1996 and later, and who entered the Naval Service after 1 Apr 99, retain the reserved rights pertaining to the commission awarded, i.e. seniority credits from training and, dependent upon commission, automatic promotion to Lieutenant Commander/Major RM and rank related retirement age.

6639. Senior Upper Yardmen and Senior Corps Commission Officers

The promotion of SUY and SCC officers is covered in [Chapter 48](#).

6640. RNR Officer Candidates and Upper Yardmen

a. On passing the AIB, and subject to final selection by Commodore Maritime Reserves (CMR), RNR officer candidates and Upper Yardmen will be promoted to the rank of Midshipman but will not wear rank insignia and will be addressed as Officer Cadets until completion of initial training at BRNC (Phase 1A training). Promotion thereafter will be as follows:

(1) Midshipmen will be promoted to Sub Lieutenant following successful completion of Fleet Board at the end of Phase 1B training.

(2) Promotion from Sub Lieutenant to Lieutenant is subject to successful completion of branch-specific training and on attaining a minimum of 3 years' seniority as a Sub Lieutenant.

b. Entry in a higher substantive rank may be authorised exceptionally for professionally qualified officers such as Medical and Merchant Navy officers.

6641. Delays in Initial Training - Impact on Promotion Progression

a. Entry post 1 Sep 13 - RN officers:

(1) *Phase 1 training.* RN officers who fail to complete their Phase 1 training (INT(O)) within 12 months of joining the Service will not be promoted to Sub Lieutenant at this point. Instead, they will be promoted once the training is successfully completed, at which point they will be entitled to apply for backdated pay and seniority to a date 12 months from entry if their failure to complete the training on time is deemed to be attributable to the Service or is for non-Service reasons outside their control, e.g. medical, welfare or compassionate. Requests for redress should be forwarded through the CO to the Officer Terms of Service Manager who, in turn, will consult the Officer Promotions Section. All cases will be considered on their individual merits.

(2) *Phase 2 training.* As above, time lost by RN officers during Phase 2 training as a result of Service reasons or non-Service reasons outside their control, e.g. medical, welfare or compassionate reasons, will not normally result in an adjustment to an individual's seniority. However, seniority adjustments will be applied to RN officers for back-classing, examination failure, repeated elements of professional training or warning during Phase 2 training and these will affect an officer's promotion (i.e. the additional period of time will not count for seniority purposes) and also impact on pay if applied to the IBD. Any seniority adjustment will result in the implementation of a Specially Determined Rate of Pay (SDRP); once the SDRP is lifted, the officer will revert to normal incremental progression and the seniority will be adjusted accordingly.

b. Entry post 1 Sep 13 - RM officers. RM officers who fail to complete their initial training at CTCRM on time will be eligible to apply through their CO to the Officer Terms of Service Manager for backdated pay and seniority (to the 12 month point from entry) if the delay in completing the training is deemed to be attributable to the Service or is for non-Service reasons outside the individual's control. All cases will be considered on their individual merits.

c. Entry pre 1 Sep 13 - RN and RM officers

(1) Time lost by RN and RM officers during initial training as a result of Service reasons or non-Service reasons outside their control, e.g. medical, welfare or compassionate reasons, will not normally result in an adjustment to an individual's seniority. Where doubt exists about the applicability of a penalty, Commanding Officers should consult the Officer Terms of Service Manager in the first instance.

(2) Seniority penalties will be applied to RN and RM officers in cases of back-classing, back-batching, examination failure, repeated elements of training or warning during initial training and these will have an effect on promotion (the additional period of training time will not count for seniority purposes) and pay if applied to the IBD. Any seniority adjustment will result in the implementation of a SDRP; once the SDRP is lifted, the officer will revert to normal incremental progression and their seniority will be adjusted accordingly.

6642. Seniority Adjustments Following Branch/Specialisation Transfer

a. Rates of pay are linked to rank and IBD. As such, any adjustments made to an officer's seniority on transfer as described below, will also have an effect on pay if applied to the IBD. Adjustments to seniority will affect promotion.

