



The National Archives

Annual Report

and Resource Accounts 2008-2009





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The Sixth Annual Report and Resource Accounts on the work of The National Archives and the Sixth Annual Report of the Advisory Council on National Records and Archives

2008-2009

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Contents

1	Introduction from the Chief Executive	4
2	Who we are	6
3	What we've done – our performance in 2008-2009	12
Annex A	Resource Accounts 2008-2009	18
	Management Commentary	18
	Remuneration Report	26
	Statement of Accounting Officer's Responsibilities	30
	Statement on Internal Control	31
	Audit Certificate and Report	34
	Accounts Summary	36
	Notes to the Accounts	41
Annex B	Additional financial information – for departmental reporting requirements	61
Annex C	The National Archives' vision 2007-2012	66
Annex D	Advisory Council on National Records and Archives: Sixth Annual Report 2008-2009	67
Annex E	Independent Complaints Reviewer: Annual Report 2008-2009	70

1 Introduction

from the Chief Executive



Natalie Ceeney
Chief Executive

To the Right Honourable Jack Straw, Lord Chancellor,
Secretary of State for Justice.

I am delighted to present the Annual Report and Resource Accounts for The National Archives for 2008-2009.

This has been a very successful year for us, with a wide range of exciting projects and initiatives motivated by the needs and expectations of our different audiences. This organisation is not only dedicated to providing exceptional customer service, but is also committed to continually adapting to the changing world of information in which we operate.

One of our highest profile achievements this year was the launch of the 1911 Census (for England and Wales) in January – one of the most eagerly-awaited historical and genealogical resources of the past decade. The most detailed census since UK records began, this is the first for which original census schedules – complete with our ancestors' own handwriting – can be viewed online.

This was one of the largest digitisation projects we have ever undertaken, and such projects are only possible through our innovative approach of teaming up with a commercial partner. With support from our expert staff, our census partner scanned and transcribed millions of fragile, handwritten pages, and published this extraordinary resource online. The website successfully handled over 11 million searches in its first week, and continues to be immensely popular. Such licensing partnerships have enabled us to make some of our most popular records available online, without investing additional public money, and have helped to nurture a thriving sector of the digital economy. In 2008-2009, over 112 million digital copies of our records were downloaded – 174 files were accessed online for every one document viewed in our reading rooms.

The way people choose to access information is constantly evolving as technology advances, and we have responded with continuous innovation this year. To mark the 90th anniversary of the Armistice in November 2008, we launched a series of 'podcasts' – *Voices of the Armistice* – first-hand accounts of the First World War, taken from diaries, letters and military history files. We also published 60 years of Cabinet Papers online. Originally designed to

meet the needs of A level and undergraduate students, this website has become an invaluable resource for people of all ages interested in studying these unique primary-source materials. Our Second World War education site for younger students – featuring animated maps and hundreds of documents, photographs and multimedia clips – was nominated for a British Education and Training Technology (BETT) award for the exceptional quality of its digital education resources. And our 'Focus on Film' site won a Focal International Award in the 'Best use of a non-television platform' category, in addition to being nominated for a Children's BAFTA.

As we have developed our online content, we have also maintained the world-class services that we provide on site at Kew. With regular talks on a wide variety of historical topics, expert one-to-one assistance, and on site research facilities, we've assisted over 100,000 visitors at all levels of experience, confidence and skills this year.

Our work is not confined to managing historical information, however, and we have also continued to support government in building its capability in knowledge and information management. We work with 250 government bodies, offering advice and support in information management. Our Information Management Assessments have also helped to embed best-practice at all levels of participating government bodies, and in 2008-2009 we reviewed and refocused this service.

We have continued to drive and encourage the wider re-use of public sector information. In Europe, the UK leads in promoting effective re-use. In July, we launched a new Public Sector Information Unlocking Service, designed to facilitate dialogue and empower individuals, community groups and businesses in re-using official information. Meanwhile, our Information Fair Trader Scheme has helped raise standards across the public sector, and this year membership of the scheme has grown to include even more organisations, including local authorities.

In December, we were delighted to welcome the team responsible for the Statute Law Database, who joined The National Archives. This move will help us improve the way we publish and make UK legislation accessible. The National Archives publishes legislation as it is

originally made, while the Statute Law Database contains information about how legislation has been changed over time. Bringing the two together enables the statute book to be presented in a far more coherent way, especially online, making it easier for people to identify and use specific legislation. We will be able to deliver a better service to the public, to business and to people working in government and the public sector.

As the nation's archive, we also have a key leadership role in the wider archive sector. We have worked in partnership with the Museums, Libraries and Archives Council and CyMAL (Museums, Archives and Libraries Wales) to create a proposed new government policy on archives for the 21st century, designed to help local archives further improve services and promote access to their collections. We have launched a public consultation to gather views on the policy proposals, scheduled to run until August 2009. We have also restructured our teams to ensure we are best-placed to share advice and expertise with archives nationwide, building closer relationships with both publicly-funded and private institutions.

The National Archives has a unique position, combining the responsibilities of a government department with those of a leading cultural heritage institution. All our customers demand and receive exceptional services, but this continuous innovation and maintenance of our first-class standards are only made possible through the dedication and professionalism of our staff. I remain impressed by, and proud of, their enthusiasm and expertise. Their work ensures that not only will we pass onto the next generation the 1,000 years of historical records we already hold, but that government's current information is effectively managed now – a vital element in the efficient planning and delivery of public services – and will continue to survive to become the archives of the future.



Natalie Ceeney
Chief Executive

30 June 2009

2 Who we are



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Executive Team

a. **Natalie Ceeney**
Chief Executive

b. **Caroline Emerton**
Director, Corporate Services and Finance¹

c. **Jeff James**
Director, Public Services²

d. **Oliver Morley**
Director, Customer and Business Development³

e. **Caroline Ottaway-Searle**
Director, Human Resources and Organisational Development⁴

f. **David Thomas**

Director, Technology and Chief Information Officer

g. **Carol Tullo**
Director, Information Policy and Services

Management Board⁵

h. **Mark Addison**
Non-executive Director

i. **Bronwen Curtis CBE**
Non-executive Director

j. **Trevor Spires CBE**
Non-executive Director⁶

k. **Professor the Baroness Young of Hornsey OBE**
Non-executive Director

1. Appointed with effect from 23 February 2009 and resigned with effect from 12 June 2009. Erika Stoddart was Director of Corporate Services and Finance until 4 January 2009. Stephen Wells acted as Interim Director of Finance from 26 January to 9 April 2009.
2. Appointed with effect from 19 June 2008. James Strachan, Director of Public Services and Marketing, was seconded to be Secretary to the independent 30-Year Rule Review in October 2007; and Daniel Jones, Head of Business Development, and Jeff James, Head of Advice and Records Knowledge, joined the Executive Team and Management Board on an interim basis to represent this area. This continued until June 2008, when the directorate divided into Public Services and Customer and Business Development.
3. Appointed with effect from 14 July 2008.
4. Appointed with effect from 19 August 2008. Mark Lamb was Director of Human Resources and Organisational Development until 31 July 2008.
5. Eileen Burbidge was a Non-executive Director from 19 May 2008 until 30 April 2009.
6. Appointed on 8 February 2009. Meyrick Vevers fulfilled this role until 20 March 2009.



The National Archives' remit

All our work is designed to ensure the effective management and use of public sector information throughout its lifespan – from the moment of creation, through use and re-use in day-to-day business by government and citizens, right through to its eventual long-term preservation.

The National Archives is a government department and an executive agency of the Ministry of Justice. We provide a service for the whole of government, continually building its knowledge and information management capability, both through sharing expertise and through our regulatory role. Our support helps government keep business-critical information identifiable and useable for as long as it is needed. We also help ensure that digital information stays accessible, safeguarding it from risks such as software obsolescence and hardware degradation.

We set standards for, and promote the re-use of, public sector information – ensuring that this valuable and versatile resource can be accessed and re-used by individuals, community groups and businesses. We manage Crown copyright, and we publish the vital information that underpins government's core day-to-day business, including all UK legislation.

As the official archive of the UK government, we preserve and protect one of the most significant collections in the world, holding public records dating back over 1,000 years. From Domesday Book to digital files and databases, we care for 11 million public records, making them accessible to all.

We also provide leadership, support and guidance to the wider archive sector. We develop and promote standards and best practice in all aspects of archive management, inspecting repositories and advising public and private archives in the best ways to implement these standards. Our support helps public and private archival services nationwide to develop and enhance their services, facilities and collections.

Government increasingly depends on good information management and its ability to harness knowledge to good effect. Our expertise in every aspect of creating, storing, using and managing information makes us a unique and valuable resource for government, for the wider archive sector, and for the public. We are the guardians of government's information – today, tomorrow and for future generations.



Our staff

The quality and breadth of our services is only made possible by our staff's expertise, enthusiasm and their constant commitment to first-class customer care. Our staff community encompasses a broad spectrum of professional interests and skills. Each team has an important contribution to make, whether working directly with public, government or archive-sector customers, maintaining our collections and facilities, or providing vital support for colleagues.

Our organisational values are directly relevant to every member of staff, affecting not just what we achieve, but also how we work. Translating these shared values into action forms the core of all our responsibilities.

We take pride in the way these aspirations inform our decisions and shape our plans – they are at the heart of all we do. They express our passionate commitment to preserving our collections and bringing their contents vividly to life; maintaining exceptional standards of customer service; and providing effective support and guidance for our colleagues in government and the archive sector.

Here are just a few examples of how teams across the organisation put our values into practice.

Putting customers first

We provide first-class services to all our customers, ensuring that these meet – or exceed – expectations, while remaining straightforward and accessible. We assess the needs of all our different audiences, actively soliciting feedback, and tailor our services in response.

Public talks at Kew

Expert speakers from our Advice and Records Knowledge teams give, regular, in-depth talks at Kew on historical resources valuable to family, social, local or academic historians. Talks are published as podcasts on our website, making them available to history enthusiasts worldwide.

1911 Census service

We continually review our public-facing services, adapting them both for online users, and our visitors to Kew. Our public services teams organised special facilities to meet high levels of demand for access to the online 1911 Census service on site at Kew. They arranged dedicated Census assistants, a special enquiry desk and a ticketing system. They also produced accessible signage and even a trail of coloured 'footprints' to guide Census users to computer terminals.



Responsible guardians

We share our expertise with all our different audiences, providing appropriate support and guidance. We protect our historical collections, balancing preservation with the access needs of researchers. In facilitating the re-use of public sector information, we promote fairness, transparency and accountability. We work to make all our services as sustainable and environmentally-friendly as we can, and make the best possible use of public money.

Managing Crown copyright

Our Information Policy team manages the licensing of Crown copyright – which applies to all information published by government departments – making sure this information can be re-used while safeguarding its integrity. They have created the online Click-Use Licence, which makes it quick and easy for individuals, community groups and businesses worldwide to re-use Crown copyright information of all kinds.

Safeguarding historical documents

This year, our Collection Care team hosted an open day for book and paper conservators from across the country, sharing expertise and promoting innovation. In the reading rooms, our Document Services staff use one-to-one advice, displays and plasma screens to help visitors work more safely with original documents.

Information set free

We communicate clearly with customers and with one another. We make our collections as widely accessible as we can, and support government in keeping business-critical information easy to identify and useable for as long as it is needed. We drive the public sector information re-use agenda, helping people access the information they need.

Regulating information trading

Our Standards team runs the Information Fair Trader Scheme, which sets and assesses standards for ‘information traders’ – public sector bodies like the Met Office and Ordnance Survey who create and collect information, and license it for commercial re-use. The team conduct audits and provide recommendations to scheme members, helping them meet required standards of fairness and transparency, maximising the potential for re-use, and in turn supporting the commercial enterprises which depend on these information resources.

New access to local archives collections

Our Archives Sector Development team administers the National Cataloguing Grants Scheme, which is funded by a group of independent charities. It helps local archives to tackle cataloguing backlogs, and make collections of records accessible and useable, often for the first time.



Delivering what we promise

We take pride in achieving what we set out to do, continually seeking more effective ways to accomplish our goals. Our services are expert, efficient, consistent and dependable.

First-class IT support

Our IT and web teams provide outstanding service. In recent months, they have made sure that our website successfully handled record numbers of downloads – redesigning its navigation to make it easier to use – and they are continually working to make our IT systems more environmentally-friendly.

Sharing expertise with government colleagues

Our Information Management Consultants work in partnership with over 250 government departments, agencies and bodies. They offer tailored advice and guidance in managing both paper and digital records. This is designed to ensure that information is easy to identify, and to use, for as long as it is relevant to ongoing business activities, and that records survive for future generations.

Everyone working together

We share knowledge with colleagues, and make sure that everyone in our organisation understands our goals and their own contribution towards realising them. We believe that everyone has a contribution to make, and that diverse backgrounds and views coming together build a stronger organisation.

Volunteer cataloguing projects

Our records specialists have been working with teams of international volunteers to enhance and enrich our online catalogue entries. Our experts are supporting volunteers in creating new catalogue entries for popular records series, thereby helping researchers worldwide.

Identifying government's digital continuity needs

Unlike paper – which can be easily stored for lengthy periods – digital information needs active intervention to keep it readable and useable. Our Digital Continuity team has been hosting in-depth workshops for colleagues from central government departments to identify the risks they face in working with digital information. The team is working to create a shared Digital Continuity service for government designed to address these needs.



3 What we've done

Performance in 2008-2009

We had a busy year in 2008-2009, with staff across The National Archives working hard to meet – or exceed – the expectations of our many different audiences. We are very proud of what we have achieved. Here is a snapshot of our successes:

Stakeholder	Achievements in 2008-2009
<p>Historical, academic and genealogical researchers and all members of the public</p>	<ul style="list-style-type: none"> ▶ Our partnership with findmypast.com made the 1911 Census available online (January 2009), including details of 36 million people living in England and Wales in April 1911, and 16 million colour images. Nearly five million searches were carried out within 48 hours of the website launch, and 34 million searches in the first four weeks. ▶ We launched Provide and Enable: The National Archives' Online Strategy, laying out our plans for simplifying and enhancing our online services over the next three years. ▶ The National Archives' website received a Top Ten Award from Hitwise, a competitive intelligence service identifying the most popular websites in a range of industries. From October to December 2008, the site was ranked seventh in the 'UK Government – Central' category. ▶ We launched a new look for The National Archives' website home page, providing a clearer layout and using more photographs and images for a fresher look. ▶ We released audio-visual records from the 1997 investigation into the tragic sinking of the <i>MV Derbyshire</i>, following our most significant digital preservation project to date. We have stored these records in our digital archive, and made key material available online. ▶ Our online release of files relating to UFOs seized international media attention, inspiring nearly 300 items of press coverage worldwide and prompting over one million downloads from the collection's homepage within the first four days. We also used the YouTube website to broadcast video highlights, reaching new audiences. ▶ To mark the 90th anniversary of the Armistice, we developed a series of podcasts telling the personal stories of some of those who served in the First World War. ▶ We released over 5,000 government records from 1978 to the public. ▶ We made more of our most popular records available online through licensed partnerships, including UK incoming passenger lists for 1878 to 1960 (ancestry.co.uk, October 2008). ▶ We launched online resources for searching and downloading the medal index cards of more than 20,000 Indian Army soldiers during the First World War, and service records of Royal Navy officers up to 1931. We also made the service records of 40,000 members of the First World War Royal Naval Volunteer Reserve (RNVR) available online. ▶ We launched a new online resource of records detailing movements of merchant ships during the Second World War. ▶ We completed a major project to convert complex card indices into more than one million user-friendly entries in our online catalogue.

