



The National Archives

Annual Report and Accounts 2021-22

For the Period 1 April 2021 to 31 March 2022

Including the Annual Report of the Advisory Council on National Records and Archives 2021-22

Annual Reports presented to Parliament pursuant to section 1(3) of the Public Records Act 1958

Accounts presented to the House of Commons pursuant to section 6(4) of the

Government Resources and Accounts Act 2000

Accounts presented to the House of Lords by Command of Her Majesty

Ordered by the House of Commons to be printed on **19 July 2022**

This is part of a series of departmental publications which, along with the Main Estimates 2022-23 and the document 'Public Expenditure: Statistical Analyses 2022', present the Government's outturn for 2021-22 and planned expenditure for 2022-23.

The images featured at the start of each section featured in the resources we published for the Art in Care Homes project. These colouring sheets were inspired by images from our collection, providing a series of mindful activities and opening up access to new audiences:
nationalarchives.gov.uk/education/outreach/resources/colouring-for-relaxation/



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Preface

About the Annual Report and Accounts of The National Archives

This document combines performance and financial data with analysis to help readers better understand our work. It sets out how we spend taxpayers' money to fulfil our remit as the official archive and publisher for the UK Government, and for England and Wales. It covers our activities from April 2021 to March 2022 (inclusive) and is divided into three main sections.

The performance report and analysis (pages 3 to 33) includes a summary of progress and key activities (the performance overview), followed by our achievements over the year against each of the business priorities, and input and impact indicators (the performance analysis).

The accountability report (pages 33 to 73) includes an introductory statement from the Chair of our Board, and the Directors' report, which sets out our operating structure and transparency matters, such as whistleblowing and inclusion and diversity. It also includes:

- a statement of the Accounting Officer's responsibilities
- a governance statement on how The National Archives manages risk
- a remuneration and staff report setting out an open account of the pay and benefits received by the executive directors and Non-executive Board members
- disclosures on pay and pensions policies, and details of staff numbers and costs
- a parliamentary accountability and audit report, allowing readers to understand the department's expenditure against the money provided to it by Parliament along with the Statement of Parliamentary Supply
- a copy of the audit certificate and report made to Parliament by The Comptroller and Auditor General, setting out their opinion on the financial statements.

The financial statements (pages 74 to 99) outline our income and expenditure for the financial year, the financial position of the department as of 31 March 2022, and additional information designed to enable readers to understand these results.

Annex A (pages 100 to 107) provides a detailed sustainability report, giving an overview of our activities during the financial year, our progress against Greening Government Commitments targets, and our plans for 2022-23.

Annex B (pages 108 to 122) contains the Advisory Council on National Records and Archives: 19th Annual Report 2021-22, which describes its role, work actioned in year, and details of the Forum on Historical Manuscripts and Academic Research.

Annex C (pages 123 to 124) contains the Annual Report of the Independent Complaints Reviewer, which sets out information on the service and standards, an overview of both the learning from complaints and customer feedback, and of complaint activity and examples.

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Performance report

Performance overview

Introduction by the Chief Executive and Keeper

The National Archives in numbers

Who we are

Our year

Performance analysis

Financial management commentary

Performance against our business priorities

Performance against our input and impact indicators

Environment and sustainability

1.0

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1.1 Performance overview

Introduction from the Chief Executive and Keeper

**To the Right Honourable Nadine Dorries MP,
Secretary of State for Digital, Culture, Media
and Sport**

In what has been another challenging year, I look back with pride at all we have achieved to collect and secure the future of the government record, to preserve it for generations to come and to make it as accessible and available as possible.

A report such as this can only ever explore a sample of activity within the year, but in all we delivered, we proved our commitment to collaborations with a wide range of sector, government and commercial partners, each enhancing the accessibility of our collections, providing research opportunities and preserving the official record.

In January 2022, we launched the 1921 Census, a once in a generation event and highly anticipated by genealogists across the world. This was accompanied by '20s People', our ambitious public programme to support the census launch. In February 2021, we took in the first batch of historic service personnel records from the Ministry of Defence. This project will see over nine million records transferred to us over a six-year period. Working with the Ministry of Justice and the Judiciary, we built and readied the first publicly available government database in preparation for taking on responsibility for the publication of court and tribunal judgments. We started work on our largest collaborative research grant to date, 'Our Heritage, Our Stories', where we are using Artificial Intelligence and semantic web technologies to make online

This year, perhaps more than any other in recent history, the international value of archives came strongly into focus.



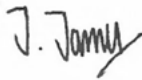
community archives searchable alongside our own collections. And we also began work on a strategic partnership that will see the relocation of the Parliamentary Archives to The National Archives.

We constantly strived to provide access to our collections online and on site wherever possible. At times we could not give full access to our physical collections due to the disruptions caused by the pandemic and we shared the frustrations felt by our audiences when this was the case. However, throughout the year we continued to give free access to the digital records on our website, opening them up for a global audience.

This year, perhaps more than any other in recent history, the international value of archives came strongly into focus. Through our membership of the International Council of Archives (ICA) Executive Board and Presidency of the Forum of National Archivists (FAN), we played our part in the international archival response to the war in Ukraine. Following the suspension of relations with the public archival institutions of Russia and Belarus, we further showed our support by setting up a new infrastructure to help Ukrainian archivists working in the war zone ensure the survival of their digital collections. We are also capturing a record of the UK Government's response on the web to the invasion of Ukraine and registering and publishing Statutory Instruments relating to sanctions.

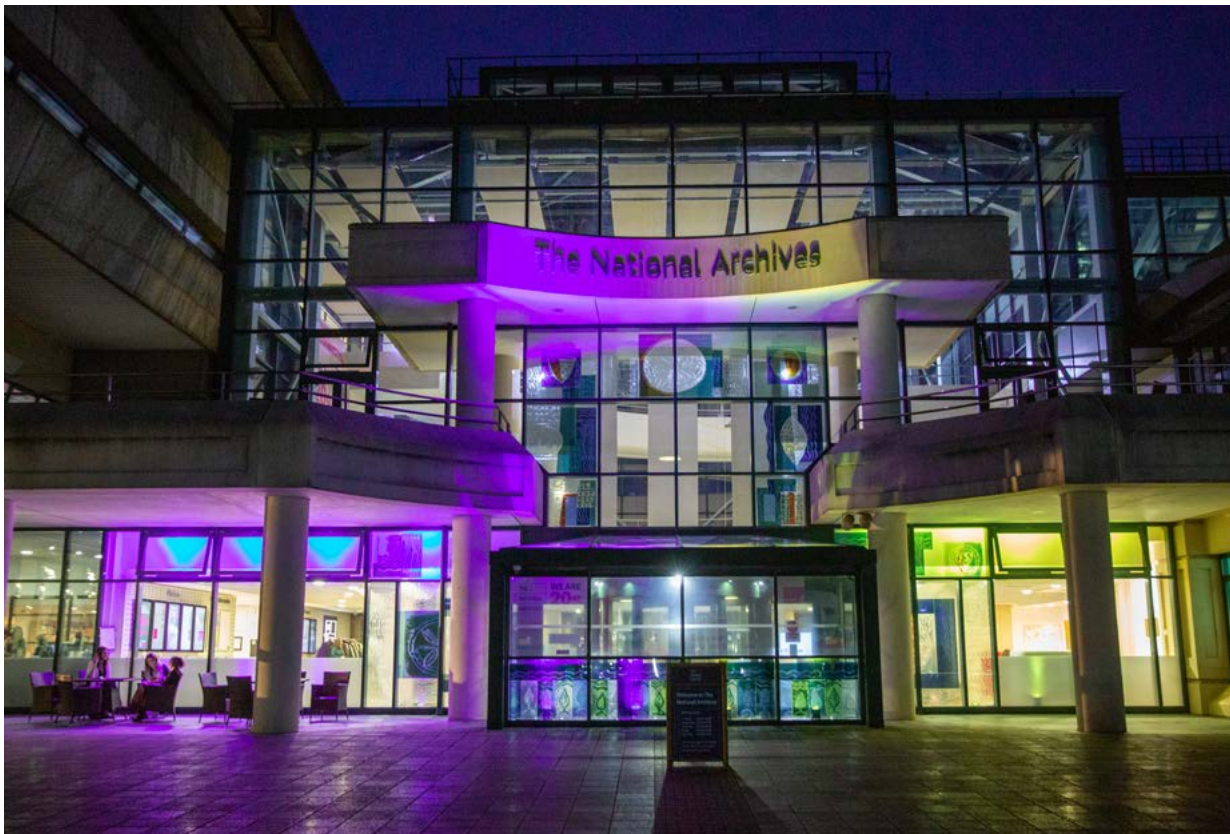
All that we have achieved this year has been through the commitment and hard work of so many people. We have received unwavering support from our volunteers, the Friends of The National Archives and The National Archives Trust. I would also like to take this opportunity to thank every member of staff. I am humbled by the stoicism, determination and enthusiasm they have shown on a daily basis to meet and overcome challenges for the benefit of our audiences. They are a credit to this institution and to the Civil Service.

Our achievements have been impressive and our ambition remains undimmed. I therefore look forward with optimism to the coming year. It continues to be an honour to lead this institution as Chief Executive and Keeper.







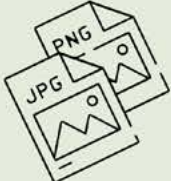



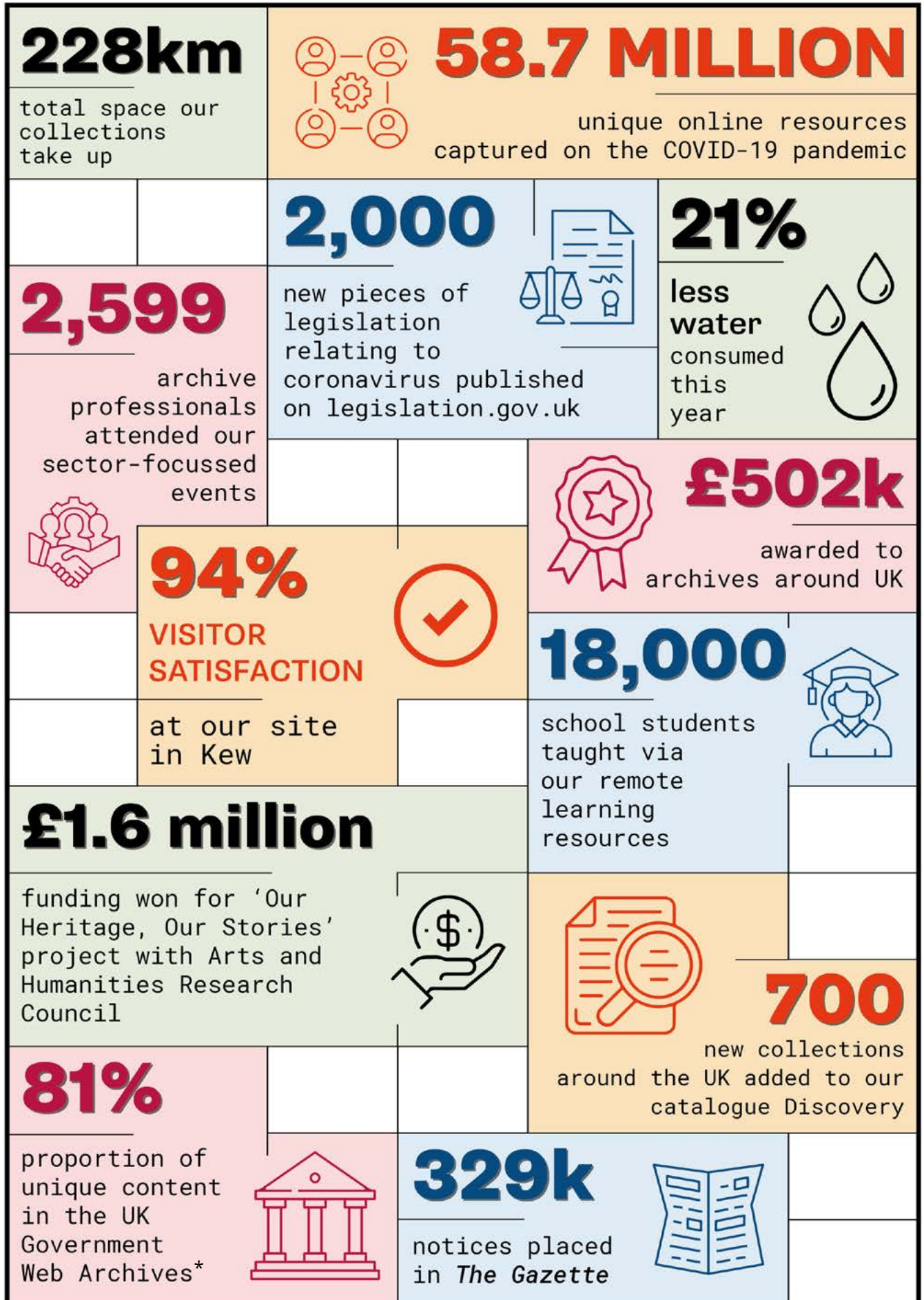
**Jeff James,
Chief Executive and Keeper,
14 July 2022**

All that we have achieved this year has been through the commitment and hard work of so many people.



Lighting up the building in solidarity with Ukraine in March 2022

THE		73%	40,000	
NATIONAL	of waste is recycled at our Kew site		downloads of our podcast	
ARCHIVES			'On the Record'	
IN			374 million	
NUMBERS			electronic records delivered to online users	
11,234				
contributions to the campaign			1 MILLION+	
ARTS IN CARE HOMES			views of our records on	
		+40%	TikTok	
779	people joined our online events around the world this year			
people trained on our catalogue Discovery via our e-learning courses		331k		
		SUBSCRIBERS		
38 million	to our social media channels		11,187	
1921 Census digital images newly available to the public				visitors to our exhibition
			'With Love'	



* Estimated % unique to UK Government Web Archive compared to The Internet Archive and UK Web Archive from a random sample of 12% or 7 million resources

Who we are

The National Archives is a non-ministerial department and the official archive and publisher for the UK Government and for England and Wales. We work to bring together and secure the future of the public record, both digital and physical, for future generations. Our collection is accessible to anyone all over the world.

We are an essential resource for our democracy, a public good and an asset for future generations. Our historic mission endures: to collect and preserve the record, to use our expertise and knowledge to connect people with their history through our unrivalled collections, and to lead, partner and support archives at home and worldwide.

Our conviction is that archives are for everyone, and that archives change lives for the better. Our ambition is to connect with the biggest and most diverse audience possible, in the most innovative ways we can. In 2019, we launched our strategic vision, *Archives for Everyone*, which sets out how we intend to become the 21st century national archive: being the inclusive, entrepreneurial and disruptive archive.

The inclusive archive builds trust and tears down barriers to access, participation and understanding. It harnesses talent from diverse backgrounds. It is bold, active and outward-looking – encountered by people and communities in unexpected places and at vital moments.

The entrepreneurial archive creates and realises value at home and across the globe. Operating flexibly and fearlessly, it is adept at finding and exploiting commercial, research and philanthropic funding opportunities – opening out and promoting its collection.

The disruptive archive changes everything. Constantly adapting, it rethinks and reshapes its practice to meet its contemporary and future challenges. Developing new skills and exploiting emerging technology, the disruptive archive reaffirms and transforms its historic mission for the digital age, from record creation through to presentation.

The coronavirus (COVID-19) pandemic

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fundamentally challenged us to rethink how we deliver the priorities we set ourselves in *Archives for Everyone*. This year we have continued to see through the two-year 'Strategic response to COVID-19' we launched in September 2020 to focus on five strategic intents, steering us through the disruptions caused by the pandemic.

The five intents are:

1. Capture the record and aid legal certainty
2. Take the collection to new audiences
3. Realise the value of archives through research, innovation and commercial exploitation
4. Lead the archives sector to a secure and sustainable future
5. Change the way we work.

Then, in 2021, we restated our belief that archives are for everyone by bringing front and centre our commitment to *Becoming the Inclusive Archive* – the archive that is available for every person we serve, enriched by the diverse and talented individuals who work with and for archives of all kinds. Over the past year we have persisted in our plan to transform ourselves in line with our intentions to become inclusive, entrepreneurial and disruptive as we continue to support the UK Government's response to the pandemic.

We have made vital changes to the way we work and the services we provide, realising the opportunities for renewal presented by this period of change. With new digital technologies and cutting-edge research projects, we are embedding into our working practices the



innovations we made in order to adapt to the pandemic. As a result, we are now opening up our collections to ever wider audiences. It is therefore with greater agility and resilience that we move towards the long-term vision set out in *Archives for Everyone*, to be the 21st century national archive.

With new digital technologies and cutting-edge research projects, we are embedding into our working practices the innovations we made in order to adapt to the pandemic.

Our year

Supporting government

- It is our duty to provide government with expert advice to ensure that the record survives and thrives. Despite numerous challenges presented by the coronavirus (COVID-19) pandemic over the past year, we have continued to discharge our legislative and regulatory obligations. As the pandemic has evolved, we have been an abiding source of support for government departments and public record bodies, helping them manage record creation and preservation despite significant disruption to on site services. We have fulfilled the intention we outlined in our '[Strategic response to COVID-19](#)' in 2020 to meet the challenges of archiving the government's response to the first global pandemic in the digital age.
- A key focus this year has again been to archive the government's online response to the pandemic. Using our extensive web archiving capabilities, we have comprehensively and consistently captured the government's response via GOV.UK, NHS.UK and official social media accounts. In the past year, we have captured over 58.7 million unique resources concerning the pandemic, including web pages, documents, videos and raw data files. Our collection is unparalleled; around 81% is unique compared with other leading web archives.¹
- We also continue to support government colleagues with day-to-day information management. Although public access to our records has been disrupted by the pandemic, we have successfully facilitated scrutiny of government by assisting Public Inquiries. We are working closely with a large number of ongoing inquiries and we also advise departments on capturing the public record for future transfer. We have assisted with document access for high priority research requirements and put in place a new service that gives access to records regarding the Troubles Permanent Disablement Payment Scheme. We continue

Using our extensive web archiving capabilities, we have comprehensively and consistently captured the government's response via GOV.UK, NHS.UK and official social media accounts.

to provide government departments with essential training, running webinars on topics including Artificial Intelligence in records management and Freedom of Information.

Aiding legal certainty

- The past year has been another in which legislation has substantially impacted public life. Throughout the year, we have not only fulfilled the intention we outlined at the beginning of the pandemic to provide access to legislation at a time when it was changing with unprecedented speed, but also developed new, innovative technologies to improve how quickly people can access this information. A major priority was maintaining the website legislation.gov.uk/coronavirus to make publicly April 2021, the UK Government and devolved administrations created over 2,000 new pieces of coronavirus-related legislation, which our specialist team continued to publish in a timely manner as well as applying any Amendments to regulations as quickly as possible. The evolution of this legislation is captured for posterity by the website's timeline feature.
- *The Gazette* fulfilled its historic role as a trusted source of information again this year, serving as an important tool for aiding legal and economic certainty during the pandemic. *The Gazette* supplies important

¹ Estimated % of resources unique to [UK Government Web Archive](#) compared to [The Internet Archive](#) and the [UK Web Archive](#) from a random sample size of seven million resources or 12% of the total.

data on corporate insolvency to businesses, banks and credit reference agencies and records the UK Government's use of emergency powers under the Coronavirus Act 2020 in perpetuity. Since April 2021, over 329,000 notices were placed in the publication, including nearly 98,000 about corporate insolvency. *The Gazette* is a vital source of financial support for our public services.

- As the UK's Transition Period with the European Union ended, our editorial team worked industriously to keep legislation.gov up to date, applying the most updates ever this past year. By prioritising revisions based on usage, 92% of page views in March 2022 were for up-to-date legislation.
- In 2021, we launched an innovative new legislation drafting tool called Lawmaker. Lawmaker helps create Bills, amendments to Bills, and Statutory Instruments, aiding drafters and clerks to construct and manage complex formal documents. The technology makes legislation more accessible more quickly, using open standards to aid publication and long-term preservation. This year, Lawmaker transitioned from a development project to a live service, launching in February 2022, and so far has been used for drafting Scottish Acts by the Scottish Parliament, UK Acts at Westminster and UK Statutory Instruments. The software is the culmination of a long-running partnership with the UK Parliament, Scottish Parliament and the legislation drafting offices for the UK and Scotland. The team continue to make improvements as the project evolves.

Capturing the record

- Despite the practical challenges posed by the pandemic, our major project to transfer historic Ministry of Defence service personnel records continues apace. Thanks to an enormous collective effort across government, we have now successfully transferred almost 2.5 million of these

Over the past year we have accessioned more than 70,000 paper records.

In 2021, we launched an innovative new legislation drafting tool called Lawmaker.

important historical records into our care. Those transferred so far are mainly from ex-Army personnel and overseas regiments. Our specialists have been investigating the contents of the records and we have appointed a dedicated Military Collections Researcher to unearth the diverse and previously unrepresented histories within these records, thus laying the groundwork for future projects.

- In addition to special transfer projects, over the past year we have accessioned more than 70,000 paper records. Since government departments resumed transfer programmes following the easing of pandemic-related restrictions, records have begun being moved to The National Archives at a rate exceeding pre-pandemic levels. Noteworthy accessions from the past twelve months include:

- Files from the Prime Minister's Office and Cabinet Office covering 1999 and 2000, including preparations for the Millennium Experience
- Foreign and Commonwealth Office files relating to British Airways flight BA149, which landed in Kuwait City as the Iraqi invasion began
- HM Treasury Private Office papers relating to the tenures as Chancellor of the Exchequer of Sir John Major and Norman Lamont
- Case files from the Office of the Public Guardian relating to the late composer Sir Malcolm Arnold.

First-generation digital transfers are increasing year on year, but currently remain relatively low as transferring bodies are still developing how they manage their digital legacies.

- This year we developed an innovative new service called [Find Case Law](#), which

provides quicker and easier public access to Court Judgments and Tribunal Decisions. After successfully launching a beta version, from April 2022 we now receive judgments into our digital archive as soon as they are handed down by the courts. We then publish the documents online and our parser converts them into an open standard data format, meaning they are more widely accessible. Find Case Law is another key tool in our endeavour to be outward looking as it makes legal information available as quickly and easily as possible, for as many people as possible.

- The past year has seen crucial expansion and investment into our Information Rights capabilities. We have doubled our Data Protection resource and incorporated a new team to manage the access process for special projects such as the Ministry of Defence service personnel records. Between 1 April 2021 and 31 March 2022, the Freedom of Information (FOI) Centre received over 1,000 more FOI requests than in the previous twelve months and resolved over 600 more cases. We also led a major review of a new [Code of Practice](#) issued under Section 46 of the Freedom of Information Act 2000 (FOIA), which the Secretary of State for the Department for Digital, Culture, Media and Sport (DCMS) published in June 2021. The Code aims to support professionals in public authorities to discharge their duties in a way that better reflects modern digital working environments and information management practices. Following publication, we trained 500 colleagues from across the public sector on the updated guidance.
- We have also matured our practice in relation to the Digital, Data and Technology Functional Standard this past year, strengthening service ownership and product management across our teams. We recently released a beta version of our Transfer Digital Records product, which allows users to upload and transfer born digital records into our care. We have also completed a discovery phase for a new access service for our creating departments called Access Your Records. For record creators, this year we have invested in pre-ingest services such as PRONOM and DROID. We engaged with 69 government

departments in the development process and have received positive feedback from all our test partners, including the Ministry of Justice, the Welsh Government and the Health Research Authority.

- In order to develop our digital capabilities we have embarked on a four-year programme to Secure and Expand the Digital Archiving Infrastructure. We have trained a cadre of service assessors who help government teams meet the service standard and bring good practice back to The National Archives. We also installed a new tape library, which increases our capacity and reduces the storage risk for the records that we hold. Our plan to replace networking hardware was unfortunately delayed by pandemic-related supply chain issues; we plan to complete this in summer 2022.
- In the next few years we will broaden our custodianship of documents relating to national governance to include the historical records of the UK Parliament. Parliamentary authorities have recently given us the go-ahead for a major collaborative, multi-year project to relocate the Parliamentary Archives to our site at Kew from their current home at the Palace of Westminster. Along with the collections, the project involves relocating staff and services and is expected to take place by the summer 2025 Parliamentary recess. This is a significant moment for archive building, as the move will mean that the records of the executive, legislature and judiciary will be collected in one place for the first time. Consolidating these records helps to secure their future and make them

This year we developed an innovative new service called Find Case Law, which provides quicker and easier public access to Court Judgments and Tribunal Decisions.



The release of the 1921 Census was brought to life with an array of exciting events and an immersive exhibition.

more easily accessible to a wider audience.

Expanding our public services

- The highlight of our year was the release of the [1921 Census](#). Launched on 6 January 2022, this was the largest ever census release in England and Wales and makes available for the first time records of nearly 38 million individuals at a key moment in inter-war life. The release generated wide press coverage and #1921Census was trending at number four on Twitter on the day. Digital access is provided in partnership with [Findmypast.co.uk](#); the records and the era they capture are illuminated with an on site exhibition, online talks and special events throughout the year. Our team and our partners have shown immense agility to complete this enormous project in a period of significant disturbance, adapting many operations to facilitate the shift to digital working and living. Through an endeavour of this
- scale and national importance we affirm our commitment, outlined at the start of the pandemic, to enable more people to encounter our collections online and to support their understanding and participation.
- We brought the census to life with an array of exciting events and an immersive exhibition. The exhibition, [The 1920s: Beyond the Roar](#), explores this extraordinary decade through stories of women's rights, migration and LGBTQ+ lives, disrupting the typical tales of this time. Visitors have also been treated to an encounter with famous places from the era recreated in all their glamour and glory. By the end of March, nearly 6,500 people had experienced the exhibition, many bringing their own 1920s photographs to add to the display. To make our public spaces more welcoming, we also created a casual '20s Lounge' for people accessing the census. But the innovations prompted

by the pandemic also endure; the census can be accessed through both on site and online experiences. Our '20sPeople' online events have featured writers and historians speaking on topics including nightlife, race and empire, and contemporary fashions.