(1) **Untrained Strength.** If an officer under training transfers from one branch/specialisation to another, whether because of failure in the original branch/specialisation or by choice, promotion to Lieutenant RN may be deferred. Officers who have already attained the rank of Lieutenant may have their seniority adjusted. The need for any deferment or adjustment is determined by the officer's position in relation to that of their new peers in the branch/specialisation into which they are transferring, and is to ensure, in so far as is possible, that training that does not form part of the training pattern in the new branch does not count towards promotion. A sizeable seniority adjustment for an officer on an Initial Commission (IC) may result in the loss of the opportunity for selective promotion to Lieutenant Commander/Major as long as the officer remains on an IC.

(2) **Trained Strength.** For an officer on the trained strength transferring from one branch or specialisation to another, promotion may be deferred and/or seniority adjusted. This may result in the implementation of an SDRP, as described in Para 6641 [sub para 6642](#). The need for any deferment, adjustment or SDRP is determined by the officer's position in relation to that of officers who joined the Service at the same time in the branch or specialisation into which they are transferring, and is to ensure, in so far as is possible, that any training which does not contribute directly to the officer's new branch or specialisation does not count towards an accrual of seniority.

b. The seniority of an officer transferring from or to a branch where seniority is granted for a degree or relevant civilian experience or both may be adjusted by more than one year.

6643. Training Warnings

Officers due for promotion to Lieutenant RN will not be promoted on their due date if they are under Character and Leadership (C&L) Warning (see [Para 5739](#)). Officers, who are removed from C&L Warning due to an improvement in their performance, will be promoted with effect from, and with seniority of, the date of the Commanding Officer's recommendation for removal from C&L Warning if this is later than the non-selective date. Officers who fail to achieve a satisfactory standard will be compulsory withdrawn from training under the normal procedures detailed in [Chapter 57](#).

6644. Quarterly Report

Officers due for non-selective promotion will not be promoted on their due date if they are under Quarterly Report (or Command Report for the Maritime Reserve). Officers who are removed from Quarterly Report due to an improvement in their performance will be promoted with effect from, and with seniority of, the date of the Commanding Officer's recommendation for removal from Quarterly Report if this is later than the non-selective date. Officers who fail to achieve a satisfactory standard will be liable to discharge under normal procedures. See also [Chapter 57](#).

6645. Medical and Physical Fitness

- a. Officers placed in a reduced medical category remain eligible for non-selective promotion so long as they are retained in the Service (see [Para 6626](#)).
- b. Officers are required to be RNFT certified on the effective date of substantive promotion or in possession of an approved waiver (see [Para 6626](#)).

SECTION 4 - ACTING RANK ASSIGNMENTS

6646. Introduction

The following regulations cover the award of acting higher rank (AHR) to officers, as distinct from the award of substitution pay. They do not apply to Acting Lieutenants who have not been confirmed in rank because they have not acquired the necessary qualifications, or to Acting Sub Lieutenants. In general, the AHR is appropriate when an officer is assigned to perform the full duties of a post at a higher rank because no officer of the required substantive rank and branch is available to do so. This may occur in a period of manpower shortage or when a holder of an assignment dies or is placed in a reduced medical category which will prevent the performance of the full duties of the post for a minimum of three months. Substitution pay may be appropriate if an officer is required to perform the duties of a higher rank, normally without being assigned to the post, for a minimum of 21 consecutive days and for periods up to six months (see JSP 754 for full details and for extensions beyond six months). Relative rank and order of command regulations for AHR officers are shown in BR 2 (QRRN).

6647. Assigning Notice

Assignments at normal notice in the AHR will be decided by the Career Management Authority before publication.