Stakeholder	Achievements in 2008-2009
	<ul style="list-style-type: none"> ▶ We completed a project to upload 75 volumes of judges' reports from 1734 to 1830 to our catalogue. More than 20 volunteers worked on this project for eight years, making reports on nearly 4,000 criminals accessible. ▶ Our online services were awarded a 'commended' status in the 2008 public sector Good Communications awards, in the category 'IT & E-Government'. ▶ As part of our commitment to making the Kew site more accessible for staff and visitors, we installed additional induction loop-systems in public areas to help partially-deaf people separate speech from unwanted background noise, making the use of hearing aids more effective. We also ran a number of introductory courses in British Sign Language and Deaf Awareness for public-facing staff. ▶ We opened our redesigned Museum at Kew, which gives visitors an introduction to our purpose and the way we work. It showcases some of the most iconic items from our historic record collection, while also showing how we are handling the collection and preservation of today's digital information.
Government	<ul style="list-style-type: none"> ▶ We published the Information Matters strategy for the Civil Service (November 2008), to help government bodies develop the right tools, framework and culture to manage information more effectively and meet the challenges of the digital era. ▶ We provided the secretariat to the government's 30-Year Rule Review team. Following the report's publication in January 2009, we have been working closely with colleagues across government to develop a response to the review team's recommendations. ▶ We reviewed and refocused our Information Management Assessment (IMA) programme, reinforcing its effectiveness in helping government bodies to build their capability in information management. Key assessments included our first full IMA under the revised programme, undertaken at the Department for International Development, and a review of the Department of Health's compliance with the Lord Chancellor's Code of Practice on the Management of Records (outlined in Section 46 of the Freedom of Information Act 2000) on behalf of the Information Commissioner. ▶ We launched a programme to effectively capture and archive government websites, taking snapshots of central government sites on a regular basis. We also make sure that links on these sites remain active – even when the information they link to is no longer available on the live sites, but can be accessed in the UK Government Web Archive. ▶ We initiated and managed the 'Civil Pages' pilot project on behalf of the Cabinet Office – an online directory for the civil service, facilitating working together and providing a means of sharing knowledge securely between departments. ▶ The Office of Public Sector Information (OPSI) received praise from the European Commission at a pan-European ePSIplus conference on the implementation of the European Directive on the Re-use of Public Sector Information. ▶ We launched our 'Public Sector Information Unlocking Service' at the OpenTech Conference in July 2008. This straightforward, user-friendly service helps people obtain access to the information they need in appropriate formats. ▶ We welcomed the Statute Law Database team to The National Archives – a move that brings all of government's resources on publishing UK legislation together in one organisation.

Stakeholder	Achievements in 2008-2009
Archive sector	<ul style="list-style-type: none"> ▶ We developed and published for consultation a draft strategy for business archives in England and Wales in partnership with the Business Archives Council; the Society of Archivists; the Museums Libraries and Archives Council (MLA); the Welsh Assembly Government (through CyMAL); the Economic History Society; and the Association of Business Historians. It is designed to raise the profile of business archives and to promote their value to business and researchers alike. ▶ We launched our National Collections Strategy in August 2008, beginning a three-month consultation process. This strategy will support the development of collections within The National Archives and across the wider archive sector, identifying where our documentary heritage is under-represented and working to address gaps. ▶ We worked to develop a collections strategy for the London 2012 Olympics, Paralympic Games and associated Cultural Olympiad with key stakeholders including central and local government, archival and cultural institutions, sporting associations and broadcasters. ▶ We administered the National Cataloguing Grants Scheme, which supports the cataloguing of outstanding collections in need of external funding to provide access to their content. This year, the charitable foundations supporting this scheme awarded over £330,000 to the successful applicants.
Education sector	<ul style="list-style-type: none"> ▶ We launched our 'Cabinet Papers, 1915-1978' web resource for A Level and university students, featuring a host of interactive tools to help students engage with this original source material and understand how government decisions affect all our lives. ▶ We launched our Virtual Classroom, allowing students across the UK – and from other European countries and the USA – to participate in interactive online workshops. ▶ Our 'Focus on Film' website won a Focal International Award in the 'Best use of a non-television platform' category. It was also nominated for a Children's BAFTA. ▶ Our 'World War II' website for schools was selected by Intute (a consortium of seven universities) as exemplary material for undergraduates new to the study of the conflict. It was also shortlisted for a BETT Award in the 'Best secondary content' category. ▶ In conjunction with the British Film Institute, English Heritage and the South East Grid for Learning, we launched phase two of 'Unlocking Archives', a website enabling students and teachers to work with historical documents, films and photographs. ▶ Our outreach project with schools in East and West London – 'A Lifetime on Tiptoes' – focused on the events of the Indian Partition in 1948, and the experiences of those involved.

Stakeholder	Achievements in 2008-2009
Internal and staff	<ul style="list-style-type: none"> <li data-bbox="456 495 1369 591">▶ We took action to ensure that our policies and systems are well-prepared to prevent personal data loss, and implemented the Government Secure intranet (GSI) throughout our organisation. <li data-bbox="456 613 1326 678">▶ Natalie Ceeney, our Chief Executive, won the Information World Review (IWR) Professional of the Year award. <li data-bbox="456 701 1433 766">▶ We were delighted that two staff members were shortlisted for the Civil Service Equality and Diversity Awards.

Performance against strategic objectives and key performance

Indicators

The National Archives had 26 strategic objectives⁷ for 2008-2009, contributing towards our vision, as set out in the Strategic Plan 2008-2009 (nationalarchives.gov.uk/documents/strategic-plan0809.pdf). We achieved 24 of these objectives during the reporting year. The two remaining objectives (relating to workforce diversity initiatives and collaborative research tool development) are on track for completion during the reporting year 2009-2010. This strong performance is also reflected in the fact that we met eight of our ten key performance indicators⁸. The remaining two indicators were close to achievement by year-end, and each had individual elements within them that performed above target. Key performance indicators are validated by the Internal Audit service.

Table showing performance against our 2008-2009 Key Performance Indicators

Key performance indicator	08/09 Target	08/09 Outcome	Successfully achieved? ⁹	07/08 Outcome
Documents supplied – on site and online	70,000,000 documents supplied (online and on site) ¹⁰	113,726,135	Achieved	85,621,313
School visits – on site and online	1,810,000 schools visits (online and on site) ¹¹	1,993,850	Achieved	3,045,276
Maintain customer satisfaction	Maintain on site customer satisfaction: 90%+	90.1%	Achieved	95.3%
	Maintain online customer satisfaction: 80%	78% ¹²	Not Achieved	82.5%

7. **Strategic objectives** set out the priority projects and deliverables that we need to focus on each year to achieve our vision.

8. **Key performance indicators (KPIs)** are the measures that we check against to be sure that we are working effectively day-to-day to achieve our strategic objectives.

9. Internal Audit has agreed with our view of achievement status.

10. The target figure for 2008-2009 was lower than the 2007-2008 outcome. Documents supplied online include not only those delivered through our own website, but also those delivered via partner companies' sites. We had several online partnership launches in 2008-2009, and we recognised that performance during the year would be heavily reliant on partner organisations and their reporting models – we proposed a target taking this into account. However, a number of high-profile record launches online allowed us to exceed the target by a considerable margin – these included the widely-publicised launch of the 1911 Census online, which has proved very successful.

11. The target figure for 2008-2009 was lower than the 2007-2008 outcome – this was a result of technical changes in the way we monitor traffic, which remove artificial searches and offer a more accurate measure of true user behaviour. We reviewed our logs of visitors to the website in 2007-2008 and used these to estimate how much this new method would reduce the number of overall visits – the logs suggested that the drop in numbers could be as much as 50% overall, and we set the target for 2008-2009 accordingly.

12. We were disappointed to miss the target for this indicator by a narrow margin. Survey results during the year – along with other feedback from our customers – suggested that where customers were dissatisfied, this related directly or indirectly to the usability of our online catalogue. We aim to address these issues through the planned 'Our Future Catalogue' project, scheduled to commence in 2009-2010.

Key performance indicator	08/09 Target	08/09 Outcome	Successfully achieved? ⁹	07/08 Outcome
Information Standards and assessment user satisfaction	80%	99.2%	Achieved	New KPI for 2008-09
Official publishing satisfaction	80%	96.5%	Achieved	New KPI for 2008-09
Delivery of vision programme for 2008-09 within budget and in accordance with HM Treasury rules on End Year Flexibility	–	Achieved	Achieved	Achieved
Achieve 90% of our strategic objectives	90%	92.3%	Achieved	Achieved
Plan for measurable reduction in energy usage and reduced carbon emissions in place by December 2008	–	Achieved ¹³	Achieved	New KPI for 2008-09
Maximum of 9 days' sickness per member of staff (average)	9 days	7.7 days	Achieved	9.2 days
Achieve diversity for The National Archives' staff population as a whole	Women: 50% (+/- 5%) Ethnic minorities: 18% Disabled: 5% Top management women: 50%	Women: 46.4% Ethnic minorities: 16.3% Disabled: 5.2% Top management women: 52.4%	Women: achieved Ethnic minorities: not achieved ¹⁴ Disabled: achieved Top Management women: achieved	Women: 48.5% Ethnic minorities: 17.1% Disabled: 4.7% Top management women: 57.5%

13. Internal Audit has not queried our overall achievement status for any KPI – however, they did note that the energy/carbon-reduction plan was delivered in March 2009 rather than by December 2008.

14. We were disappointed that we did not meet this element of the KPI. We are committed to broadening the diversity of our workforce, and during 2009-2010 we aim to widen our recruitment reach by making more use of online advertising, including using specialist websites that target Black and Minority Ethnic audiences.

Annex A

Resource Accounts 2008-2009



1. Management commentary

About The National Archives

The National Archives' remit is summarised on page 7 of this report.

Vision

During 2008-2009, The National Archives continued to work in line with its vision for 2007-2012, which is detailed in Annex C. The vision has three main strands – to:

- ▶ Lead and transform information management.
- ▶ Guarantee the survival of today's information for tomorrow.
- ▶ Bring history to life for everyone.

Through this vision we aim to safeguard our collection of government records and our information assets by ensuring that digital information is managed as soon as it is created; that it survives for future generations to use; and that information can be delivered to our users and researchers in the best possible way to meet their needs.

Management and structure

During the year under review, the functions and duties of The National Archives were carried out by six directorates.

Directorate	Purpose	Brief overview of activities
Public Services	Responsible for the delivery and development of all our different services for the public and for schools. Also responsible for managing customer relations and maintaining service excellence at The National Archives.	Providing expert advice and other services to all our different customers through a variety of channels – online; through letters, emails and by telephone; face-to-face on site at Kew; running the public reading rooms; storing our records safely; and arranging a programme of schools visits, events and exhibitions.
Technology	Provide expert knowledge on Information and Communication Technology (ICT) matters and run key projects to enhance the technological capability of The National Archives and government to manage information effectively.	Developing methods for capturing, selecting and preserving electronic records, both now and in the future; advising on relevant aspects of government information policy; and maintaining and developing The National Archives' own ICT infrastructure.
Information Policy and Services	Provide strong and coherent leadership in information management and policy across government and the wider public sector.	Assessing and building information management capability across government; advising government and public record bodies on information policy; delivering access to public sector information (including legislation and other key official publications) and encouraging its re-use; guiding government and public record bodies on selection and transfer of records; and advising local archives across England and Wales.
Customer and Business Development	Responsible for the development of customer, product, and online strategy, developing business partnerships and trading services, conducting marketing and communications on behalf of The National Archives and improving the content of our websites.	With licensing partners, implementing large-scale digitisation projects that bring history to life for millions; building the reputation of The National Archives with the public and government through targeted communications; continuously improving our online provision, with the aim of better customer satisfaction.

Directorate	Purpose	Brief overview of activities
Human Resources and Organisational Development	Ensure that staff are recruited, retained, developed and cared for in such a way that facilitates the needs of the business.	Handling all aspects of recruitment and selection; pay; learning and development; employee relations; welfare; Human Resources (HR) policy development; HR administration; and HR advice.
Corporate Services and Finance	Ensure that The National Archives' corporate systems and physical infrastructure work properly, to fully meet the needs of the business.	Running essential support services in finance; procurement; internal audit; security; health and safety estates; and facilities. Monitoring project controls and risk management, and the running of our Collection Care department, which conserves and preserves our extensive archival collection.

How we work

Employment policy

The National Archives is committed to equal opportunities for all. Policies are in place to guard against discrimination and to ensure that there are no unfair or illegal barriers to employment or advancement within The National Archives. Suitability for employment is based on qualifications and eligibility of individuals irrespective of race, age, gender, marital status, disability or sexual orientation. The National Archives follows the Civil Service Code of Practice on the Employment of Disabled People, which aims to ensure that there is no discrimination on the grounds of disability. At the end of 2008-2009, The National Archives had 658 employees (632 full-time equivalents). These were made up of 638 permanent staff and 20 casual staff. 307 staff (47%) were women, 34 staff (5%) would have been recognised as having a disability in the context of the Disability Discrimination Act 1995, and 107 staff (16%) declared themselves to be from ethnic minorities. The National Archives proactively manages sickness absence, and the average absence rate has improved to 7.7 days (9.2 days 2007-2008) against the performance target of 9 days set for the year. The National Archives also has other people and skill resource requirements on a short-term and specific project basis. These are usually fulfilled by temporary staff (mainly agency workers and contractors – see Note 3 to the accounts), and during the year the number was equivalent to an additional 90 people providing services on an average equivalent cost basis.

The National Archives, through its senior managers, meets regularly with staff and Trade Union representatives in a number of forums, including Whitley Council, Health and Safety Committees and link groups. The National Archives also provides a welfare service for its employees.

Values

The National Archives has a set of common values for the organisation, which enshrine the principles of how we want to treat our customers and work ourselves. We poll staff regularly on how we are performing as an organisation against these values, and use them as a tool to challenge each other, and develop individually. These values are:

- ▶ Putting customers first.
- ▶ Responsible guardians.
- ▶ Information set free.
- ▶ Delivering what we promise.
- ▶ Everyone working together.

Our customers

The National Archives is committed to ensuring that the needs of our customers are central to our service development processes. We invite feedback via regular surveys and our 'your views matter' programme, and our online services follow a user-centred design approach in which they are prototyped and tested with real customers.

We also operate a number of formal groups, including:

- ▶ A monthly User Forum – open to all users of The National Archives; this group advises on a range of matters impacting on services for the public.
- ▶ Online User Advisory Panel – made up of users of The National Archives' online services; this group tests and feeds back on pilot, prototype and live systems.
- ▶ National Collections Strategy Panel – this panel of representatives from archival and other relevant bodies represents the interests of collecting bodies and other stakeholder organisations and institutions across England and Wales.
- ▶ Licensing Forum – this is a group of practitioners from across the public sector who work to improve licensing systems and processes.
- ▶ User Advisory Group for Social Inclusion – this group advises on matters of diversity, equality and access in The National Archives, with particular emphasis on enhancing our Catalogue.

Social, community, environmental and sustainability issues

The National Archives is committed to improving its environmental performance, and is working to meet challenging government targets for the reduction of carbon emissions and energy consumption through the implementation of a Sustainable Development Action Plan.

Our organisation is split across three sites. Our central London office shares accommodation with the Ministry of Justice, benefiting from energy-saving features such as sensor-controlled lighting and a waste disposal system designed to maximise recycling. Our Norwich office operates within Dragonfly House, the most environmentally-friendly office building in the city. Its design includes a rainwater-harvesting system, a solar collector on the roof, and an earth-duct system that uses the constant temperature underground as a source of heat in winter, and to cool the building in summer. Our Kew site is an integral part of the local landscape, and is committed to being a positive and responsible neighbour. Members of the public are free to use our grounds, we have hosted meetings for local organisations and we consult with the community when making significant changes to our buildings.

We provide innovative educational services and resources for school teachers and students, and work to develop new audiences among groups and communities who are at

risk of exclusion, raising awareness about the services we offer and the collections we hold. We have well-established strong links with primary and secondary schools throughout the local area around the Kew site. During 2008-2009, we taught nearly 15,000 students on site and online through our 'virtual classroom'. We welcomed over 4,000 visiting pupils from schools with an above-average proportion of students from ethnic minority backgrounds, and almost 3,000 from schools with above-average proportion of students eligible to receive free school meals.