- On site experiences have been a key focus for us as we emerge from the period defined by the pandemic. The number of visitors to our site in Kew has risen steadily through the year and in January 2022 reached their highest level since before the pandemic. As we welcomed visitors and staff back to our site in greater number, our team put in robust and proportionate measures to ensure the safety of all at Kew. We were delighted to re-open in autumn 2021 our on site exhibition 'With Love: Letters of love, loss and longing', which had sadly been suspended due to the pandemic and re-launched online. The exhibition took visitors on a tour of love letters from our collections, offering a glimpse into the private worlds of royalty, ministers and members of the armed forces. Disrupting the conventions of love letters and highlighting the diverse stories within our collections, it featured artefacts testifying to LGBTQ+ relationships at a time when they were criminalised. The online exhibition attracted over 11,000 visitors before it closed in December 2021.
- When we re-opened our reading rooms in April 2021, we introduced a new bespoke online system to book visits. This enables people to book a seat and order documents in advance, helping us manage capacity so that we could maximise access at every point through the phases of easing restrictions. Although we removed the need for prior booking in July, around a quarter of reading rooms visitors continue to make use of this service. Safety measures meant that visits to our reading rooms in the past

The number of visitors to our site in Kew has risen steadily through the year and in January 2022 reached their highest level since before the pandemic.



twelve months were around half the usual pre-pandemic number, but have risen steadily as regulations have eased, assuring us that visitors can return confidently to site.

- In April 2021, we formed a new Visitor Experience Department to work on Project Welcome, reviewing and reinvigorating the public on site experience, and visitor satisfaction continues to improve year on year, reaching 94% for the past twelve months. We now greet visitors with dedicated Assistants and for younger visitors we have resumed our [Time Travel Club](#). From April 2021, we were pleased to be able to offer refreshments again via our on site café; we want to thank our catering provider, local independent company Maids of Honour, for sustaining our staff and visitors as they returned to Kew. Our on site shop has made a healthy recovery since re-opening in April, taking nearly £64,000 compared to around £66,000 for the pre-pandemic year. Our online shop is thriving, too, taking nearly £238,000, up from around £178,000 the previous year. This platform continues to help us grow our audiences and realise the value of our collections.

Taking our collection to new audiences

- We have developed our online offerings in many directions over the past year.

Our website, nationalarchives.gov.uk, continues to form an integral part of our digital services. Our enquiries team provided essential remote services whilst on site access was disrupted or diminished, responding to an increased number of user queries with advice and guidance. We have made substantial improvements to our archive catalogue this year, adding over half a million record descriptions, a fifth for new accessions and the remainder to enhance existing descriptions.

- We have also been hard at work behind the scenes. Our website is now hosted by the cloud, which increases speed for users and allows us to better manage the service. We have published a new data model and made progress developing a new information management system that turns our catalogue into a linked data resource, enabling new kinds of user engagement, participation and data re-use. We continue working on a new website that will feature

a more intuitive search mechanism and promote our collections with a new explorer feature, but, in response to shifting priorities, we have extended the timeline for this project.

- Our online events programme goes from strength to strength, attracting 40% more people than last year at almost 28,000 attendees. Recent talks have featured renowned authors and expert colleagues speaking on subjects such as [Aphra Behn](#), [Katheryn Howard](#), and [Rudyard Kipling](#). We are always trying to make our online events as accessible as possible, so in October 2021 we launched a Pay What You Can pricing structure with a watch for free option. This moves us closer to our strategic goals to both generate income from our expertise and collection items and remove barriers to access, participation and understanding.
- Despite the challenges posed by the



pandemic, we have worked hard to be able to offer people access to our collections regardless. Our online presence has been crucial to realising our intentions in *Becoming the Inclusive Archive*, making our collections discoverable and available in new and more engaging ways. Our podcast, 'On The Record', has more than doubled its audience in the past year, hitting over 24,000 downloads. This platform gives us the chance to showcase diverse stories from our collections; we recently explored '20th Century Migration', 'LGBTQ+ Histories' and criminal 'Trials' through history. Our email newsletter now reaches over 327,000 recipients and our social media channels have over 331,000 subscribers. This year we joined TikTok and one of our posts has already gone viral; in March 2022 a video featuring one of our medieval manuscripts was viewed over a million times, taking this collection item to new, younger audiences. We also captivated Twitter with a rare 15th century quill pen found in a ledger.

- Our records have received substantial press attention this past year. The government file release received coverage by the main UK news channels and garnered several hundred news articles. The most popular story featured the discussion from 1997 between the Royal Household and the Dean of Westminster about including Elton John's reworked version of 'Candle in the Wind' at the funeral of Diana, Princess of Wales.
- We have taken our collections to people across the country through our collaborations with the cultural sector this past year. Nearly half a million visitors have encountered 33 different items from our collections at 11 exhibitions across the UK and abroad. These loans include:
 - The British copy of the 1921 Anglo-Irish Treaty at an event marking the centenary of its negotiation and signing, attended by HRH The Prince of Wales
 - The Hoefle Telegram, which provides important evidence of Nazi attempts to destroy European Jewry, for the Imperial War Museum's new 'Holocaust Galleries', opened by HRH The Duchess of Cambridge
 - The Inventory of goods at the new

manor of Temple Newsam, a 500-year-old checklist of the contents of Lord Darcy's palatial home, loaned to Temple Newsam House in Leeds.

- Preparations are underway for a commemorative programme to mark the centenary of the Law of Property Act in 2022. Reflecting upon a century's work protecting and expanding access to manorial records, a key set of historical public records, we will be running a series of events later in the year. This is the culmination of a 30-year project to revise and digitise the [Manorial Documents Register](#) for England and Wales.

Reaching communities and young people

- Our Education and Outreach programmes continue to reach a wider audience than ever before. To ensure that access to our services could continue through the pandemic we have developed new approaches and made key adaptations. Over the past year we have taught over 18,000 school students across the country and trained nearly 2,000 teachers and archivists in our 'How to Teach with Archival Collections' programme. We have also reviewed and redeveloped our classroom resources with a focus on inclusivity and diversity. Our materials include lessons on topics including [African nurses](#), [Suffrage tales](#) and [LGBTQ+ lives](#). Our programmes have inspired young people to create all kinds of imaginative responses, including animated films on '[Rebels in the Records](#)' and a [graphic novel](#) about South Asian seafarers.
- We are committed to opening out our collection to the widest audience possible. Our pioneering workshops mixing therapeutic practice with archival research keep evolving in conjunction with the

Nearly half a million visitors have encountered 33 different items from our collections at 11 exhibitions across the UK and abroad.

Black African Asian Therapy Network and Stillpoint Spaces London. We contributed to the Arts in Care Homes campaign with a resource using colouring images and mindfulness shared via social media. Our 'Connecting through Collections' project brought elders living with dementia together with young people to share experiences and our pen pal project continues with care home residents in the Midlands and South Wales. We are currently working with Special Educational Needs professionals and charities Mencap and Share to build a new interactive online resource aimed at learning disabled adults that will be launched by the end of 2022.

- We continue working with The National Archives Trust (registered charity no. 1187839) following its launch in 2020. In 2022, the Trust launched a campaign to support education and public engagement work both nationally and at Kew and the Clore Duffield Foundation have pledged to build a Clore Learning Centre. In response to lessons learned during the pandemic, we have begun redeveloping our plans for the space to provide high quality virtual teaching facilities, enabling us to reach more students across the UK.
- We would like to thank the [Friends of The National Archives](#) once again for their continuing support. This year they facilitated the following projects:
 - Cataloguing '[The Great Cowcher Books](#)', which concern the Duchy of Lancaster's medieval estates
 - Recording a play by our writer in residence, '[Your Unfortunate Servants](#)', based on our Poor Law records
 - The film-making project for young people, '[Rebels in the Records](#)
 - '[Council Housing Online for Share](#)', an online community engagement project working with disabled residents in Wandsworth
 - '[Art and Archives](#)', an art project looking at nurturing creative practice within our collections.
- Our volunteers continue to provide

We contributed to the Arts in Care Homes campaign with resources using colouring images and mindfulness shared via social media.

invaluable support. Over the course of 2021 we were able to restart most of our on site volunteer projects, many of which were catalogue enhancement projects. We were delighted to learn that the team cataloguing the project '[First World War Representative Medical Records of Servicemen and Servicewomen](#)' (MH 106) won the Best Volunteer Team accolade at the London Heritage & Museum Awards.

Fostering a culture of research

- Although the pandemic has affected access to our collections in various ways, we continue to generate and pursue opportunities for cutting-edge research. Throughout the pandemic period we have been entrepreneurial in our network-building, delivering on our commitments with external research partners by improving flexibility and communication. We also increased the time available for colleagues to complete their Professional Fellowships in a scheme sponsored by The National Archives and Research Libraries UK. We have made substantial investments in our internal research activities, awarding over £100,000 through our Strategic Research Fund and sponsoring a Research Fellowship in Data, Visualisation and Storytelling. As we endeavour to foster an inclusive research culture, we continue to encourage internal and external collaboration through research-writing sessions, seminars and other events.
- We have successfully concluded our equipment upgrading project enabled by the Arts and Humanities Research Council's (AHRC) Capability for Collections funding stream and our collaborative projects '[Deep Discoveries](#)' and '[Northern Way](#)'. [Ongoing research](#) projects include:
 - 'Workhouse Voices', a programme for schools on the Victorian poor, which



builds on research from the successfully completed project, 'In Their Own Write', funded by the AHRC

- 'From Lima to Canton and Beyond: An AI-aided heritage materials research platform for studying globalisation through art' and 'Digital approaches to the capture and analysis of watermarks using the manuscripts of Isaac Newton as a test case', both funded through the National Endowment for the Humanities and the AHRC's 'Humanities New Directions for Digital Scholarship in Cultural Institutions' programme
- 'Engaging Crowds: citizen research and cultural heritage data at scale', funded by the AHRC Strategic Priorities

Throughout the pandemic period we have been entrepreneurial in our network-building, delivering on our commitments with external research partners by improving flexibility and communication.

Fund 'Towards a National Collection' research programme. As the project was impacted by the pandemic, we successfully applied for an extension.

- Our research events calendar continues to provide space for rich discussion despite the pandemic prompting us to focus on online engagement. Our 2021 Annual Digital Lecture explored '[Data Feminism and the Archive](#)' and the annual Gerald Aylmer Seminar looked at '[New ways to work: future directions for archival and historical practice](#)'. In June 2021, we hosted the '[Discovering Collections, Discovering Communities](#)' conference for galleries, libraries, archives, museums and academia. Co-organised with Research Libraries UK and Jisc, the conference explored how crisis can act as a catalyst for change and ran online across a range of platforms.
- We have welcomed new collaborative PhD students this year funded through the AHRC's Collaborative Doctoral Partnership and Doctoral Training Partnership. We continue to support a full cohort of 12 students. We are grateful to the Friends of The National Archives for enabling a twelve-month 'The Friends of the National Archives Research Fellowship (Advanced Digital Methods)' that worked with data on the [First World War Unit War Diaries \(WO95\)](#) created through citizen research.

Realising the value of archives

- Our intention is to approach our collections with an entrepreneurial outlook and our ambition for the future is to ensure commercial returns are invested in a way that benefits our organisation and our audiences long term. Our partnership with Findmypast.com came to a highly-successful fruition this year with the release of the 1921 Census and we have made substantial returns from licensing and publishing ventures. We also expanded our strategic collaboration with the [Swedish School](#) in London from November 2021. As hosts for their Sixth Form, we support our education agenda, generate income to reinvest back into our services and reinforce our already strong links with the local Richmond community.
- Over the past year we have succeeded in securing crucial funding for our research activities. We have been awarded over £1.7 million for the coming three years, of which £1.6 million will support the project 'Our Heritage, Our Stories' as part of the AHRC's research programme 'Towards a National Collection'. This ground-breaking project will design sophisticated automated tools to make community-generated digital content searchable and connected through a public Observatory. Going forward, the project will help us embed new strategies for content management into heritage practice and training. This is a collaborative venture with the Universities of Glasgow and Manchester.
- We have also won six further research grants – three as project leads, three as collaborators – and supported six grants based at other organisations. This funding supports projects such as the exploration of the [Prize Papers](#): a vast, unique collection of documents and artefacts from legal captures of enemy ships by English privateers and warships between 1652 and 1815. The project, 'Capturing the Materiality of the Prize Papers', is a collaboration with Nottingham Trent University and the University of Milan and is funded by UK Research and Innovation. Running from February 2022, it develops innovative

ways to analyse the material make-up of the collection, alongside valuable public engagement work with local communities who have a connection to the cultural origins of the objects.

- We continue to support the wider archive sector to realise the value of their collections and enhance their conservation and research capabilities. Our partnership programme with The Pilgrim Trust and the Wolfson Foundation, 'Archives Revealed', has enabled the cataloguing and unlocking of archives around the UK through awards totalling £297,929. We also successfully delivered the Collaborate and Innovate funding programme, empowering archives to build networks and creatively develop ideas and solutions. In addition, we awarded £97,432 through 14 'Archives Testbed' grants, £53,102 through 'Networks for Change' grants and £30,000 in [Scoping grants](#).²

Over the past year we have succeeded in securing crucial funding for our research activities.

Collaborating with external and international organisations

- We continue to work closely with the international archive community, collaborating with the International Council on Archives (ICA) and the Forum of National Archivists (FAN) in accordance with our Presidency of FAN. In October 2021, colleagues participated in the ICA annual conference, 'Empowering Knowledge Societies', which was entirely online for the first time. The legal landscape concerning intellectual property and information rights is rapidly changing and remains a key topic for archives across the world. Under our leadership, the ICA's Expert Group on Legal Matters drafted a Copyright Declaration to be ratified and circulated among the global archival community later in 2022.

² Grants awarded in a particular financial year are not necessarily paid out in the same financial year, therefore the figures listed here do not correspond with the amount for Grants paid listed on page 85.

- In early 2022, we mobilised swiftly in conjunction with the international archival community to respond to events in Ukraine. Through the Digital Preservation Coalition, we established a Digital Safe Haven for the Ukrainian archives to try to ensure that their records survive. As part of the ICA Executive Board we also participated in the passing of a resolution to suspend relations with the Russian and Belarusian public archival institutions that are members. We also continue to fulfil our duty to the public record by capturing the UK Government's online response to the situation.
- For International Archives Week 2021, we discussed themes that speak to our core strategic intents, including accountability and transparency, networking and collaboration, and diversity and inclusion. We participated in a round table discussion called 'Building Digital Bridges (UNESCO)' in collaboration with UNESCO Archives and the UK National Commission for UNESCO, with the support of the Judicial Branch of the State of Mexico. The discussion focussed on the digitisation of UNESCO Constitution documents for the organisation's 75th anniversary and how the challenges of digitisation might also present opportunities to empower archival communities around the globe.
- Over the year we participated in some fascinating virtual international events on the future of the global archive community in the wake of the pandemic. In June 2021 we took part in a webinar hosted by the National Archives of the United Arab Emirates, in July we gave a presentation on our developing online volunteer offer with representatives from the European Digital Treasures Project team and in November we spoke at an event visualising archival future hosted by the National Archives of Singapore.
- We are getting ready for the centenary launch of the [Virtual Record Treasury of Ireland](#), a virtual reconstruction of the Records Treasury of the Public Record Office of Ireland that was destroyed in 1922 during the Irish Civil War. Opening in June 2022, the Virtual Record Treasury will provide access to millions of words from destroyed documents reassembled from copies, transcripts and other records. In

Through the Digital Preservation Coalition, we established a Digital Safe Haven for the Ukrainian archives to try to ensure that their records survive.

July 2021, we hosted an online research showcase for the project that was attended by around 800 delegates worldwide.

Leading the archives sector

- In our role as [sector leader](#) in England we have worked to support archive services as they re-opened to the public and expanded on site operations. We have been leading the archive sector in England for a decade and it therefore seemed timely to review our leadership approach, particularly as the pandemic has raised significant challenges for archive services. This process is still in progress: we have engaged with sector stakeholders and are now considering strategic and practical ways forward. As we emerge into a post-lockdown world with new demands and opportunities, we want to restate our commitment to leading the archive community to a sustainable future.
- The pandemic inevitably had an impact on both the transferring and receiving of records. Throughout the year we provided information to the archive sector on our safety measures, in line with government regulations. Despite various pandemic-related obstacles, 34 archive services successfully accessioned over half a kilometre of public records in 2021. To mitigate the continued risks faced by archive collections, we continue to work closely with the Business Archives Council, the Archives and Records Association, the British Records Association and the Records at Risk Steering Group. In response to these risks, in November 2021 a new Records at Risk Fund was launched that has already awarded over £30,000 to organisations across the UK. We have also distributed £660,000 in [New Burdens](#) funding for archive services over the past twelve months (see Appendix on page 125 for more details).

- Building on last year's success, we continued our Treatment Round Tables this year, which provides a platform to discuss, review and develop conservation treatment options for our unique collection items. These events attract speakers and participants from around the world and feed into the wider conservation and archives sectors, as well as higher education.
- Our online catalogue, Discovery, continues to serve as an important hub for collections across the sector. In the past twelve months archivists from around the UK added over 700 collections to Discovery using the 'Manage Your Collections' tool and the system is now used by over 280 repositories. We have trained nearly 100 record creators on the tool and over 200 archives participated in our Accessions to Repositories Survey, reporting around 7,400 new collections. We are currently working towards publishing over 1,000 new collection highlights on our accessions webpages using Mimir, our new system for managing sector data.
- We have implemented a new institutional digital system, ResearchSpace, which captures the expertise of cultural heritage professionals using the International Committee for Documentation Conceptual Reference Model. This new system records conservation practice and research flexibly, growing dynamically as processes change. We have also supported digital capabilities in the wider sector, working with the Audience Agency on a successful Lottery bid to fund ten digital action research projects that will unlock community collections across the UK.
- We have significantly expanded our work on sustainability over the past year both as

Our sustainability work has featured as a case study in the National Museum Directors' Council 2021 report, 'Green Museums'.

³ [Green Museums Report 2021](#)

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sector leaders at home and as contributors to international conversations. At the COP26 conference in November, and as an active member of the Climate Heritage Network, we hosted a two-day event on 'Archives supporting environmental sustainability'. At the event, we announced that The National Archives is joining the international 'Our Collections Matter' sustainability initiative. We have also presented this year on carbon reduction to the Climate.Culture.Peace Conference hosted jointly by the Department for Digital, Culture, Media and Sport, the British Council and the International Centre for the Study of the Preservation and Restoration of Cultural Property. Our sustainability work has featured as a case study in the National Museum Directors' Council 2021 report, 'Green Museums'.³

- Our sector leadership work on inclusion and change continues to grow. This year we commissioned the charity Creative & Cultural Skills to deliver a training series for the archive sector on inclusive recruitment. We also continue to work on a number of initiatives, including:
 - Materials supporting the assessment of risk when communicating potentially upsetting histories
 - A matrix for archive services to assess their current inclusive practice
 - New inclusive illustrations for archives to make as many people as possible feel welcome



- A campaign promoting our 'Manage Your Collections' tool, as a way of amplifying the voices of diverse archives and helping archives reach new audiences
- Developing a new Level 7 Apprenticeship for Archivist and Records Manager, designed to provide an alternative route of entry into the profession.
- As part of our 'Plugged in, Powered Up' strategy for building archives' digital capacity, this year we have developed new modules on access for our hugely successful 'Novice to Know-how' digital preservation training. This is a collaborative project with the Digital Preservation Coalition. Over the past year we have supported a third cohort of digital mentees through our peer mentoring programme, as well as developing an inclusive digital access pilot with the George Padmore Institute, Black Cultural Archives and the London Metropolitan Archives. Our 'Bridging the Digital Gap' training programme, which creates 24 paid technical trainees in archives around England and is funded by the National Lottery Heritage Fund, entered its third and final year.
- Throughout the pandemic we kept vital

Throughout the pandemic we kept vital operations running such as the **Archive Service Accreditation** programme.

operations running such as the Archive Service Accreditation programme. Remote assessment has remained a core element of oversight of award holders, but in the past year it has been possible to resume site visits for assessments. Awards Panels have continued to meet to ensure oversight and to report any significant changes. In May 2021, in response to archive sector and partner feedback, the Accreditation Committee approved a roadmap towards increasing the programme's coverage of inclusive practice and we are now working towards implementation.

Changing the way we work

- The way we work has changed immensely over the past few years. Since the start of the pandemic, we have embraced a new hybrid model of working, enabling the organisation to respond swiftly to government guidelines and realise

opportunities for cultural, technical and institutional renewal. As we emerge from the period defined by pandemic-related disruption, we continue to make the safety and wellbeing of staff our priority.

- We have made important changes to the way our organisation is structured in the past year.⁴ In 2021, we made three key new appointments following director retirements. We welcomed a new Corporate Services Director to oversee finance, corporate and strategic planning, security, IT operations and estates. We also appointed a new Director of People, Inclusion and Change to design a new People strategy and work towards an organisational culture that aligns with our intention to be inclusive and welcoming. Finally, we established the position of Commercial Director, who will grow and diversify our commercial services, deliver value for money and embed an entrepreneurial culture within the organisation. By refocusing our Executive Team, we aim to amplify our organisational capabilities moving forward in line with the intents outlined in our long-term strategy, *Archives for Everyone*.
- We have seen important changes to our Board in the past twelve months.⁵ In April 2022 we welcomed Professor Andrew Wathey CBE as the new Chair of The National Archives' Board.⁶ We thank our outgoing chair, Lesley Cowley OBE, for her service over the six highly successful and transformative years of her tenure. We have also appointed a new Chair of the Audit and Risk Committee and Non-executive Board member, Rommel Pereira. We are grateful to all our Non-executive Board members for the expert oversight and scrutiny they bring to The National Archives.
- We have also improved our organisational agility. By migrating our HR systems to the cloud, staff can work in a hybrid pattern more easily. We have been delivering

learning activities focusing on wellbeing throughout the year, including our first men's health workshops. We continue to find recruitment challenging, though, in our Digital and IT teams.

- As we move towards our intentions in *Becoming the Inclusive Archive*, in 2021 we established a senior leadership development programme to focus on embedding our strategic vision into our day-to-day work. Our staff networks also continue to meet with the Executive Team to ensure that diversity, equity and inclusion remains a key consideration in decision making. We have been supporting more diverse entry routes into archives, too, welcoming two new starters to Collection Care through government-funded Kickstart placements. But our diversity and inclusion work is ongoing. As we realise an organisational culture that aligns with our intentions, we want to build on the learnings from the pandemic period to forge an embedded, holistic view of our diversity and inclusion work. We are still making steps towards welcoming a more diverse workforce to better reflect and represent the society we serve.

As we realise an organisational culture that aligns with our intentions, we want to build on the learnings from the pandemic period to forge an embedded, holistic view of our diversity and inclusion work.

⁴ You can find out more about the structure of our organisation on page 37 and on our website: [The National Archives' Organisation Chart](#).

⁵ You can find out more about our Board on pages 38 to 41 and on our website: Terms of Reference of The National Archives' Board.

⁶ A Statement from Professor Andrew Wathey CBE can be found on page 35. <https://www.nationalarchives.gov.uk/about/news/the-national-archives-welcomes-vice-chancellor-as-new-chair-of-board/>

1.2 Performance analysis

The Public Sector Budgeting Framework

The budgeting system is designed to support the government's public spending. Estimates are the mechanism by which Parliament authorises departmental spending and are presented using the public sector budgeting framework. Estimates require Parliament to vote limits for different budget categories of spending. For The National Archives, the categories are:

- Net Resource Departmental Expenditure Limit (RDEL)
- Net Capital Departmental Expenditure Limit (CDEL)
- Annually Managed Expenditure (AME)

The RDEL budget is further split into Programme, which covers expenditure on front line services, and Administration, which covers all other expenditure not included in Programme.

Departments are required to report outturn against Estimate (see SoPS statements). A breach of any of the budget limits would result in an Excess Vote.

A summary of The National Archives' outturn in all categories compared with 2021-22 is shown in the table below:

£'000	2021-22	2020-21	2019-20	2018-19	2017-18
RDEL					
Income	(12,678)	(10,981)	(13,484)	(10,281)	(9,932)
Expenditure	52,918	47,479	49,481	44,778	44,395
CDEL	6,383	3,524	2,836	2,765	1,329
AME	(142)	-	(10)	(16)	(124)
Total Expenditure	46,481	40,022	38,823	37,246	35,668

Financial management commentary

Parliamentary support – Income and expenditure

We continue to manage our resources effectively with sound financial control frameworks and strong organisational engagement with our fiduciary duties. The COVID-19 pandemic has continued to present unprecedented challenges to the accuracy of our outturn forecasting. Global supply chain issues, recruitment difficulties, and price inflation have all created significant volatility. Our net resource and capital outturn was £46.5 million compared to the HM Treasury net allocation of £49.1 million: a £2.6m or 5% variance.

A significant driver of the variance to our allocation stemmed from difficulties in recruitment throughout the year, especially in our Digital teams – something that is currently replicated across the public sector. This led to an underspend on Staff Costs of £0.8 million.

Depreciation was lower by £0.8 million due to capital expenditure being lower than expected and some assets being incomplete at the year-end, and thus not yet depreciable.

Capital projects were impacted by delays and cost increases in the supply chain, which meant that a number of Estates projects over-ran, whilst others felt the effect of price rises. Digital projects were impacted by recruitment difficulties, leading to lower than expected people and contractor costs being capitalised, whilst some were deemed to not be capital in nature and charged to operating expenditure. The variance of £0.8 million was mainly driven by these impacts and the reclassification of £0.5 million of Digital expenditure.

There was also a £0.2 million over performance in income.

Total net operating expenditure

Total Net Operating Expenditure, shown on the Statement of Comprehensive Expenditure, was £39.2 million (2020-21: £36.5 million). This excludes the £6.4 million of capital spend that is part of the Parliamentary Support statement above and the Statement of Outturn against Parliamentary Support (SoPS). The net figures are:

i. Total operating expenditure

Total Operating Expenditure for delivering our remit as the official archive and publisher for the UK Government, and for England and Wales, was £52.8 million. Staff costs amounted to £26.5 million (2020-21: £25.9 million) with the number of employees increasing by 59 Full Time Equivalent (FTE) during the year to 566 at the year-end (2020-21: 507). A further £0.8 million for staff costs were capitalised as part of Digital projects (2020-21: £0.1 million).