6648. Local Assignments and Transfer

The senior officer present in an area has authority to fill vacant posts immediately for Service reasons, keeping the Assistant Chief of Naval Staff (Personnel)/Naval Secretary (ACNS(Pers)/NavSec) informed. If the granting of AHR is involved in filling an urgent vacant post, ACNS(Pers)/NavSec's approval is required beforehand unless the officer is due substantive promotion within three months.

6649. Selection Criteria for Granting Acting Higher Rank

a. In making selections for AHR, Career Managers should maintain similar principles to those which apply in the case of officers selected for promotion - i.e. they should be prepared to accept a degree of assigning inconvenience to ensure that a worthy candidate can take up the assignment. The selection of officers for appointment in the rank of Acting Captain, Acting Commander and Acting Lieutenant Commander (other than those already provisionally selected for promotion) should normally be made from officers who have a high probability of achieving substantive promotion to the next higher rank during the AHR appointment. Overzone officers who narrowly missed promotion to Lieutenant Commander and Commander should only be considered where there is a particular service requirement to which that officer brings the necessary skills. Normally the Career Manager should nominate a minimum of two potential candidates to the appropriate SO1 Career Manager. A note is to be made in the PF of an unsuccessful candidate to generate an audit trail and record the AHR selection process. Occasions will arise when only one suitable candidate can be found to fill a particular specialist post.

b. It is most important that CNPers approval for AHR is obtained when the best candidate to fill an important post at AHR satisfies the approval criteria at Para 6649 [sub para c](#) but does not completely satisfy the AHR selection criteria in Para 6649 [sub para a](#) above.

c. AHR may only be granted if all of the following conditions are met:

(1) The post is complemented for the higher rank without alternative. Where the complement allows for alternative ranks, the acting assignment will be in the lowest rank allowed.

(2) No suitable officer of the correct substantive rank is available. 'Suitable' is defined as complying with the Rank/List/Spec/Sub-Spec criteria in the relevant JPA Position and meeting the terms of [Para 6649](#).

(3) The period of tenure is expected to exceed three months (this rule need not apply when an officer is due substantive promotion within this time).

(4) The officer concerned must be capable of undertaking satisfactorily the full range of tasks of the post to be filled.

(5) The relevant SO1 Branch Manager and CNPS PERS-PPLAN SWPO SO1 advice and approval has been obtained in writing except:

(a) Where an officer has been provisionally selected for promotion to the next higher rank.

(b) When the period of AHR is less than one year prior to automatic promotion due to preserved rights from previous commissions.

It should be noted that advice may depend upon a comparison of the liability and the strength for the category concerned in the period for which AHR is proposed. As a general rule, those graded A but not selected at the last Board are highly likely to promote next Board and therefore are unlikely to impact the MAuN. Those who are graded B and below are not likely to promote next time and therefore this will have a negative effect on the MAuN the following year. The NPT may still choose to accept a reduction in the MAuN to grant AHR, particularly if the individual has a unique competency. Where agreement cannot be reached between the Career Manager and the Branch Manager, CNPers DACOS Career Management, CNPS DACOS Branch Management and DACOS PPLAN will adjudicate.

(6) Suitability for promotion on the most recent Appraisal Report must have been assessed as 'Yes' or higher. AHR will only be granted one step above the substantive rank held.

(7) The officer is in date for RNFT on JPA.

6650. Acting Higher Rank - Level of Approval

Final approval of AHR is given as follows:

a. **Acting Commodore.** Approval is solely given by the 1SL. When it is deemed necessary to employ a Captain as an Acting Commodore, an extraction board is held comprising NA, CNPers DACOS Career Management, CNPS DACOS Branch Management and a Board Secretary. The Head of Branch (X, E, L, RM) may also be required for branch specific advice. This Board is used to determine the most suitable candidate from a pool of nominees. Once the Board has agreed on the officer, the individual is informed, pending final approval by 1SL.