Where appropriate, staff vacancies are advertised in relevant publications and websites to ensure that employment opportunities are widely accessible. We also work in partnership with Richmond Council for Voluntary Services to provide back-to-work voluntary placements for local people who have experienced mental health problems. We have a variety of volunteer opportunities, including cataloguing and editing projects, and we also run a positive-action internship scheme in partnership with University College London. This is the only internship of its kind in the archive sector, designed for students from Black and Minority Ethnic backgrounds interested in pursuing a Masters degree in Archives and Records Management.

Health and safety

The National Archives is committed to ensuring the health, safety and welfare of its employees, visitors, contractors and all others who may be affected by its activities. We fully accept our responsibilities under the Health and Safety at Work, etc Act 1974. We acknowledge that positive, proportionate health and safety risk management prevents harm and enables efficient delivery of services across the organisation. We also recognise that good health and safety management has a significant positive impact on the wellbeing of staff, service delivery and achieving financial targets.

The National Archives has a full-time Health and Safety Adviser on staff. The Health and Safety Committee includes staff representatives from operational areas, technical areas, Human Resources (HR), Estates, Security, Welfare and the Trade Unions, as well as senior management. The Committee meets regularly to review health and safety matters, accident statistics and to identify any corrective action which may be required to resolve any safety issues arising. The health and safety management system provides the basis for the leadership and co-ordination that are essential for achieving a positive health and safety culture.

Our financial and performance management, and risk management approach

Statement of payment practice

The National Archives operates a policy of paying within 30 days of receipt of goods or services, or receipt of the invoice (whichever is later). During 2008-2009, 93% of invoices were paid within agreed credit periods. In October 2008, the government made a commitment to speed up the payments process to pay SMEs wherever possible within ten days. We aim to reduce invoice payment times to ten working days, and all valid goods and services invoices received are paid as soon as they have been authorised by The National Archives' officials responsible for the payment. We are applying this policy to all suppliers of goods and services but will not be changing our existing contractual terms and conditions.

Preparation of the accounts

The accounts are prepared in accordance with the direction given by HM Treasury in pursuance of section 5(2) of the Government Resources and Accounts Act 2000.

Going-concern basis

The National Archives is financed by amounts drawn from the UK Consolidated Fund, approved annually by Parliament to meet the Department's Net Cash Requirement for the year. As with other government departments, the ongoing financing of The National Archives' activities and related liabilities is met by future grants from the UK Consolidated Fund and the application of future income, both to be approved annually by Parliament. Such approval for amounts required for 2009-2010 has already been given, and there is no reason to believe that future approvals will not be forthcoming. It has accordingly been considered appropriate to adopt a going-concern basis for the preparation of these financial statements.

Accounting policies

There were no changes to accounting policies adopted for the accounting year.

Financial control

The National Archives is funded through Supply Estimates. These are the formal means by which government seeks authority from Parliament for its own spending each year. The National Archives' net total resources provision, for which authority was sought and approved during the year, was £47.7 million. The actual resource outturn for the financial year was £45.5 million,

a resource surplus of £2.2 million. The approved net cash requirement was £41.1 million and actual outturn was £40.9 million, a surplus of £0.2 million, reflecting the careful management of cash resources.

Cash requirements are forecast on a monthly basis, in advance, and we liaise with HM Treasury to enable these funds to be made available through the Office of HM Paymaster General (OPG), which is The National Archives' main banking facility. Management information is reported to the Executive Team monthly and all budget holders are subjected to at least a quarterly review of all of their costs and revenue. This review enables us to respond quickly to variances, identify where action is required, and ensure that the best use is made of public money.

Financial position

In 2008-2009, The National Archives' net resource outturn of £45.5 million was £2.2 million less than the revised budget allocation (following the Machinery of Government transfer of the Statute Law Database team from the Ministry of Justice to The National Archives – see note 1.15 to the accounts). We monitored and utilised all of our resource allocation prudently, and this surplus mainly resulted from significantly lower than planned non-cash resource consumption. Non-cash resource consumption includes depreciation and cost of capital – these were significantly lower than expected because of an un-forecast downward movement of valuation indices late in the financial year, due to volatile economic conditions. This final financial position does reflect our close financial control of the discretionary elements of expenditure, and our continuing reviews of all investments required to maintain the infrastructure and reduce the ongoing running costs of the organisation over the review period. This control process applies to all activity, including project proposals, at The National Archives. We were only able to utilise some £0.8 million of the surplus, which will be applied to the additional capital expenditure incurred during the year above the capital budget limit of £2.5 million. We had no scope or authority to utilise the remainder, given that it was non-cash resource.

Total capital expenditure was £3.3 million. This was a result of completing projects delayed from the previous year, and accelerating investment projects and activity where value for money was achieved. Our largest projects this year were completing the refurbishment of our public reading rooms and developing the infrastructure of the Kew site – which started during the previous year; and the deployment and implementation of the Government Secure intranet project.

We face increasing financial pressures, not least those arising because of the current economic climate. The National Archives has its challenging vision to realise, as well as managing the ongoing pressures of dealing with

digital and paper information. All expenditure is reviewed critically to limit increases and invest in areas that will reduce our exposure to inflationary pressures.

Reconciliation of resource expenditure between Estimates, Accounts and Budgets

	£000	
	2008-09	2007-08
Net Resource Requirement (Estimates)	47,704	42,116
Net Operating Cost (Accounts)	45,526	43,170
<i>Adjustments to additionally include:</i>		
Machinery of Government transfer	–	(1,054)
Loss on disposal and impairment of fixed assets	(104)	(7)
	45,422	42,109
Resource Budget (Budget)	45,422	42,109
<i>of which:</i>		
Departmental Expenditure Limits (DEL)	45,422	42,109
Annually Managed Expenditure (AME)	–	–

Audit

The financial statements have been audited by the National Audit Office on behalf of the Comptroller and Auditor General. The audit fee was £69,000 (see Note 4 to the accounts) and also includes preparatory audit work of £7,000 for the planned implementation of International Financial Reporting Standards (IFRS) in 2009-2010. The National Audit Office did not provide any non-audit services during the year.

As far as the Accounting Officer is aware, there is no relevant audit information of which the National Audit Office is unaware. The Accounting Officer has taken all steps necessary to make herself aware of any relevant audit information and to establish that the entity's auditors are aware of that information.

Key performance targets

The National Archives had 26 strategic objectives¹⁵ for 2008-2009, contributing towards our vision, as set out in the Strategic Plan 2008-2009 (nationalarchives.gov.uk/documents/strategic-plan0809.pdf). We achieved 24 of these objectives during the reporting year by meeting all or some of the business targets set out at the start of the year for each objective, or through delivery of other initiatives, projects and targets developed in-year in response to changing stakeholder needs. The two remaining objectives (relating to workforce diversity initiatives and collaborative research tool development) are on track for completion during the reporting year 2009-2010. This strong performance is also reflected in the fact that we met eight of our ten key performance indicators¹⁶. The remaining two indicators were close to achievement by year-end, and each had individual elements within it that performed above target. Our performance against our key performance indicators is validated by the Internal Audit service and is shown in detail on pages 16-17.

Risks and uncertainties

The National Archives' major strategic risks are set out in a Strategic Risk Register. These risks were well controlled during the year and their controls were subject to regular formal scrutiny and challenge.

Information management is at the heart of The National Archives' business. With ways in which information is captured, stored and shared becoming increasingly complex, external events during the year highlighted the need to control risks associated with information security and data losses. Our practical response to this challenge was to encrypt all laptops used for official business, to halt the use of memory sticks to transfer data, and to disable USB ports and certain disc drives on staff computers. During the year, The National Archives issued new internal guidance on aspects of data handling and records management, much of which stemmed from the best practice recommended in the June 2008 report on *Data Handling Procedures in Government*.

Risks connected with the online release of the 1911 Census records were of particular concern during the year in terms of the potential impact on our online and on site customers and front-line resources, and were closely managed. The online launch in January 2009 was hugely successful.

The current economic situation means that the major risks faced by The National Archives in the future will inevitably be different. To help us be in the best position to respond to those new challenges, The National Archives carried out a review of its approach to strategic risk towards the end of the reporting year and is identifying controls to mitigate a new set of strategic risks for the future.

Information risk

We have significantly improved our data handling procedures in line with the *Data Handling Procedures in Government* report, including moving our email network to the Government Secure intranet. We have reviewed our progress against the Security Policy Framework and the Information Assurance Maturity Model. This review process has revealed no major weaknesses but has included recommendations for improvements, which are being implemented or will be implemented in 2009-2010.

Public sector information

The National Archives has complied with the cost allocation and charging requirements set out in HM Treasury and Office of Public Sector Information guidance. See note 5 to the accounts.

Reporting of personal data-related incidents

There were no protected personal data-related incidents in The National Archives in 2008-2009, or in the required reporting period from 2004 onwards. We will continue to monitor and assess our information risks in order to identify and address any weaknesses and ensure continuous improvements of our systems.

Pension liabilities

Present and past employees are covered by the provisions of the Civil Service pension arrangements. These are explained in more detail in the Remuneration Report and notes 1.11 and 1.12 to the accounts. Benefit expenditure for Civil Service pensions is borne on the Civil Superannuation Vote. Where The National Archives bears the cost of pension provision for staff, it is by the payment of an annual accruing superannuation charge. The charge is shown under 'other pension costs' in note 3 to the accounts.

Review of activities

A review of our activities during 2008-2009, in relation to our stakeholders, can be found on pages 12-15 of this report.

15. **Strategic objectives** set out the priority projects and deliverables that we need to focus on each year to achieve our vision.

16. **Key performance indicators (KPIs)** are the measures that we check against to be sure that we are working effectively day-to-day to achieve our strategic objectives.

Departmental report

The National Archives obtained permission from HM Treasury to present a combined departmental and annual report and resource accounts to Parliament in July 2009. This combined annual report includes the required elements of a departmental report. The required elements that are not within the body of the annual report or resource accounts are attached at Annex B.

The National Archives' governance

The National Archives Management Board consists of seven Executive Directors and four Non-executive Directors. At the end of 2008-2009, the members of the Management Board were:¹⁷

Natalie Ceeney

Chief Executive (Government Head of Profession – Knowledge and Information Management; Keeper of the Public Records; and Historical Manuscripts Commissioner)

Caroline Emerton

*(appointed with effect from 23 February 2009 and resigned with effect from 12 June 2009)*¹⁸

Director of Corporate Services and Finance

Jeff James *(appointed with effect from 10 June 2008)*¹⁹

Director of Public Services

Oliver Morley *(appointed with effect from 14 July 2008)*

Director of Customer and Business Development

Caroline Ottaway-Searle

*(appointed with effect from 19 August 2008)*²⁰

Director of Human Resources and Organisational Development

David Thomas

Director of Technology and Chief Information Officer

Carol Tullo

Director of Information Policy and Services (Controller, Her Majesty's Stationery Office; Queen's Printer of Acts of Parliament; Queen's Printer for Scotland and Government Printer for Northern Ireland; Director, Office of Public Sector Information)

Mark Addison

Non-executive Director

Bronwen Curtis CBE

Non-executive Director

Trevor Spires CBE

*(appointed with effect from 8 February 2009)*²¹

Non-executive Director

Professor the Baroness Young of Hornsey OBE

Non-executive Director

Details of the remuneration for the Chief Executive, other Senior Civil Servants and Non-executive Directors are shown in the Remuneration Report. There were no company directorships or other significant interests held by Management Board members that conflicted with their management responsibilities.



Natalie Ceeney

Accounting Officer

30 June 2009

17. Eileen Burbidge was a Non-executive Director from 19 May 2008 until 30 April 2009.

18. Erika Stoddart was Director of Corporate Services and Finance until 4 January 2009. Stephen Wells acted as Interim Director of Finance from 26 January to 9 April 2009.

19. James Strachan, Director of Public Services and Marketing, was seconded to be Secretary to the independent 30-Year Rule Review in October 2007, and Daniel Jones, Head of Business Development, and Jeff James, Head of Advice and Records Knowledge, joined the Executive Team and Management Board on an interim basis to represent this area. This continued until June 2008, when the directorate divided. Jeff James was formally appointed as Director of Public Services, and Oliver Morley became Director of Customer and Business Development in July 2009.

20. Mark Lamb was Director of Human Resources and Organisational Development until 31 July 2008.

21. Meyrick Vevers fulfilled this role until 20 March 2009.

2. Remuneration Report

Senior Civil Service Grades

The remuneration of senior civil servants is set by the Prime Minister following independent advice from the Review Body on Senior Salaries.

In reaching its recommendations, the Review Body has regard to the following considerations:

- ▶ The need to recruit, retain and motivate suitably able and qualified people to exercise their different responsibilities.
- ▶ Regional/local variations in labour markets and their effects on the recruitment and retention of staff.
- ▶ Government policies for improving public services, including the requirement on departments to meet the output targets for the delivery of departmental services.
- ▶ The funds available to departments as set out in the government's departmental expenditure limits.
- ▶ The government's inflation target.

The Review Body takes account of the evidence it receives about wider economic considerations and the affordability of its recommendations. Further information about the work of the Review Body can be found at www.ome.uk.com.

Service contracts

Civil service appointments are made in accordance with the Civil Service Commissioners' Recruitment Code. The code requires appointments to be made on merit, on the basis of fair and open competition, but also includes the circumstances when appointments may otherwise be made.

Unless otherwise stated below, the officials covered by this report hold appointments which are open-ended. Early termination, other than for misconduct, would result in the individual receiving compensation as set out in the Civil Service Compensation Scheme.

Natalie Ceeney was appointed on a five-year contract commencing on 17 October 2005. Her contract expires on 16 October 2010, with the possibility of extension.

Service contracts can also be terminated under the standard procedures of the Civil Service Management Code.

Further information about the work of the Civil Service Commissioners can be found at www.civilservicecommissioners.gov.uk.

Salary and pension entitlements

The following sections provide details of the remuneration and pension interests of the most senior officials of the department.

The Remuneration Committee consists of four Non-executive Directors: Mark Addison, Bronwen Curtis CBE, Trevor Spires CBE, and Professor the Baroness Young of Hornsey OBE²². The policy on remuneration of senior civil servants, and the deliberations of the Remuneration Committee, follow the guidance and recommendations of the Review Body on Senior Salaries. Senior staff have written objectives, agreed with the Chief Executive. Performance against these objectives, and against The National Archives' competency framework, forms the basis of their formal appraisal and subsequent pay and bonus recommendations. This information is used by the Remuneration Committee to determine pay awards according to the Senior Salaries Review Body's annual recommendations.

The Chief Executive's pay and bonus are dealt with by Pay Committee B of the Ministry of Justice.

Salary includes gross salary; performance pay or bonuses; overtime; reserved rights to London weighting or London allowances; recruitment and retention allowances; and any other allowance to the extent that it is subject to UK taxation. Percentage salary increases, and performance bonuses, are agreed by the Remuneration Committee in accordance with strict guidance and parameters set each year by the Cabinet Office. During the year a compensation payment was made to a person who was a Management Board member, in line with contractual entitlement. It was mutually agreed that the amount and terms of the payment will remain confidential.

The salary, and pension entitlements and the value of any taxable benefits in kind of the Chief Executive, Directors and Non-executive Directors of The National Archives, were as follows (audited):

22. This committee also included Eileen Burbidge, a Non-executive Director from 19 May 2008 until 30 April 2009.

Name	Salary 08/09	Salary 07/08	Accrued pension at age at 31/03/09 and related lump sum	Real increase in pension and related lump sum at pension age	CETV ²³ at 31/03/09	CETV at 31/03/08 ²⁴	Employee contributions and transfer in	Real increase in CETV
	£000 in bands of £5,000	£000 in bands of £5,000	£000 in bands of £5,000	£000 in bands of £2,500	Nearest £000	Nearest £000	Nearest £000	Nearest £000
Natalie Ceeney Chief Executive	135-140	115-120	15-20	0-2.5	166	136	4	14
Caroline Emerton Director (from 23 Feb 2009)	5-10 (Full year equivalent 90-95)	n/a	0-5	0-2.5	2	n/a	0	2
Jeff James Director (from 10 June 2008)	80-85 (Includes salary from 1st April as an interim Director)	n/a	5-10	0-2.5	71	n/a	2	17
Mark Lamb Director (to 31 July 2008)	20-25 (Full year equivalent 65-70)	70-75	0-5	0-2.5	48	41	1	6
Oliver Morley Director (from 14 July 2008)	60-65 (Full year equivalent 85-90)	n/a	0-5	0-2.5	10	n/a	2	10
Caroline Ottaway-Searle Director (from 19 Aug 2008)	50-55 (Full year equivalent 80-85)	n/a	0-5	0-2.5	13	n/a	2	11
David Thomas Director	95-100	85-90	35-40 plus 90-95 lump sum	0-2.5 minus 2.5- 5 on lump sum	869	793	3	20
Carol Tullo Director	95-100	90-95	10-15 plus 35-40 lump sum	0-2.5 plus 0-2.5 lump sum	251	221	1	14

23. **Cash Equivalent Transfer Value (CETV)** is the actuarially-assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. It is based on start or end dates where someone has started or left in year.