Operating Expenditure, excluding staff costs, depreciation, provisions and audit charges, amounted to £20.1 million (2020-21: £15.4 million). This increase was driven by a £3.8 million increase in Contracted Services, partly by design to support Digital projects and partly being the consequence of recruitment difficulties in Digital, leading to the need to outsource services.

ii. Total operating income

Total Operating income for the financial year was £13.6 million (2020-21: £11 million). The increase was largely the result of having fewer closures and disruption to our Kew-based revenue streams than those we saw in 2020-21. We also benefitted from the 1921 Census release, accruing an additional £0.9 million in licensing royalties.

Total capital expenditure

Total Capital Expenditure in 2021-22 was £6.4m, which is £0.8 million under the final allocation of £7.2 million, but a £2.9 million increase on the prior year (2020-21: £3.5m). This represents the increase in approved investment secured with HM Treasury. The outturn variance was largely driven by a number of Estates and Digital projects being impacted by supply chain and recruitment issues causing delays, plus the reclassification of one Digital project worth £0.5m to Operating Expenditure.

Financial position

Assets and liabilities are shown in the Statement of Financial Position on page 77.

Assets less liabilities totalled £227.2 million at 31 March 2022 (2021: £193.3 million).

Total assets as at 31 March 2022 were £234.5 million (2021: £198.9 million). Property, Plant and Equipment and Intangibles represented 96.5% of the asset value (2021: 97.2%). The increase of £35.6 million for Property, Plant and Equipment was primarily driven by an increase in the value of the land (following a professional desk-based valuation undertaken in April 2022) and stems from significant increases seen in land value inside the M25 in the last twelve months. The professional valuation assessed the land and buildings to have a value of £183.3 million (2020: £152.1 million). The remaining increase relates to new Digital technology assets, both live and under construction.

Total current assets as at 31 March 2022 were £8.0 million (2020-21: £5.4m). The increase is explained by Contract Assets increasing by £1.1 million, mainly for the £0.9 million 1921 Census income, and Receivables by £1.6 million due to increased activity.

Total liabilities were £7.3 million at 31 March 2022 (2020-21: £5.6 million). The increase mainly comprises of a higher Trade Payables balance, owing to an increase in operations

and expenditure occurring later in the year, as well as £0.9 million income from the 1921 Census, which is owed to HM Treasury as a Consolidated Fund Extra Receipt (CFER).

Financial outlook

The volatility caused by the global environment in recent years and especially the last twelve months has had a significant impact on the management of finances within The National Archives in 2021-22. Recent events in Ukraine, the high cost of energy, challenge to Civil Service headcount levels and rising cost of living promise more uncertainty and variability in 2022-23.

We are investing in a new Enterprise Resource Planning system expected to go live in June 2023 that will greatly enhance financial control, reporting and processes. Until then, we continue to apply financial stewardship in a controlled fashion by our existing means, albeit with greater scrutiny of Business Plans that underpin the financial forecast in light of the challenging environment and increased manual intervention on reporting and analysis to understand movements in, and risks to, the forecast.



Performance against our business priorities

Two-year business priorities – year 2

Goal	How we were to achieve this	Status at end 2021-22
Capture the record and aid legal certainty	We will work with other government departments to ensure, during the pandemic and in its aftermath, that records are captured, kept and transferred to The National Archives.	Completed
	We will develop the infrastructure to archive the Government's response to the first global pandemic in the digital age.	Partially Completed Recruitment difficulties meant we did not grow the Digital Archiving team as planned. This has been partially offset by procuring suppliers and contingent labour for project work where appropriate.
	We will provide access for everyone to the legislation that governs us at a time of unprecedented and rapid change to the statute book.	Completed
Take the collection to new audiences	We will grow a bigger and more diverse audience through public engagement, partnership and collaboration.	Completed
	We will enable more people to encounter our collection online, better help them to understand it, and support their participation.	Partially Completed Decision to prioritise other projects such as Find Case Law and scarcity of digital resource meant that the timeline for completion of the Public Beta of the new website was extended by six months to end September 2022.
	We will expand online access to an increased range of digitised records, achieving where appropriate a commercial return.	Partially Completed We have further work to do to grow and monetise where appropriate the content available on our website.

Goal	How we were to achieve this	Status at end 2021-22
Realise the value of archives through research, innovation and commercial exploitation	We will build our grants portfolio, our approach to research development and our research expertise to enable pioneering research that benefits The National Archives, our audiences, and the wider economy.	Partially Completed We intend to develop our approach to research development in the financial year 2022-23.
	We will realise increasing commercial returns from our estate, our collection, our expertise, and our intangible asset base.	Completed
	We will ensure these commercial returns are invested to optimise long-term benefit.	Not Completed Discussions remain ongoing with HM Treasury and DCMS with regards to the possibility of commercial freedoms.
Lead the archives sector to a secure and sustainable future	Through partnership, we will work to safeguard the nation's archival heritage from threats presented by the COVID-19 pandemic.	Completed
	We will develop and deliver professional development opportunities, resources and training that create new skills, open up new routes into the profession and enhance the diversity and social mobility of the archives sector workforce.	Completed
	We will reshape our approach to sector leadership to meet the demands of the post-lockdown world, supporting archives services to increase their capability and sustainability and adapt their service models.	Partially Completed We commissioned a report to provide evidence for leadership options. As a result of the report our Board have endorsed the chosen way forward. Work on the new offer continues into next year.

Goal	How we were to achieve this	Status at end 2021-22
Change the way we work	We will refresh our Values and develop a new People Strategy.	<p>Not Completed Much of the work has been focused on enabling people to provide the services we are tasked with and how best to operate them within a pandemic.</p> <p>We recruited a new Director of People, Inclusion and Change who started in November. This recruitment took longer than we had anticipated and work on refreshing our values and developing a new People Strategy was postponed until their arrival.</p> <p>A Culture programme has been designed and is due to be delivered from May 2022.</p>
	We will take positive action to improve representation.	<p>Partially Completed There are many areas of the organisation doing great work around improving representation but we have more to do.</p> <p>We are recruiting a new Head of Diversity, Equity and Inclusion to take this work forward in 2022-23.</p>
	Through our new People Strategy, we will build a culture and technical infrastructure that enables and supports 21st-century working.	<p>Not Completed It was agreed to delay work on this objective until we appointed a new Director of People, Inclusion and Change.</p> <p>However, much has been done to build a culture and technical infrastructure to enable and support 21st-century working.</p>



Performance against our input and impact indicators

Our input and impact indicators demonstrate our overall performance as an organisation and our commitment to quality, as well as illustrating evidence of the effectiveness of the priorities set out in our business plan. They are presented as year-on-year comparisons so that we can track our progress within any given year.

To ensure that we can be held accountable as we move forward in delivering our strategic priorities, underpinned by the UK Government's Transparency agenda, we also publish a number of discretionary (non-financial) indicators on our website, which include staff engagement and diversity.

Performance against our input indicators

Input indicator	2021-22 Outcome	2020-21 Outcome
Original records delivered to on site users	362,661	71,328
Electronic records delivered to online users	374,200,000	447,547,640
Staff diversity:		
Women	52.8% (average)	53.4% (average)
Top management women	54.2% (average)	54.1% (average)
Black and Minority Ethnic	15.3% (average)	14.7% (average)
Disabled	6.6% (average)	6.1% (average)
Staff engagement (as reported by the Civil Service People Survey)	73%	75%
Time taken to deliver original records to on site users	92.8% of on demand orders were delivered within an hour	The on-demand document service was not available during 2020-21 due to pandemic-related government restrictions
Time taken to respond to Freedom of Information and Environmental Information Regulation requests	75% of enquiries responded to within statutory deadlines	80% of enquiries responded to within statutory deadlines ⁷
Total departmental spend	£39.2 million	£34.2 million
Staff sick absence	5.2 days per FTE (average) ⁸	3.7 days per FTE (average)
Outstanding effects on legislation.gov.uk	102,893 amendments applied to legislation on legislation.gov.uk	69,615 amendments applied to legislation on legislation.gov.uk
Number of physical records accessioned⁹	100,886 pieces 3,628 metres	91,286 pieces 1,007 metres

⁷ These FOI performance figures are calculated for the financial year 2021-22 but had been reported previously for the calendar year, therefore this figure, provided here for comparison with the financial year 2021-22, will appear different to that in our Annual Report and Accounts 2020-21.

⁸ We saw a marked decrease in overall sickness absence during the pandemic, due to the effect of people not mixing socially and the ability to work from home when ordinarily sickness would have prevented them attending the workplace. As regulations have eased over the past year, sickness absence is increasing partly due to resumed social mixing and to COVID-19, but the rate is not currently at pre-pandemic levels.

⁹ These figures relate to accessions only and do not include special transfer projects such as the Ministry of Defence service personnel records transfers. The correlation between pieces accessioned and space required to hold them differs year-on-year due to differences in the size of the physical objects accessioned.

Performance against our impact indicators

Impact indicator	2021-22 outcome	2020-21 outcome
Web continuity ¹⁰	Web Archive Services – Sessions Total: 955,268	Web Archive Services – Sessions Total: 2.6 million
	Web Archive Services – Users¹¹ Total: 570,604	Web Archive Services – Users Total: 2 million
Customer satisfaction		
On site users	94%	88%
Online users	57%	In 2020-21, the website satisfaction metrics were calculated from several separate surveys to enable greater understanding of performance of individual elements within our online offer, but is therefore not a directly comparable metric to other years.
legislation.gov.uk users ¹²	72%	59%
Records and information management services used across government¹³	The Information Management Assessment Programme is currently being revised and figures are not available this year.	The Information Management Assessment Programme is currently being revised and figures are not available for last year.

Further details of how we measure our performance can be found on our website under the section, 'Our role', which includes our long-term strategic plans and our transparency reporting.¹⁴

10 What we previously referred to as UK Government Web Archive 'visits' are now termed 'sessions'; what was formerly 'visitors' is now termed 'users'. This is to be consistent and clear with respect to our analytics data, which now uses Google Analytics. The effect of this is to reduce the headline figure in comparison to server log analysis, which was our previous method. Furthermore, we are now reporting usage metrics for two web archive services: the [UK Government Web Archive](#) and the [European Union Exit Web Archive](#).

11 The significant decrease in web archive service users this year is due to two factors. Firstly, in March 2021 Google Analytics made changes to the way it uses 'opt-in' cookies, which means that if users do not allow cookies, a user or session is not recorded. Secondly, during the pandemic we temporarily blocked web search engines from indexing the web archive, because it was necessary to archive significant levels of COVID-19 guidance.

12 The online users' satisfaction survey results were lower in 2020-21 as we were not able to get responses from the full range of people due to the COVID-19 pandemic.

13 We have now developed a working prototype of a modular Information Management Maturity Model for Government, which allows public record bodies (PRBs) to self-assess their information management maturity easily and remotely. Initial engagement with PRBs through extensive user research testing and workshops has been extremely positive. Going forward we will track uptake and usage of this Maturity Model and will no longer report against the legacy Information Management Assessment (IMA) programme.

14 nationalarchives.gov.uk/our-role

Environment and sustainability

During 2021-22, we continued to reduce the environmental impact of our operations, building on the progress we have made since the historic baseline year of 2009-10. In 2021, the UK Government published new Greening Government Commitments 2021-25¹⁵ (GGC) and the target baseline was readjusted to the year 2017-18. We have therefore adjusted our reporting for 2021-22 to reflect the new baseline year. It should be noted that since our strategy was to exceed the targets set against the previous baseline, it will be more challenging to achieve the new GGC targets.

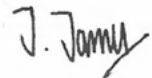
In the past year, we achieved a 40% reduction in carbon emissions compared to the new baseline year. We have worked to meet and exceed our obligations under the Greening Government Commitments 2021-25, sending no waste to landfill and reducing the overall waste we produced. We reduced our waste by 37% compared with the baseline year of 2017-18, exceeding the new target of a 15% reduction. We also continued to reduce our emissions from domestic flights by 97% and our paper consumption by 78% against the new 2017-18 baseline. In 2021-22, we used 35% less water compared with the 2017-18 baseline year, which represents a 21% decrease compared with the previous year. For further information, please see Annex A: Sustainability accounting and reporting on page 100.

While the ongoing impact of the COVID-19 pandemic restricted some in-person engagement, we have continued to support our local community stakeholders in the following ways:

We have worked to meet and exceed our obligations under the Greening Government Commitments 2021-25, sending no waste to landfill and reducing the overall waste we produced.

- Maintained our grounds and ornamental ponds as a local amenity for our staff, visitors and local residents to enjoy. The grounds are open to the public from dawn until dusk throughout the year and remained open during the COVID-19 crisis, subject to social distancing requirements.
- Maintained our surface water drainage arrangements to meet our obligations to the flood defences of the local area in support of the Environment Agency.
- Communicated regularly with our neighbours and local residents regarding planned maintenance and project works.
- Liaised with the Swan Sanctuary for monitoring the wellbeing of resident wildfowl on our grounds.
- Supported the London Borough of Richmond upon Thames' environmental initiatives.
- Ensured our embedded learning spaces can be utilised by the education team as part of our on site engagement with schools and the local community, as government restrictions allowed.

Looking ahead, we have instigated a review to ensure that our long-term strategy is fully aligned to the Greening Government Commitments, the Greening Government ICT and Digital Services Strategy¹⁶, as well as the Government's overarching targets of Net Zero by 2050 and a 78% reduction in emissions by 2035.



Jeff James,
Chief Executive and Keeper,
14 July 2022

¹⁵ [Greening Government Commitments 2021 to 2025](#)

¹⁶ [Greening Government: ICT and digital services strategy 2020-2025](#)

Accountability report

Corporate governance report

Statement from the Chair of The National Archives' Board

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Statement of Accounting Officer's responsibilities

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Parliamentary accountability and audit report

Statement of Outturn against Parliamentary Supply (SoPS)

The Certificate and Report of The Comptroller and Auditor General to The House Of Commons

2.0

Image cat ref: INF 10 39 10 Barbados market A4

2.1 Corporate governance report

Statement from Professor Andrew Wathey CBE, Chair of The National Archives' Board

This report marks the third year of The National Archives' strategic vision, *Archives for Everyone*, and the last year of Lesley Cowley OBE's tenure as Chair of The National Archives' Board. As her successor since the end of the period that this report documents, I am delighted to have the opportunity to reflect on the organisation's progress.

During this year the impacts of the COVID-19 pandemic continued to be felt, but we also saw the pattern of our activities move towards renewal. The National Archives, which has participated in the UK Government's wider response to the pandemic, has necessarily adapted its business priorities to meet the challenges of a changed world. The organisation remains committed to its strategic goals, but the period of the pandemic has also presented an opportunity to re-evaluate the ways in which we work.

The National Archives continues to fulfil its historic duty to capture the government record for posterity; to take our collections to ever wider audiences through more diverse platforms; and to support the archives sector to preserve and promote the myriad histories of our nation sustainably into the future. The Executive Team has shown immense fortitude in a year that has again been anything but business as usual. I believe that the lessons of the past two years stand us in good stead for the future, with our ability to innovate and evolve strengthened.

I want to put on record my thanks to all of our colleagues, partners and supporters for their energy and commitment; I am eager to see what we can achieve together in the future.



The Board has been pleased to oversee several milestones reached in the past year. Welcoming the public back to Kew last summer was an important step in reinvigorating our services; supporting staff to return to site safely was another key priority. January saw the successful release of the 1921 Census of England and Wales. This was a project of unprecedented scale and at any time would be a tremendous feat—in the circumstances of the past two years, it constitutes a prodigious achievement. The accompanying exhibition and events programme heralded a return to a richer on-site experience for the public.

The Board met throughout the year, virtually and in person as regulations allowed. It has taken assurance on The National Archives' performance and on the high quality of its leadership. In January, the Board adopted a new programme of strategic conversations to ensure that we are working as well as we can to deliver the organisation's collective vision. I was delighted to join the Board as Chair in April 2022 and look forward to working with the Chief Executive, the Board and colleagues across the organisation. I thank my predecessor, Lesley Cowley OBE, for steering The National Archives through the past six years and for the strong legacy that her wise leadership of the Board has created. We were also very pleased to welcome Rommel Pereira in May 2021 as a Non-executive Board member and Chair of the Audit and Risk



Welcoming the public back to Kew last summer was an important step in reinvigorating our services

Committee. I want to thank Dr Claire Feehily for her service in these roles over the past six years.

As we continue to review and renew how The National Archives can best realise its vision and purpose and serve the public in the wake of the pandemic, it is important to reflect upon the work that has been done by our staff and the partners who work with, and for, The National Archives. I want to put on record my thanks to all of our colleagues, partners and supporters for their energy and commitment; I am eager to see what we can achieve together in the future.

Andrew Wathey

Professor Andrew Wathey CBE
Chair of The National Archives' Board
5 June 2022

Directors' report

About The National Archives

The National Archives' main statutory duties are as set out in the Public Records Act 1958 and associated legislation and it fulfils the remit of the Public Record Office, the Historical Manuscripts Commission, Her Majesty's Stationery Office, Queen's Printer of Acts of Parliament, Government Printer for Northern Ireland, and Queen's Printer for Scotland. Further details on our remit is summarised on pages 8 to 23 of this report.

Management and structure

During the year under review we reorganised some directorate portfolios. The Commercial and Corporate Services directorates were created, reporting into the Chief Operating Officer. We also created a People, Inclusion and Change directorate reporting into the Chief Executive and Keeper.

Our duties were carried out by the following directorates and functions.

Directorate/Function	Who	Responsible for
Chief Executive and Keeper	Jeff James, Chief Executive and Keeper	Our future direction and current performance and is accountable to ministers for both. As Keeper of Public Records and Historical Manuscripts Commissioner, he holds the offices of Queen's Printer of Acts of Parliament (responsible for publishing all UK legislation, and the official newspapers of record, <i>The Gazette</i>); Queen's Printer for Scotland and Controller of Her Majesty's Stationery Office; and the office of Government Printer for Northern Ireland.
Chief Operating Officer¹⁷	Neil Curtis, Chief Operating Officer	Ensuring The National Archives has all the resources (human and financial) it needs to deliver its agreed business priorities, using data to take evidence-based decisions that deliver tangible outcomes, organisation wide.
Commercial	Gemma Maclagan Ram, Commercial Director (started 1 July 2021)	Our commercial teams and growing and diversifying our commercial products and services, delivering value for money, and embedding an entrepreneurial culture and ethos.
Corporate Services	Aaron Smith, Corporate Services Director (started 2 August 2021)	Our business critical functions across the organisation, including finance, corporate and strategic planning, security, IT operations and estates, delivering an effective and efficient foundation from which the customer-facing and commercial teams can expand our offering to the public and markets.

¹⁷ The Operations directorate ceased on 30 June 2021 with the retirement of the Operations Director, Paul Davies. The responsibilities of the Operations directorate are now carried out by the Chief Operating Officer and the directorates for Corporate Services and People, Inclusion and Change.

Directorate/Function	Who	Responsible for
Digital	John Sheridan, Digital Director	Our digital services, enabling us to fulfil our ambition to become a digital archive by instinct and design. To provide strategic direction, transform our digital offer, and to shape and drive forward our cataloguing and web-based services.
People, Inclusion and Change	Andrea Metcalf, Director for People, Inclusion and Change (started 8 November 2021)	Our human resources and commitment to further strengthen our culture and approach so that we continually strive to better reflect and represent the society we serve. Our People strategy, building an organisational culture, delivering the new ways of working programme and building a more representative workforce.
Public Engagement	Emmajane Avery, Director of Public Engagement	Our public engagement strategy, and developing on site, online, and remote learning and engagement programmes for the public and wider educational audiences.
Public Records Access and Government Services (formerly Government and Information Rights)	Lucy Fletcher, Director for Public Records Access and Government Services (formerly Director for Government and Information Rights)	Our offer to Government, providing expert advice and guidance to government departments and public bodies; driving strategic compliance with statutory obligations, including the transition to the 20-year rule; and enabling the growth of digital capability for the future preservation of born-digital government records.
Research and Collections	Dr Valerie Johnson, Director of Research and Collections	Our research, academic engagement, and conservation programmes, using our collections to enhance access. Our active support for the archives sector to secure the best possible long-term future for their collections and services.

Further information about the organisation and directorate functions can be found on the Our Staff web pages of our website at: nationalarchives.gov.uk/about/our-role/transparency/our-staff.



The National Archives' Board

The National Archives' Board is the key strategic advisory body of the organisation. It consists of the Chief Executive and Keeper, six Executive Directors, Chair of the Board and four Non-executive Board members, who are:

- Lesley Cowley OBE**
Chair of The National Archives' Board (term ended 31 March 2022)¹⁸
- Sonia Cargan**
Non-executive Board member
- Dr Claire Feehily**
Non-executive Board member, Chair of the Audit and Risk Committee (term ended 31 May 2021)
- Rommel Pereira**
Non-executive Board members, Chair of the Audit and Risk Committee (started 1 May 2021)
- Mark Richards**
Non-executive Board member
- Baroness (Ros) Scott of Needham Market**
Non-executive Board member

Read more about our Executive Team: nationalarchives.gov.uk/about/our-role/executive-team and Board members:

nationalarchives.gov.uk/about/our-role/management-board on our website.

Audit

The financial statements have been audited by the National Audit Office on behalf of the Comptroller and Auditor General. The audit fee was £76,500 (see note 3 to the accounts). 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 keep themselves informed of any relevant audit information and to establish that the entity's auditors are notified of that information.

Public sector information

The National Archives has complied with the cost allocation and charging requirements set out by HM Treasury. We are one of the public sector bodies now brought fully within the scope of the Re-use of Public Sector Information Regulations 2015 and we have taken steps to ensure that we comply with those Regulations, including publishing a statement of our public task.¹⁹

18 Professor Andrew Wathey CBE assumed the Chair of The National Archives' Board from 1 April 2022.
19 nationalarchives.gov.uk/about/our-role/what-we-do

Governance statement

The National Archives' Board is the main governance body of the organisation. It consists of the Chief Executive and Keeper, eight Executive Directors, Chair of the Board and four Non-executive Board members. The Board is attended by the Head of Strategy and Chief Executive's Office and the Head of Governance, who is also the Board Secretary. Meetings are chaired by the Chair of The National Archives' Board. Formal Board meetings usually take place 10 times a year and include one or two strategy days.

Supporting and informing the work of the Board are its two sub-committees, the Audit and Risk Committee and the Nominations and Governance Committee.

The National Archives' Board is responsible for ensuring that the leadership of The National Archives:

- Sets the strategic direction and makes strategic choices
- Maintains the highest standards of corporate governance and has adequate systems and controls in place
- Provides leadership in the delivery of statutory, corporate, and business responsibilities
- Makes key investment, procurement and project decisions that withstand scrutiny
- Identifies and manages risks effectively
- Reviews financial information and encourages improvements in performance across the organisation
- Takes corporate responsibility for its decisions and their implementation.

The role of board members is to:

- Provide advice, guidance, support and challenge through open debate on board matters

- Encourage new and innovative ways of doing things and make the best use of new technology
- Ensure the right strategic policies, information and evidence is available to make decisions, measure performance and provide assurance
- Uphold the values of the organisation as well as those expressed in the seven principles of public life.²⁰

Board performance

The Board has a rolling agenda. Fixed agenda items include monthly financial reporting, quarterly business and performance reporting, bi-annual corporate risk register review and review and sign off of the Annual Report and Accounts.

The Board also reviews budget and strategic priorities and scrutinises major procurement and policy decisions affecting our future strategic direction. Significant issues that were considered by the Board during the reporting year included:

- Oversight of our response and recovery from the pandemic
- Oversight of the 1921 Census online project and launch
- Meeting with the Chair of the Friends of The National Archives and the Chair of the National Archives Trust
- Endorsing a new vision and strategic approach to research
- Endorsing a new Education and Outreach Strategy
- Oversight of the Learning Centre Project and Public Spaces Masterplan
- Oversight of Project Etna and the Ministry of Defence Service Personnel Records Transfer Project

²⁰ www.gov.uk/government/publications/the-7-principles-of-public-life

- Oversight of the Parliamentary Archives and Court Judgements Partnership Projects
- Update on the Review of the Records Collection Policy
- Strategic discussion on refreshing our International Strategy, developing a Digital strategy, public engagement strategy, people and culture programme and review and refresh of our Archives Sector leadership role.

Minutes of Board meetings are available on the website at: nationalarchives.gov.uk/about/our-role/management-board/meeting-summaries/.

All Board members also meet formally and informally with other senior managers and may be members of specific high-profile project and programme boards, as required. We have an active group of Non-executive Board members, who also engage closely with the business to give strong assurance and governance.

The Board is content that the data with which it is provided is adequate, timely and comprehensive, and there are robust arrangements for reviewing and checking data.

Register of Board interests

All Board members are required to declare all personal or business interests and these are published in the [Register of Interests](#) on the website. At the beginning of each corporate governance meeting, all members are asked to declare any potential conflicts of interest. These are noted in the minutes and where the matter is deemed to constitute a conflict, the member removes themselves from discussion of the item. In 2021-22, there were no declared conflicts of interest which resulted in a Board member recusing themselves from discussion. For further details on related party transactions, see page 98.

The Board engaged no special advisers in the financial year 2021-22.

Board effectiveness

The induction of new Board members includes interviews with key managerial staff about strategic issues and the remit and services of The National Archives as well as providing briefing material on its governance frameworks.

Board members have annual appraisals with the Chair. The Board undertakes an annual assessment of its own effectiveness on the basis of a self-evaluation questionnaire. This year, the Board again concluded that it was working well despite it being another challenging year with the constraints of virtual meeting and loss of personal interactions, and agreed a new focused programme for strategic discussions to better support the organisation on key issues and priorities.