b. **Acting Captain.** Approval is solely given by the 1SL. When it is deemed necessary to employ a Commander as an Acting Captain, an extraction board is held comprising NA, CNPers DACOS Career Management, CNPS DACOS Branch Management and a Board Secretary. The Head of Branch (X, E, L, RM) may also be required for branch specific advice. This Board is used to determine the most suitable candidate from a pool of nominees. Once the Board has agreed on the officer the individual is informed and career management responsibility temporarily transfers to the NA, pending final approval by 1SL. The PF remains with the originating NPT.

c. **Acting Lieutenant, Acting Lieutenant Commander and Acting Commander.** AHR approval is normally given by the relevant SO1 Career Manager providing that the various criteria in Para 6649 [sub para c](#) above are met. Should a case fail to satisfy the AHR selection criteria, approval is to be given by CNPers DACOS Career Management.

6651. Acting Higher Rank - Procedures to be followed by the Career Manager

a. **When appropriate:**

(1) When it is intended to assign an officer to a post which is complemented for higher rank without alternative, consideration should always be given to the need to grant AHR. The case should be tested against the principles and criteria identified in the preceding paragraphs. If, having carried out this test, it is considered that AHR is justified, the structural agreement of a Branch Manager and the approval of the relevant authority (see Para 6649 [sub para b](#)) are to be sought before the appointment is made. Force majeure should be avoided. For officers already in post (see [Para 6657](#)), the agreement is to be sought before the award of AHR is confirmed.

(2) Proposals for award of AHR are to be submitted on the proforma at [Annex 66C](#). The proforma is to be passed via the relevant desk officers for agreement and advice; if agreed at that level, the form is then to be attached to the officer's personal file and passed to the approving authority (see [Para 6650](#)). Completed proformae are to be retained with the relevant personal files. A note is to be made in the P/File of an unsuccessful candidate to generate an audit trail and record the AHR selection process.

b. **When not appropriate**

(1) Experience has shown that much correspondence is generated in cases where AHR is considered to be inappropriate. It is important, therefore, that these cases are well documented in the relevant officers' personal files; the position should be made clear (in writing) to both the officer concerned and their Commanding Officer.

(2) In certain cases it may be justifiable to appoint an officer to a post complemented for higher rank (without alternative) and not grant AHR; for example:

(a) When it is for less than 3 months.

(b) When there is clear evidence that the complement is to be downgraded or rank ranged to a lower rank in the near future (Career Managers should ask Commanding Officers to initiate EAF action to change the Unit Establishment List whenever their knowledge of the post indicates that a lower rank alternative would be suitable).

(3) There will be cases where AHR cannot be granted because the criteria in Para 6649 [sub para c](#) have not been met in full. For example: there is a suitable officer of the correct rank available but the Commanding Officer is not prepared to accept the individual or the only officer available does not have the necessary knowledge or experience to carry out all of the duties involved (i.e. they are not qualified) and it would be inappropriate to give the individual AHR. In these cases, Career Managers are to proceed carefully, having consulted CNPers DACOS Career Management, with one of the following options:

(a) Inform the Commanding Officer that the post will have to be gapped (in which case the Commanding Officer may be able to consider the use of Substitution Pay for an officer within the unit filling another of his complemented posts (see Para 6651 b [sub para \(4\)](#) below)).

(b) Offer to appoint an officer of lower rank as a Temporary Augmentee to undertake part of the duties of the higher rank but leaving the higher rank post empty. In any such case, the Commanding Officer is to be reminded of the need produce a revised set of TORs to give the officer only those tasks which are appropriate to the individuals knowledge or experience. The officer is to be informed in writing of the reason why AHR has not been granted and the Assignment Order is to indicate specifically that AHR will not be granted. A copy of the Appointment Order is to be retained in the officer's personal file. When assigned as a temporary augmentee, neither AHR nor substitution pay are appropriate.