24. The figure may be different from the closing figure in last year's accounts. This is due to the CETV factors being updated to comply with The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations 2008.

Name	Salary 08/09	Salary 07/08	Accrued pension at pension age at 31/03/09 and related lump sum	Real increase in pension and related lump sum at pension age	CETV ²³ at 31/03/09	CETV at 31/03/08 ²⁴	Employee contributions and transfer in	Real increase in CETV
Erika Stoddart Director (to 4 Jan 2009)	80-85 (Full year equivalent 85-90)	90-95	0-5	0-2.5	57	37	3	14
James Strachan Director (to 13 Feb 2009)	70-75 (Full year equivalent 75-80)	75-80	5-10	0-2.5	71	53	4	9
Mark Addison Non-executive Director	10-15	10-15	n/a	n/a	n/a	n/a	n/a	n/a
Brownwen Curtis CBE Non-executive Director	10-15	10-15	n/a	n/a	n/a	n/a	n/a	n/a
Eileen Burbidge Non-executive Director (from 19 May 2008 to 30 Apr 2009)	10-15	10-15	n/a	n/a	n/a	n/a	n/a	n/a
Trevor Spires CBE Non-executive Director (from 8 Feb 2009)	0-5	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Meyrick Vevers Non-executive Director (to 20 March 2009)	10-15	10-15	n/a	n/a	n/a	n/a	n/a	n/a
Professor the Baroness Young of Hornsey OBE Non-executive Director	10-15	10-15	n/a	n/a	n/a	n/a	n/a	n/a

Natalie Ceeney, Caroline Emerton, Jeff James, Mark Lamb, Oliver Morley, Caroline Ottaway-Searle, Erika Stoddart, James Strachan, David Thomas, Carol Tullo, Mark Addison, Eileen Burbidge, Bronwen Curtis CBE, Trevor Spires CBE, Meyrick Vevers and Professor the Baroness Young of Hornsey OBE did not receive any benefits in kind. There were no employer contributions to partnership pension accounts in respect of any of the above.

Civil Service pensions

Pension benefits are provided through the Civil Service pension arrangements. From 30 July 2007, civil servants may be in one of four defined benefit schemes; either a 'final salary' scheme (*classic*, *premium* or *classic plus*); or a 'whole career' scheme (*nuvos*). These statutory arrangements are unfunded with the cost of benefits met by monies voted by Parliament each year. Pensions

payable under *classic*, *premium*, *classic plus* and *nuvos* are increased annually in line with changes in the Retail Prices Index (RPI). Members who joined from October 2002, could opt for either the appropriate defined benefit arrangement or a good quality 'money purchase' stakeholder pension with a significant employer contribution (partnership pension account).

Employee contributions are set at the rate of 1.5% of pensionable earnings for *classic* and 3.5% for *premium*, *classic plus* and *nuvos*. Benefits in *classic* accrue at the rate of 1/80th of final pensionable earnings for each year of service. In addition, a lump sum equivalent to three years' pension is payable on retirement. For *premium*, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike *classic*, there is no automatic lump sum. *Classic plus* is essentially a hybrid with benefits in respect of service before 1 October 2002 calculated broadly as per *classic*, and benefits for service from October 2002 calculated as in *premium*. In *nuvos* a member builds up a pension based on their pensionable earnings during their period of scheme membership. At the end of the scheme year (31 March), the member's earned pension account is credited with 2.3% of their pensionable earnings in that scheme year and, immediately after the scheme year end, the accrued pension is uprated in line with RPI. In all cases members may opt to give up (commute) their pension for a lump sum up to the limits set by the Finance Act 2004.

The partnership pension account is a stakeholder pension arrangement. The employer makes a basic contribution of between 3% and 12.5% (depending on the age of the member) into a stakeholder pension product chosen by the employee from a panel of three providers. The employee does not have to contribute but, where they do make contributions, the employer will match these up to a limit of 3% of pensionable salary (in addition to the employer's basic contribution). Employers also contribute a further 0.8% of pensionable salary to cover the cost of centrally-provided risk benefit cover (death-in-service and ill-health retirement).

The accrued pension quoted is the pension the member is entitled to receive when they reach pension age, or immediately on ceasing to be an active member of the scheme if they are already at, or over pension age. Pension age is 60 for members of *classic*, *premium* and *classic plus* and 65 for members of *nuvos*.

Further details about the Civil Service pension arrangements can be found at the website www.civilservice-pensions.gov.uk.

The Cash Equivalent Transfer Value (CETV)

This is the actuarially-assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme, or arrangement to secure pension benefits in another pension scheme, or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies. The figures include the value of any pension benefit in another scheme or arrangement that the individual has transferred to the Civil Service pension arrangements. They also include any additional pension benefit accrued to the member as a result of their buying additional pension benefits at their own cost. CETVs are calculated in accordance with The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations and do not take account of any actual or potential reduction to benefits resulting from Lifetime Allowance Tax which may be due when pension benefits are taken.

Real increase in CETV

This reflects the increase in CETV funded by the employer. It does not include the increase in accrued pension due to inflation or contributions paid by the employee (including the value of any benefits transferred from another pension scheme or arrangement) and uses common market-valuation factors for the start and end of the period.

Benefits in kind

The monetary value of benefits in kind covers any benefits provided by the employer and treated by HM Revenue & Customs as a taxable emolument.



Natalie Ceeney
Accounting Officer

30 June 2009

3. Statement of Accounting Officer's responsibilities

Under the Government Resources and Accounts Act 2000, The National Archives is required to prepare resource accounts for each financial year, in conformity with an HM Treasury direction, detailing the resources acquired, held, or disposed of during the year, and the use of resources by The National Archives during the year.

The resource accounts are prepared on an accruals basis and must give a true and fair view of the state of affairs of The National Archives, the net resource outturn, resources applied to objectives, recognised gains and losses and cash flows for the financial year. HM Treasury has appointed Natalie Ceeney, Chief Executive and the Permanent Head of the Department, as Accounting Officer of The National Archives with responsibility for preparing The National Archives' accounts and for transmitting them to the Comptroller and Auditor General.

In preparing the accounts, the Accounting Officer is required to:

- ▶ Observe the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis.
- ▶ Make judgments and estimates on a reasonable basis.
- ▶ State whether applicable accounting standards, as set out in the Government *Financial Reporting Manual*, have been followed, and disclose and explain any material departures in the accounts.
- ▶ Prepare the accounts on the going-concern basis.

The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of the public finances for which an Accounting Officer is answerable, for keeping proper records and for safeguarding the Department's assets, are set out in the Accounting Officers' Memorandum, issued by HM Treasury and published in *Managing Public Money*.

4. Statement on internal control

1. Scope of responsibility

As Accounting Officer, I have responsibility for maintaining a sound system of internal control that supports the achievement of The National Archives' policies, aims and objectives, while safeguarding the public funds and assets for which I am personally responsible, in accordance with the responsibilities assigned to me in *Managing Public Money*.

2. The purpose of the system of internal control

The system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of The National Archives' policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impacts should they be realised, and to manage them efficiently, effectively and economically. The system of internal control has been in place in The National Archives for the year ended 31 March 2009 and up to the date of approval of the annual report and accounts, and accords with HM Treasury guidance.

3. Capacity to handle risk

The risk management process has improved this year, building on improvements made during 2007-2008 within the risk management framework implemented in 2006-2007. The management of risk remains a living process and takes account of:

- ▶ Changes within The National Archives and within government.
- ▶ Regular monitoring at the Executive Team, Audit Committee and Management Board.
- ▶ Strengthening of governance structures that mean Directors are held accountable for their areas of responsibility.

I have personal statutory authority for investigations carried out by The National Archives, and as its Accounting Officer, have ultimate responsibility for managing risk, and responsibility for approving major decisions, taking into account The National Archives' risk profile or exposure.

Directors own all key strategic risks and the risk registers are used to monitor the organisation. I am pleased that

our recent Internal Audit Review of our risk management processes noted that progress had been made towards implementing all recommendations made by a previous audit of this area. Our main focus of internal audit work is the management of key risks.

The National Archives wishes to remain innovative in a number of areas and is consequently prepared to accept higher levels of risk than in the past. However, by continually reviewing and monitoring the status of its risks and its appetite for risk in key areas, The National Archives will proactively manage them.

4. The risk and control framework

To support me in ensuring the effective governance of The National Archives, all Non-executive Directors sit on the Audit Committee. The Chair of the Audit Committee is a qualified CCAB accountant with experience as a Finance Director in the private sector. The Audit Committee is the main governance oversight committee for The National Archives. The Non-executive Directors on the Management Board ensure that governance is at the heart of any board decision.

The Board provides specific advice and support to me on:

- ▶ Purpose, vision and values.
- ▶ Strategic direction, planning and risk management.
- ▶ Accountability to stakeholders, including stewardship of public funds.
- ▶ Internal control arrangements.

All Board members also meet formally and informally with other senior managers and are members of specific high-profile programme boards.

The key aim is to encourage and empower staff at all levels, and particularly Heads of Department and those who report directly to Directors, to introduce change to support effective delivery, innovation and improvement within a systematic framework of analysis, evaluation and review.

The risk registers are used to manage down any risk to within agreed risk appetite levels. We formally reviewed our appetite for types of risk during the year. A new headline risk category – *Compliance: Data and Information Handling* – was identified. The new appetites were published on our intranet and cascaded to programme, project and departmental risk registers to ensure consistency across the organisation.

Our Assurance Framework was embedded into the organisation and supports the statement on internal control. It covers the areas of:

- ▶ Principal objectives and key activities.
- ▶ Principal risks.
- ▶ Key controls.
- ▶ Assurances on controls.

Each Director will manage this for their directorate.

The strategic risk register has been closely tied to our vision and, within that, to the strategic priorities and Business Plan targets.

Strategic risks during the year covered the following areas:

- ▶ Delivering our vision – we needed to ensure that we remained flexible and adapted quickly and appropriately to change while remaining on track to deliver our five-year vision.
- ▶ 1911 Census – we needed to ensure that our commercial partner in publishing the 1911 Census online delivered a quality product on time.
- ▶ Stakeholder management: positioning and communication with stakeholders – we needed to ensure that stakeholders were clear about our role and purpose to enable us to be effective in influencing them.
- ▶ Talent management – we needed to ensure that we kept and developed our workforce for the future to be adaptable, diverse and well-motivated.
- ▶ Protection of the physical record collection – we needed to ensure that proper physical and environmental controls were identified and implemented.
- ▶ Delivering information policy – we needed to ensure that we were sharing knowledge and using it effectively.
- ▶ Business continuity management – we needed to continue developing our major-incident planning.
- ▶ Data handling – we needed to protect personal or sensitive data that we hold about our staff and our users, as well as that relating to individuals and which is contained within our historic record collection.
- ▶ Finance – we needed to ensure that we operated within our budget and kept running costs to a minimum by maximising efficiency while identifying options for future cost savings.
- ▶ Digital continuity – we needed to deliver an appropriate shared service to government.

This year we closed strategic risks associated with delivering expected benefits of the reading rooms' refurbishment programme and added a financial risk related to workforce strategy and numbers, given the economic climate.

The Strategic Risk Register and achievement against Business Plan targets is formally reviewed quarterly by the Executive Team, Management Board and Audit Committee. The Executive Team and Management Board formally review our financial position monthly. The Executive Team formally reviews achievement against our Key Performance Indicators (KPIs)²⁵ monthly. Exception business reports are submitted quarterly to the Executive Team and the Management Board and detail achievement against KPIs, Business Plan targets and Public Service standards.

Through regular review of the Strategic Risk Register, it became clear that its content no longer reflected the key risks we faced or had the correct emphasis in the light of recent external and internal changes. Towards the end of the year, we refreshed our set of strategic risks: new ones were identified, some existing risks were reworded and others were retained, but as lower level sub-risks. Our biggest risk remains our ongoing funding challenge, particularly in the light of the increasing ongoing cost of maintaining the Kew estate.

5. Review of effectiveness

As Accounting Officer, I have responsibility for reviewing the effectiveness of the system of internal control. My review of the effectiveness of the system of internal control is informed by the work of the internal auditors and the Executive Directors and senior managers within The National Archives who have responsibility for the development and maintenance of the internal control framework, and comments made by the external auditors in their Management Letter and other reports. I have been advised on the implications of the result of my review of the effectiveness of the system of internal control by the Board and the Audit Committee, and a plan is in place to address any weaknesses and ensure continuous improvement of the system.

The Audit Committee is responsible for providing advice and assurance on the adequacy and effectiveness of internal control and risk management. It also oversees internal and external audit arrangements, which cover all areas of The National Archives' work, including both financial and non-financial systems. The Audit Committee

25. **Key performance indicators (KPIs)** are the measures that we check against to be sure that we are working effectively day-to-day to achieve our strategic objectives.

has continued to challenge the management of strategic risks, concentrating on one for each of its meetings – inviting the Strategic Risk owner and sub-risk owners and, where appropriate, members of project or business teams to talk about management of the risk in detail. This year this has included the reading rooms' refurbishment programme outcomes and budgets, the 1911 Census project (pre-launch), human resources and organisational capability, and development and data handling. The discussion will normally test management of the risk and the usefulness of the Risk Management Process in supporting those managing the risk.

During the year, internal audit services were provided by the Department for Transport (DfT), following the completion of our audit contract with HM Land Registry. The DfT Team operating to Government Internal Audit Standards, completed a full programme of internal audit work around the strategic risks. All reports are being acted upon and improvements have been made during the year.

6. Information risk

The National Archives' business is information management and we lead in this area across government. Traditionally we have managed the risk of information loss through physical controls and we continue to use those controls for our historic record collection. In the digital age, as the number of ways that electronic information can be stored and transferred increases, so does the risk of information loss. We take our information risk management responsibilities seriously and the most significant action we took this year to improve control was the move of our email network to the Government Secure intranet (GSI), as detailed previously. This marked a step-change in our IT security and, while it imposed restrictions in ways that information is managed within The National Archives, we have not allowed these to adversely affect operational efficiency.

7. Reporting of personal data-related incidents

There were no protected personal data-related incidents in The National Archives in 2008-2009, or in the required reporting period from 2004 onwards. We will continue to monitor and assess our information risks in order to identify and address any weaknesses and ensure continuous improvements of our systems.

8. Overall

I gain assurance from my Directors, various committees, feedback from Stakeholders, Internal Audit Reports, Stewardship Reports, KPIs and external validation, e.g. Charter Mark. I am content that we understand any control issues facing The National Archives and, where weaknesses are identified, have put in place action plans to mitigate the risks.



Natalie Ceeney

Chief Executive

30 June 2009

5. Audit Certificate and Report

THE NATIONAL ARCHIVES

THE CERTIFICATE AND REPORT OF THE COMPTROLLER AND AUDITOR GENERAL TO THE HOUSE OF COMMONS

I certify that I have audited the financial statements of The National Archives for the year ended 31 March 2009 under the Government Resources and Accounts Act 2000. These comprise the Statement of Parliamentary Supply, the Operating Cost Statement and Statement of Recognised Gains and Losses, the Balance Sheet, the Cash Flow Statement and the Statement of Net Operating Costs by Departmental Strategic Objectives and the related notes. These financial statements have been prepared under the accounting policies set out within them. I have also audited the information in the Remuneration Report that is described in that report as having been audited.