Challenge on performance of the Board is provided by the Non-executive Board members and other Board members. In this, the Board is informed by the findings of the Board Effectiveness Survey and its resulting Action Plan.

Diversity on the Board has improved with recent appointments.

The Executive Team

The Executive Team is the decision-making body of the organisation. It consists of the Chief Executive and Keeper and eight Executive Directors. The Head of Strategy and Chief Executive's Office and/or a Deputy also attend Executive Team meetings and the Head or Governance or their nominee provides secretariat support. The Executive Team usually meet fortnightly to:

- fulfil The National Archives' statutory responsibilities and deliver its strategic and business priorities
- drive and manage improvements in business and financial performance
- drive innovation, transparency and efficiencies that support delivery of strategic objectives and give value for money
- identify high-level risks, ensuring their effective mitigation and business continuity
- review and agree corporate policies
- direct and support managers to deliver key investments and major projects
- lead strategic staff management and resourcing.

Supporting and informing the work of

the Executive Team are the Operational Management Team and the Estates Strategy Committee. The Operational Management Team was created in 2021 to oversee operational performance and resource efficiency, improve operational systems and processes, drive strong financial discipline across the organisation and oversee compliance in areas of corporate responsibility. The Estates Strategy Committee was set up in 2022 to provide assurance that the organisation is managing its sites and assets appropriately and effectively, including maintaining an Estates Strategy, actively championing changes to the site, and managing office spaces and demand for space.

The business of the Executive Team is managed in a way that is inclusive, regularly inviting business updates from the staff members responsible for delivery. The Executive Directors are responsible for cascading summaries of Executive Team business to the rest of the organisation. Minutes of Executive Team meetings are available on the website at: nationalarchives.gov.uk/about/our-role/executive-team/meeting-summaries.

Informal challenge encourages staff to bring real issues to the Executive Team's attention. In addition, Directors regularly attend 'question and answer' sessions. All members of staff are invited to attend and may ask any question about the running of the organisation or current concerns. Any questions may be submitted anonymously in order to encourage openness.

The Audit and Risk Committee

The Audit and Risk Committee is a sub-committee of The National Archives' Board and supports the Accounting Officer and Board members in their responsibilities for issues of risk, internal control and governance, and associated assurance by:

- reviewing the effectiveness of the assurance framework in meeting the Board's and Accounting Officer's assurance needs
- reviewing the reliability and integrity of these assurances
- providing an opinion on how well the Board and the Accounting Officer are supported in decision-taking and in discharging their

accountability obligations, particularly in respect of Financial Reporting.

The Audit and Risk Committee meets quarterly, typically in May, September, December and February, and is the main oversight committee for the organisation. Membership comprises of the Chair of the Audit and Risk Committee, an additional Non-executive Board member, and an appointed independent member. Additional Non-executive Board members may be co-opted when needed. Other attendees at each meeting are the Chief Executive and Keeper, the Chief Operating Officer, the Corporate Services Director, representatives from our external auditors at the National Audit Office, representatives from our Internal Auditors (BDO UK LLP), the Head of Governance and the Corporate Performance Manager (Secretary).

Proposed areas for internal audit focus are informed by discussions with the Committee, the Executive Team, and Operational Management Team, together with the internal auditors' understanding of our control environment, the Corporate Risk Register and results of previous work performed. Reports from the internal auditors are copied to Committee members as soon as they are finalised. The Committee monitors the implementation of recommendations made by internal auditors, taking reports and evidence of progress as a standing agenda item. Any overdue recommendations are reported to the Operational Management Team and Executive Team in advance of each Committee meeting, and Executive Directors may be called to appear before the Committee to account for slippage on implementation dates.

The internal auditors also conduct an annual review to follow up their recommendations, which provides further independent assurance to the Committee. For the reporting year, the internal annual opinion was that there is an adequate and effective system of governance, risk management and internal control in place throughout The National Archives.

The Committee maintains a list of risk assurance processes and items to be reported to each meeting in order to structure its agenda. The list encompasses a number of regular updates during the year. This year these included:

- Progress on the implementation of

- recommendations from internal audit reviews: the Committee received assurance that management was taking appropriate action to fully implement internal audit recommendations or had provided business justification if implementation deadlines (which are set by the owner as part of their management response to each recommendation) were not met.
- Fraud risk assessment: the Committee was pleased to note that the robust measures and controls that had been put in place to mitigate potential fraud risks had remained relevant and effective throughout the COVID-19 pandemic.
 - Security (including information assurance, cyber security risks, and data handling) and Business Continuity: the Committee received bi-annual updates on key developments in relation to The National Archives' physical security, business continuity, and data handling, and was pleased to note that there had been no significant breaches of security.
 - Health and safety: the Committee gained assurance that as The National Archives extended its offer to the public following the government's relaxation of COVID-19-related restrictions and that the building remained a safe and accessible working environment for staff, visitors, and contractors. Importantly, the Committee gained regular assurance that appropriate measures and resources were in place to help support the positive mental health and wellbeing of The National Archives' staff as the organisation made arrangements to transition to hybrid working.
 - Environment and sustainability: bi-annual progress updates around environmental and sustainability issues provided the Committee with confident assurances that The National Archives is on track to meet (and in some cases exceed) Greening Government Commitments.
 - Human Resources Governance: this gave the Committee understanding of the current human resource risks and provided assurance that avenues for confidential reporting (whistleblowing) within our organisation were understood throughout the organisation and had been tested.
 - Safeguarding Report: the Committee successfully oversaw the implementation of a comprehensive programme of safeguarding measures and policies within the organisation, providing strong assurance that The National Archives is fulfilling its statutory responsibilities.
 - Procurement Report: bi-annual updates gave the Committee oversight of any potential risks and opportunities associated with The National Archives' procurement and commercial activities. In particular, the Committee was kept updated on the impact of the revised Public Procurement Regulations and Cabinet Office Spend Controls on the organisation's procurement exercises.
 - Risk Management Policy and Risk Appetite: the Committee received assurance that our appetite and tolerance for risk management control within various areas of the business were adequate and effective.
 - Corporate Risks: the ongoing impact of the COVID-19 pandemic on the organisation continued to be a key priority for the Committee throughout the year. Additionally, the Committee has been supporting and working very closely with The National Archives' Board to monitor the risk implications for the organisation of the Russia-Ukraine crisis in terms of business continuity and resilience, staff morale, potential cyber security threats, and the risks to existing and future supply chains.
 - Accountability Statements: this bi-annual update provided the Committee with assurance that business-as-usual risks were being managed effectively throughout the organisation.
 - In addition, the Committee received regular updates and progress reports on other issues of particular interest. This year, progress updates included assurance regarding:
 - Operating the Lawmaker Service – a new tool for drafting and amending legislation developed by the Legislation, Drafting, Amending and Publish Project (LDAPP).
 - Governance structure and assurance

map – providing an overview of governance arrangements at The National Archives and the corresponding decision making bodies.

- Digital risk factors, controls, and interventions – to secure and expand the digital records infrastructure, including the DiAGRAM risk model.

In November 2021, the Committee undertook a review of its effectiveness using a self-assessment checklist, enabling qualitative and quantitative results. The results from this self-assessment exercise, which also includes feedback from other Non-executive Board members who do not sit on the Audit and Risk Committee, were very positive. It concluded that the Committee was working very effectively, with a high level of independent and thorough oversight and governance, providing a diverse range of skills and experience, and that meetings are conducted in a manner which encourages open discussion and healthy debate.

The Nominations and Governance Committee

The Nominations and Governance Committee is a key forum for discussion of leadership development and succession planning, and the decision-making body for the pay and bonuses of all our senior Civil Service staff, except for the Chief Executive and Keeper.

The Nominations and Governance Committee meets a minimum of twice a year. Pay increases are in line with guidance provided by the Cabinet Office, which hears the outcome of the Review Body on Senior Salaries and sets the pay policy for senior salaries across the Civil Service. The Committee ensures that there are satisfactory systems for identifying and developing staff with high potential. It is chaired by the Chair of The National Archives' Board and membership consists of all Non-executive Board members, the Chief Executive and Keeper in an advisory capacity, and the Director of People, Inclusion and Change. Organisational Development provides secretarial support.

The Corporate Governance Code

As a non-ministerial department, we adopt and adhere to HM Treasury's *Corporate Governance in Central Government: Code of Good Practice 2017* to the extent that it is practical,

appropriate and not incompatible with any statutory or other authoritative requirements. We periodically review the Board's effectiveness and corporate governance to ensure that it aligns with good practice elsewhere across government – taking into account its unique role and responsibilities, and the statutory and non-statutory roles fulfilled by its senior officials. The current structure enables the Non-executive Board members to challenge the Chief Executive and Keeper and Executive Team, to clearly position it as an advisory body, and to shape the Board agenda.

Attendance at Board meetings and the Audit and Risk Committee for the Chief Executive, Executive Directors and Non-executive Board members

The Chief Executive and Keeper, Executive Directors, and Non-executive Board members attended the following numbers of Board and Committee meetings (for which they were eligible to attend) during the year:

Name	Role	Board	Audit and Risk Committee	Nominations and Governance Committee
Jeff James	Chief Executive and Keeper	9 of 9	4 of 4	2 of 2
Neil Curtis	Chief Operating Officer	9 of 9	4 of 4	N/A
Emmajane Avery	Director of Public Engagement	9 of 9	N/A	N/A
Paul Davies	Operations Director	2 of 2	1 of 1	N/A
Lucy Fletcher	Director for Public Records Access and Government Services	9 of 9	N/A	N/A
Dr Valerie Johnson	Director of Research and Collections	8 of 9	N/A	N/A
Gemma Maclagan Ram	Commercial Director	7 of 7	N/A	N/A
Andrea Metcalf	Director of People, Inclusion and Change	4 of 4	N/A	N/A
John Sheridan	Digital Director	9 of 9	N/A	N/A
Aaron Smith	Corporate Services Director	6 of 6	3 of 4	N/A
Lesley Cowley OBE	Chair of the Board	9 of 9	N/A	2 of 2
Sonia Cargan	Non-executive Board member	9 of 9	N/A	2 of 2
Dr Claire Feehily	Non-executive Board member	2 of 2	1 of 1	1 of 1
Rommel Pereira	Non-executive Board member	7 of 8	3 of 4	1 of 2
Robert Milburn	Independent member of the Audit and Risk Committee	N/A	4 of 4	N/A
Mark Richards	Non-executive Board member	8 of 9	4 of 4	2 of 2
Baroness (Ros) Scott of Needham Market	Non-executive Board member	9 of 9	N/A	1 of 2

Functional Standards

By the end of March 2022, all central government departments and their arm's length bodies are required to have a plan in place to comply with 14 Functional Standards in a way that meets their business needs and priorities. For the financial year 2021-22, The National Archives met nine of the standards. We have assessed that two areas are not applicable as the scale of requirements are not proportionate to an organisation of our size: Analysis and Communication. We are working towards meeting three remaining standards in the next financial year. In Project Delivery, we continue to demonstrate good practice, but inconsistencies can sometimes arise from our hybrid central-devolved model. We plan to address this by establishing a central Project Management Office function. In Human Resources, we successfully meet all the intentions except in respect to our workforce planning, on which we are currently working with business partners to devise a more holistic view of our talent needs. This will form an integral part of our new four-year strategic plan. In Grants, we have made significant progress since launching our new Grants and Funding Office in November 2021 and meet many best practice requirements. Our priority for the year ahead is to develop a framework for grant-making that draws together local practice and assigns responsibility at institutional level.

Managing our risks

We have a well-established approach to the management of risk at all levels. It encourages risk management as an enabling tool to balance risk and innovation across the organisation.

In 2021-22, our risks fell under the following categories:

- Operational and policy delivery
- Commercial
- Financial and value for money
- Reputational and credibility: general
- Reputational and credibility: interaction with ministers
- Compliance: legal, regulatory and data.

The degree of risk is measured by considering likelihood and impact. To describe our appetite for each category of risk, the Executive Team sets maximum 'residual risk' scores based on the risk categories described above, and the Board expects that risks at all levels across the organisation will be managed within these scores. Where a risk exceeds its residual risk score, remedial action is taken where possible and cost-effective, to reduce either likelihood or impact.

The Executive Team has identified a set of corporate risks, linked to our business priorities and informed by internal developments, external influences and longer-term commitments. These risks, if not managed, would compromise our ability to provide our statutory services or diminish these services to a degree unacceptable to our users. Each corporate risk is owned by a member of the Executive Team and they are regularly reviewed by the Operational Management Team, Executive Team, the Board, and the Audit and Risk Committee.

Our most significant risks in terms of residual risk scores are outlined as follows:

Operating during and emerging from the COVID-19 pandemic: there is a risk that we fail to proactively develop the organisational culture and operational capability to deliver on our statutory and other responsibilities to meet the needs of our stakeholders, leading to an impaired ability to operate efficiently and effectively as a virtual organisation.

Throughout the COVID-19 pandemic, we maintained a dedicated COVID-19 risk register to manage the associated risks in five categories:

- Statutory
- Finance and commercial
- Audience
- People
- Corporate.

Controls in place during the year included following all government pandemic-related instructions and guidance, utilising the Major Incident Management Team to plan and

deliver the closure and re-occupation of our building and restoration of services as required according to government restrictions, regular communication to staff, stakeholders and the public, and identifying business-critical functions and their on site dependency.

Failure to exploit and benefit from commercial opportunities: there is a risk arising from The National Archives not currently enjoying the same commercial freedoms of museums and galleries, together with an organisational lack of a commercial culture and limited commercial expertise, leading to a short term planning focus and inefficient (slow to grow, loss-making), internal commercial models resulting in missed opportunities.

Overview of controls in place during the year:

- We continue to actively engage with HM Treasury and DCMS to advance the debate on granting us commercial freedoms.

Failure to meet the challenges of digital: there is a risk that The National Archives fails to address the challenges and opportunities of being a digital archive, for example by not developing suitably scalable systems, not growing and developing our expertise, and not moving quickly enough to respond to technological change, resulting in a lack of a compelling offer as a digital archive, particularly for record creators.

Overview of controls in place during the year:

- We have a major ongoing programme of investment to secure and expand the digital archiving infrastructure.

Managing strategic partnerships: there is a risk that The National Archives does not develop or manage its strategic partnerships effectively, leading to a decline in our influence and failure to capitalise on the current strategic direction.

Overview of controls in place during the year:

- Throughout the year, the Executive Team and Board have been building constructive relationships with key stakeholders.

Demands on storage capacity: there is a risk that the transfer of historic Ministry of Defence service personnel records, and other large record transfers places an excessive demand

on storage capacity, leading to concerns regarding our longer term ability to adequately store our collection.

Overview of controls in place during the year:

- We have designed and created a new repository at Kew, and have also agreed further storage capacity from Deepstore, our off-site storage contractor.

Other strategic risks considered and mitigated include:

- **Staff leadership and culture:** there is a risk that leadership and management do not deliver the required support as we begin to emerge from the COVID-19 pandemic.
- **Threat to archives:** there are risks to the sector identified across six areas: Financial and economic; Operational; Digital; Socio-cultural; Professional and Future risks.

With the escalating crisis in Ukraine, the Executive Team has been monitoring the implications for the organisation by identifying potential risks resulting from the conflict, including:

- Cyber attacks on The National Archives, central government or national infrastructure
- Physical attacks on staff members, the public, The National Archives' estate or the collection
- The wellbeing of impacted members of staff
- The availability and cost of supply chain items and resources, especially gas and power.

A dedicated Ukraine Risk Register was subsequently created in April 2022 to monitor these risks more specifically.

Identifying and managing risk is not a barrier to efficiency, effectiveness, or innovation, and managing our corporate risks has a minimal effect on our activities unless additional controls need to be introduced. As far as possible, we incorporate risk mitigations into our business-as-usual activities, reinforcing the message that risk management is the

responsibility of all staff.

Risks below corporate level are managed, reviewed, and updated at least quarterly by the Operational Management Team, Executive Directors and their management teams. A directorate's risk register captures what are considered exceptional risks. These will normally:

- be finite
- require new or enhanced risk mitigation or control
- be clearly linked with an organisation or service priority.

We expect that, over time, most directorate risks will be managed as 'business-as-usual'; exceptionally, directorate risks may be escalated to the corporate risk register. At operational level, risks are managed on a day-to-day basis. The Executive Directors receive assurance on operational risks through six-monthly accountability statements from their direct reports. These statements are reviewed by the Directors, the Operational Management Team, and approved by the Chief Executive and Keeper. Any significant governance or performance issues highlighted are monitored by the Operational Management Team and are raised with the Audit and Risk Committee.

Authors of accountability statements assess the maturity of risk management in their areas of responsibility and provide evidence for their assessment. Authors are also required to provide assurance that their staff comply with key corporate policies, including the:

- fraud policy
- anti-bribery policy
- conflict of interest policy
- routes for confidential reporting (whistleblowing)
- Civil Service Code.

Short- and medium-term additional governance structures are introduced for high-value projects and programmes as appropriate.

We are satisfied that we manage and mitigate

At a corporate level, our risks are aligned with our strategic priorities set out in *Archives for Everyone* our business plan for 2019-23, which focuses on the organisation's goals of becoming the inclusive archive, the entrepreneurial archive and the disruptive archive.

risks, and, where necessary, that we take action to contain the impact of risk. We are confident that our risk management approach is comprehensive, allowing the Operational Management Team and Executive Team to identify early, and respond to, any possible threats to the achievement of our objectives.

At a corporate level, our risks are aligned with our strategic priorities set out in *Archives for Everyone* our business plan for 2019-2023, which focuses on the organisation's goals of becoming the inclusive archive, the entrepreneurial archive and the disruptive archive.

Health and Safety

The Chief Executive and Keeper recognises that ensuring the Health and Safety of staff and visitors is essential to the success of The National Archives and is committed to providing a safe and healthy working and learning environment.

The Chief Executive and Keeper's vision is one of a safe and healthy work environment for all who visit and work at The National Archives and is committed to supporting our collective goals to protect staff at work and to ensure that visitors enjoy their on site experience.

We monitor and record accidents and near miss incidents in order to prevent recurrence and work-related ill-health. We continue to meet our legal responsibilities under health and safety legislation as a minimum and assess

risks to anyone who could be affected by our activities, as well as putting in place measures to control these risks. We ensure safe working methods and provide safe work equipment. We are committed to delivering an inclusive, safe working environment whether staff are working on site, remotely, or a mixture of the two.

We provide information, instruction, training and supervision. We consult with staff, the Health and Safety Committee, and their representatives, including trade unions, on health, safety and welfare matters.

We monitor and review our safety arrangements and prevention measures to ensure they are effective and encourage a culture of continuous improvement.

We ensure that resources are available to support workplace health and safety. Health and Safety procedures are in place and responsibilities are appropriately assigned to ensure that the aims of our health and safety policy statement are met.

We promote a systematic and organised method of improving health and safety within Departments with a robust programme of inspection and audit. Through training and communication, we further promote

the exchange of information for staff and managers to adopt safe systems of work within departments.

Confidential reporting (whistleblowing)²¹

Staff and contractors have access to our Confidential Reporting (Whistleblowing) policy. This provides access to the Chair of the Audit and Risk Committee, or to the Chief Executive and Keeper, who support the individual in raising their concerns. Staff and contractors are reminded of the policy during the year, including how to raise concerns. In September 2021, we launched Speak Up workshops for staff to help remove barriers to raising a concern. These will now be run at least once a year. No concerns were raised under these policy arrangements in the financial year 2021-22.

Information risk

The National Archives continues to strive to achieve the highest standards of information risk management.

UK General Data Protection Regulations

There were no personal data-related incidents reported to the Information Commissioner's Office in 2021-22.

In response to the challenges of the COVID-19 pandemic, we have continued to follow government guidance by consistently reviewing our practices and updating and then publishing guidance and information for our staff and for our visitors in a timely manner. We continue to review and implement a COVID secure risk assessment. We have maintained a COVID staff hub on our intranet, containing useful guidance and information, as well as access to health and wellbeing services including mental health first aiders. We have continued to resource hand sanitiser stations and face coverings for all on site and for staff rapid lateral flow test kits in addition to this.

²¹ Now known as the Civil Service 'Speak Up' campaign.

Statement of Accounting Officer's responsibilities

Under the Government Resources and Accounts Act 2000, HM Treasury has directed The National Archives to prepare, for each financial year, resource accounts detailing the resources acquired, held, or disposed of during the year and the use of resources by The National Archives during the year.

The accounts are prepared on an accruals basis and must give a true and fair view of the state of affairs of The National Archives and of its net resource outturn, application of resources, changes in taxpayers' equity and cash flows for the financial year.

In preparing the accounts, the Accounting Officer complies with the requirements of the Government Financial Reporting Manual and, in particular, to:

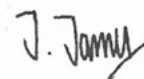
- observe the Accounts Direction issued by HM Treasury, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis
- make judgements and estimates on a reasonable basis
- state whether applicable accounting standards, as set out in the Government Financial Reporting Manual, have been followed, and disclose and explain any material departures in the accounts
- confirm that the annual report and accounts as a whole are fair, balanced, and understandable, and personal responsibility for the annual report and accounts and the judgements required for determining that it is fair, balanced and understandable
- prepare the accounts on the going concern basis.

HM Treasury have appointed me as the Accounting Officer of The National Archives, with responsibility for preparing The National Archives' accounts and for transmitting them to the Comptroller and Auditor General.

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 Managing Public Money published by HM Treasury.

As the Accounting Officer, I have taken all the steps that I ought to have taken to make myself aware of any relevant audit information and to establish that The National Archives' auditors are aware of that information. So far as I am aware, there is no relevant audit information of which the auditors are unaware.



**Jeff James,
Chief Executive and Keeper,
14 July 2022**

2.2 Remuneration and staff 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 on the Office of Manpower Economics web pages on GOV.UK.²²

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. The Recruitment Principles published by the Civil Service Commission specify the circumstances when appointments may be made otherwise.

Unless otherwise stated below, the officials covered by this report hold appointments that

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.

Jeff James' appointment as Chief Executive and Keeper was confirmed by the Ministry of Justice on 29 July 2014 until 28 July 2018 and was extended for a further four-year term from 29 July 2018 by the Department for Digital, Culture, Media and Sport (DCMS), concluding in July 2022. His appointment was extended for a further two years by DCMS to conclude in July 2024.

Lesley Cowley OBE and Dr Claire Feehily were appointed from 1 January 2016 as Chair of The National Archives' Board and Chair of the Audit and Risk Committee respectively on three-year contracts. Lesley Cowley OBE's contract was extended until 31 March 2022 and Dr Claire Feehily's contract was extended until 31 May 2021.

Rommel Pereira was appointed from 1 May 2021 on a three-year contract to succeed Dr Claire Feehily as Chair of the Audit and Risk Committee.

Professor Andrew Wathey CBE was appointed to succeed Lesley Cowley OBE as Chair of The National Archives' Board from 1 April 2022 on a three-year contract.

Baroness (Ros) Scott of Needham Market and Mark Richards were appointed as Non-executive Board members from 21 May 2018 on three-year contracts, which were extended until 20 May 2024.

Sonia Cargan was appointed as a Non-executive Board member from 19 January 2021 on a three-year contract.

Service contracts can 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.civilservicecommission.org.

²² www.gov.uk/government/organisations/office-of-manpower-economics

The Nominations and Governance Committee

The policy on remuneration of senior civil servants, and the deliberations of the Nominations and Governance Committee, adhere to Cabinet Office policy, which follows the guidance and recommendations of the Review Body on Senior Salaries.

Salary and bonuses

Salary includes gross salary, 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. This report is based on accrued payments made by the department and thus recorded in these accounts. Percentage salary increases, and performance bonuses, are agreed by the Nominations and Governance Committee in accordance with strict guidance and parameters set each year by the Cabinet Office.

Senior staff have written objectives agreed with the Chief Executive and Keeper. Performance against these objectives, and against The National Archives' values, forms the basis of their formal appraisal and subsequent pay and bonus recommendations. This information is used by the Nominations and Governance Committee to determine pay awards, according to the Review Body on Senior Salaries' annual recommendations.

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

Bonuses are based on performance level attained and are made as part of the appraisal process. The stated figures disclose both in-year bonuses and end-of-year bonuses that relate to the preceding year. As such, reported bonuses in 2021-22 relate to performance in both 2021-22 and 2020-21, with the comparative bonuses relating to performance in both 2020-21 and 2019-20.

The following sections provide details of the remuneration and pension interests of the most senior officials (i.e. Board members) of the department.

The salary, pension entitlements and the value of any taxable benefits in kind of the Chief Executive and Keeper, Executive Directors and Non-executive Board members of The National Archives were as follows (audited):^{23 24}

²³ Salary and full-year equivalent (FYE) are presented to the nearest £1,000. FYE is shown in brackets. Benefits in kind are presented to the nearest £100, pension benefits and total remuneration to the nearest £1,000.

²⁴ The value of pension benefits accrued during the year is calculated as (the real increase in pension multiplied by 20) less (the contributions made by the individual). The real increases exclude increases due to inflation or any increase or decreases due to a transfer of pension rights.