(c) If the Commanding Officer indicates that they will amend the Unit Establishment List to downgrade the post to a lower rank or to allow for the lower rank as an alternative, written evidence of this should be provided before an assignment is issued. The downgrading must be fair and realistic; an officer should not be disadvantaged thereby and they must not be asked to undertake duties which are beyond their rank or experience. The Commanding Officer would be expected to review the positions Terms of Reference or Job Description. The officer is to be informed in writing of the reason why AHR has not been granted and the Appointment Order is to indicate specifically that AHR will not be granted.

(4) It will be clear that officers are not to be put in the position of having to fill a post without holding the appropriate rank. Career Managers are to ensure that the Nomination correspondence to the Commanding Officer explains the situation and states clearly that AHR will not be granted. A copy of this is to be filed in the individual's P/File.

6652. Acting Higher Rank in Common Appointments

Although the same criteria apply to AHR for Common Appointments (CAPPS) as for other positions, DACOS PPLAN will not be willing to agree to the award of AHR unless the availability of qualified officers from all relevant specialisations has been carefully checked. Career Managers planning to nominate an officer who would require AHR to meet the rank criterion of a common appointment must discuss the subject thoroughly with NAVY PERS-CM CAPPS SO1 and NAVY PERS-PLAN SWPO SO1 in advance of the CAPPS committee's consideration of the position.

6653. Upgrading of post to a Higher Rank

a. If a position is upgraded to a higher rank without alternative and it is intended that the same officer should continue to hold this position until a substantive relief can be assigned, consideration will not normally be given to granting the AHR to the present holder, even though the period may exceed three months due to the needs of assigning notice. If, however, it is considered that the present holder is not suitable to carry out the higher rank duties and it is intended to relieve the individual on this count, AHR is not to be granted, although the period may exceed 3 months due to the needs of appointing notice. In the latter example, the officer, in fairness, should be re-appointed no later than 3 months after the post is upgraded even if it means the post being gapped.

b. If, however, the present holder is due substantive promotion to the higher rank, and is judged competent to carry out the higher rank duties without further training, and it is intended that the individual remains in post on this account, AHR will be granted at the discretion of the ACNS(Pers)/Naval Secretary.

6654. Downgrading of post to a Lower Rank

If a post which is held by an officer granted AHR is downgraded to a lower rank, the officer will be reassigned in the substantive lower rank from the effective date of the revision to the Unit Establishment List.

6655. Sickness while holding the Acting Higher Rank

An officer who is medically unfit for duty for reasons beyond his/her own control while holding AHR may continue to hold the rank for a maximum of four months from the date of being downgraded. An officer who is still sick after four months will be reverted automatically to substantive rank. When fit for duty and if not given an immediate effective assignment, the officer will be eligible to resume the former AHR and pay for any periods of courses, passage, leave, etc to which they would have been entitled. Where sickness is for reasons within the officer's own control, the AHR is relinquished from the date of ceasing duty in the assignment.

6656. Relinquishment

Officers retain AHR until reassigned in the lower rank, or until review by ACNS(Pers)/NavSec if an officer receives an adverse report or is placed on Quarterly Report. JSP 754 contains full details of the circumstances and dates covering the relinquishment of an AHR.

6657. Pay

Substitution Pay (SUPA) is neither a CM retention tool nor a substitute for AHR. SUPA is not an entitlement, but may be paid to an officer or other rank (OR) who is required temporarily to undertake the full range of duties and responsibilities of a post established for an officer, OR, or civil servant of a rank/grade higher than his/her own which is vacant. It follows that an individual **shall not** be assigned on a full time basis into a position and claim SUPA for fulfilling the duties of that position. SUPA can be utilised by the employer when an individual from elsewhere in the organisation conducts **all** the duties to cover a gapped position in the higher rank. The regulations for pay for AHR, for successive assignments in the AHR, and SUPA are in JSP 754.