Respective responsibilities of the Accounting Officer and auditor

The Accounting Officer is responsible for preparing the Annual Report, which includes the Remuneration Report, and the financial statements in accordance with the Government Resources and Accounts Act 2000 and HM Treasury directions made thereunder and for ensuring the regularity of financial transactions. These responsibilities are set out in the Statement of Accounting Officer's Responsibilities.

My responsibility is to audit the financial statements and the part of the Remuneration Report to be audited in accordance with relevant legal and regulatory requirements, and with International Standards on Auditing (UK and Ireland).

I report to you my opinion as to whether the financial statements give a true and fair view and whether the financial statements and the part of the Remuneration Report to be audited have been properly prepared in accordance with HM Treasury directions issued under the Government Resources and Accounts Act 2000. I report to you whether, in my opinion, the information which comprises the management commentary, included in the Annual Report, is consistent with the financial statements. I also report whether in all material respects the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

In addition, I report to you if the Department has not kept proper accounting records, if I have not received all the information and explanations I require for my audit, or if information specified by HM Treasury regarding remuneration and other transactions is not disclosed.

I review whether the Statement on Internal Control reflects the Department's compliance with HM Treasury's guidance, and I report if it does not. I am not required to consider whether this statement covers all risks and controls, or to form an opinion on the effectiveness of the Department's corporate governance procedures or its risk and control procedures.

I read the other information contained in the Annual Report and consider whether it is consistent with the audited financial statements. The other information comprises: Introduction from the Chief Executive, The National Archives' remit, Our staff, Our performance in 2008-2009 and the unaudited part of the Remuneration report and Annexes B to E. I consider the implications for my certificate if I become aware of any apparent misstatements or material inconsistencies with the financial statements. My responsibilities do not extend to any other information.

Basis of audit opinions

I conducted my audit in accordance with International Standards on Auditing (UK and Ireland) issued by the Auditing Practices Board. My audit includes examination, on a test basis, of evidence relevant to the amounts, disclosures and regularity of financial transactions included in the financial statements and the part of the Remuneration Report to be audited. It also includes an assessment of the significant estimates and judgments made by the Accounting Officer in the preparation of the financial statements, and of whether the accounting policies are most appropriate to the Department's circumstances, consistently applied and adequately disclosed.

I planned and performed my audit so as to obtain all the information and explanations which I considered necessary in order to provide me with sufficient evidence to give reasonable assurance that the financial statements and the part of the Remuneration Report to be audited are free from material misstatement, whether caused by fraud or error, and that in all material respects the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them. In forming my opinion I also evaluated the overall adequacy of the presentation of information in the financial statements and the part of the Remuneration Report to be audited.

Opinions

In my opinion:

- ▶ The financial statements give a true and fair view, in accordance with the Government Resources and Accounts Act 2000 and directions made thereunder by HM Treasury, of the state of the Department's affairs as at 31 March 2009, and the net cash requirement, net resource outturn, net operating cost, net operating costs applied to departmental strategic objectives, recognised gains and losses and cash flows for the year then ended;
- ▶ The financial statements and the part of the Remuneration Report to be audited have been properly prepared in accordance with HM Treasury directions issued under the Government Resources and Accounts Act 2000; and
- ▶ Information that comprises the Management Commentary, included within the Annual Report, is consistent with the financial statements.

Opinion on Regularity

In my opinion, in all material respects, the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

Report

I have no observations to make on these financial statements.

Amyas C E Morse

*Comptroller and Auditor General
National Audit Office*

151 Buckingham Palace Road
Victoria
London
SW1W 9SS

3 July 2009

6. Accounts Summary

Statement of Parliamentary Supply

Summary of resource outturn 2008-2009

					2008-09			2008-09	2007-08			
					Estimate			Outturn				
								Net total outturn compared with Estimate: saving/ (excess)				
					Gross Expenditure	A in A	NET TOTAL	Gross Expenditure	A in A	NET TOTAL	Outturn	
					1	2	3	4	5	6	7	8
					£000	£000	£000	£000	£000	£000	£000	£000
Request for Resources 1	Note 2	56,494	(8,790)	47,704	53,277	(7,751)	45,526	2,178	42,116			
Total Resources		56,494	(8,790)	47,704	53,277	(7,751)	45,526	2,178	42,116			
Non-Operating-Cost A in A		–	–	–	–	–	–	–	–			
Net Cash Requirement	8			41,053			40,886	167	34,962			

Net Cash Requirement				2008-09	2007-08
Estimate				Outturn	Outturn
				Net total outturn compared with Estimate saving/ (excess)	
				£000	£000
	Note	£000		£000	£000
Net Cash Requirement	8	41,053		40,886	34,962

Summary of income payable to the Consolidated Fund

(In addition to the appropriations in aid, the following income relates to the department and is payable to the Consolidated Fund)

		2008-09 Forecast		2008-09 Outturn	
		Income	Receipts	Income	Receipts
		£000	£000	£000	£000
Total	Note 5	–	–	–	–

The variance between resource estimates and outturn relates mainly to lower than expected non-cash expenditure. Planned activity and projects were reassessed during the year, including estate management and capacity, plant, and environmental issues, allowing some projects to be brought forward.

The variance between estimate and net cash requirement was reduced by accelerating some capital activity to enhance physical and technological environments under increased scrutiny to ensure best value for money. Explanations of variances between Estimate and outturn are given in note 2 and in the Management Commentary.

The notes on pages 41 to 60 form part of these accounts.

Operating Cost Statement

for the year ended 31 March 2009

		2008-09			2007-08 (Restated)		
	Note	Staff Costs £000	Other Costs £000	Income £000	Staff Costs £000	Other Costs £000	Income £000
Programme Costs:							
Request for Resources 1							
Staff Costs	3	26,537			23,428		
Other administration costs	4		26,740			25,901	
Operating income	5			(7,751)			(6,159)
Totals		26,537	26,740	(7,751)	23,428	25,901	(6,159)
Net Operating Cost	7			45,526			43,170

All income and expenditure relates to continuing operations.

Statement of Recognised Gains and Losses

for the year ended 31 March 2009

	Note	2008-09 £000	2007-08 £000
Net gain/(loss) on revaluation of tangible fixed assets	21	(17,290)	–
Recognised gains and losses for the financial year		(17,290)	0

The notes on pages 41 to 60 form part of these accounts.

Balance Sheet

as at 31 March 2009

	Note	31 March 2009		31 March 2008	
		£000	£000	£000	£000
Fixed Assets					
Tangible assets	11	94,335		112,437	
Intangible assets	12	768		1,149	
			95,103		113,586
Debtors falling due after more than one year	16		13		19
Current Assets					
Stocks	15	200		408	
Debtors	16	5,614		2,631	
Cash at bank and in hand	17	167		1,114	
		5,981		4,153	
Creditors (amounts falling due within one year)	18	(11,599)		(10,036)	
Net Current Liabilities			(5,618)		(5,883)
Total Assets less Current Liabilities					
			89,498		107,722
Provisions for Liabilities and Charges	19		(762)		(562)
			88,736		107,160
Taxpayers' Equity					
General fund	20	67,291		68,056	
Revaluation reserve	21	21,445		39,104	
			88,736		107,160

The notes on pages 41 to 60 form part of these accounts.



Natalie Ceeney
Accounting Officer

30 June 2009

Cash Flow Statement

for the year ended 31 March 2009

		2008-09	2007-08 (Restated)
	Note	£000	£000
Net cash outflow from operating activities	23a	(37,625)	(30,048)
Capital expenditure and financial investment	23b	(3,261)	(5,771)
Payments of amounts due to the Consolidated Fund	23d	(197)	–
Financing	23c	40,136	35,272
(Decrease)/Increase in cash in the period	23d	(947)	(547)

The notes on pages 41 to 60 form part of these accounts.

Net Operating Costs by Departmental Aims and Objectives

for the year ended 31 March 2009

Aims:

- ▶ Lead and transform information management.
- ▶ Guarantee the survival of today's information for tomorrow.
- ▶ Bring history to life for everyone.

Objectives:	2008-09			2007-08 (Restated)		
	Gross	Income	Net	Gross	Income	Net
	£000	£000	£000	£000	£000	£000
Lead and transform information management						
Shaping policy on information from its creation to re-use showing leadership across the public sector and helping to develop a common infrastructure of services and guidance.	6,619	(1,597)	5,022	5,791	(1,246)	4,545
Guarantee the survival of today's information for tomorrow						
Preserving the nation's existing paper records and working across government and the wider public sector so that digital information can continue to be accessed for both today's business and tomorrow's history.	12,943	(359)	12,584	12,145	(286)	11,859
Bring history to life for everyone						
Providing people worldwide with access to our records and helping everyone use them to excite and enrich their lives.	33,715	(5,795)	27,920	31,393	(4,627)	26,766
Net Operating Cost	53,277	(7,751)	45,526	49,329	(6,159)	43,170

see note 22.

The notes on pages 41 to 60 form part of these accounts.

Notes to the accounts

1. Statement of accounting policies

The financial statements have been prepared in accordance with the 2008-2009 Financial Reporting Manual issued by HM Treasury. The particular accounting policies adopted by The National Archives are described below. They have been applied consistently in dealing with items considered material in relation to the accounts. In addition to the primary statements prepared under UK GAAP, the Financial Reporting Manual also requires the Department to prepare two additional primary statements. The Statement of Parliamentary Supply and supporting notes show outturn against Estimates in terms of net resource requirement and the net cash requirement. The Statement of Net Operating Costs by Departmental Aim and Objectives and supporting notes analyse the Department's income and expenditure by the objectives agreed with Ministers.

Where the Financial Reporting Manual permits a choice of accounting policy, the accounting policy that has been judged to be the most appropriate to the particular circumstances of the Department for the purpose of giving a true and fair view has been selected. This Department's accounting policies have been applied consistently in dealing with items considered material in relation to the accounts.

1.1 Accounting convention

These accounts have been prepared under the historical cost convention modified to account for any material revaluation of fixed assets at their value to the business by reference to their current costs.

1.2 Tangible fixed assets

Tangible fixed assets other than land and buildings consist of computer hardware and software, plant and machinery and office equipment. Public records and other heritage assets held by The National Archives are not valued and capitalised. The records held by The National Archives span 1000 years and fill 178 kilometres of shelving. They are held in many formats, from medieval vellum and parchment to modern computer disks. They are made up of a variety of items ranging from traditional paper records to seals, maps, costumes, paintings, films and items of court evidence. Most of the records are unique and irreplaceable and have been preserved for their historical, legal and administrative value.

The National Archives is the beneficial owner of the freehold land and buildings at Kew.

Freehold land and buildings are stated at current cost using professional valuations every five years and appropriate indices in intervening years. Professional valuation was last carried out in the financial year 2006-2007. Other tangible fixed assets have been stated at current cost using appropriate indices where material.

The minimum level for capitalisation of an individual tangible fixed asset is £1,000.

1.3 Intangible fixed assets

Intangible fixed assets comprise software licences purchased from third parties, amortised over the life of the licence, and costs associated with systems in the course of construction as they are developed and implemented, amortised over their estimated useful life for up to five years.

1.4 Depreciation

Freehold land is not depreciated.

Depreciation is provided at rates calculated to write-off the valuation of freehold buildings and other tangible fixed assets by equal instalments over their estimated useful lives. Assets in the course of construction are not depreciated. Lives are normally in the following ranges:

Freehold buildings	up to 50 years
Computer hardware and software	up to five years
Office equipment	up to ten years
Conservation equipment	up to 25 years
Electric trucks	up to ten years

1.5 Stocks and work in progress

Stocks and work in progress are valued at the lower of cost and net realisable value.

1.6 Operating income

Operating income is income that relates directly to the operating activities of The National Archives. It principally comprises fees and charges for services provided to external customers, but it also includes grants and contributions from other government departments.

1.7 Deferred income

This comprises payments in advance for work that has not been undertaken at the balance sheet date.

1.8 Administration expenditure

All administration budget spending was reclassified as programme spending during 2007-2008 following a review with HM Treasury. This reflected the fact that the

majority of the resources were consumed in providing direct services of, for example, public access to national records, family records and archives at Kew; the publishing, conservation and preservation of records; and UK information management advice and policy including standards, compliance, and copyright. This change was neutral in public expenditure and all costs are now recorded against 'Other Current' within Estimates.

1.9 Programme expenditure

Programme expenditure reflects the total costs of service delivery, including all administrative costs, of The National Archives following the reclassification of expenditure in 2007-2008. See note 1.8.

1.10 Capital charge

The non-cash capital charge, reflecting the cost of capital utilised by the Department, is included in operating costs. The charge is calculated at the government's standard rate of 3.5% in real terms on the average of opening and closing net assets employed except amounts to be surrendered to the Consolidated Fund and cash holdings with the Office of the Paymaster General, where the charge is nil.

1.11 Pensions

Past and present employees are covered by the provisions of the Principal Civil Service Pension Schemes (PCSPS), which are described in the Remuneration Report. The defined benefit elements of the scheme are unfunded and are non-contributory except in respect of dependents' benefits. The Department recognises the expected cost of these elements on a systematic and rational basis over the period during which it benefits from the employees' service by payments to the PCSPS of amounts calculated on an accruing basis. Liability for payment of future benefits is a charge on the PCSPS. In respect of the defined contribution elements of the schemes, the Department recognises the contributions payable for the year.

1.12 Early departure costs

The National Archives is required to meet the additional cost of benefits beyond the normal PCSPS benefits in respect of employees who retire early. The National Archives provides in full for this cost when the early retirement programme has been announced and is binding on the Department.

1.13 Operating leases

Operating lease rentals are charged to the operating cost statement in equal amounts over the lease term.

1.14 Value Added Tax (VAT)

Most of the activities of the Department are outside the scope of VAT and, in general, output tax does not apply and input tax on purchases is not recoverable. Irrecoverable VAT is charged to the relevant expenditure category or included in the capitalised purchase price of fixed assets. Where output tax is charged or input tax is recoverable, the amounts are stated net of VAT.

1.15 Machinery of Government transfer of the Statute Law Database team

With effect from 12 December 2008, the Statutory Publications Office (SPO) – now known as the Statute Law Database team – was transferred from the Ministry of Justice to The National Archives. In accordance with HM Treasury guidance in the Financial Reporting Manual this has been accounted for as a merger. As a consequence, the 2007-2008 comparative figures have been restated to include SPO operating costs and balances. The restated figures for 2007-2008 primary statements are as follows:

	2007-08 TNA Restated £000	2007-08 TNA £000	Pre Merger 2007-08 SPO £000
Net Operating Cost	43,170	42,116	1,054
Recognised Gains and Losses	–	–	–
Net Assets	107,160	107,160	–
Net Cash Inflow from Financing	35,272	34,218	1,054

All figures for 2008-2009 are inclusive for both organisations.

1.16 Third Party Assets

The National Archives holds monetary assets on a temporary basis on behalf of other government departments for disbursement to them. These balances are related to arrangements for the collection and allocation of income that is generated by the licensing of Crown copyright material originated by departments and agencies that do not have delegated authority. The Director of Information Policy and Services at The National Archives is the Controller of HMSO who has responsibility for the management and licensing of copyrights owned by the Crown in her capacity as Queen's Printer and Queen's Printer for Scotland. At the 31 March 2009 the value of these cash assets was £98,376.