	2021-22				
	Salary and FYE (full-year, full-time equivalent) £000	Bonus £000	Benefit in kind £	Pension benefits £000	Total £000
Jeff James Chief Executive and Keeper	120-125	-	-	47	170-175
Neil Curtis Chief Operating Officer	105-110	-	-	42	150-155
Aaron Smith Corporate Services Director (from 2 August 2021)	55-60 (85-90)	-	-	22	80-85 (110-115)
Caroline Ottaway-Searle Director of Public Engagement (until 31 March 2021) ²⁵	5-10	-	-	N/A	5-10
Paul Davies Operations Director (until 30 June 2021)	20-25 (90-95)	10	-	5	35-40 (105-110)
Emmajane Avery Director of Public Engagement (from 1 March 2021)	85-90	-	-	9	95-100
Lucy Fletcher Public Access and Government Services Director	85-90	-	-	34	120-125
Dr Valerie Johnson Director of Research and Collections	85-90	-	-	34	120-125
John Sheridan Digital Director	85-90	-	-	25	110-115
Gemma Maclagan Ram Commercial Director (from 1 July 2021) ²⁶	60-65 (85-90)	-	-	25	85-90 (110-115)
Andrea Metcalf Director of People, Inclusion and Change (from 8 November 2021)	30-35 (85-90)	-	-	13	45-50 (100-105)
Lesley Cowley OBE Chair of The National Archives Board	15-20	N/A	-	N/A	15-20
Sonia Cargan Non-executive Board member (from 19 January 2021)	10-15	N/A	-	N/A	10-15
Dr Claire Feehily Non-executive Board member (until 31 May 2021)	0-5 (15-20)	N/A	-	N/A	0-5 (15-20)
Robert Milburn Independent member of the Audit and Risk Committee	0-5	N/A	-	N/A	0-5
Rommel Pereira Non-executive Board member (from 1 May 2021)	15-20	N/A	-	N/A	15-20
Mark Richards Non-executive Board member	10-15	N/A	-	N/A	10-15
Baroness (Ros) Scott of Needham Market Non-executive Board member	10-15	N/A	-	N/A	10-15

²⁵ Caroline Ottaway-Searle retired on 31 March 2021. Payments in 2021-22 relate to untaken leave from the previous financial year; there is no full time equivalent for 2021-22.

²⁶ Gemma Maclagan Ram was employed by The National Archives as Head of Licensing, Publishing & Digitisation until taking up the position of Commercial Director. The salary figure in this table relates solely to remuneration received for service as a Director.

	2020-21				
	Salary and FYE (full-year, full-time equivalent) £000	Bonus £000	Benefit in kind £	Pension benefits £000	Total £000
Jeff James Chief Executive and Keeper	120-125	2	-	48	170-175
Neil Curtis Chief Operating Officer	95-100	-	-	39	135-140
Aaron Smith Corporate Services Director (from 2 August 2021)	N/A	N/A	N/A	N/A	N/A
Caroline Ottaway-Searle Director of Public Engagement (until 31 March 2021)	90-95	4	-	36	130-135
Paul Davies Operations Director (until 30 June 2021)	90-95	4	-	24	120-125
Emmajane Avery²⁷ Director of Public Engagement (from 1 March 2021)	5-10 (85-90)	-	-	-24	-15- -20 (60-65)
Lucy Fletcher Public Access and Government Services Director	85-90	-	-	34	120-125
Dr Valerie Johnson Director of Research and Collections	85-90	-	-	34	120-125
John Sheridan Digital Director	85-90	10	-	40	135-140
Gemma Maclagan Ram Commercial Director (from 1 July 2021)	N/A	N/A	N/A	N/A	N/A
Andrea Metcalf Director of People, Inclusion and Change (from 8 November 2021)	N/A	N/A	N/A	N/A	N/A
Lesley Cowley OBE Chair of The National Archives Board	15-20	N/A	-	N/A	15-20
Sonia Cargan Non-executive Board member (from 19 January 2021)	0-5 (10-15)	N/A	-	N/A	0-5 (10-15)
Dr Claire Feehily Non-executive Board member (until 31 May 2021)	15-20	N/A	-	N/A	15-20
Robert Milburn Independent member of the Audit and Risk Committee	0-5	N/A	-	N/A	0-5
Rommel Pereira Non-executive Board member (from 1 May 2021)	N/A	N/A	N/A	N/A	N/A
Mark Richards Non-executive Board member	10-15	N/A	-	N/A	10-15
Baroness (Ros) Scott of Needham Market Non-executive Board member	10-15	N/A	-	N/A	10-15

²⁷ Emmajane Avery's pension benefit is lower due to change in salary from previous employment and subsequent final salary calculations, which were performed for the Premium pension scheme.

Pay multiples (audited)

2021-22	25th percentile pay ratio	Median pay ratio	75th percentile pay ratio
Band of highest paid Director's remuneration	£120,000-£125,000	£120,000-£125,000	£120,000-£125,000
Median total remuneration	£24,991	£33,044	£44,482
Ratio	4.9	3.7	2.75

2020-21	25th percentile pay ratio	Median pay ratio	75th percentile pay ratio
Band of highest paid Director's remuneration	£120,000-£125,000	£120,000-£125,000	£120,000-£125,000
Median total remuneration		£33,127	
Ratio		3.7	

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid director in their organisation and the lower quartile, median and upper quartile remuneration of the organisation's workforce.

The banded remuneration of the highest-paid Executive Director at The National Archives in the financial year 2021-22 was £120,000-£125,000 (2020-21: £120,000-£125,000). This was 3.7 times (2020-21: 3.7) the median remuneration of the workforce, which was £33,044 (2020-21: £33,127). There was no change in salary and allowances or performance pay and bonuses for the highest-paid Director from the previous year.

In both 2021-22 and 2020-21, no employees received remuneration in excess of the highest-paid director. Remuneration ranged from £14,300-£125,000 (2020-21: £16,000-£125,000). The average salary and allowance for all employees was £35,284, a 15% drop on the previous year. The average bonus payable for all employees was £280, a 21% drop on the previous year.

Total remuneration includes salary, non-consolidated performance-related pay and benefits in kind (travel and subsistence). It does not include severance payments, employer pension contributions and the cash equivalent transfer of pensions.

Pension benefits (audited)

	Accrued pension at pension age as at 31/03/22 and related lump sum	Real increase in pension and related lump sum at pension age	Cash Equivalent Transfer Values (CETV) at 31/03/22	Cash Equivalent Transfer Values (CETV) at 31/03/21	Real increase
	in Cash Equivalent Transfer Values (CETV)	£000 in bands of £2,500	£000 to nearest £000	£000 to nearest £000	£000 to nearest £000
Jeff James Chief Executive and Keeper	20-25	2.5-5	295	251	28
Neil Curtis Chief Operating Officer	10-15	2.5-5	147	115	21
Emmajane Avery Director of Public Engagement	25-30	0-2.5	368	348	-3
Lucy Fletcher Public Access and Government Services Director	10-15	0-2.5	127	106	12
Dr Valerie Johnson Director of Research and Collections	30-35	0-2.5	457	415	23
Gemma Maclagan Ram Commercial Director (from 1 July 2021)	5-10	0-2.5	68	52	9
Andrea Metcalf Director of People, Inclusion and Change (from 8 November 2021)	0-5	0-2.5	9	0	7
John Sheridan Digital Director	25-30	0-2.5	409	376	10
Aaron Smith Corporate Services Director (from 2 August 2021)	0-5	0-2.5	15	0	11

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 1 April 2015, a new pension scheme for civil servants was introduced – the Civil Servants and Others Pension Scheme or alpha, which provides benefits on a career average basis with a normal pension age equal to the member's State Pension Age (or 65 if higher). From that date, all newly appointed civil servants and the majority of those already in

service joined alpha. Prior to that date, civil servants participated in the Principal Civil Service Pension Scheme (PCSPS). The PCSPS has four sections: three providing benefits on a final salary basis (classic, premium or classic plus) with a normal pension age of 60; and one providing benefits on a whole career basis (nuvos) with a normal pension age of 65.

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, nuvos and alpha are increased annually in line with Pensions Increase legislation. Existing members of the PCSPS who were within 10 years of their

normal pension age on 1 April 2012, remained in the PCSPS after 1 April 2015. Those who were between 10 years and 13 years and 5 months from their normal pension age on 1 April 2012 switched into alpha sometime between 1 June 2015 and 1 February 2022. Because the Government plans to remove discrimination, identified by the courts in the way that the 2015 pension reforms were introduced for some members, it is expected that, in due course, eligible members with relevant service between 1 April 2015 and 31 March 2022 may be entitled to different pension benefits in relation to that period (and this may affect the Cash Equivalent Transfer Values shown in this report – see below). All members who switch to alpha have their PCSPS benefits ‘banked’, with those with earlier benefits in one of the final salary sections of the PCSPS having those benefits based on their final salary when they leave alpha. The pension figures quoted for officials show pension earned in PCSPS or alpha – as appropriate. Where the official has benefits in both the PCSPS and alpha, the figure quoted is the combined value of their benefits in the two schemes. Members joining from October 2002 may opt for either the appropriate defined benefit arrangement or a defined contribution (money purchase) pension with an employer contribution (partnership pension account).

Employee contributions are salary-related and range between 4.6% and 8.05% for members of classic, premium, classic plus, nuvos and alpha. 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’ initial 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 for service before 1 October 2002 calculated broadly as per classic and benefits for service from October 2002 worked out 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 the accrued pension is uprated in line with Pensions Increase legislation. Benefits in alpha build up in a similar way to nuvos, except that the accrual rate is 2.32%. In all cases, members may opt to give up (commute) pension for a lump sum up to the

limits set by the Finance Act 2004.

The partnership pension account is an occupational defined contribution pension arrangement, which is part of Legal & General Mastertrust. The employer makes a basic contribution of between 8% and 14.75% (depending on the age of the member). 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 0.5% 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, 65 for members of nuvos, and the higher of 65 or State Pension Age for members of alpha. (The pension figures quoted for officials show pension earned in PCSPS or alpha – as appropriate. Where the official has benefits in both the PCSPS and alpha, the figure quoted is the combined value of their benefits in the two schemes, but note that part of that pension may be payable from different ages).

Further details about the Civil Service pension arrangements can be found at the website: www.civilservicepensionscheme.org.uk.

Cash Equivalent Transfer Values

A 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. 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 which the member 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 worked out in accordance with The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations 2008 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 that is funded by the employer. It does not include the increase in accrued pension due to inflation, 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.

Staff report

For the twelfth year, we participated in the Civil Service staff engagement survey, achieving an overall engagement score of 73% (2020-21: 75%) and retaining our status as a Civil Service 'high performer'.

We are committed to training and developing our staff. We have continued to run a comprehensive programme of learning and development, including our Corporate Management Development Programme, which aims to equip line managers with the skills needed to lead and develop staff, our Career Management Programme, available to all staff, and our Stepping Up – Exploring Your Potential programme for aspiring managers. This year, due to the pandemic, we continued with primarily online training delivery and began to re-introduce in-person delivery where safe and appropriate.

Our senior managers meet regularly with staff and trade union representatives in a number of ways, including the Whitley Council, Health and Safety Committee, the forum on Equality, Diversity and Inclusion and the Staff forum.

In response to the pandemic, most recruitment has remained online, with some in-person

Our active staff networks including the Racial Equality Network, the Neurodiversity Forum and the LGBT+ Network continued to meet and participate in organisational decision-making, and this year we set up a Menopause Network for the first time.

interviews again where safe and appropriate. Recruitment levels have matched or exceeded those we would usually expect with successful campaigns across all areas of the business and at all levels, except in the Digital and IT teams, where some technical roles remain unfilled.

Equality and diversity

As a public sector organisation, we are committed equal opportunities for all as part of our duty under the Equality Act 2010 and we are committed to equal opportunities as stated in our intentions in our 2021 plan for *Becoming the Inclusive Archive*.

We have policies in place to guard against discrimination and to ensure that there are no unfair or illegal barriers to employment or advancement within our organisation. Suitability for employment is based on skills, qualifications, and experience irrespective of race, age, gender, marital status, disability, sexual orientation, religious or political beliefs or opinions. We remain committed to harnessing talent from diverse backgrounds, carrying out 'anonymised shortlisting' for all of our recruitment campaigns, reducing the risk of unconscious bias in the selection process to ensure a fair and consistent approach to recruitment. We are a Disability Confident Level 2 employer, and we aim to make sure that there is no discrimination on the grounds of disability. Our Workforce breakdown shows that staff diversity has improved in several areas over the past year.

Following the appointment last year of a Non-executive Board member with a deep expertise in the field of Equality, Diversity, and Inclusion, we have appointed a Director of People, Inclusion and Change, to provide corporate leadership for Becoming the Inclusive Archive. Our active staff networks including the Racial

Equality Network, the Neurodiversity Forum and the LGBT+ Network continued to meet and participate in organisational decision-making, and this year we set up a Menopause Network for the first time. We continue to encourage and support our staff and invest in their wellbeing.

Workforce breakdown

		31 March 2022	31 March 2021
Staff numbers	Headcount	577	545
Workforce diversity	Black and Minority Ethnic ²⁸	20.5%	19.0%
	Women – director level	5 of 9	4 of 8
	Women	52.9%	53.6%
	Disabled ²⁹	9.7%	9.0%
	Temporary appointments (average per month) ³⁰	20	17
Staff turnover		13.3% ³¹	7.0%
Sickness	Days per FTE	5.2 ³²	3.7
Civil service staff engagement survey	Engagement score %	73	75
Consultancy expenditure	£000s	14	6

28 Percentage of employees declaring an ethnicity.

29 Percentage of employees declaring a disability.

30 Temporary appointments are employees appointed under Exception 1 of the Civil Service Recruitment Principles.

31 We found that while we were dealing with the impact of COVID-19 many people preferred to retain the security of their existing role, but as we emerge from the pandemic we are finding that the job market is more buoyant, providing an opportunity for people to change roles.

32 We saw a marked decrease in overall sickness absence during the pandemic, due to the effect of people not mixing socially and the ability to work from home when ordinarily sickness would have prevented them attending the workplace. As regulations have eased over the past year, sickness absence is increasing partly due to resumed social mixing and to COVID-19, but the rate is not currently at pre-pandemic levels.

Average full-time equivalent number of persons employed (audited)

The average number of full-time equivalent persons employed during the year was as follows:

	2021-22			2020-21
	Permanently employed staff	Other staff ³³	Total	Total
Government information management	112	24	136	124
Preservation and protection	85	9	94	101
Public access	300	21	321	279
Staff engaged on capital projects	15	0	15	3
Total	512	54	566	507

Senior Civil Service (SCS) by band as at 31 March:

Salary band	2021-22 number	2020-21 number
£60,000 - £70,000	-	-
£70,000 - £80,000	-	-
£80,000 - £90,000	7	4
£90,000 - £100,000	-	3
£100,000 - £110,000	1	-
£110,000 - £120,000	-	-
£120,000 - £130,000	1	1
Total	9	8

Staff costs (audited)

	2021-22 £000			2020-21 £000
	Permanently employed staff	Other staff	Total	Total
Wages and salaries	19,738	155	19,893	19,214
Social security costs ³⁴	2,136	-	2,136	1,993
Other pension costs	5,181	-	5,181	4,801
Sub total	27,055	155	27,210	26,008
Less staff costs capitalised on IT projects	(750)	-	(750)	(79)
Total net costs	26,305	155	26,460	25,929

33 'Other staff' includes staff on fixed-term contracts as well as agency staff and specialist contractors.

34 2021-22 includes £85,000 (2020-21: £78,000) apprenticeship levy cost. The Apprenticeship Levy was introduced in April 2017, requiring employers with a pay bill of more than £3 million pounds each year to pay the levy.

Off-payroll engagements

Review of tax arrangements of public sector appointees

Table 1: Temporary off-payroll worker engagements as at 31 March 2022:

Number of existing engagements as of 31 March 2022	9
Of which:	
Number that have existed for less than one year at time of reporting	8
Number that have existed for between one and two years at time of reporting	1
Number that have existed for between two and three years at time of reporting	0
Number that have existed for between three and four years at time of reporting	0
Number that have existed for four or more years at time of reporting	0

Table 2: All temporary off-payroll workers engaged at any point during the year ended 31 March 2022:

Number of off-payroll workers engaged during the year ended 31 March 2022	14
Of which:	
Numbers determined as in-scope of IR35	5
Numbers determined as out-of-scope of IR35	9
Number of engagements reassessed for compliance or assurance purposes during the year	4
Of which: Number of engagements that saw a change to IR35 status following the consistency review	0
Number of engagements where the status was disputed under provisions in the off-payroll legislation	0
Of which: Number of engagements that saw a change to IR35 status following the review	0

Table 3: For any off-payroll engagements of Board members, and/or senior officials with significant financial responsibility, between 1 April 2021 and 31 March 2022:

Number of off-payroll engagements of Board members, and/or senior officials with significant financial responsibility, during the financial year	0
Total number of individuals both on payroll and off-payroll that have been deemed 'board members, and/or senior officials with significant financial responsibility', during the financial year	16

Staff pension arrangements

The Principal Civil Service Pension Scheme (PCSPS) is an unfunded multi-employer defined benefit scheme in which The National Archives is unable to identify its share of the underlying assets and liabilities. A full actuarial valuation was carried out as at 31 March 2016. Work on the next quadrennial actuarial valuation due as at 31 March 2020 is under way by the Government Actuarial Department. An update on the 2020 valuation will be reported in the 2021-22 Civil Service Pension Annual Report and Accounts.

For 2021-22, employers' contributions of £5.1 million were payable in Accruing Superannuation Liability Charges (2020-21: £4.7 million) at one of four rates in the range 26.6 to 30.3% (unchanged from 2020-21) of pensionable earnings, based on salary bands. The Scheme Actuary reviews employer contributions usually every four years following a full scheme valuation. The contribution rates reflect benefits as they are accrued, not when the costs are actually incurred, and reflect past experience of the scheme.

Employees can opt to open a partnership pension account, a stakeholder pension with an employer contribution. Employers' contributions of £0.09 million (2020-21: £0.09 million) were paid to the appointed stakeholder pension provider, Legal & General. Employer contributions are age-related and range from 8 to 14.75% of pensionable pay.

Employers also match employee contributions up to 3% of pensionable pay. In addition, employer contributions of £0.003 million (2020-21: £0.003 million) of pensionable pay, were payable to the PCSPS to cover the cost of the future provision of lump sum benefits on death in service or ill health retirement of these employees.

Contributions due to the partnership pension provider at the balance sheet date were £0.007 million (2020-21: £0.007 million). Contributions prepaid at that date were nil (2020-21: nil).



Reporting of Civil Service and other compensation schemes – exit packages (audited)

Details of the compensation scheme payments, and the number of departures during the year, and the previous year, are shown in the table below. Compensation agreed for departures did not exceed the Cabinet Office's recommended cap of £95,000.

Exit package cost band £000	2021-22			2020-21		
	Compulsory redundancies	Other departures	Total	Compulsory redundancies	Other departures	Total
< £10	-	-	-	-	-	-
£10 - £25	-	-	-	-	-	-
£25 - £50	-	-	-	-	1	1
£50 - £100	-	-	-	-	-	-
Total number of exit packages	-	-	-	-	1	1
Total costs (£000)	-	-	-	-	28	28

Redundancy and other departure costs have been paid in accordance with the provisions of the Civil Service Compensation Scheme, a statutory scheme made under the Superannuation Act 1972. Exit costs are accounted for in full in the year of departure.

Where the department has agreed early retirements, the additional costs are met by the department and not by the Civil Service Pension Scheme. Ill health retirement costs are met by the pension scheme and are not included in the table.

The Trade Union (Facility Time Publication Requirements) Regulations 2017 (Statutory Instrument 328) report

Relevant union officials

Number of employees who were relevant union officials during the relevant period	Full-time equivalent employee number
15	14.07

Percentage of time spent on facility time

Percentage of time	Number of employees
0%	11
1-50%	4
51%-99%	-
100%	-

Percentage of pay bill spent on facility time

Total cost of facility time	£6,780
Total pay bill	£26,460,450
Percentage of the total pay bill spend on facility time	0.02%

Paid trade union activities

Time spent on paid trade union activities as a percentage of total paid facility time	0%
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2.3 Parliamentary accountability and audit report

Statement of Outturn against Parliamentary Supply (SoPS)

In addition to the primary statements prepared under the International Financial Reporting Standards (IFRS), the Government Financial Reporting Manual 2021-22 (FRm) requires The National Archives to prepare a Statement of Outturn against Parliamentary Supply (SoPS) and supporting notes.

The SoPS and related notes are subject to audit, as detailed in the Certificate and Report of the Comptroller and Auditor General to the House of Commons.

The SoPS is a key accountability statement that shows, in detail, how an entity has spent against their Supply Estimate. Supply is the monetary provision (for resource and capital purposes) and cash (drawn primarily from the Consolidated Fund), that Parliament gives statutory authority for entities to utilise. The Estimate details supply and is voted on by Parliament at the start of the financial year.

Should an entity exceed the limits set by their Supply Estimate, called control limits, their accounts will receive a qualified opinion.

The format of the SoPS mirrors the Supply Estimates, published on GOV.UK, to enable comparability between what Parliament approves and the final outturn.

The SoPS contain a summary table, detailing performance against the control limits that Parliament have voted on, cash spent (budgets are compiled on an accruals basis and so outturn will not exactly reconcile to cash spent) and administration.

The supporting notes detail the following: Outturn by Estimate line, providing a more detailed breakdown (note 1); a reconciliation of outturn to net operating expenditure in the Statement of Comprehensive Net Expenditure (SoCNE), to tie the SoPS to the financial statements (note 2); a reconciliation of outturn

to net cash requirement (note 3); and an analysis of income payable to the Consolidated Fund (note 4).

The SoPS and Estimates are compiled against the budgeting framework, which is similar to the IFRS. Further information on the Public Spending Framework and the reasons why budgeting rules are different to IFRS can also be found in chapter 1 of the Consolidated Budgeting Guidance, available on GOV.UK.

The SoPS provides a detailed view of financial performance in a form that is voted on and recognised by Parliament. The financial review, in the Performance Report, provides a summarised discussion of outturn against estimate as an introduction to the SoPS disclosures.



Summary table 2021-22, all figures presented in £000s

Type of Spend	SoPS note	Outturn			Estimate			Outturn vs Estimate, Savings/(Excess)	Prior Year Outturn Total 2020-21
		Voted	Non-voted	Total	Voted	Non-voted	Total		
Departmental Expenditure Limit									
Resource	1.1	40,240	-	40,240	41,828	-	41,828	1,588	36,498
Capital	1.2	6,383	-	6,383	7,207	-	7,207	824	3,524
Total		46,623	-	46,623	49,035	-	49,035	2,412	40,022
Annually Managed Expenditure									
Resource	1.1	(142)	-	(142)	31	-	31	173	-
Total		(142)	-	(142)	31	-	31	173	-
Total Budget									
Resource	1.1	40,098	-	40,098	41,859	-	41,859	1,761	36,498
Capital	1.2	6,383	-	6,383	7,207	-	7,207	824	3,524
Total Expenditure		46,481	-	46,481	49,066	-	49,066	2,585	40,022

Figures in the Estimate column cover the voted control limits voted by Parliament. Refer to the Supply Estimates guidance manual, available on GOV.UK, for detail on the control limits voted by Parliament.

Net Cash Requirement 2021-22, all figures presented in £000s

Item	SoPS note	Outturn	Estimate	Outturn vs Estimate, Savings/(Excess)	Prior Year Outturn Total 2020-21
Net Cash requirement	3	41,011	41,253	242	35,773

Administration costs 2021-22, all figures presented in £000s

Type of spend	SoPS note	Outturn	Estimate	Outturn vs Estimate, Savings/(Excess)	Prior Year Outturn Total 2020-21
Administration costs	1.1	10,259	10,504	245	9,225

Although not a separate voted limit, any breach of the administration budget will also result in an excess vote.

Notes to the Statement of Outturn against Parliamentary Supply 2021-22

SoPS1. Outturn detail by Estimate Line

SoPS1.1 Analysis of Net Resource Outturn by Estimate line, all figures presented in £000s

Spend Type (Resource)	Resource Outturn							Estimate	Outturn vs Estimate, Saving/ (Excess)	Prior Year Outturn Total 2020-21
	Administration			Programme			Total	Total		
	Gross	Income	Net	Gross	Income	Net				
Spending in Departmental Expenditure Limits (DEL)										
Voted expenditure	10,337	(78)	10,259	42,581	(12,600)	29,981	40,240	41,828	1,588	36,498
Spending in Annually Managed Expenditure (AME)										
Voted expenditure	-	-	-	(142)	-	(142)	(142)	31	173	-
Total Resource	10,337	(78)	10,259	42,439	(12,600)	29,839	40,098	41,859	1,761	36,498

The Outturn was significantly lower than the Estimate, primarily due to difficulty recruiting to Digital posts resulting in a saving in staff costs of £0.8 million. Depreciation was £0.8 million lower than expected, with supply chain problems meaning Capital projects did not complete by year end. The variance in AME is driven by an unexpected extension of a rental agreement with our tenant at Dragonfly House (an onerous lease) resulting in higher than expected future income within the provision.

SoPS1.2 Analysis of Capital Outturn, all figures presented in £000s

Spend Type	Outturn			Estimate	Outturn vs Estimate, Savings/ (Excess) Total	Prior Year Outturn Total 2021-21
	Gross	Income	Total	Total		
Spending in Departmental Expenditure Limit (DEL)						
Voted expenditure	6,383	-	6,383	7,207	824	3,524
Total Capital	6,383	-	6,383	7,207	824	3,524

No virements have been made by The National Archives. Virements are the reallocation of provisions in the Estimates that do not require Parliamentary authority (because Parliament does not vote to that level of detail and delegates to HM Treasury). Further information on virements is provided in the Supply Estimates Manual, which is available on www.gov.uk/government/publications/supply-estimates-guidance-manual.

SoPS2. Reconciliation of Outturn to Net Operating Expenditure, all figures presented in £000s

Item	Reference	Outturn total	Prior Year Outturn Total 2020-21
Total Resource Outturn	SoPS1.1	40,098	36,498
Depreciation charged to Other Comprehensive Net Expenditure		(2)	(3)
Extra Receipt payable to the Consolidated Fund	SoPS4.1	(900)	-
Net Operating Expenditure in Consolidated Statement of Comprehensive Net Expenditure	SoCNE	39,196	36,495

As noted in the introduction to the SoPS above, the Outturn and the Estimate are compiled against the budgeting framework, which is similar to the IFRS. Accordingly, the above table reconciles the Total Resource Outturn to Net Operating Expenditure, linking the SoPS to the financial statements.

The reconciling items in both 2021-22 and 2020-21 relate to depreciation on donated assets, charged directly to Other Comprehensive Net Expenditure.

In 2021-22, the reconciling item of £900,000 relates to royalty income from the 1921 Census release, see SoPS4.1.