6658. Provisional Selection

The procedure for provisional selection and promotion to Commander and Lieutenant Commander (and equivalents) is designed to increase efficiency by allowing properly planned assignments. This aim will normally be met by timing the assignments of provisionally selected officers to posts complemented for the higher rank to take effect as closely as possible to the due day for confirmation of their promotion. Should circumstances arise that make it necessary to assign an officer to a post complemented for the higher rank before confirmation of the promotion, the grant of AHR will be decided by ACNS(Pers)/NavSec at the time the assignment is made, and will not depend on representations being made by the officer or any administrative authority.

6659. Local Higher Rank

a. On occasion, particularly when working with foreign nations or external organisations, which do not recognise or do not understand the capabilities of RN officers of junior rank, it may be appropriate to grant Local Higher Rank (LHR). This would be particularly apposite if the officer concerned was required to deal extensively with the Armed Forces of countries where officers of broadly the same equivalent rank to British officers were markedly different in terms of prestige, capability or authority. LHR would be similarly apposite when a RN officer was required to work extensively with predominantly civilian organisations with little previous familiarity with the Armed Forces. Accordingly, in circumstances where an officer of the appropriate rank is filling a position (and AHR or substitution pay is not payable), it is possible to grant LHR, by up to two steps, provided the following conditions are satisfied:

- (1) LHR is considered by the local commander to be essential to enable those external authorities with which the officer is required to deal in the course of his/her duties to understand and appreciate the status and capability of the officer concerned. It is envisaged that the external authorities will normally be civilian organisations or non-British military organisations with limited previous contact with the RN. LHR may be granted for the whole or part of an assignment.
- (2) LHR is no more than two steps above the substantive rank of the officer concerned, or one step above any AHR held.
- (3) The application is approved by ACNS(Pers)/NavSec.

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b. Applications should be made in writing to ACNS(Pers)/NavSec and should deal with the points above, including the duration for which it is required. Officers who are granted LHR will be entitled to wear the uniform of the local rank granted. They will be entitled to the pay, allowances and general service conditions only of their substantive rank (or AHR). LHR will not attract any pension enhancement or confer any other benefit, save that an officer will be entitled to the same uniform grants as those given AHR for the purposes of striping up (and down). LHR will not incur any return of service liability.

c. LHR ceases on the day after the requirement for it lapses, or the day after a post holder ceases to hold the assignment for which it was granted.

d. Employing officers should be careful to note the difference between AHR and LHR. AHR applies where the post is complemented for an officer of a higher rank because the duties are such that an officer of higher rank should carry them out, but no officer of the correct substantive rank is available. In these circumstances, because the officer is carrying out the duties of a higher-ranking officer, it is right that he/she should receive the financial rewards which accompany AHR. In contrast, LHR applies where the duties of the post can be carried out by an officer of the rank for which the post is complemented, but it is necessary to give the post holder a higher rank so that his/her status and abilities will be more clearly understood by those with whom he/she has dealings in the course of his/her duties. LHR is concerned with perception, rather than job weight, and does not therefore attract financial reward. Employing officers should note this and should not expect officers awarded LHR to undertake duties beyond those expected of their substantive rank (or AHR if held).

e. For the purposes of appraisal, officers holding LHR should be assessed in their substantive rank.

6660. Local Lower Rank

Occasionally, for reasons of tradition, certain command posts will be filled by an officer of a higher substantive rank, who will wear the uniform of and be addressed as an officer of lower rank. Local Lower Rank (LLR) will be authorised by ACNS(Pers)/NavSec. Officers holding LLR will take precedence according to their seniority in their substantive rank. Otherwise LLR will be held under the same conditions as LHR. In particular, such officers will be paid and assessed in their substantive rank.

6661. Resettlement and Terminal Leave

a. An officer leaving the Service involuntarily for reasons other than misconduct, e.g. being retired on age grounds or being made compulsorily redundant, continues to hold AHR during the period of Graduated Resettlement Time and Terminal Leave (see JSP 754).

b. An officer vacating an assignment on submitting his/her notice relinquishes AHR on the date of ceasing duty in that assignment. Officers will not be eligible for AHR whilst on Terminal Leave.