2. Analysis of net resource outturn by section

	Outturn						2008-09 Estimate	2007-08 (Restated)	
	Admin. £000	Other Current £000	Grants £000	Gross Resource Expenditure £000	A in A £000	NET Total £000	NET Total £000	Net Total outturn compared with Estimate £000	Prior-year outturn £000
Request for resources 1:									
Promoting the study of the past in order to inform the present and the future. Selecting, preserving and making publicly available public records of historical value. Encouraging high standards of care and public access for archives of historical value outside the public records. Leading on UK information management re-use policy, spreading best practice, setting standards and ensuring compliance across the public sector. Managing Crown and Parliamentary copyright and delivering cost effective publishing services and advice across government.	–	53,277	–	53,277	(7,751)	45,526	47,704	(2,178)	43,170
Resource Outturn	–	53,277	–	53,277	(7,751)	45,526	47,704	(2,178)	43,170

The variance between resource estimates and outturn relates mainly to significantly lower than planned non-cash resource consumption. Non-cash resource consumption includes depreciation and cost of capital – these were significantly lower than expected because of an un-forecast downward movement of valuation indices late in the financial year, due to volatile economic conditions. Planned activity and projects were reassessed during the year, including estate management and capacity, plant and environmental issues, allowing some projects to be brought forward.

Detailed explanations of the variances are given in the Management Commentary.

3. Staff Numbers and Costs

A. Staff costs consist of:

	2008-09		2007-08 (Restated)
	£000	£000	£000
	Permanently Employed Staff	Others	Total
Wages and salaries	18,749	3,271	22,020
Social Security costs	1,426	–	1,426
Other pension costs	3,447	–	3,447
Sub total	23,622	3,271	26,893
Less recoveries in respect of outward secondments	(356)	–	(356)
Total net costs	23,266	3,271	26,537

- B. The PCSPS is an unfunded multi-employer defined benefit scheme but The National Archives is unable to identify its share of the underlying assets and liabilities. A full actuarial valuation of the scheme was carried out as at 31 March 2007 by the scheme's Actuary, Hewitt Bacon & Woodrow. Details can be found in the resource accounts of the Cabinet Office: Civil Superannuation (www.civilservice-pensions.gov.uk).
- C. For 2008-2009, employers' contributions of £3,339,479 were payable to the PCSPS (2007-2008: £3,225,275) at one of four rates in the range 17.1 to 25.5% of pensionable pay, based on salary bands. Employer contributions are reviewed every four years following a full-scheme valuation by the Government Actuary. The contribution rates reflect benefits as they are accrued, not when the costs are actually incurred, and include past experience of the scheme.
- D. Employees joining after 1 October 2002 could opt to open a partnership account – a stakeholder pension with an employer contribution. During 2008-2009, employers' contributions of £42,588 were paid to one or more of a panel of four appointed stakeholder pension providers (2007-2008: £32,766). Employer contributions are age-related and range from 3 to 12.5% of pensionable pay. Employers also match employee contributions up to 3% of pensionable pay. In addition, employer contributions of £3,104 (2007-2008: £2,410), 0.8% (2007-2008: 0.8%) of pensionable pay, were payable to the PCSPS to cover the cost of the future provision of lump-sum benefits on death-in-service and ill health retirement of these employees.

Contributions due to the partnership pension providers at the balance sheet date were actually £6,954 (2007-2008: £4,475). Contributions pre-paid at that date were nil.

- E. The average number of full-time equivalent persons employed, including senior management, during the year was as follows:

	2008-09	2007-08 Restated
	No.	No.
Lead and transform information management	108	102
Guarantee the survival of today's information for tomorrow	153	150
Bring history to life for everyone	347	356
	608	608

The average number of employees during 2007-2008 was 589 for The National Archives and 19 for the Statutory Publications Office.

- F. Temporary staff costs increased from £1.93 million in 2007-2008 to £3.49 million in 2008-2009, reflecting the use of temporary staff to fill people and skill-resource requirements on a short-term basis or to fulfil the requirements of specific projects during the year. These were mainly agency workers and contractors, and during the year the number was equivalent to an additional 90 people providing services on an average equivalent-cost basis. No staff costs were capitalised during the year.

4. Programme Costs

	2008-09		2007-08 (Restated)
	£000	£000	£000
Rentals under operating leases:			
Hire of plant and machinery	392		341
Other operating leases	33		594
		425	935
Non-cash items:			
Depreciation			
Civil Estate	2,245		2,739
Other fixed assets	1,757		1,905
Downward revaluation of fixed assets	348		–
Impairments	91		–
Loss on disposal of fixed assets	13		7
Cost of capital charge			
Civil Estate	3,437		3,736
Auditor's remuneration - audit work	69		65
Provisions:			
Provided in year	272		125
		8,232	8,577
Other expenditure			
Accommodation	6,924		6,969
Consultancy	214		236
University of London	642		717
Travel, subsistence and hospitality	429		375
Recruitment and training	966		821
Digitisation	23		74
IT maintenance	1,030		758
Shop stores	173		178
Conferences	138		161
Minor Software & Hardware	1,014		556
Advertising	18		15
Record Copying materials	145		144
Legal Expenses	241		158
Telecommunications	60		84
Other expenditure	4,693		3,894
Public Access	1,348		1,169
Internal Audit	25		80
		18,083	16,389
		26,740	25,901
Note A - the total of non-cash items included in the Reconciliation of Resources to Net Cash Requirement comprises:			
		2008-09	2007-08
		£000	£000
Total non-cash transactions as above		8,232	8,577
Adjustment for loss on disposal of tangible fixed assets		(13)	(7)
Non-cash items per reconciliation of resources to net cash requirement		8,219	8,570

5. Operating income

Analysis of income payable to the Consolidated Fund

In addition to appropriations-in-aid (A in A), the following income relates to the Department and is payable to the Consolidated Fund (cash receipts being shown in italics):

	Note	2008-09 Forecast		2008-09 Outturn	
		Income £000	Receipts £000	Income £000	Receipts £000
Operating income and receipts - excess A in A		–	–	–	–
Operating income not classified as A in A		–	–	–	–
Non-operating income not classified as A in A		–	–	–	–
Other amounts collectable on behalf of the Consolidated Fund		–	–	–	–
Excess cash receipts to be surrendered to the Consolidated Fund		–	–	–	–

a) Operating income not appropriated-in-aid (transferred to the Consolidated Fund) is analysed for resource budget purposes between that which is included in public expenditure and that which is not (see note 7). In 2008-2009, there was no income classified as non-A in A.

2008-09	Resource Outturn		Operating Cost Statement	
	A in A £000	Payable to Consolidated Fund £000	Income £000	
Operating income analysed by classification and activity, is as follows:				
Income:				
Fees and charges to external customers	7,024	–	7,024	
Fees and charges to other government departments	727	–	727	
	7,751	–	7,751	

2007-08	Resource Outturn		Operating Cost Statement	
	A in A £000	Payable to Consolidated Fund £000	Income £000	
Operating income analysed by classification and activity, is as follows:				
Income:				
Fees and charges to external customers	5,692	–	5,692	
Fees and charges to other government departments	467	–	467	
	6,159	–	6,159	

5. Operating Income continued

b) An analysis of operating income from services provided is as follows:

	2008-09	2008-09	2008-09
	Income	Full cost	(Deficit)/Surplus
	£000	£000	£000
Record Copying services	920	1,270	(350)
Information and Publishing	4,554	4,503	51
Other	1,642	1,642	–
Digital Continuity	635	635	–
	7,751	8,050	(299)

	2007-08	2007-08	2007-08
	Income	Full cost	(Deficit)/Surplus
	£000	£000	£000
Record Copying services	1,106	1,222	(116)
Information and Publishing	3,238	3,101	137
Other	1,457	1,457	–
Digital Continuity	358	358	–
	6,159	6,138	21

c) The National Archives is required, in accordance with HM Treasury's Fees and Charges Guide and recommendations relating to Public Sector Information Holders, to disclose performance results for its areas of activity. The segmental analysis is not intended to meet the requirements of Statement of Standard Accounting Practice 25: Segmental Reporting.

6. Outturn against final administration budget

Following a review with HM Treasury, it was agreed to reclassify administration budget spending as programme spending from 2007-2008 onwards. This reflected the fact that the majority of the resources are consumed in providing direct services of, for example, public access to national records, family records and archives at Kew; the publishing, conservation and preservation of records; and UK information management advice and policy including standards, compliance, and copyright. This change was neutral in public expenditure and all costs are recorded against 'Other Current' within Estimates.

7. Reconciliation of net operating cost to control total and net resource outturn

	2008-09	2007-08 (Restated)
	£000	£000
Net operating cost (Note a)	45,526	43,170
Machinery of Government transfer	–	(1,054)
Consolidated Fund extra receipts (CFERS)	–	–
Net resource outturn (Note a)	45,526	42,116

Note:

- a) Net operating cost is the total of expenditure and income appearing in the Operating Cost Statement (Schedule 2). Net resource outturn is the total of those elements of expenditure and income that are subject to parliamentary approval and included in the Department's Supply Estimate. The outturn against the Estimate is shown in the Summary of Resource Outturn (Schedule 1).

8. Reconciliation of Resources to Cash Requirement

	Note	Estimate £000	Outturn £000	Net total outturn compared with Estimate saving/ (excess) £000
Net Total Resources		47,704	45,526	2,178
Capital:				
Cash purchase of fixed assets	13	2,500	3,261	(761)
Non-Operating-Cost A in A		–	–	–
Loss on fixed asset disposals	4	–	(13)	13
Accrual adjustments				
Non-cash items	4	(10,751)	(8,219)	(2,532)
Changes in working capital other than cash	14	1,600	259	1,341
Use of provision	19	–	72	(72)
Net Cash Requirement		41,053	40,886	167

9. Analysis of net resource outturn by function and reconciliation to Operating Cost Statement

2008-09	Admin. £000	Other Current £000	Grants £000	Gross resource expenditure £000	A in A £000	Net total £000	Estimate £000	Net Total Outturn Compared with Estimate £000
Request for Resources 1	–	53,277	–	53,277	(7,751)	45,526	47,704	2,178
Total	–	53,277	–	53,277	(7,751)	45,526	47,704	2,178
Resource Outturn	–	53,277	–	53,277	(7,751)	45,526	47,704	2,178
Reconciliation to Operating Cost Statement								
Non-A in A operating income					–	–		
Gross operating expenditure				53,277				
Operating income					(7,751)			
Net operating Cost						45,526		
2007-08 (Restated)								
2007-08 (Restated)	Admin. £000	Other Current £000	Grants £000	Gross resource expenditure £000	A in A £000	Net total £000	Estimate £000	Net Total Outturn Compared with Estimate £000
Request for Resources 1	–	49,329	–	49,329	(6,159)	43,170	45,994	2,824
Total	–	49,329	–	49,329	(6,159)	43,170	45,994	2,824
Resource Outturn	–	49,329	–	49,329	(6,159)	43,170	45,994	2,824
Reconciliation to Operating Cost Statement								
Non-A in A operating income					–	–		
Gross operating expenditure				49,329				
Operating income					(6,159)			
Net operating Cost						43,170		

10. Analysis of capital expenditure, financial investment and associated A in A

2008-09

	Capital expenditure £000	Loans, etc. £000	A in A £000	Net total £000	Estimate £000	Outturn Compared with Estimate £000
Request for Resources 1	3,261	–	–	3,261	2,500	(761)
Total	3,261	–	–	3,261	2,500	(761)

2007-08

	Capital expenditure £000	Loans, etc. £000	A in A £000	Net total £000	Estimate £000	Outturn Compared with Estimate £000
Request for Resources 1	5,771	–	–	5,771	7,600	1,829
Total	5,771	–	–	5,771	7,600	1,829

11. Tangible fixed assets

	Freehold land and buildings	Equipment	IT including databases	Assets under Construction	Total
	£000	£000	£000	£000	£000
Cost or valuation					
At 1 April 2008	131,281	8,605	9,222	426	149,534
Additions	704	770	1,096	686	3,256
Reclassifications	–	200	152	(352)	–
Disposals	–	(206)	(194)	–	(400)
Revaluation	(23,750)	644	(335)	–	(23,441)
At 31 March 2009	108,235	10,013	9,941	760	128,949
Depreciation					
At 1 April 2008	28,533	2,689	5,875	–	37,097
Charged in year	2,245	393	1,069	–	3,707
Disposals	–	(200)	(188)	–	(388)
Revaluation	(5,966)	164	–	–	(5,802)
At 31 March 2009	24,812	3,046	6,756	–	34,614
Net Book Value at 31 March 2009	83,423	6,967	3,185	760	94,335
Net Book Value at 31 March 2008	102,748	5,916	3,347	426	112,437

- a) Freehold land and buildings were valued on 31 March 2007 at £103.3 million on the basis of depreciated replacement cost by an external firm of Chartered Surveyors, Atis Real Weatheralls Ltd. Their valuation was carried out in accordance with the Appraisal and Valuation Manual issued by the Royal Institution of Chartered Surveyors. In years where there is no professional valuation exercise, revaluation is derived from the relevant indices as appropriate. The relevant indices used for revaluation for this financial year were subject to significant downward movement.
- b) Included within fixed assets for 2008-2009 were assets in the course of construction valued at £760,000.

12. Intangible fixed assets

	£000	Assets under Construction £000	Total £000
Cost or valuation			
At 1 April 2008	1,600	300	1,900
Additions	5	–	5
Reclassification	300	(300)	–
Revaluation	(91)	–	(91)
At 31 March 2009	1,814	–	1,814
Depreciation			
At 1 April 2008	751	–	751
Charged in year	295	–	295
At 31 March 2009	1,046	–	1,046
Net Book Value at 31 March 2009	768	–	768
Net Book Value at 31 March 2008	849	300	1,149

13. Reconciliation of cash flows to fixed asset additions

	£000
Cash flows for tangible fixed assets	3,256
Intangible fixed asset additions	5
Cash flows for total fixed assets	3,261

14. Movements in working capital other than cash

	Notes	2008-09 £000	2007-08 £000
(Decrease)/Increase in stocks	15	(208)	106
Increase/(Decrease) in debtors	16	2,977	(1,000)
(Increase) in creditors	18	(2,510)	(3,784)
Increase/(Decrease) in working capital		259	(4,678)

Excludes changes and movements in balances due to the Consolidated Fund.

15. Stocks

	2008-09 £000	2007-08 £000
Reprographic materials	28	33
Work in progress	–	5
Publishing and shop stocks	172	370
	200	408

16. Debtors

	2008-09	2007-08
	£000	£000
Amounts falling due within one year:		
VAT	484	432
Trade debtors	430	848
Other debtors	332	–
Deposits and advances	51	42
Prepayments and accrued income	4,317	1,309
	5,614	2,631
Amounts falling due after one year:		
Prepayments and accrued income	13	19
	13	19
	5,627	2,650
Debtors within one year		
	2008-09	2007-08
	£000	£000
Balances with other central government bodies	628	1,067
Balances with local authorities	1795	8
Balances with NHS Trusts	27	–
Balances with public corporations and trading funds	2	–
Balances with bodies external to government	3162	1,556
	5,614	2,631
Debtors after one year		
	2008-09	2007-08
	£000	£000
Balances with other central government bodies	–	–
Balances with local authorities	–	–
Balances with NHS Trusts	–	–
Balances with public corporations and trading funds	–	–
Balances with bodies external to government	13	19
	13	19

17. Cash at bank and in hand

	2008-09	2007-08
	£000	£000
Balance at 1 April	1,114	1,661
Net cash inflow/(outflow)	(947)	(547)
Balance at 31 March	167	1,114
The following balances at 31 March are held at:		
Office of HM Paymaster General	159	1,111
Commercial banks and cash in hand	8	3
	167	1,114
The balance at 31 March comprises:		
Cash due to be paid to the Consolidated Fund:	–	197
Amounts issued from the Consolidated Fund for Supply but not spent at year end	167	917
	167	1,114

18. Creditors

	2008-09	2007-08
	£000	£000
Amounts falling due within one year		
Trade creditors	4,568	1,960
Accruals and deferred income	5,657	6,216
Taxation, Social Security and Pension	1,207	746
Amounts issued from the Consolidated Fund for supply but not spent at year end	167	917
Consolidated Fund extra receipts received and receivable and other amounts due to be paid to the Consolidated Fund	–	197
	11,599	10,036
Creditors within one year		
	£000	£000
Balances with other central government bodies	4,446	4,525
Balances with local authorities	1,615	7
Balances with NHS Trusts	1	–
Balances with public corporations and trading funds	–	–
Balances with bodies external to government	5,537	5,504
	11,599	10,036

19. Provisions for liabilities and charges

	Early departure costs	Other	Total
	£000	£000	£000
Balance at 1 April 2008	202	360	562
Provided/(not required written back) in the year	350	(78)	272
Provisions utilised during the year	(72)	–	(72)
Balance at 31 March 2009	480	282	762

Early departure costs

The National Archives meets the additional costs of benefits beyond the normal PCSPS benefits in respect of employees who retire early by paying the required amounts annually to the PCSPS over the period between early departure and normal retirement date. The National Archives provides for this in full when the early retirement programme becomes binding on the Department by establishing a provision for the estimated payments discounted by the HM Treasury discount rate of 2.2% in real terms.