SoPS3. Reconciliation of Net Resource Outturn to Net Cash Requirement, all figures presented in £000s

Item	SoPS note	Outturn total	Estimate	Outturn vs Estimate, Saving/ (Excess)
Total Resource Outturn	SoPS 1.1	40,098	41,859	1,761
Total Capital Outturn	SoPS 1.2	6,383	7,207	824
<i>Adjustments to remove non-cash items:</i>				
Depreciation		(6,270)	(7,020)	(750)
Depreciation on donated asset		(2)	(6)	(4)
Adjustment to previous provisions		141	-	(141)
Loss on disposal of assets		-	-	-
Other non-cash items		(76)	-	76
<i>Adjustments to reflect movements in working balances:</i>				
Increase in inventories		21	-	(21)
Increase in receivables		1,457	-	(1,457)
Increase in contract assets		1,173	-	(1,173)
Increase in payables		(1,907)	(762)	1,145
Increase in contract liabilities		(10)	-	10
Use of provisions		3	(25)	(28)
Net Cash Requirement		41,011	41,253	242

As noted in the introduction to the SoPS above, the Outturn and the Estimate are compiled against the budgeting framework, not on a cash basis. Therefore, this table reconciles the Total Resource and Capital Outturn to the Net Cash Requirement.

SoPS4.1 Analysis of income payable to the Consolidated Fund, all figures presented in £000s

Item	Reference	Outturn total		Prior Year 2020-21	
		Accruals	Cash basis	Accruals	Cash basis
Excess cash surrenderable to the Consolidated Fund		900	-	-	-
Total amount payable to the Consolidated Fund		900	-	-	-

£900,000 accrued royalty income from the 1921 Census is due to the Consolidated Fund. This was received too late in the year to be spent and permission was granted by HM Treasury to return as a Consolidated Refund Extra Receipt, in order that it can be carried over into the resource budget of the Main Estimate for 2022-23.

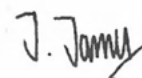
Parliamentary Accountability Disclosures (audited)

Losses and special payments

There were no losses or special payments on an individual or cumulative basis that require disclosure because of their size or nature during 2021-22 (2020-21: nil).

Remote contingent liabilities

In addition to contingent liabilities within the meaning of International Accounting Standard (IAS) 37, The National Archives also reports liabilities for which the likelihood of a transfer of economic benefit in settlement is too remote to meet the definition of contingent liability. In the year 2021-22, there were no remote contingent liabilities to report (2020-21: nil).



Jeff James,
Chief Executive and Keeper,
14 July 2022

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

Opinion on financial statements

I certify that I have audited the financial statements of The National Archives for the year ended 31 March 2022 under the Government Resources and Accounts Act 2000. The financial statements comprise: The National Archives'

- Statement of Financial Position as at 31 March 2022;
- Statement of Comprehensive Net Expenditure, Statement of Cash Flows and Statement of Changes in Taxpayers' Equity for the year then ended; and
- the related notes including the significant accounting policies.

The financial reporting framework that has been applied in the preparation of the financial statements is applicable law and UK adopted international accounting standards.

In my opinion, the financial statements:

- give a true and fair view of the state of the Department's affairs as at 31 March 2022 and its net operating expenditure for the year then ended; and
- have been properly prepared in accordance with the Government Resources and Accounts Act 2000 and HM Treasury directions issued thereunder.

Opinion on regularity

In my opinion, in all material respects:

- the Statement of Outturn Against Parliamentary Supply properly presents the outturn against voted Parliamentary control totals for the year ended 31 March 2022 and shows that those totals have not been exceeded; and
- the income and expenditure recorded in the financial statements have been applied

to the purposes intended by Parliament and the financial transactions recorded in the financial statements conform to the authorities which govern them.

Basis for opinions

I conducted my audit in accordance with International Standards on Auditing (UK) (ISAs UK), applicable law and Practice Note 10 *Audit of Financial Statements of Public Sector Entities in the United Kingdom*. My responsibilities under those standards are further described in the *Auditor's responsibilities for the audit of the financial statements* section of my certificate.

Those standards require me and my staff to comply with the Financial Reporting Council's *Revised Ethical Standard 2019*. I have also elected to apply the ethical standards relevant to listed entities. I am independent of The National Archives in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK. My staff and I have fulfilled our other ethical responsibilities in accordance with these requirements.

I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Conclusions relating to going concern

In auditing the financial statements, I have concluded that The National Archives' use of the going concern basis of accounting in the preparation of the financial statements is appropriate.

Based on the work I have performed, I have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on The National Archives' ability to continue as a going concern for a period of at least twelve months from when the financial statements are authorised for issue.

My responsibilities and the responsibilities of the Accounting Officer with respect to going

concern are described in the relevant sections of this certificate.

The going concern basis of accounting for The National Archives is adopted in consideration of the requirements set out in HM Treasury's Government Financial Reporting Manual, which requires entities to adopt the going concern basis of accounting in the preparation of the financial statements where it anticipated that the services which they provide will continue into the future.

Other information

The other information comprises information included in the Annual Report, but does not include the financial statements nor my auditor's certificate and report. The Accounting Officer is responsible for the other information.

My opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in my certificate, I do not express any form of assurance conclusion thereon.

In connection with my audit of the financial statements, my responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or my knowledge obtained in the audit, or otherwise appears to be materially misstated.

If I identify such material inconsistencies or apparent material misstatements, I am required to determine whether this gives rise to a material misstatement in the financial statements themselves. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact.

I have nothing to report in this regard.

Opinion on other matters

In my opinion the part of the Remuneration and Staff Report to be audited has been properly prepared in accordance with HM Treasury directions made under the Government Resources and Accounts Act 2000.

In my opinion, based on the work undertaken in the course of the audit:

- the parts of the Accountability Report subject to audit have been properly prepared in accordance with HM Treasury directions made under the Government Resources and Accounts Act 2000;
- the information given in the Performance and Accountability Reports for the financial year for which the financial statements are prepared is consistent with the financial statements and is in accordance with the applicable legal requirements.

Matters on which I report by exception

In the light of the knowledge and understanding of The National Archives and its environment obtained in the course of the audit, I have not identified material misstatements in the Performance and Accountability Report.

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- I have not received all of the information and explanations I require for my audit; or
- adequate accounting records have not been kept by The National Archives or returns adequate for my audit have not been received from branches not visited by my staff; or
- the financial statements and the parts of the Accountability Report subject to audit are not in agreement with the accounting records and returns; or
- certain disclosures of remuneration specified by HM Treasury's Government Financial Reporting Manual have not been made or parts of the Remuneration and Staff Report to be audited is not in agreement with the accounting records and returns; or
- the Governance Statement does not reflect compliance with HM Treasury's guidance.

Responsibilities of the Accounting Officer for the financial statements

As explained more fully in the Statement of Accounting Officer's Responsibilities, the Accounting Officer is responsible for:

- maintaining proper accounting records;
- the preparation of the financial statements and Annual Report in accordance with the applicable financial reporting framework and for being satisfied that they give a true and fair view;
- ensuring that the Annual Report and accounts as a whole is fair, balanced and understandable;
- internal controls as the Accounting Officer determines is necessary to enable the preparation of financial statements to be free from material misstatement, whether due to fraud or error; and
- assessing The National Archives' ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the Accounting Officer anticipates that the services provided by The National Archives will not continue to be provided in the future.

Auditor's responsibilities for the audit of the financial statements

My responsibility is to audit, certify and report on the financial statements in accordance with the Government Resources and Accounts Act 2000.

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue a certificate that includes my opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

1. Extent to which the audit was considered capable of detecting non-compliance with laws and regulations including fraud

I design procedures in line with my

responsibilities, outlined above, to detect material misstatements in respect of non-compliance with laws and regulations, including fraud. The extent to which my procedures are capable of detecting non-compliance with laws and regulations, including fraud is detailed below.

2. Identifying and assessing potential risks related to non-compliance with laws and regulations, including fraud

In identifying and assessing risks of material misstatement in respect of non-compliance with laws and regulations, including fraud, we considered the following:

- the nature of the sector, control environment and operational performance including the design of The National Archives' accounting policies.
- inquiring of management, The National Archives' head of internal audit and those charged with governance, including obtaining and reviewing supporting documentation relating to The National Archives' policies and procedures relating to:
 - identifying, evaluating and complying with laws and regulations and whether they were aware of any instances of non-compliance;
 - detecting and responding to the risks of fraud and whether they have knowledge of any actual, suspected or alleged fraud; and
 - the internal controls established to mitigate risks related to fraud or non-compliance with laws and regulations including The National Archives' controls relating to The National Archives' compliance with the Government Resources and Accounts Act 2000 and Managing Public Money;
- discussing among the engagement team and involving relevant internal specialists, including on the valuation of the land and buildings regarding how and where fraud might occur in the financial statements and any potential indicators of fraud.

As a result of these procedures, I considered

the opportunities and incentives that may exist within The National Archives for fraud and identified the greatest potential for fraud in the following areas: revenue recognition, posting of unusual journals, complex transactions and bias in management estimates. In common with all audits under ISAs (UK), I am also required to perform specific procedures to respond to the risk of management override.

I also obtained an understanding of The National Archives' framework of authority as well as other legal and regulatory frameworks in which The National Archives operates, focusing on those laws and regulations that had a direct effect on material amounts and disclosures in the financial statements or that had a fundamental effect on the operations of The National Archives. The key laws and regulations I considered in this context included Government Resources and Accounts Act 2000, Managing Public Money, Supply and Appropriation (Main Estimates) Act 2022 and relevant employment law and tax legislation.

In addition, I considered:

- reviewing the financial statement disclosures and testing to supporting documentation to assess compliance with relevant laws and regulations discussed above;
- enquiring of management and the Audit Committee concerning actual and potential litigation and claims;
- reading minutes of meetings of those charged with governance and the Board;
- in addressing the risk of fraud through management override of controls; testing the appropriateness of journal entries and other adjustments; assessing whether the judgements made in making accounting estimates are indicative of a potential bias; and evaluating the business rationale of any significant transactions that are unusual or outside the normal course of business;
- in addressing the risk of fraud recognition, assessing the accuracy of licensing income against royalty statements from third parties.

3. Audit response to identified risk

As a result of performing the above, the procedures I implemented to respond to identified risks included the following:

- reviewing the financial statement disclosures and testing to supporting documentation to assess compliance with provisions of relevant laws and regulations described above as having direct effect on the financial statements;
- enquiring of management, the Audit and Risk Committee and legal counsel concerning actual and potential litigation and claims;
- reading and reviewing minutes of meetings of those charged with governance and the Board and internal audit reports;
- in addressing the risk of fraud through management override of controls, testing the appropriateness of journal entries and other adjustments; assessing whether the judgements made in making accounting estimates are indicative of a potential bias; and evaluating the business rationale of any significant transactions that are unusual or outside the normal course of business; and

I also communicated relevant identified laws and regulations and potential fraud risks to all engagement team members including internal specialists and remained alert to any indications of fraud or non-compliance with laws and regulations throughout the audit.

A further description of my responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website at: www.frc.org.uk/auditorsresponsibilities. This description forms part of my certificate.

4. Other auditor's responsibilities

I am required to obtain appropriate evidence sufficient to give reasonable assurance that the Statement of Outturn against Parliamentary Supply properly presents the outturn against voted Parliamentary control totals and that those totals have not been exceeded. The voted Parliamentary control totals are Departmental Expenditure Limits (Resource and Capital),

Annually Managed Expenditure (Resource and Capital), Non-Budget (Resource) and Net Cash Requirement.

I am also required to obtain evidence sufficient to give reasonable assurance that the expenditure and income recorded in the financial statements have been applied to the purposes intended by Parliament and the financial transactions recorded in the financial statements conform to the authorities which govern them.

I communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.

Report

I have no observations to make on these financial statements.

Gareth Davies
Comptroller and Auditor General
15 July 2022

National Audit Office
157-197 Buckingham Palace Road
Victoria
London
SW1W 9SP

Financial statements

Notes to the Departmental Resource Accounts

3.0

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3.1 Financial statements

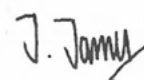
Statement of Comprehensive Net Expenditure for the year ended 31 March 2022

		2021-22	2020-21
	Note	£000	£000
Revenue from contracts with customers	4	(6,841)	(5,325)
Other operating income	4	(6,737)	(5,656)
Total operating income		(13,578)	(10,981)
Staff costs	3	26,460	25,929
Purchase of goods and services	3	20,109	15,396
Depreciation, provisions and audit charges	3	6,205	6,151
Total operating expenditure		52,774	47,476
Net operating expenditure		39,196	36,495
Other comprehensive net expenditure			
Items that will not be reclassified to net operating expenditure:			
- Net gain on revaluation of property, plant and equipment	5	(35,059)	(2,387)
- Net (gain)/loss on revaluation of intangible assets	6	2,128	(1,364)
- Depreciation of donated assets		2	(20)
Comprehensive net operating expenditure for the year		6,267	32,724

The net gain on revaluation is primarily driven by the increase in value of the land owned by The National Archives at the Kew site. Since 2021, employment land values have increased significantly, driven by the strength of the industrial and logistics market sector. The current valuation puts the Market Value at the lower end of the value range for land in West London.

Statement of Financial Position as at 31 March 2022

	Note	31 March 2022		31 March 2021	
		£000	£000	£000	£000
Non-current assets:					
Property, plant and equipment	5	199,567		163,988	
Intangible assets	6	26,800		29,337	
Prepayments falling due after one year	8	111		164	
Total non-current assets			226,478		193,489
Current assets:					
Inventories		167		146	
Trade and other receivables	8	5,951		4,441	
Contract assets	8	1,827		654	
Cash and cash equivalents		67		127	
Total current assets			8,012		5,368
Total assets			234,490		198,857
Current liabilities					
Trade and other payables	9	(6,866)		(4,924)	
Contract liabilities	9	(70)		(60)	
Provisions	10	(8)		(48)	
Total current liabilities			(6,944)		(5,032)
Total assets less current liabilities			227,546		193,825
Non-current liabilities:					
Contract liabilities	9	(306)		(401)	
Provisions	10	(26)		(130)	
Total non-current liabilities			(332)		(531)
Total assets less liabilities			227,214		193,294
Taxpayers' equity and other reserves:					
General fund			58,450		57,421
Revaluation reserve			168,745		135,852
Donated asset reserve			19		21
Total equity			227,214		193,294



Jeff James,
Chief Executive and Keeper,
14 July 2022

Statement of Cash Flows for the year ended 31 March 2022

		2021-22	2020-21
	Note	£000	£000
Cash flows from operating activities			
Net operating expenditure		(39,196)	(36,495)
Adjustments for non-cash transactions	3	6,205	6,151
(Increase)/decrease in trade and other receivables	8	(1,457)	(682)
(Increase)/decrease in contract assets	8	(1,173)	95
(Increase)/decrease in inventories		(21)	(20)
Increase/(decrease) in trade and other payables	9	1,847	(984)
Increase/(decrease) in contract liabilities	9	10	(178)
Increase/(decrease) in balance with the Consolidated Fund	9	60	(117)
Use of provisions	10	(3)	(19)
Net cash outflow from operating activities		(33,728)	(32,249)
Cash flows from investing activities			
Purchase of property, plant and equipment	5	(3,915)	(2,315)
Purchase of intangible assets	6	(2,468)	(1,232)
Capital grant donation		-	23
Net cash outflow from investing activities		(6,383)	(3,524)
Cash flows from financing activities			
From the Consolidated Fund (Supply) – current year		40,951	35,890
Extra Receipts due to the Consolidated Fund		(900)	-
Net cash flows from financing activities		40,051	35,890
Net increase/(decrease) in cash and cash equivalents in the period before adjustment for receipts and payments to the Consolidated Fund		(60)	117
Cash and cash equivalents at the beginning of the period		127	10
Cash and cash equivalents at the end of the period		67	127

Statement of Changes in Taxpayers' Equity for the year ended 31 March 2022

		General Fund	Revaluation Reserve	Donated Asset Reserve	Taxpayers' equity
	Note	£000	£000	£000	£000
Balance at 1 April 2020		58,015	132,154	1	190,170
Net Parliamentary funding		35,773	-	-	35,773
Comprehensive net expenditure for the year		(36,495)	3,751	20	(32,724)
Auditor's remuneration	3	75	-	-	75
Transfers between reserves		53	(53)	-	-
Balance at 31 March 2021		57,421	135,852	21	193,294
Net Parliamentary funding		41,011	-	-	41,011
CFER Payable to the Consolidated Fund		(900)	-	-	(900)
Comprehensive net expenditure for the year		(39,198)	32,931	-	(6,267)
Auditor's remuneration	3	76	-	-	76
Transfers between reserves		40	(38)	(2)	-
Balance at 31 March 2022		58,450	168,745	19	227,214

The General Fund records all changes in financial resources for the year, with the exception of those recorded in other reserves. This includes the Parliamentary funding provided and the net expenditure for the year.

The Revaluation Reserve reflects the gain or loss on the revaluation of assets, both tangible and intangible, other than donated assets. Each year, an amount equal to the excess annual depreciation from the revaluation reserve is transferred to the General Fund, which makes sure that by the time the asset is fully depreciated there is no residual balance associated with the asset in the Revaluation Reserve.

The Donated Asset Reserve shows the value of assets donated to The National Archives; value is added when the asset is donated and the assets are depreciated in the same way as other assets. Depreciation is charged to Other Comprehensive Expenditure in the Statement of Comprehensive Net Expenditure (SoCNE). On recognition, there is an equal and opposite transfer of income from the donation to other operating revenue in the SoCNE, so that the value of the asset in the Statement of Financial Position remains balanced by the value in the Donated Asset Reserve.

Notes to the Departmental Resource Accounts

1. Statement of accounting policies, key accounting estimates and judgements

1.1 Statement of accounting policies

These accounts have been prepared in accordance with the Government Financial Reporting Manual 2021-22 (FReM) and Accounts Direction issued by HM Treasury under section 6(4) of the Government Resources and Accounts Act 2000. The accounting policies contained in the FReM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context.

The accounting policies adopted by The National Archives are described below. Where the FReM permits a choice of accounting policy, the accounting policy that is judged to be most appropriate to the particular circumstances of The National Archives is applied for the purpose of giving a true and fair view. They have been applied to all items that are material to the accounts.

In addition to the primary statements prepared under IFRS, the FReM also requires the department to prepare an additional primary statement. The Statement of Parliamentary Supply and supporting notes show outturn against Estimate in terms of the net resource requirement and the net cash requirement.

1.2 Basis of preparation

These accounts have been prepared under the historical cost convention except as otherwise set out in the accounting policies. Transactions denominated in foreign currency are translated into sterling at the exchange rate ruling at the time of the transaction. Any assets and liabilities in a foreign currency are translated into sterling at the exchange rate on the date of reporting. Translation differences are recognised in the Statement of Comprehensive Net Expenditure (SoCNE).

Going concern

In common with other government departments, The National Archives' liabilities

are expected to be met by future grants of supply and the application of future income, both to be approved annually by Parliament. There is no reason to believe that future Parliamentary approval will not be forthcoming, and therefore, in accordance with FReM 4.2.14, it has been concluded as appropriate to adopt the going concern basis of preparation for these accounts.

1.3 New and revised standards issued but not effective

There is one newly issued accounting standard (IFRS 16 Leases) which is not yet effective that will have an impact on The National Archives' financial statements in future periods.

IFRS 16 has been adopted by the FReM and was planned to be effective from 1 April 2021. However, HM Treasury agreed with the Financial Reporting Advisory Board (FRAB) to defer the implementation of IFRS 16 Leases until 1 April 2022. This is because of the circumstances caused by the COVID-19 pandemic.

The new standard requires an organisation to recognise all the assets which it leases, such as any property or equipment, in the Statement of Financial Position as if they were owned outright. All future payments due under the terms of lease are to be recognised upfront as a corresponding liability. Current effective standards do not require all leased assets to be recognised in this way, and future payment commitments are simply disclosed.

The National Archives has carried out an initial assessment of the new standard and has concluded that the only significant lease that will be affected by this standard relates to use of a storage facility.

The National Archives has a storage lease for 15 years from July 2020. This will require the recognition of a right of use asset and a liability for the future lease payment commitments in

the Statement of Financial Position. The change will only be applied to transactions relevant to the period after the date of the policy change. The National Archives estimate that on 1 April 2022 £6.76 million will be recognised as a right of use asset and related liability.

The National Archives currently recognises income from a licence of intellectual property (*The Gazette*) as an operating lease under IAS 17. This income will be accounted for in accordance with IFRS 15 once IFRS 16 is adopted.

The National Archives does not act as a finance lessor.

Accounting policies for expenditure

1.4 Staff costs

Staff costs include wages and salaries, social security costs and pension costs. All short-term staff costs payable at the year end, which will be paid within one year from the date of reporting, are recognised in the Statement of Comprehensive Net Expenditure. These include any accrued leave entitlements.

1.5 Pensions

Most past or present employees are covered by the provisions of the Principal Civil Service Pension Scheme (PCSPS) and alpha (a pension scheme introduced on 1 April 2015), which are defined benefit schemes open to participating public sector bodies in which the benefit the employee receives during retirement is dependent on factors such as age, length of service and salary. These schemes are administered by MyCSP on behalf of the Cabinet Office. The National Archives pays contributions into these schemes at an agreed rate. As one of many participating organisations, The National Archives is not able to identify its share of any liability for making future pension payments to members and, accordingly, The National Archives accounts for this as if it were a defined contribution scheme and recognises the costs of these contributions when they fall due.

Employees may opt to join a personal stakeholder pension scheme instead, providing the scheme meets the minimum criteria set by UK Government. These are defined contribution schemes where The National Archives pays established contribution rates

into a separate fund. The amount of pension benefit that a member receives in retirement is dependent on the performance of the fund. The National Archives recognises the cost of these contributions in the Statement of Comprehensive Net Expenditure when they fall due. There is no further payment obligation once the contributions have been paid.

1.6 Early departure costs

Where The National Archives ends the employment of a staff member and makes a compensation payment within the rules of the Civil Service Compensation Scheme (CSCS), the cost of that payment is recognised in full in the year the individual accepts the terms of the compensation payment.

1.7 Grant expenditure

Grants payable are recognised when the criteria for a constructive obligation are met, payment is probable, values can be measured reliably, and there are no conditions attached to its payment that limit its recognition.

1.8 Leases

Payments in relation to operating leases are charged to the Statement of Comprehensive Net Expenditure on a straight-line basis over the lease term.

1.9 Value Added Tax (VAT) on purchases

Most of the activities of the department are outside the scope of VAT and, in general, input tax on purchases is not recoverable. Irrecoverable VAT is charged to the relevant expenditure category or included in the capitalised purchase price of non-current assets.

Accounting policies for income

1.10 Revenue recognition

Revenue principally comprises contracted charges for services provided for the sale of copies of documents, sale of publications and other items and services, reproduction fees, income generated by the licensing of digital copies of historical records and storage facility income. Costs associated with the contracted revenue are recognised in the same accounting period.

Operating income also includes grants and contributions from organisations, including other government departments, to carry out specific projects.

Further details of The National Archives recognition of contracted income are set out in note 4.

1.11 Lessor income

The National Archives rents a section of the building to a third party. Rental income is recognised as it falls due. Rental income includes a service charge levied on an annual basis to recover central costs borne by The National Archives.

The National Archives acts as lessor on a concessionary contract (*The Gazette*) whereby in return for letting the concession a variable financial contribution is recognised as publishing rights are granted.

1.12 Value Added Tax (VAT) on sales

Where output tax is chargeable, income is stated net of VAT. The National Archives does not charge VAT for any work it carries out under statute.

Accounting policies for assets and liabilities

1.13 Property, plant and equipment and intangible assets

Expenditure of £5,000 or more on property, plant and equipment or intangible assets is capitalised where it is expected to bring benefit over future years. On initial recognition, assets are measured at cost and include all costs directly attributable to bringing them into working condition. This includes the costs of external contractors who deliver on information technology projects as well as salaries of internal staff working 100% of their time on particular capital projects. Where bulk purchases are made for individual assets whose unit costs are below the threshold, but in aggregate exceed £30,000 within a financial year, the assets are capitalised.

All non-current assets are reviewed annually for impairment and are carried at fair value. Property, plant, and equipment is depreciated, and intangible assets amortised, on a straight-line basis over their useful lives to ensure that they are reported at their estimated residual value at the end of their lives.

Property, plant and equipment

The National Archives building and grounds at Kew are freehold property. The land and buildings are stated at fair value using professional valuations every five years at a minimum. In intervening years, appropriate indices are applied unless it is known that market value for land and/or buildings has moved materially, in which case they are stated at fair value using a professional desktop valuation.

Other non-current assets are stated at fair value using appropriate indices only where their values are material with respect to the overall net book value of non-current assets held. Where indices are not applied depreciated historical cost is considered as a proxy for fair value, as per FReM 10.1.14.

Expenditure on restoration and conservation work is part of the normal operating costs of The National Archives and is not capitalised; it is recorded as part of programme costs.

Depreciation

Depreciation is provided at rates calculated to write off the valuation of freehold buildings and other non-current assets by equal instalments over their estimated useful lives. Freehold land and assets in the course of construction are not depreciated.

Asset lives are in the following ranges:

Buildings	up to 40 years
Computers and equipment	up to 10 years
Plant and machinery	up to 25 years
Furniture, fixtures, and fittings	up to 50 years
Transport equipment	up to 10 years

A review has been done of the depreciation policy for each of our asset classes. Computers and equipment was previously stated to have asset lives up to 5 years, however, as a result of the review it was found that there are several items in this class with a longer useful life and the policy has been updated to reflect this.

Intangible assets

Intangible assets comprise software licences purchased from third parties, amortised over the life of the licence, and the cost of

developing internal software assets, amortised on a straight-line basis over the useful economic life of the asset.

In addition, The National Archives recognises licences issued to third parties and internal revenue generating databases (such as our Digital Download and Image Library services) as intangible assets with indefinite lives, reflecting their underlying nature of supporting public records.