Other

The National Archives made specific provisions for dilapidations for the building formerly occupied by the Family Record Centre, vacated at the end of 2007-2008, and the Norwich OPSI building, vacated on 31 July 2008. The dilapidations provision for the Norwich building was fully released during the year.

20. Reconciliation of net operating cost to changes in general fund

	Note	2008-09 £000	2007-08 (Restated) £000
Net Operating Cost	7	(45,526)	(43,170)
Surrender of excess appropriations in aid and CFERs	7	–	–
		(45,526)	(43,170)
Net Parliamentary funding	23c	40,136	35,272
Transferred to general fund in respect of realised element of revaluation reserve on depreciation	21	369	954
Consolidated Fund creditor for unspent cash	18	(167)	(917)
Settlement of previous year creditor for unspent cash	18	917	1,661
Notional charges:	4		
cost of capital charge		3,437	3,736
auditor's remuneration (notional)		69	65
		3,506	3,801
(Decrease)/Increase in General Fund		(765)	(2,399)
General Fund at 1 April 2008		68,056	70,455
General Fund at 31 March 2009		67,291	68,056

21. Revaluation reserve

	£000
At 1 April 2008	39,104
Arising on revaluation during the year	(23,092)
Transfer in respect of realised depreciation	5,802
Transferred to general fund in respect of realised element of revaluation reserve	(369)
Balance at 31 March 2009	21,445

The revaluation reserve reflects the unrealised element of the cumulative balance of indexation and revaluation adjustments (excluding donated assets). There were no donated assets in 2008-2009.

22. Notes to net operating costs by departmental aims and objectives

The National Archives' capital is employed exclusively for programme service delivery purposes. Its distribution amongst objectives is therefore not markedly different from the proportion of the related gross programme costs.

All programme costs and income have been attributed to objectives in accordance with the Department's normal management accounting practices.

23. Notes to the cash flow statement

23(a) Reconciliation of operating cost to operating cash flows

	Note	2008-09 £000	2007-08 (Restated) £000
Net operating cost		45,526	43,170
Adjustments for non-cash transactions	4	(8,232)	(8,577)
(Decrease)/Increase in stocks	15	(208)	106
Increase/(Decrease) in debtors	16	2,977	(1,000)
(Increase) in creditors	18	(2,510)	(3,784)
Use of provisions	19	72	133
Net cash outflow from operating activities		37,625	30,048

23(b) Analysis of capital expenditure and financial investment

	Note	2008-09 £000	2007-08 £000
Tangible fixed asset additions	13	3,256	4,825
Intangible fixed asset additions	13	5	946
Proceeds of disposal of fixed assets		–	–
Net cash outflow for investing activities		3,261	5,771

23(c) Analysis of financing

	2008-09 £000	2007-08 (Restated) £000
From Consolidated Fund (Supply): current year	40,136	35,272
Net financing	40,136	35,272

23(d) Reconciliation of Net Cash Requirement to decrease cash

	Note	2008-09 £000	2007-08 (Restated) £000
Net cash requirement (Schedule 1)	8	40,886	36,016
From Consolidated Fund (Supply): current year	23c	(40,136)	(35,272)
Amounts due to the Consolidated Fund - received in a prior year and paid over	18	197	–
Amounts due to the Consolidated Fund - received and not paid over	18	–	(197)
Decrease/(Increase) in cash in the period	17	947	547

24. Capital commitments

Capital commitments totalling £508,000 existed at 31 March 2009. These relate to estate infrastructure projects and are not provided for in these accounts.

25. Commitments under operating leases

Operating leases

Commitments under operating leases to pay rentals during the year following the year of these accounts are given in the table below, analysed according to the period in which the lease expires.	2008-09 £000	2007-08 £000
Obligations under operating leases comprise:		
Land and buildings		
Expiry within one year	–	31
	–	31
Other		
Expiry within one year	170	81
Expiry between two and five years	106	66
	276	178

26. Other commitments

The National Archives has a service contract ending on 31 March 2011 with the University of London for the preservation of government datasets (UK National Data Archive for Datasets) and a Facilities Management service contract with Ecovert FM Limited ending on 31 December 2013. The service charges for 2009-2010 will be £0.61 million and £1.131 million respectively. The National Archives has not entered into any other non-cancellable contracts other than those disclosed above.

27. Contingencies

There were no contingent assets or liabilities at 31 March 2009.

28. Related party transactions

The National Archives is a non-ministerial government department. The Chief Executive reports to the Lord Chancellor. None of the management board members, key managerial staff or other related parties has undertaken any material transactions with The National Archives during the year.

29. Financial instruments

FRS 29, Disclosure of Financial Instruments, requires the disclosure of any significant role that financial instruments have had during the period in creating or changing the risks an entity faces in undertaking its activities. As the cash requirements of The National Archives are met through the Estimates process, financial instruments play a more limited role in creating risk than would apply to a non-public sector body of a similar size. The majority of financial instruments relate to contracts to buy non-financial items in line with The National Archives expected purchase and usage requirements and The National Archives is therefore exposed to little credit, liquidity or market risk.

Interest rate risk

The National Archives is not exposed to any interest rate risk.

Foreign currency risk

The National Archives' exposure to foreign currency risk is not currently significant.

30. Third-party assets

The National Archives held short-term monetary assets valued at £98,376 on behalf other government departments at the balance sheet date 31 March 2009 (£128,669 at 31 March 2008) (see note 1.16 to the accounts on page 43).

31. Accountability

No exceptional kinds of expenditure, such as losses and special payments that required separate disclosure because of their nature or amount, were incurred.

32. Post balance sheet event

In accordance with the requirements of FRS 21, post balance sheet events are considered up to the date on which the accounts are authorised for issue. This is interpreted as the date of the Certificate and Report of the Comptroller and Auditor General.

Annex B

Additional financial information – for departmental reporting requirements

The National Archives was given permission by HM Treasury to present a combined departmental and annual report and resource accounts 2008-2009 to Parliament in July 2009. The majority of the required elements of a departmental report are in the main body of the annual report or in the resource accounts at Annex A. The remaining elements are shown here. Financial projections to 2011 are based on our Comprehensive Spending Review 2007 allocation. In the following tables, 'DEL' means Departmental Expenditure Limit, and 'AME' means Annually Managed Expenditure.

Table 1: The National Archives: Total Departmental Spending

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12
	Outturn	Outturn	Outturn	Outturn	Outturn	Provisional Outturn	Plans	Plans	Plans
Resource budget									
Resource DEL									
The National Archives: The UK's official government archive, with a key role in raising information management capability across government. Makes historical records available to the public, leads the wider UK archive sector, leads on UK information management and re-use policy, and manages Crown and Parliamentary copyright.	39,089	38,990	42,402	39,289	43,163	45,422	48,730	49,430	–
Total resource budget DEL	39,089	38,990	42,402	39,289	43,163	45,422	48,730	49,430	–
<i>of which: Near-cash</i>	31,393	30,684	33,710	30,735	34,583	37,363	36,979	36,972	–
Total resource budget AME	–	–	–	–	–	–	–	–	–
Total resource budget	39,089	38,990	42,402	39,289	43,163	45,422	48,730	49,430	–
<i>of which: depreciation</i>	4,313	4,678	4,561	4,854	4,644	4,350	6,679	6,985	–
Capital budget									
Capital DEL									
The National Archives: The UK's official government archive, with a key role in raising information management capability across government. Makes historical records available to the public, leads the wider UK archive sector, leads on UK information management and re-use policy, and manages Crown and Parliamentary copyright.	3,402	1,959	1,907	2,747	5,771	3,261	2,100	2,100	–
Total capital budget DEL	3,402	1,959	1,907	2,747	5,771	3,261	2,100	2,100	–
Total capital budget AME	–	–	–	–	–	–	–	–	–
Total capital budget	3,402	1,959	1,907	2,747	5,771	3,261	2,100	2,100	–

Total departmental spending†										
The National Archives: The UK's official government archive, with a key role in raising information management capability across government. Makes historical records available to the public, leads the wider UK archive sector, leads on UK information management and re-use policy, and manages Crown and Parliamentary copyright.	38,178	36,271	39,748	37,182	44,290	44,333	44,151	44,545	–	
Total departmental spending†	38,178	36,271	39,748	37,182	44,290	44,333	44,151	44,545	–	
<i>of which:</i>										
Total DEL	38,178	36,271	39,748	37,182	44,290	44,333	44,151	44,545	–	
Total AME	–	–	–	–	–	–	–	–	–	

† Total departmental spending is the sum of the resource budget and the capital budget less depreciation. Similarly, total DEL is the sum of the resource budget DEL and capital budget DEL less depreciation in DEL, and total AME is the sum of resource budget AME and capital budget AME less depreciation in AME.

Table 2: The National Archives: Resource budget DEL and AME

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12
	Outturn	Outturn	Outturn	Outturn	Outturn	Provisional Outturn	Plans	Plans	Plans
Resource DEL									
The National Archives	39,089	38,990	42,402	39,289	43,163	45,422	48,730	49,430	–
<i>of which:</i>									
The National Archives: The UK's official government archive, with a key role in raising information management capability across government. Makes historical records available to the public, leads the wider UK archive sector, leads on UK information management and re-use policy, and manages Crown and Parliamentary copyright.	39,089	38,990	42,402	39,289	43,163	45,422	48,730	49,430	–
Total resource budget DEL	39,089	38,990	42,402	39,289	43,163	45,422	48,730	49,430	–
<i>of which:</i>									
Near-cash	31,393	30,684	33,710	30,735	34,583	37,363	35,849	35,842	–
<i>of which:†</i>									
Pay	17,280	20,677	18,615	20,038	23,428	26,537	–	–	–
Procurement	14,113	10,007	17,230	14,305	17,438	17,443	13,311	13,073	–
Current grants and subsidies to the private sector and abroad	–	–	–	–	–	–	–	–	–
Current grants to local authorities	–	–	–	–	–	–	–	–	–
Depreciation	4,313	4,678	4,561	4,855	4,644	4,350	6,679	6,985	–
Total resource budget	39,089	38,990	42,402	39,289	43,164	45,422	48,730	49,430	–

† The breakdown of near-cash in Resource DEL by economic category may exceed the total near-cash Resource DEL reported above because of other income and receipts that score in near-cash Resource DEL but aren't included as pay, procurement, or current grants and subsidies to the private sector, abroad and local authorities.

Table 3: The National Archives: Capital Budget DEL and AME

	£000								
	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12
	Outturn	Outturn	Outturn	Outturn	Outturn	Provisional Outturn	Plans	Plans	Plans
Capital DEL									
The National Archives	3,402	1,959	1,907	2,747	5,771	3,261	2,100	2,100	–
<i>of which:</i>									
The National Archives: The UK's official government archive, with a key role in raising information management capability across government. Makes historical records available to the public, leads the wider UK archive sector, leads on UK information management and re-use policy, and manages Crown and Parliamentary copyright.	3,402	1,959	1,907	2,747	5,771	3,261	2,100	2,100	–
Total capital budget DEL	3,402	1,959	1,907	2,747	5,771	3,261	2,100	2,100	–
<i>of which:</i>									
Capital expenditure on fixed assets net of sales†	3,402	1,959	1,907	2,747	5,771	3,261	2,100	2,100	–
Total capital budget	3,402	1,959	1,907	2,747	5,771	3,261	2,100	2,100	–
<i>of which:</i>									
Capital expenditure on fixed assets net of sales†	3,402	1,959	1,907	2,747	5,771	3,261	2,100	2,100	–
Less depreciation††	4,313	4,678	4,561	4,855	4,643	4,350	6,679	6,985	–
Net capital expenditure on tangible fixed assets	(-911)	(-2,719)	(-2,654)	(-2,108)	1,128	(-1,089)	(-4,579)	(-4,885)	–

† Expenditure by the department and NDPBs on land, buildings and equipment, net of sales. Excludes spending on financial assets and grants, and public corporations' capital expenditure.

†† Included in Resource Budget.

Table 4: The National Archives: capital employed

The National Archives: The UK's official government archive, with a key role in raising information management capability across government. Makes historical records available to the public, leads the wider UK archive sector, leads on UK information management and re-use policy, and manages Crown and Parliamentary copyright.

	£000								
	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12
	Outturn	Outturn	Outturn	Outturn	Outturn	Provisional Outturn	Plans	Plans	Plans
Assets and liabilities on the balance sheet at end of year:									
Fixed assets									
Intangible	164	254	355	533	1,149	768	800	900	–
Tangible	94,911	105,232	106,332	111,933	112,437	94,335	97,000	98,000	–
<i>of which:</i>									
Land and buildings	85,161	95,897	98,178	103,301	102,748	83,423	86,000	87,000	–
Equipment	6,031	6,072	5,598	5,873	5,916	6,967	7,200	7,200	–
IT including databases	3,719	3,263	2,556	2,759	3,347	3,185	3,800	3,800	–
Asset under Constructions	–	–	–	–	426	760	–	–	–
	94,911	105,232	106,332	111,933	112,437	94,335	97,000	98,000	–
Investments									
	–	–	–	–	–	–	–	–	–
Current assets									
	5,103	3,800	3,742	5,613	4,172	5,994	4,500	4,500	–
Creditors (<1 year)									
	3,414	3,908	4,285	6,995	10,036	11,599	6,000	5,000	–
Creditors (>1 year)									
	–	–	–	–	–	–	–	–	–
Provisions									
	250	169	510	570	562	762	400	350	–
Capital employed within main department	96,514	105,209	105,634	110,514	107,160	88,736	95,900	98,050	–
Total capital employed	96,514	105,209	105,634	110,514	107,160	88,736	95,900	98,050	–

Table 5: The National Archives: Administration Costs

Following a review with HM Treasury, it was agreed that it was appropriate to reclassify administration budget spending as programme spending during 2007-2008. This reflected the fact that the majority of the resources are now consumed in providing direct services of, for example, public access to national records, family records and archives at Kew; the publishing, conservation and preservation of records; and UK information management advice and policy including standards, compliance, and copyright. This change was neutral in public expenditure and all costs are recorded against "Other Current" within Estimates.

Table 6: The National Archives: Staff Numbers

The National Archives: The UK's official government archive, with a key role in raising information management capability across government. Makes historical records available to the public, leads the wider UK archive sector, leads on UK information management and re-use policy, and manages Crown and Parliamentary copyright.

	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10†	2010-11†	2011-12
	Outturn	Outturn	Outturn	Outturn	Outturn	Provisional Outturn	Plans	Plans	Plans
Civil Service full-time equivalents	541	531	563	558	608	608	608	608	–
Overtime	14	14	14	8	4	5	5	5	–
Casual	29	34	15	18	11	20	20	20	–
Total	584	579	592	584	623	633	633	633	–

† Planned figures for 2009-2010 and 2010-2011 are currently under review.

Annex C

The National Archives' vision 2007-2012

Rapid changes in the information world continue to present the most complex and challenging set of tasks we have ever faced. It is not too much to say that the future nature and existence of government archives depends on our being successful in our objectives. Of these challenges, there are three in particular that are of immense significance and determine our priorities for our future development. These remain at the heart of our vision, as established in 2006.

Challenge 1:	Government and the wider information sector need better information management to strengthen accountability, treat information with appropriate security, and release the potential of their assets.
Our vision:	Lead and transform information management

By 2012 we aim to:

- ▶ Shape future government information policy, from information creation to re-use.
- ▶ Show leadership in helping the public sector understand the importance of good information management.
- ▶ Create a common infrastructure of services and guidance to support these aims.

Challenge 2:	In addition to preserving the nation's existing paper records, we need to rise to the new challenge of ensuring the ongoing readability of digital information for future generations.
Our vision:	Guarantee the survival of today's information for tomorrow

By 2012 we aim to:

- ▶ Preserve records of all kinds; physically at The National Archives, and through our influence elsewhere.
- ▶ Work with others in the United Kingdom to ensure that between us, the right information is preserved for today's business and tomorrow's history.
- ▶ Collaborate across the world to share expertise and innovation.

Challenge 3:	Increasingly, people expect to find, use and learn from information online. They expect it to be personalised and connected to their wider life. They expect to have it immediately.
Our vision:	Bring history to life for everyone

By 2012 we aim to:

- ▶ Make a positive difference to people's future by connecting them to the past.
- ▶ Provide researchers and customers, wherever they are, with easy access to records and expertise, with innovative online services, connected to trusted partners.
- ▶ Increasingly focus our reading rooms on being a centre for expert help and specialist research.

In addition, we will support the realisation of this vision by developing and maintaining a capable, flexible organisation, able to deliver our new services with staff equipped with the right skills for the future.

Annex D

Advisory Council on National Records and Archives: Sixth Annual Report 2008-2009

To the Right Honourable Jack Straw,
Lord Chancellor, Secretary of State for Justice

Your Advisory Council on National Records and Archives (hereafter the Council) also embraces the Advisory Council on Public Records and the Advisory Council on Historical Manuscripts. All three councils work together to advise you on all aspects of the public records' system to help safeguard our unique archival heritage for future generations. Over the last year we have been pleased to advise you on the following matters.

30-Year Rule Review

Last year the Council agreed that a reduction in the current transfer rule would result in a more effective Freedom of Information Act, resulting in more transparency and openness across government thereby serving the public interest. You recently wrote to the Council seeking its views in its independent capacity on the recommendations of the 30-Year Rule Review report to help develop the government's response after it had welcomed the report. You stated that the government had agreed that there should be a substantial reduction in the period after which official papers should generally be released to the public, and this should be introduced on a phased basis. In particular, you asked the Council to consider whether any reduction in the 30-Year Rule would require changes to the Council's model and operation and the effect of a reduction on the public records system as a whole. One of the key recommendations of the Review was that government departments should still seek your approval, acting on the advice of the Advisory Council, to retain records in accordance with s3(4), Public Records Act, 1958 under a lower transfer rule. The Council welcomes this recommendation and firmly believes that the issue of retention is clearly an important one that allows government departments to keep records in their custody with independent scrutiny on the process via the remit of the Council. In the Council's advice to you on any matter, the primary factor of consideration for the Council is the public interest. The Council believes that the continuation of external scrutiny in the area of retention is crucial.

The Council has considered the impact a reduction in the transfer rule would have on the Council and the public records' system and will write to you with its detailed

views shortly. In brief, the Council believes that while recalling its own preference for a reduction to 20 years, it does not object to the Review recommendation that the government should replace the current 30-year rule with a 15-year rule, regarding both the transfer of public records to the National Archives and other places of deposit. When advising you on the potential impact of a reduction in the transfer rule on the public records' system, the responsibility of the Council, first and foremost, is to be satisfied that a new transfer rule would be fit for purpose and would allow The National Archives, government departments and the Council to maintain a workable system.

Changing information landscape

The Council believes that its role and remit should be kept under review in line with the changing information landscape, but that a reduction in the transfer rule will not of itself require a change in the role and remit of the Council in the short term. However, other developments in the information management arena such as the preservation of digital information becoming a key priority; accountability and provenance becoming ever more relevant; and information management in government achieving a higher profile; has ensured that the information environment within which the Council advises is changing. The Council is engaging with the challenges posed by the digital agenda, advising on digital information that is much younger than 30 years. It already needs to consider issues concerning the use, organisation and structure of digital information and will be required to understand the distinct access issues associated with digital information. It will be important to ensure that the Council has the full range of skills necessary for advising on digital information. In line with the changing information landscape, the Council acknowledges that its work inevitably has to be embedded in the wider government and information management context.

The Council notes with interest the publication of the Cabinet Office Review of Data Handling Procedures in Government, which sets out an agreed set of mandatory standards that apply across government when managing

information risk. As a public body we are also subject to these mandatory standards.

Advisory Council on Public Records

In accordance with the Freedom of Information Act 2000, the Council continues to act on your behalf in advising government departments on the strength of the public interest in the release of historical information that attracts a qualified exemption and the public interest in its non-disclosure. We have convened 24 panels of members which have advised on the public interest in the release of closed historical information held at The National Archives and have considered 113 cases in total. This year has seen an increase in the number of cases where release of information would be likely to physically or mentally endanger living individuals, primarily in the form of crime scene photographs and details of murders that would impact on surviving relatives if released.

The panels have also advised on several cases throughout the year where the information, if released, could damage the relations of the UK with other countries.

In the main, panels have readily agreed with departments that the public interest lay in non-disclosure, but in some cases we felt it necessary to seek further information before advising you. In most cases, upon clarification being provided, particularly with regard to sensitivities in Foreign and Commonwealth Office information, the panels have agreed that the public interest lay in non-disclosure. The Council is grateful to the Foreign and Commonwealth Office for providing guidance on when it consults other countries' administrations with regard to Freedom of Information requests. We are also grateful to the Ministry of Defence for releasing some additional information on the Cyprus issue following the query of a panel.

The Council has continued to fulfil its statutory duty under the Public Records Act by advising on the retention of records by departments and has also considered other information management issues that have arisen since the introduction of Freedom of Information. On your behalf the Council granted approval for Natural England to retain a substantial number of records because of a review backlog that had arisen at the department and looks forward to an update on progress in the near future. The Council is also grateful that on the advice of the Council you granted approval for the Land Registry to retain specified records as long as the relevant statutory provisions are in place.

The Council still monitors with interest the progress made by the Home Office on the only outstanding area of

work since the granting of the moratorium on the review and transfer of records to The National Archives. We are satisfied that the Home Office is making progress on the outstanding data population work and appreciate the progress reports provided.

Advisory Council on Historical Manuscripts

During the course of the year we have been consulted about manuscripts and collections of papers that have come into public ownership having been accepted by the government in lieu of tax. In each case we have advised the Chief Executive of The National Archives in her capacity as Historical Manuscripts Commissioner on her draft recommendation to the Museums, Libraries and Archives Council on the most appropriate home for such material in the national interest.

These cases have included:

- ▶ Family and estate papers of the Winn family, Barons St Oswald, 13th to the 20th century, now provisionally allocated to Wakefield Metropolitan District Council for retention at the Morley outstore on condition that suitable accommodation in line with national standards is provided at Wakefield or Leeds.
- ▶ Family and estate papers of the Bromley Davenport family of Capesthorne, 12th to the 20th century.

The Council has also considered a progress report from The National Archives about the development and implementation of a strategy for business archives in England and Wales whose principles could be extended to other parts of the United Kingdom. The Council believes that the strategy is both timely and viable against the backdrop of the current economic recession.

Advisory Council on National Records and Archives

The Council has noted with great interest the progress The National Archives has made in transforming the services it delivers to its users, including the completion of the refurbishment of its reading rooms and the successful online launch of the 1911 Census. The Council commends the work already being carried out by The National Archives in the form of cross-government projects to address the digital challenge, particularly in the form of guidance to government departments to help manage the risks associated with maintaining digital information for business purposes over time. Within the changing information environment we were also pleased to learn of The National Archives' programme to capture and archive government websites.

The Council's members and meetings

Two members of the Council retired at the end of 2008: Lord Temple-Morris and Keith Simpson MP. We are most grateful to them for their contributions to the Council's work. There were no new appointments this year. The Council currently has 18 members. Members during the year were:

- ▶ Sir Rodric Braithwaite GCMG, retired, formerly British Ambassador to Moscow and Chairman of the Joint Intelligence Committee.
- ▶ Ms Else Churchill, Genealogy Officer of the Society of Genealogists.
- ▶ Dr Jeevan Deol, History Faculty, St Antony's College at Oxford University.
- ▶ Professor Harry Dickinson, Emeritus Professor of British History, University of Edinburgh.
- ▶ Rt Hon the Viscount De L'Isle MBE DL, owner of the De L'Isle and Sidney family papers.
- ▶ Sir David Durie KCMG, retired, formerly Governor and Commander in Chief, Gibraltar and a Director General in the Department of Trade and Industry.
- ▶ Dr Clive Field OBE, Honorary Research Fellow, University of Birmingham, formerly Director of Scholarship and Collections at the British Library.
- ▶ Ms Christine Gifford, Information Rights expert and founding director of Public Partners and Gifford Owen.
- ▶ Dr Jennifer Haynes, Archives and Manuscripts Manager, Wellcome Library, London.
- ▶ Mr Graeme Herd, Head of Information Technology at Slough Borough Council.
- ▶ Professor Arthur Lucas CBE, Emeritus Professor of Science Curriculum Studies at, and formerly Principal of, Kings College London.
- ▶ Professor Heidi Mirza, Professor of Equality Studies in Education, University of London.
- ▶ Professor Michael Moss, Professor of Archival Studies at the University of Glasgow.
- ▶ Rt Hon the Lord Roper, formerly Chief Whip for the Liberal Democrats in the House of Lords.
- ▶ Mr Keith Simpson MP, Conservative MP for Mid Norfolk (retired end of 2008).
- ▶ Ms Janet Smith, County Archivist of Hampshire.

- ▶ Mr Ian Soutar, formerly British Ambassador to Bulgaria and Ambassador to the Conference on Disarmament, Geneva.
- ▶ Ms Catherine Maxwell Stuart, owner of the private family and estate archive at Traquair House, Innerleithen, Peeblesshire.
- ▶ Lord Temple-Morris, Labour peer and former MP for Leominster (retired end of 2008).
- ▶ Ms Stephanie Williams, author, journalist and user of archives.

The secretary of the Council was Ms Lâle Ozdemir.

Ms Natalie Ceeney, Chief Executive of The National Archives, attended all our meetings, accompanied variously by Ms Carol Tullo, Director of Information Policy and Services; Dr David Thomas, Director of Technology; Mr Oliver Morley, Director of Customer and Business Development; Mr Nick Kingsley, Head of National Advisory Services; Ms Meg Sweet, Head of Information Management and Practice; and Mr Stuart Abraham, Head of Transfer and Access.

We were very grateful to the Metropolitan Police Service for hosting the Council and we welcomed the opportunity to discuss with colleagues there the changing world of information management within the context of policing.

On behalf of the members

Sir Anthony Clarke
*Master of the Rolls
Chairman*

Annex E

Independent Complaints Reviewer: Annual Report 2008-2009



Jodi Berg

Independent Complaints Reviewer (ICR)

About the Independent Complaints Reviewer

Jodi Berg is the Independent Complaints Reviewer (ICR) for The National Archives. She is not an employee of The National Archives and her service is free to complainants. Mrs Berg is a solicitor, a mediator, and a Fellow of the Chartered Institute of Arbitrators. She is a member of the Administrative Justice and Tribunals Council. The ICR office reviews complaints about seven public bodies.

Foreword

When things go wrong, or when people think they have, they need to be able to rely on public bodies to treat their complaints seriously, own up to mistakes and to try to resolve matters in a helpful way. When this does not happen, they need someone who is not part of the organisation itself to look into what happened and decide whether their complaint is justified.

My role is to investigate complaints that The National Archives has been unable to settle itself and, if appropriate, to recommend redress for the complainant, or improvements to The National Archives' service. Independent review may not always give people the result they were hoping for, but it does clarify what they could reasonably have expected from The National Archives and whether required standards were met in their case. The National Archives has agreed to act on my recommendations unless exceptional circumstances prevent it from doing so.

I am pleased to report that in 2008-2009, few people have needed to refer complaints to me. This demonstrates that complaint responses provided by The National Archives are of a high calibre and I commend that Agency for this achievement. I look forward to continuing to work with The National Archives to ensure that customer service remains at the forefront of its strategic and operational decision-making.

The ICR Office

Our purpose is to provide a free, effective and impartial complaints review and resolution service for complainants that settles complaints in a proportionate manner and makes a positive difference for The National Archives. ICR team members are skilled complaint handlers and the office has a reputation for fairness and impartiality. We welcome independent scrutiny of our quality of service and are recipients of the BSI Complaints Management Standard. We publish clear information about our service and communicate with people in a manner that meets their preferences.

The ICR considers complaints about maladministration – that is poor service or unfair treatment. This may include a failure to follow proper procedure; discourtesy; discrimination or injustice; excessive delay; or not answering complaints fully and promptly. We settle complaints:

- ▶ Through advice and assistance, which helps people take matters forward.
- ▶ Through resolution, by agreeing steps to be taken by The National Archives that will settle matters to the satisfaction of both the complainant and The National Archives.
- ▶ Through adjudication, following thorough investigation and full consideration of the issues.

Following resolution or adjudication, both the complainant and The National Archives are sent a report setting out the background to the complaint and outlining the reasons for conclusions and recommendations.

Confidentiality

We respect the privacy of complainants and do not publish information about them or their case or discuss individual cases with the media or any other third party, although we may refer to the kind of issues raised to explain the causes of complaints and how they can be avoided. As far as possible, we respect a complainant's wishes and protect sensitive personal information; however, we do need to exchange information about the complaint with The National Archives to find out important facts about it. We are able to see all the relevant information held by The National Archives for the purpose of investigation, but have no authority to release it to a complainant or any other third party. Requests for data or information must be made direct to The National Archives.

Complaints statistics and other facts

During the period covered by this report, we only received two substantive complaint referrals. The National Archives itself recorded 112 complaints within this period. This is a very low number, considering the extensive customer contact with The National Archives, demonstrating that people are generally satisfied with The National Archives' quality of service, and comments to the customer service team are positive.

However, there are some areas where procedural changes have triggered customer concerns, for example the imposition of more stringent identification requirements for people taking out new reader cards. It is important that even where general comments do not become formal complaints, The National Archives takes an interest in this information to ensure that systems do not become unnecessarily bureaucratic where this is unnecessary for the safety and preservation of the records.

Case studies

Some complainants seek our help before raising a formal complaint with The National Archives, or without any clear objective in mind. The following examples typify the kinds of concerns raised and our responses.

Case 1

Mr A complained about The National Archives' 'inflexible and badly-designed ordering system'. He had corresponded with The National Archives for more than a year trying to order six items that The National Archives confirmed it held, but had received only one item for which he was charged £60, only to find that he had been sent the wrong file. We contacted The National Archives

and ascertained that it had not considered a formal complaint from Mr A. We advised Mr A that this was necessary before referring his complaint to the ICR and gave him information about how he could take matters further and about our role.

Case 2

Mr B complained about the 'flawed' and 'unfair' method of distribution of microfiche. He had complained to The National Archives' Chief Executive who told him that the method would be changed in the future, but the distribution of the microfiche he wanted had already taken place. Mr B complained that this happened while The National Archives was considering his complaint and he felt that the allocation should have been postponed, or that the items should have been recalled to enable a fair process to take place. We explained how we could help, but that we could not demand the recall he wanted.

Advice and assistance

In some cases we can help people resolve their concerns:

Case 3

Mr C contacted the ICR office as he was having difficulty sending an enquiry to The National Archives via its website. We were able to explain to Mr C the various contact forms accessible via the Home Page. We provided telephone and postal contact details for The National Archives and Mr C expressed appreciation for the efforts made on his behalf and the information that we were able to offer.

Case 4

Mr D contacted the ICR's office about problems he experienced with the display of information on marriage information searches. He said that despite sending The National Archives emails about this problem, it had not been resolved. As it was not clear whether a complaint had been raised with The National Archives, we provided contact details for the Complaints Officer. We explained that a referral could be made to ICR within six months of receiving a final complaint response from The National Archives.

Contact the ICR team

New Premier House, 150 Southampton Row,
London, WC1B 5AL

email: enquiries@icr.gsi.gov.uk

telephone: 020 7278 6251

fax: 020 7278 9675

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