Asset lives are in the following ranges:

Software licences	up to 5 years
Internally developed software	up to 15 years
Licences issued to third parties	indefinite
Internally developed revenue-generating databases	indefinite

The valuation adopted for licences issued to third parties and internal revenue generating databases is based on current forecasts of reasonably foreseeable future revenue generating capacity, discounted as appropriate. Further details of the effects of changes in our forecast estimates are shown under note 6 of the accounts.

1.14 Heritage assets

The National Archives holds more than 14 million physical records, artefacts and a significant and growing digital archive classed as non-operational heritage assets. These are held in order to fulfil our statutory function, which includes ensuring that important information is preserved and that it can be accessed and used.

Records in our collection are put onto our online catalogue, Discovery, where they contain descriptions of a broad range of documents and items. Further details can be found at: discovery.nationalarchives.gov.uk/.

In the opinion of The National Archives' Board, reliable information on cost or valuation is not available for the department's collection of heritage assets. This is due to the diverse nature of the assets held, the lack of information on purchase cost (as the assets are not purchased), the lack of comparable market values, and the volume of items held.

As well as the aforementioned, any market value placed on these assets would not be a true reflection of the value of the assets to the nation's heritage; the assets, if lost, could not be replaced or reconstructed. These assets are therefore not reported in the Statement of Financial Position.

Certain items within the overall collection are of particular significance, including the Domesday Book, one of our most prized national treasures, which has been preserved for over nine centuries and is now cared for at Kew; two contemporary versions of Magna Carta; unique records of official treaties; and a host of irreplaceable social records including, as of this year, the 1921 Census. Further details of the preservation and management of our heritage assets are provided in note 7 of the accounts.

1.15 Cash and cash equivalents

Cash and cash equivalents comprise current balances held at the Government Bank Service. Any amounts held in foreign currency are translated into sterling at the exchange rate on the date of reporting.

1.16 Contract and trade receivables

Contract receivables are amounts invoiced and due from software development, licenses, record copying or other services.

Trade receivables are amounts invoiced and due in respect of lessor income, grant income and specific Government Contracts.

1.17 Contract assets and liabilities

Contract assets relate to our enforceable right to consideration for our completed performance in respect of contracts where that work has not yet been invoiced. It is determined on the basis of work undertaken at the period end, less any provision for unrecoverable amounts.

Payments received in advance of performance under the contract are recognised as contract liabilities. This is then recognised as revenue as the work is performed.

1.18 Significant accounting judgements, estimates and assumptions

The preparation of financial statements

requires management to make judgements, estimates and assumptions that affect the reported amounts of assets, liabilities, income and expenses. Actual results may differ from these estimates. The financial statements of The National Archives include estimates and assumptions that could influence the financial statements of subsequent financial years.

Estimates and underlying assumptions are reviewed on an ongoing basis. Revisions to accounting estimates are recognised in the period in which the estimate is revised and in any future periods effected.

Non-current assets: Professional valuations are required every five years at a minimum with either appropriate indices or a professional desktop valuation used in intervening years. In the current year, the land and buildings are stated at fair value using a professional desktop valuation, with a full professional valuation taken in the previous financial year. Whether applying indices, or using a desktop valuation, this represents an accounting judgement and uncertainty in the valuation of land and buildings.

Intangible Assets: The valuations of licenses issued to third parties and internal revenue-generating databases are based on forecasts of probable future revenue generating capacity, which are uncertain. Further details are in note 6.

Heritage assets: Reliable information on cost or valuation is not available for the department's collection of heritage assets and, accordingly, an accounting judgement has been made not to value these in the financial statements. Further details are in note 1.14.

Revenue recognition: As set out in note 4, IFRS 15 – Revenue from Contracts with Customers requires judgements and estimates. Judgement relates to the determination of performance obligations in each of the major revenue streams having the potential to impact the revenue recognition pattern under the contract. Assumptions are required to determine an appropriate measure of progress when determining how control over promised goods or services transfers to the customer. All of the above have the potential to result in a different revenue recognition pattern.



2. Statement of Operating Expenditure by Operating Segment

IFRS 8 Operating Segments requires operating segmental information to be provided based on information that the Chief Executive and Keeper as Chief Operating Decision Maker (CODM) uses to make decisions about the organisation. This information, reviewed by the CODM, is currently presented based on our management structure as per pages 37 to 44. To aid readers' understanding, the segments below have been presented in line

with our public task, which can be summarised as: leading on policy and best practice in knowledge and information management for the public sector; preserving and protecting the record; and providing public access.

In accordance with IFRS 8, below is a schedule of income and expenditure against each identified segment. Overheads are allocated proportionally based on the direct costs of each segment.

2021-22				
	Government information management	Preservation and protection	Public access	Total
	£000	£000	£000	£000
Income	(3,815)	(602)	(9,161)	(13,578)
Operating expenditure	11,531	12,540	22,433	46,504
Depreciation, amortisation and impairment	1,555	1,691	3,024	6,270
Net operating cost	9,271	13,629	16,296	39,196
2020-21				
	Government information management	Preservation and protection	Public access	Total
	£000	£000	£000	£000
Income	(3,148)	(549)	(7,284)	(10,981)
Operating expenditure	9,726	15,861	15,839	41,426
Depreciation, amortisation and impairment	1,420	2,317	2,313	6,050
Net operating cost	7,998	17,629	10,868	36,495

3. Operating costs

	2021-22		2020-21	
	£000	£000	£000	£000
Staff Costs				
Wages and salaries	19,893		19,214	
Social Security costs	2,136		1,993	
Other pension costs	5,181		4,801	
Less capitalised staff costs	(750)		(79)	
		26,460		25,929
Purchase of goods and services				
Goods and services	5,520		5,474	
Storage lease rental	462		346	
Contracted services	6,072		2,243	
Building maintenance and costs	3,718		3,458	
Office supplies and equipment	353		199	
Technology cost	2,728		2,031	
Telecommunication	156		190	
Grants paid	491		1,022	
Public access	178		62	
Recruitment and training	377		221	
Travel, subsistence and hospitality	58		16	
Professional expenses	121		125	
Contract expenditure (see below)	(125)		9	
		20,109		15,396
Non-cash items:				
Depreciation and amortisation				
- Civil estate	3,860		3,950	
- Other non-current assets	2,410		2,100	
Total depreciation		6,270		6,050
Auditor's remuneration – audit work	76		75	
Loss on disposal of non-current assets	-		10	
Change to onerous lease provision	(141)		16	
Total other non-cash items		(65)		101
Total non-cash items		6,205		6,151
Total operating expenditure		52,774		47,476

Further analysis on staff numbers, compensation scheme packages and pension disclosure can be found on pages 51 to 63, within the accountability report.

No fees have been paid to auditors for non-audit work in the financial year 2021-22.

Contract expenditure

In accordance with IFRS 15, costs relating to a digitisation project (£125,000) were transferred to the Statement of Financial Position as a contract asset.

4. Income

The following are descriptions of the principal contracted activities, their associated performance obligations and significant payment terms under IFRS 15.

Revenue stream	Timing of performance obligations and significant payment terms
<p>Licensing royalties Commercial partners use accessioned content on their websites or within their online products and pay royalties to us when our subscribers use this content, or customers purchase their products.</p>	<p>Revenue is recognised in line with usage/sales, and billing arrangements vary from a monthly to annual basis.</p>
<p>Record Copying (statutory provision) Digital or paper copies of our accessioned records to individual customers.</p>	<p>Revenue is recognised when the copies are provided to the customer. Billing takes place prior to distribution of the copies.</p>
<p>Reprographics A digitisation service for bulk orders from third parties. The records can belong to us or to external parties.</p>	<p>Revenue is recognised once the copies are provided to the third party and is typically billed in advance.</p>
<p>Storage income Commercial partners store records in The National Archives storage facility.</p>	<p>Revenue is recognised in line with usage, with billing arranged quarterly.</p>
<p>Drafting tools Publishing legislation on behalf of other government departments and devolved administrations.</p>	<p>Fee per document published and recognised in line with usage. Billing on a quarterly basis.</p>
<p>Licensing resales Copies of images digitised either by a licensing partner, or by The National Archives, can be resold to another licensing partner or digitisation customer. When sold to another licensing partner, this will be alongside a license to publish and The National Archives will also benefit from future royalties.</p>	<p>Revenue is recognised at the point where the images are transferred, unless it is a sale to a licensing partner where the images are required to be updated over the period that they have access to the material, in which case it is recognised over the period of the licence. Revenue is received either in advance or on delivery.</p>

	2021-22	2020-21
	£000	£000
Revenue from contracts with customers		
Licensing royalties	3,965	3,237
Record copying	608	192
Reprographics	497	296
Storage income	433	319
Shop income	302	168
Drafting tools	213	236
Licensing resales	130	318
Legislation services	121	128
Document downloads	46	97
Other	526	334
	6,841	5,325
Other operating income		
Fees charged to other government departments	594	676
Grant income	654	562
Apprenticeship levy notional income	38	48
Lessor income	5,451	4,370
	6,737	5,656
Total Income	13,578	10,981

5. Property, plant and equipment

	Land	Buildings	Plant and machinery	Furniture fixtures and fittings	Computers and equipment	Assets under construction	Total
	£000	£000	£000	£000	£000	£000	£000
Cost or valuation							
At 1 April 2021	45,600	106,500	11,599	11,654	11,007	477	186,837
Additions	-	-	2,757	141	835	182	3,915
Reclassification	-	-	(1,445)	(51)	2,777	1,496	2,777
Disposals	-	-	(42)	-	-	-	(42)
Revaluation	27,400	3,800	-	-	-	-	31,200
At 31 March 2022	73,000	110,300	12,869	11,744	14,619	2,155	224,687
Depreciation							
At 1 April 2021	-	-	7,367	5,895	9,587	-	22,849
Charged in year	-	3,859	779	569	965	-	6,172
Disposals	-	-	(42)	-	-	-	(42)
Revaluation	-	(3,859)	-	-	-	-	(3,859)
At 31 March 2022	-	-	8,104	6,464	10,552	-	25,120
Net book value							
At 31 March 2022	73,000	110,300	4,765	5,280	4,067	2,155	199,567
At 31 March 2021	45,600	106,500	4,232	5,759	1,420	477	163,988
	Land	Buildings	Plant and machinery	Furniture fixtures and fittings	Computers and equipment	Assets under construction	Total
	£000	£000	£000	£000	£000	£000	£000
Cost or valuation							
At 1 April 2020	43,764	125,553	10,486	10,384	10,841	1,047	202,075
Additions	-	68	584	832	371	460	2,315
Reclassification	-	-	529	438	63	(1,030)	-
Disposals	-	-	-	-	(268)	-	(268)
Revaluation	1,836	(19,121)	-	-	-	-	(17,285)
At 31 March 2021	45,600	106,500	11,599	11,654	11,007	477	186,837
Depreciation							
At 1 April 2020	-	15,722	6,617	5,340	9,173	-	36,852
Charged in year	-	3,950	750	555	672	-	5,927
Disposals	-	-	-	-	(258)	-	(258)
Revaluation	-	(19,672)	-	-	-	-	(19,672)
At 31 March 2021	-	-	7,367	5,895	9,587	-	22,849
Net book value							
At 31 March 2021	45,600	106,500	4,232	5,759	1,420	477	163,988
At 31 March 2020	43,764	109,831	3,869	5,044	1,668	1,047	165,223

Notes

- a. Freehold land and buildings were valued on 31 March 2022 at £183.3 million by BNP Paribas Real Estate (the 'Valuer') acting in the capacity of external valuers. The Valuation was a desktop exercise; the Valuer did not visit the Kew site as part of the process of producing the Valuation.

The valuation was in accordance with the requirements of the Government's Financial Reporting Manual, and the Royal Institute of Chartered Surveyors Valuation – Global Standards, 2020 (Red Book), to include the International Valuation Standards, and the RICS Valuation – Global Standards, 2017: UK National Supplement.

The Valuation was on the basis of Fair Value Market Value, as adapted by the FReM for the public sector context. The Valuer's opinion of Fair Value was primarily

derived using the depreciated replacement cost approach because the specialised nature of the asset means that there are no market transactions of this type of asset except as part of the business or entity.

- b. Revaluation in year is accounted for within other comprehensive net expenditure (page 76) and accumulated in taxpayers' equity under the revaluation reserve.
- c. Lawmaker, a bespoke legislation drafting tool, launched in February 2022 (see page 11) and as such was reclassified from an intangible Asset Under Construction to an Asset in Use under Computers and Equipment.

6. Intangible assets

	Software licences	Internally developed revenue-generating databases	Licences issued to third parties	Assets under construction	Total
	£000	£000	£000	£000	£000
Cost or valuation					
At 1 April 2021	843	568	26,156	2,409	29,976
Additions	73	-	-	2,395	2,468
Reclassification	-	-	-	(2,777)	(2,777)
Revaluation	-	55	(2,184)	-	(2,129)
At 31 March 2022	916	623	23,972	2,027	27,538
Amortisation					
At 1 April 2021	639	-	-	-	639
Charged in year	99	-	-	-	99
At 31 March 2022	738	-	-	-	738
Net book value					
At 31 March 2022	178	623	23,972	2,027	26,800
At 31 March 2021	204	568	26,156	2,409	29,337
	Software licences	Internally developed revenue-generating databases	Licences issued to third parties	Assets under construction	Total
	£000	£000	£000	£000	£000
Cost or valuation					
At 1 April 2020	843	789	24,571	1,177	27,380
Additions	-	-	-	1,232	1,232
Revaluation	-	(221)	1,585	-	1,364
At 31 March 2021	843	568	26,156	2,409	29,976
Amortisation					
At 1 April 2020	513	-	-	-	513
Charged in year	126	-	-	-	126
At 31 March 2021	639	-	-	-	639
Net book value					
At 31 March 2021	204	568	26,156	2,409	29,337
At 31 March 2020	330	789	24,571	1,177	26,867

Assets Under Construction relates to internally generated software to be depreciated once ready for use. Lawmaker completed in February 2022 and has been reclassified to an Asset in Use under Computers and Equipment.

Revaluation in year is accounted for within other comprehensive net expenditure (page 76) and accumulated in taxpayers' equity under the revaluation reserve. Any decrease in valuation of an asset in year has not exceeded any amount previously credited to the revaluation surplus.

The intangible asset valuations of revenue-generating databases and licences issued to third parties are based on forecasts of future revenue generating capacity, discounted as appropriate. The forecast cashflows estimated are subject to market conditions as they are dependent on customer use of the products offered – both existing and new.

Below is a sensitivity analysis of the effects of changes in the forecast assumptions on the amounts disclosed in the accounts.

Market risk - assumptions tested	Increase/(decrease) in 2021-22 valuation
	£000
2021-22 income 10% less than forecast for revenue generating databases	(113)
2021-22 income 10% higher than forecast for revenue generating databases	113
2021-22 income 10% less than forecast for licences issued	(2,647)
2021-22 income 10% higher than forecast for licences issued	2,647

IAS 36 requires intangible assets with an indefinite useful economic life to be tested for impairment annually and whenever there is an indication that the asset may be impaired, by comparing its carrying amount with its recoverable amount. As a result of undertaking this exercise there is no impairment to the value of the assets.

7. Further information on heritage assets

7a) Preservation and management

Acquisition of heritage assets is through government bodies selecting digital and physical records for permanent preservation and transferring these records to The National Archives. In January 2013, central government began a 10-year transition, during which the age at which records would usually be transferred to The National Archives and released to the public is being reduced from 30 years to 20 years (however, many are transferred early).

The National Archives is the guardian of the nation's public records. Its core role includes preserving and protecting, making available, and bringing to life the vast collection of historical information it holds. Most of the records are unique and irreplaceable and have been preserved for their historical, social, legal and administrative value. This includes significant collections of digital records.

We adopt a risk-based approach in preserving our digital and physical records. This consists of conducting a preservation risk assessment for whole collections which is subsequently reviewed periodically – and for digital records, on a continual and regular basis. The National Archives adopts a combined approach of preventative measures and conservation treatments for records in their digital and physical forms.

Expenditure that is required to preserve or clearly prevent further deterioration of individual collection items is recognised in the Statement of Comprehensive Net Expenditure when it is incurred. In 2021-22, £1.81 million was recognised (in 2020-21 this was £2.09 million).

Our approach to preservation risk

Physical records

The physical records held by The National Archives span over 1,000 years and fill 228

linear kilometres of shelving on site at Kew and at the Deepstore facility in Cheshire. They comprise a variety of formats: parchment, traditional paper records, seals, maps, costumes, paintings, films, items of court evidence, and more.

The conservation, preservation and care of this unique and irreplaceable collection is a challenging responsibility, given the age and original condition of some of the physical materials. We have a dedicated team responsible for the long-term preservation of The National Archives' physical collection for continued access and future use, and we improve the stability of our most vulnerable records through conservation work.

We seek appropriate and secure accommodation for all our holdings, wherever they are stored, processed, transferred, transported or used. This includes providing suitable environmental conditions and appropriate housing. It also includes monitoring via an integrated pest management programme and an environmental monitoring system. We recognise that of all potential risks to the long-term preservation of our records, inappropriate storage is the most significant.

The Secretary of State has delegated their power at section 2(4)(g) of the Public Records Act 1958 to the Chief Executive of The National Archives (in his capacity as Keeper of Public Records). The Chief Executive therefore has delegated authority to lend documents for display at exhibitions. All loans are conducted in accordance with our exhibitions policy and are subject to criteria agreed with Department for Digital, Culture, Media and Sport officials, in line with the loans policies of other major cultural heritage institutions.

Digital records

The National Archives takes a leading role in dealing with the issues associated with the survival and preservation of today's digital public records.

Our digital preservation techniques and policies follow current best practice, as recognised nationally and globally. It involves first establishing the file formats of the accessioned records and then preserving the original digital objects using passive 'bit level' preservation; this ensures the secure storage and fundamental integrity of the record.

A regular assessment of the risk of digital records becoming unfit for presentation is made and should a format be identified as posing a risk, action to migrate records in that format (or to otherwise mitigate that risk) is taken. The National Archives will always maintain the original manifestation of the record as accessioned.

During the year, we took 3,797 snapshots of websites and social media accounts for the UK Government web archive (3,390 in 2020-21).

7b) Access

Details of the records we hold can be obtained through our online catalogue, Discovery. All open records are available for viewing by members of the public and can be viewed free of charge on site at Kew or copies can be requested to be sent out for a fee. Generally, digital copies of some of our open documents are also available for download from our online services – some may be downloaded free and some for a small fee. A brief registration process is required to consult original

documents; however, this is not required to view surrogates or online copies of documents.

In a normal year, access to the records is provided in a number of ways, both on site and online. Original documents on site are accessed by readers or staff under controlled conditions, in accordance with nationally recognised and agreed standards.

Readers use the document reading room and the map and large document reading room to consult original documents. In some cases, valuable or fragile material may only be consulted under supervision either within the conservation studio or in the invigilation room.

There are ongoing projects to catalogue more of our heritage assets, many using volunteers to further improve access to records and we have a dedicated catalogue team responsible for this.

When we reopened our site at Kew in April 2021 following government pandemic-related regulations, we required readers to book a seat online and order all documents in advance so that they could be quarantined before being viewed. From July 2021, in accordance with government regulations, we reinstated the option of being able to walk in and order documents on demand, as well as gradually increasing reader numbers, reading room opening times and the number of documents readers could order.

8. Trade other receivables

	2021-22	2020-21
	£000	£000
Amounts falling due within one year:		
Contract receivables	-	74
Trade receivables	2,714	1,767
Deposits and advances	14	56
Prepayments	1,520	1,210
Accrued income	776	1,334
Accrued income due to the Consolidated Fund	900	-
VAT	27	-
	5,951	4,441
Contract assets	1,827	654
	7,778	5,095
Amounts falling due after one year:		
Prepayments	111	164
Total receivables	7,889	5,259

£900,000 accrued royalty income from the 1921 Census is due to the Consolidated Fund. This was generated too late in the year to be spent and permission was granted by HM Treasury to return as a CFER, in order that it can be carried over into the resource budget of the Main Estimate for 2022-23.

9. Trade and other payables

	2021-22	2020-21
	£000	£000
Amounts falling due within one year:		
Other Taxation, Social Security and Pension	1,095	1,034
Trade payables	2,189	722
Accruals	1,157	1,222
Deferred income	298	527
Deposits	26	-
Short-term staff benefits (holiday pay accrual)	1,134	1,292
Amounts issued from the Consolidated Fund for supply but not spent at year end	67	127
Amounts due to be paid to the Consolidated Fund	900	-
Total trade and other liabilities	6,866	4,924
Contract liabilities	70	60
	6,936	4,984
Amounts falling due after one year:		
Contract liabilities	306	401
Total payables	7,242	5,385

See Note 8 for details of Amounts due to be paid to the Consolidated Fund.

10. Provisions for liabilities and charges

The following table provides information on liabilities and charges on an onerous lease.

	2021-22	2020-21
	£000	£000
Balance at 1 April	178	181
Provision not required written back	(141)	16
Provisions utilised in year	(3)	(19)
Balance as at 31 March	34	178

Analysis of expected timing of discounted cash flow

	2021-22	2020-21
	£000	£000
Payable within one year	8	48
Payable later than one year and not later than five years	26	130
Balance as at 31 March	34	178

The onerous lease relates to a vacation of office space within a government building in Norwich. The lease runs until December 2023.

Future cashflows have been discounted using HM Treasury Discount Rates.

11. Lease and other commitments

The National Archives has entered into significant non-cancellable contracts (which are not leases or PFI contracts) for a facilities management service and IT Services. The payments to which The National Archives is committed, analysed by the period during which the commitment expire are as follows:

	2021-22	2020-21
	£000	£000
Not later than one year	2,277	1,566
Later than one year and not later than five years	2,236	488
Beyond five years	-	-
	4,513	2,054

12. Future income due under non-cancellable operating leases

During the year, The National Archives entered into a contract to rent a section of the building to a third party. The aggregate minimum lease receipts are as follows:

	2021-22	2020-21
	£000	£000
Receivable within one year	228	160
Receivable later than one year and not later than five years	588	174

13. Financial instruments

As the cash requirements of The National Archives are met through the Estimates process, financial instruments play a more limited role in managing 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 or liquidity risk.

14. Contingent liabilities

There were no material contingent liabilities at the reporting date (2020-21: nil).

15. Related party transactions

The National Archives is a non-ministerial government department. Its parent department is the Department for Digital, Culture, Media and Sport. The Chief Executive and Keeper, Jeff James reports to the Secretary of State. The National Archives does not have any related-party relationships as defined by IAS 24 Related party disclosures.

The National Archives has had a number of transactions with other government departments and other central government bodies, primarily UK Parliament, Office for Parliamentary Counsel, Scottish Parliament, Parliamentary Counsel Office Scotland and the Ministry of Justice. At 31 March 2022, the Scottish Parliament had £115,000 owing to The National Archives (2021: £nil).

Jeff James, Chief Executive and Keeper, is the President of the Forum of National Archivists, a sub-forum of the International Council on Archives (ICA). He is also a member of the ICA

Executive Board. Subscription to the ICA was paid to the sum of £17,224 (2020-21: £18,305).

John Sheridan, Digital Director is a Director of the Digital Preservation Coalition (DPC) and the DLM Forum, for and on behalf of The National Archives. The National Archives paid a membership fee of £9,945 (2020-21: £9,945) and £745 (2020-21: £788) respectively. A sponsorship award was made to DPC to the sum of £6,000 during 2021-22 (2020-21: £2,500).

There are no further outstanding balances owed to or owed from any of the above related party organisations.

The Remuneration and staff report (page 51) contains details of payments made to key personnel.

16. Events after the reporting period date

There have been no significant events after 31 March 2022 that require adjustment to, or disclosure in, the financial statements.

These accounts have been authorised for issue by the Accounting Officer on the same date as the C&AG's Audit Certificate.

Annexes and appendix

Annex A Sustainability accounting and reporting

Annex B Advisory Council on National Records and Archives: 19th Annual Report 2021-22

Annex C Annual Report of the Independent Complaints Reviewer 2021-22

Appendix Local places of deposit awarded New Burdens Funding 2021-22

Annex A

Sustainability accounting and reporting

This report presents an overview of our activities during the 2021-22 financial year, the first year of the Greening Government Commitments 2021-25 (GGC). This report details how our progress aligns with the revised Greening Government Commitments targets and our plans for the next financial year.

This report was prepared in accordance with HM Treasury's 'Public sector annual reports: sustainability reporting guidance 2021-22'.³⁵ Further information is available on our website.³⁶

Our approach

Governance and reporting

We summarise our key sustainability targets within business plans and regularly review performance throughout the year. We are committed to meeting, and exceeding, where practical, the Greening Government Commitments. Our Executive Team, Board and Audit and Risk Committee review our sustainability performance regularly, ensuring that progress is scrutinised and challenged where appropriate.

We are an active participant in sharing best practice and benefitting from lessons learnt from other departments and from private and public sector organisations. We have continued to work with the National Museums Directors Council (NMDC) this year to share best practice within the industry. This has continued to focus upon carbon reduction journeys and increasing on site biodiversity, as well as visitor engagement post-pandemic. This work will continue throughout the coming year and beyond.

We continue to collaborate with the Climate Heritage Network, an international, non-lobbying, voluntary network promoting the concept that culture and heritage are assets for climate action, to increase the positive impact of the sector.

³⁵ Sustainability Reporting Guidance 2021-22

³⁶ nationalarchives.gov.uk/about/our-role/transparency/

Data accuracy

We review and seek to improve our data gathering and reporting processes each year. Quarterly reporting has also continued to ensure data accuracy.

The continuing COVID-19 pandemic and resulting period of national lockdowns led to the almost total closure of our site at Kew in early 2021 and a transition out of lockdown from July 2021. With a hybrid working policy in place and some staff continuing to work from home, the pandemic has had a positive impact on both our operational emissions and environmental impact. The environmental impact of staff working from home as well as their travel to work journeys will be included in future reports.

We continue to fully utilise the data accounting dashboards to improve data quality and create additional opportunities to enhance data accuracy:

- The relevant dashboards have been updated with the current emissions and conversions factors
- A full review of IT asset disposal processes, delayed from this year due to the pandemic, will be carried out in the financial year 2022-23
- We have completed an initial Scope 3 emissions review together with an internal assessment of which categories of Scope 3 emissions are material for The National Archives. In the coming year we will focus on improving data quality to ensure all relevant emissions can be reported moving forward. We are also awaiting central government guidance on the data gathering and reporting metrics to be used for the applicable Scope 3 categories.

In 2021-22, we conducted further due diligence on the use of an automated platform to improve reporting and analytics. However,

implementation has been deferred until the next financial year. This will be particularly important in setting and meeting the next set of targets.

Our sustainability strategy and targets

As a non-ministerial government department, we work to achieve the Greening Government Commitments – a set of targets and outcomes that together help ensure that central government meets its vision for sustainability.

During the reporting period of the Greening Government Commitments 2016-20, we achieved many of these targets ahead of time and replaced them with more challenging internal targets. We continue to raise our level of ambition, implementing science-based targets to reduce greenhouse gas emissions and strive to reduce our environmental impacts

further. Our environmental management system is built on sustainability and encourages continuous improvement. In 2021-22, we continued to translate our environmental goals and targets into a short infographic to share across the organisation to engage staff and visitors and to promote the sustainability progress to date with simple messages.

In 2021-22, we continued to review our operations in line with the applicable Sustainable Development Goals (SDGs), highlighting how we contribute to these Goals and to help inform our future strategy. Our attention continues to focus on those SDGs that align closely to our strategic goals and where we would have most impact. Some of our visitor engagement activities were again hindered by the pandemic. However, this remains a strategic priority for next financial year.

Sustainable Development Goals	2021-22 progress	Focus for 2022-23
SDG 3. Good Health and Wellbeing	<ul style="list-style-type: none"> Improved wellbeing Visitor engagement and awareness Supported employees in the transition to hybrid working patterns 	<ul style="list-style-type: none"> Improve health and wellbeing Visitor engagement and awareness Support employees in the transition to hybrid working patterns
SDG 8. Decent Work and Economic Growth	<ul style="list-style-type: none"> Embedded the requirements of the Social Value Act and the Modern Slavery Act into all procurement, systems, and processes 	<ul style="list-style-type: none"> Continue to apply the requirements of the Social Value Act and the Modern Slavery Act into all procurement, systems, and processes
SDG 11. Sustainable Cities and Communities	<ul style="list-style-type: none"> Climate and energy outreach with stakeholders 	<ul style="list-style-type: none"> Continue climate and energy outreach with stakeholders
SDG 12. Responsible Consumption and Production	<ul style="list-style-type: none"> Further developed sustainable procurement processes Explored solutions for hard to recycle waste 	<ul style="list-style-type: none"> Continue to promote sustainable procurement practices Focus on removing consumer single use plastic Reuse schemes
SDG 13. Climate Action	<ul style="list-style-type: none"> Developed an organisation-wide Net Zero strategy and action plan aligned with new GGC Incorporated climate risk and adaptation into risk planning and reporting 	<ul style="list-style-type: none"> Adopting science-based targets in support of our Net Zero commitment and expanding the scope of emissions management to include more of Scope 3
SDG 15. Life on Land	<ul style="list-style-type: none"> Biodiversity Action Plan Review Further signage for staff and visitor engagement proposed 	<ul style="list-style-type: none"> Develop a Nature Recovery Plan Review and improve site survey technique

Progress against each of these areas is captured within the sections below and forms a key workstream of the Green Champions Network, which engages employees and highlights areas of opportunity both in the workplace and at home. The objectives of this Network are to reinforce and embed environmental initiatives, improve internal knowledge sharing and promote employee engagement with environmental efficiency projects.

Meeting the Greening Government Commitments

The Greening Government Commitments

2021-25 set more stretching targets on the core areas of emissions, water, waste and domestic flights, and introduced new measures on biodiversity, climate adaptations and food waste. The target baseline year has been changed from 2009-10 to 2017-18 to more accurately reflect the current government estate and ensure it builds on the progress it has already achieved. We have previously set more challenging targets than the GGC for some data reporting; unfortunately, this means that some of the investment made to accelerate emissions reductions before 2017 will make performance against the new baseline appear less ambitious.

Indicator	GGC target 2021-25	Our target 2021-22	Our target baseline year	Change against the new baseline 2017-18 for 2021-22	Change compared with 2020-21 (+/-%)
Greenhouse gas emissions (kgCO₂e)	-58%	-65%	2017-18	-40%	+9%
Operational waste	Less than 5% waste to landfill	Zero waste to landfill	2017-18	0%	0%
	Reduce overall waste generated by 15%	-30%*	2017-18	-37%	+221%
	Increase recycling rate to at least 70% overall waste	Increase recycling rate	2017-18	-15%	+329%
Paper	-50%	- 50%	2017-18	-78%	+3,775%
Water	Reduce water consumption by at least 8%	-25%	2017-18	-35%	-21%
Domestic flights taken	-30%	-30%	2017-18	-97%	**%

* We have set its own target for waste reduction beyond the previous 25% GGC target against the 2009-10 baseline, to aspire towards 30% reduction in waste generated.

** Calculation is not possible as the increase is from 0.

2021-22 performance

Our performance in 2021-22 has continued the previous downward trend for carbon, energy and waste.

Indicator	2021-22	2021-22 per FTE employee [^]	2020-21	2020-21 per FTE employee [^]
Greenhouse gas emissions – Scopes 1-3 (tCO ₂ e)	1,672	3.05	1,637	3.2
Energy used (MWh)	7,835	14.2	6,940	13.7
Waste produced* (tonnes)	68	0.12	21	0.04
Water used (m3)	12,272	22.2	15,486	30.5
Domestic flights taken (kg/CO ₂ e)	187	0.33	0	0
International flights distance travelled (miles)	2,381	0.43	0	0

* Excludes one-off construction and refurbishment projects waste, to enable meaningful comparison.

[^] Average FTE throughout financial year 2021-22.

Greenhouse gas emissions

The Department for Digital, Culture, Media and Sport (DCMS) set an overall emissions reduction target for 2021-22 of -58% against the new 2017-18 baseline. Our greenhouse gas emissions associated with building energy use and domestic business travel in the most recent financial year were 1,598 tonnes CO₂e. This represents a 39% reduction in greenhouse gas emissions against the baseline 2017-18 figures, but an 8% increase on the previous year's emissions.

Against the new government target of a 33% reduction in direct emissions (Scope 1 only) from estate and operations, we recorded a 4% increase. The new target is extremely challenging as it relates to gas consumed that is necessary to maintain the temperature of the archive for which we are custodians. Prior to the new baseline year of 2017-18, we had already reduced our emissions relating to gas consumption by 61% from the GGC 2009-10 baseline. We will continue to focus on reducing gas consumption through all available means as we work towards the 2025 target date.

Indicator		2021-22	2020-21
Greenhouse gas emissions (tonnes CO₂e)	Gross emissions for scope 1 and 2	1,594	1,476
	Gross emissions for scope 3	97	83
Building energy consumption (MWh)	Electricity: non-renewable	7,835	3,998
	Electricity: renewable	0	0
	Electricity: good quality combined heat and power	2	90
	Natural gas	3,165	2,941
	Diesel oil	6.36	13.8
Financial indicators (£)	Energy	£857,511	£734,055
	Business travel	£14,498	£1,021

We have reduced the intensity of emissions associated with each unit of electricity consumed by 25% since the new 2017-18 baseline year, reducing emissions by 49% over the same time. Overall total energy consumption has reduced by 6% in comparison to the same period last year and by 49% since the baseline year.

In 2021-22, we purchased CO2 monitoring sensors to integrate into all office areas on a rolling programme within the coming financial year. This will mean that we can gather information and assess workspace ventilation based on Health, Safety and Environment guidance best practise and use this information in our building management systems, by powering down un-occupied areas using presence detection and therefore reducing energy costs. We will closely monitor our reduction in energy and greenhouse gas emissions through electronic trend graphical data for historical reporting.

Additional energy projects in the past year have centred primarily on lighting across our office and document storage areas. We have replaced fluorescents with LED panels and presence detection, meaning that we are targeted to reduce our energy consumption by at least 30% in these areas.

Although business travel remains a relatively small contributor to our overall emissions, it has increased by 1,502% compared with the same period last year. This increase is from a very low base and can be attributed to the

return of working in the office and travelling for meetings. There were two domestic flights in 2021-22 and whole site annual business travel emissions were 5,352 tCO₂e.

We continue to challenge whether travel is required and promote the use of digital conference facilities to avoid unnecessary business travel; we generally promote travel by public transport rather than car and train rather than plane.

In 2021-22, we continued to review our wellbeing programme against an historic baseline of wellbeing performance and further highlight areas for improvement, which continue to be developed. Wellbeing initiatives have been vitally important during the COVID-19 pandemic and continue to play a role in attracting and retaining staff, improving productivity, and making the site a desirable destination for visitors.

Waste minimisation and management

Our waste targets are now baselined to the new 2017-18 data and are to reduce the total quantity of waste we produce, to increase our recycling rate, and to send less than 5% of our waste to landfill.³⁷ We also aim to reduce paper consumption by at least 50%.

We have produced a total of 68 tonnes of general, recycling and food waste this year, in comparison to the new 2017-18 baseline of 108 tonnes; a reduction of 37%. No operational waste has been sent to landfill in 2021-22.

³⁷ The GGC has introduced a new requirement for the financial year 2021-22 to report on the values in absolute (metric tonnes) and the total expenditure on waste disposal for ICT waste recycled, reused and recovered externally. We will report on this next year as data becomes available.

Overall, average monthly waste production has reduced by 44% since 2017-18 but increased by 223% since last year. This increase in waste produced can be attributed to site reoccupation

as pandemic-related regulations were lifted, leading to an increase in the number of staff and visitors regularly on site. It is still within the GGC target, however.

Indicator		2021-22	2020-21
Operational waste (tonnes)	Total	68	21
	Recycled and reused	47	11
	Energy from waste incineration	19	8
	Food and catering: anaerobic digestion	1	2
	Composted	0	0
	Landfill	0	0
Construction and refurbishment projects waste (tonnes) ^^	Total	3.36	30
	Recycled and reused	3.36	29
	Landfill	0	1
Operational waste expenditure (£)*	Total	£23,409	£14,559
	Recycled and reused	£9,842	£4,255
	Energy from waste incineration	£5,650	£2,692
	Food and catering: anaerobic digestion	£443	£247
	Landfill	£0	£0

* Spend data obtained from our Facilities Management contract provider. Total includes the cost of storage and containment.

The proportion of waste being recycled this financial year was 73%. We promote recycling waste around the site for staff and visitors.

Further programmes will continue to be developed in alignment with the Sustainable Development Goals, within the constraints of adaptations precipitated by the COVID-19 pandemic. In the coming year, we intend to expand the use of the staff intranet to highlight positive environmental outcomes from changes in behaviour at our site at Kew. The Green Champions Network continue to focus on improved awareness of sustainability issues, wellbeing, visitor engagement and supply chain matters, but progress was impacted by delays due to the GGC and the pandemic.

In the next financial year, we will further focus on visitor engagement, with pandemic restrictions having eased, such as removing consumer single use plastic, reducing food waste and reusing materials. In the coming year we will reinvigorate the Green Champions programme and align it to organisation-wide strategy in order to embed sustainability across the business, within the context of our action plan.

Use of finite resources

Indicator	2021-22	2020-21
Water consumption: m³	12,272	15,486
Water supply costs: £	£34,439	£35,740
Paper use: reams A4 eq.	815	20

We have a target to reduce overall water consumption by 8% from a new GGC baseline of 2017-18.

The quantity of water consumed by our estate this financial year was 12,272m³. This is a reduction of 21% on the quantity consumed in the same period last year (15,486m³), and the consumption is lower than that recorded in 2017-18.

Our paper consumption stands at the equivalent of 815 standard reams of A4 paper, which is an 83% reduction against the new 2017-18 baseline. The continual digitising of records will further reduce paper consumption,

along with printing restrictions in place.

Sustainable procurement

We continue to align our procurement to the Crown Commercial Service frameworks and seek to consider opportunities for the creation of social and environmental value through our procurement, rather than focusing solely on economic factors:

- As a result of the pandemic, strategic projects on waste reduction and the Government Procurement Card were deferred.
- Our contract for catering services and their approach to procuring and disposing of products was due to be reviewed in 2021-22. However, due to the impacts of the pandemic and a change in supplier, we have deferred this to the next financial year.
- We have begun to build an understanding of our Scope 3 emissions and plan to reduce our supply chain impacts and risks through reviewing Scope 3 emissions in our supply chain.

We continue to embed social values into our culture, having carried out a detailed review to understand what social values mean for the organisation and where we can best support and provide benefits within local communities. We plan to embed the requirements of the Social Value Act and the Modern Slavery Act into all procurement, systems, and processes during 2022-23 and drive down supply chain emissions in line with Net Zero targets.

Biodiversity

The site of The National Archives at Kew continues to be an important ecosystem for birds, bees, small mammals and other invertebrates. It has significant biodiversity value, which positively impacts its attractiveness as a destination, the wellbeing of employees, and its relationships with local stakeholders. It has the potential to influence key biodiversity indicators in the area, such as species richness and ecosystem health. We value our existing relationship with Royal Botanic Gardens, Kew and look forward to further developing this in the coming year.

We have several measures in place to promote the health of its ecosystems and will continue to take steps to enhance its impact on biodiversity and, in line with the new GGC guidance, deliver Nature Recovery plans for the site.

2021-22 was the fifth year of regular biodiversity surveys. The ongoing COVID-19 pandemic impacted the engagement of the Green Champions Network in biodiversity last year. However, quarterly surveys were carried out and its focus in the coming year will continue to be to encourage involvement by interested staff.

We are considering educational signage on biodiversity to contribute towards our strategic intent to inspire curiosity about The National Archives, as well as achieving broader positive benefits for biodiversity outside of the site.

Climate change adaptation

The greatest risks that climate change poses for our operations and local area are believed to be from flooding and temperature extremes; however, we remain alert to changing risk profiles. During 2022-23, The National Archives plans to include climate risk in our Corporate Risk Register and Annual Report and Accounts. An evaluation of climate risk has been carried out in preparation.

Reducing environmental impacts from ICT and Digital

The revised GGC requires government departments to report on the adoption of the Greening Government: ICT and Digital Services Strategy and associated targets. In response to this requirement, we will expand our reporting on ICT from financial year 2022-23 onwards, with the emphasis on reducing both the carbon emissions and waste associated with ICT and digital services.

Sustainable construction

We continue to develop our educational offer by creating a world leading digital learning and production space, which will include broadcast space and two supporting production studios that will be acoustically separated with new glazed, solid partitions and attenuation of services. The adjacent circulation space will form an informal study area. The works include

the conversion of an existing study to support handwashing and conservation learning.

The focus for the financial year 2022-23 will be to align processes to the new GGC, Science-Based Targets and organisation-wide Net Zero Strategy and Action Plan, aligning sustainability targets and practice across our organisation in line with central government policy.



Annex B

Advisory Council on National Records and Archives: 19th Annual Report 2021-22

Introduction by Sir Geoffrey Vos, Master of the Rolls

To the Right Honourable Nadine Dorries MP, Secretary of State for Digital, Culture, Media and Sport

I am pleased to present the Annual Report for the Advisory Council on National Records and Archives.

This report marks the 19th Annual Report of the Council and comes at an interesting time for the world of public records. First, the Council is supporting Government departments to work through the long term impacts of the COVID-19 pandemic. Secondly, 2021 was the penultimate year of the Government's transition from a 30 year rule for public file release to the 20 year rule. Thirdly and more generally, the Council has continued to work closely with The National Archives to support departments wherever it can.

The Council has also focused on other key projects at The National Archives, including the transfer of Ministry of Defence Service Personnel records, records of court judgments, the release of the 1921 Census of England and Wales, the role of born digital records in public record keeping and the development of the Transfer Digital Records project.

As a further consequence of the pandemic, the Council has operated virtually. It intends to learn from the experience, and use the digital skills that have been acquired and honed to make it more agile in future. The Council has also used the opportunity to revise its internal processes in the light of the increasing number of records that Government departments generate.

The Council's sub-group, the Forum on Historical Manuscripts and Academic Research, has also had a productive year. It has updated its strategic priorities and set out a new work plan for 2022. This plan has been devised in response to the changes within the archiving



and research sector which have been brought about by the pandemic.

I have much enjoyed my first full year as chair of the Council. A particular highlight was my visit to Kew, where I had the opportunity to meet staff of The National Archives in person and viewed a fascinating selection of records. It has also been a pleasure to meet and welcome new members of the Council.

I would finally like to thank all Council members for their continuing hard work and dedication, and to thank all the staff at The National Archives who work so tirelessly towards its success. I much look forward to working with you all in the coming year.

The Right Honourable Sir Geoffrey Vos
The Master of the Rolls
24 May 2022

Part One – Introduction

Background

The Advisory Council on National Records and Archives (the ‘Council’) is an independent advisory body, created under the Public Records Act 1958 and exercising statutory functions under that Act. It advises the Secretary of State for Digital, Culture, Media and Sport (the ‘Secretary of State’) on issues relating to access to public records. It also carries out duties under the Freedom of Information Act 2000 (FOIA).

Through its sub-committee, the Forum on Historical Manuscripts and Academic

Research (the ‘Forum’), the Council also advises the Chief Executive of The National Archives and Keeper of Public Records on matters relating to independent (non-governmental) archives outside the public records system.

The Council’s and the Forum’s respective remits are described in more detail in Appendix A and membership details are included in Appendix B.

Part Two – The Advisory Council’s work in 2021-22

Membership

The Council is chaired by the Master of the Rolls, Sir Geoffrey Vos. Mr Trevor Woolley acts as Deputy Chair. Following successful reappointment submissions, three members were reappointed in June 2021: Dr Helen Forde, Mr Stephen Hawker and Dr Jeannette Strickland; a further two members were reappointed in March 2022: Lady Moira Andrews and Ms Liz Copper. Three members of the Council retired in September 2021: Ms Hillary Bauer, Ms Lesley Ferguson and Mr Michael Smyth; three new members joined the Council in January 2022: Dr Nigel Fletcher, Sir David Natzler, and Jonathan Scherbel-Ball. The total membership of the Council remains at 18, including the Chair.

Meetings

The Council held four virtual meetings in May, July and November 2021 and in February 2022, together with an additional training meeting in September, at which a number of helpful and informative presentations were given, including on the release of the 1921 Census and the application of Section 37 of the FOIA.

Council meetings were attended by members, as well as by Jeff James, The National Archives’ Chief Executive and Keeper of Public Records. Other representatives from The National Archives who possess particular expertise relating to the issues considered by the Council also participated, as necessary.

Remuneration

Remuneration for Council members, excluding the Master of the Rolls, was approved and introduced on 1 April 2019 and is provided by the Department for Digital, Culture, Media and Sport. Members are remunerated at a rate of £386 per day to a maximum of £9,264 per year. Council remuneration for 2021-22 totalled £93,280.50.

Freedom of Information Requests

As a public body the Council is subject to the FOIA. This year the Council has received 19 Freedom of Information requests.

Closure of records under the Freedom of Information Act 2000

The core of the work of the Council is to:

1. act on behalf of the Secretary of State, in advising public record transferring bodies on the consideration of the public interest in relation to engaged qualified exemptions as defined in the FOIA when a record is at the point of transfer to The National Archives. The Council may respond to applications by such bodies for records (in whole or in part as appropriate) to be transferred closed by:
 - a. accepting that the information may be withheld for longer than 20 years and earmarking the records for release or re-review at the date identified by the authority

- b. accepting that the information may be withheld for longer than 20 years but asking the authority to reconsider the proposed date for release or re-review
 - c. questioning the basis on which it is considered that the information may be withheld for longer than 20 years, asking the authority to reconsider the case, and, exceptionally, to request sight of the record
 - d. advising departmental ministers against the application of an FOIA exemption in a particular case when, following thorough examination of the department's rationale, it judges the balance of public interest to be against closure.
2. providing advice to the Secretary of State when a public record transferring body has made an application to retain records that are 20 years old, which would otherwise be transferred to The National Archives. The Secretary of State signals approval for retention for the specified period by signing a Retention Instrument.

Given the very large volume of applications placed before it, the Council works on the basis of summaries prepared by departments and scrutinised by The National Archives. The Council will ask for more details and question apparent weaknesses in the arguments for closure until it is satisfied; or until the department withdraws or modifies the request. Occasionally, the Council may request that one of its members sees the full record; the Council viewed a record once in 2021-2022. In addition, the Council periodically calls for selected files to be reviewed by a panel of its members to assess the accuracy of summaries and to monitor the application by the relevant department of the public interest test in those cases. This helps to inform the Council's overall assessment of the way that departments are applying particular FOIA exemptions and may indicate issues which the Council needs to consider further.

In 2021-22, the Council considered 4,905 applications for closure from departments, of which 2,038 engaged a qualified exemption. The number of applications overall is a similar but slightly smaller figure than 2020-21, and is explained by the ongoing impacts of the

COVID-19 pandemic and also Council's decision at the start of 2022 not to receive applications which only engage absolute exemptions of the FOIA. The Council queried 20% of applications for the transfer of records closed under qualified (i.e. not absolute) exemptions. This figure compares with 36% in 2020-21. This represents a decrease from last year, but remains higher than all the preceding years, due to Council's new requirements. The drop in figures from the previous year reflects a number of erroneous applications in the previous year, as well as a general increase in the quality of applications departments are submitting. Departments have continued to be constructive in their response to this. Of the records queried, departments withdrew their applications in response to the Council's challenge in 53 cases, compared with 158 2020-21.

In 2021-22, the Council considered 734 individual records which departments had applied to retain (a slight reduction from 804 in 2020-21). The Council queried 10% of these (8% in 2020-21), and departments withdrew 3 applications in response to the Council's challenge, compared with ten in 2020-21. The Secretary of State has accepted the Council's advice on every application for retention considered this year.

Detailed metrics are at Appendix C.

The Advisory Council Process Review

Over the year the Council has become aware of greater demands due to an increase in the number of applications to retain records, in part because the short term impacts of the COVID-19 pandemic and associated lockdowns have inevitably reduced the rate at which Departments have been able to review records.

In response to this challenge, the Council has looked to review its processes to ensure it is prepared for increased applications moving forward. Principally, this last year it has introduced a panel system to consider retention applications. The panel brings this aspect of the Council's work into line with its other functions, including FOI panels and quality assurance reviews, which all utilise a three-member panel. Panels now consider these applications in advance of meetings, before presenting findings to the meeting. Secondly, panels are adopting a more targeted approach to the government departments they

ask to present further updates to each Council meeting. This enables the Council to focus on those departments where it can have the most impact and to gain the most information. Finally, the Council is seeking to revise the application templates and guidance issued to government departments making applications. These templates will ensure there is greater clarity within the applications, and will also encourage and complement departments' record-keeping processes. The new templates are currently under development and will be ready for launch in 2022-23.

Engagement with departments

From time-to-time, for updates relevant to the Council's work, or where the Council wishes to provide more support to departments in meeting the timescales for transfer of records, the Council invites representatives to brief it in person.

During 2021-22, the Council received such briefings from: Cabinet Office; Centre for Environment, Fisheries and Aquaculture Science; Foreign, Commonwealth and Development Office; Ministry of Justice; Metropolitan Police; HM Revenue and Customs; Royal Parks; Tate; Department for Work and Pensions.

Review backlogs

This year, the Council considered 86 requests from departments relating to the management of review backlogs. This represents a similar figure from the previous year and reflects the long term impacts of COVID-19 and the end of the twenty year rule transition period.

The Council received such retention applications from the Advisory, Conciliation and Arbitration Service; Office of the Advocate General for Scotland; Animal Plant and Health Authority; Attorney General's Office; British Library; Department for Business, Energy and Industrial Strategy; Cabinet Office; Companies House; Competitions and Markets Authority; Crown Commercial Services; Crown Prosecution Service; Ministry of Defence; Defence Geographic Centre; Department for Digital, Culture, Media and Sport; Department for Education; Department for Environment, Food & Rural Affairs; UK Export Finance; Food Standards Agency; Foreign, Commonwealth and Development Office; Forestry Commission; Office of Gas and Electricity Markets; Permanent Committee on Geographical Names;

Health and Safety Executive; Department of Health and Social Care; Historic England; Home Office; Ministry for Housing Communities and Local Government; Independent Office for Police Conduct; Information Commissioner's Office; The Insolvency Service; Ministry of Justice; HM Land Registry; Medicines and Healthcare products Regulatory Agency; The Meteorological Office; Metropolitan Police; The National Archives; National Highways; National Institute for Health and Care Excellence; Office for National Statistics; Natural England; Natural Resources Wales; NHS Resolutions; Northern Ireland Office; Nuclear Decommissioning Authority; Pensions Regulator; Royal Mail Group Ltd and Post Office Ltd; Privy Council Office; HM Revenue and Customs; Royal Botanic Gardens Kew; Royal Mint; Royal Parks; Science Museum Group; Serious Fraud Office; Office for Standards in Education and Children's Services and Skills; Tate; Department for Transport; HM Treasury; Water Services Regulation Authority; Welsh Government; and Department for Work and Pensions.

Some departments made more than one such application during the period. Generally, a period of one or two years was sought. In a small number of cases, three to ten years was requested.

The outcome of these applications was as follows:

- For 62 of these requests, the Council was content to recommend to the Secretary of State that permission be given to the relevant organisation to retain its legacy records for the period requested
- In two cases, the recommendation was that the department be granted a lesser retention period than requested
- In the remaining cases, the Council was content to recommend to the Secretary of State that permission be given to the relevant organisation to retain its legacy records for the period requested, but asked for written updates to be provided, to ensure that departmental records management projects remained on track.

The Council also considered papers updating it on progress in reviewing records for transfer to The National Archives from the Animal and Plant Health Authority; The British Library; Department for Business, Energy & Industrial

Strategy; Cabinet Office; Ministry of Defence; Department for Digital, Culture, Media & Sport; Centre for Environment, Fisheries and Aquaculture Science; Department for Education; Food Standards Agency; Foreign, Commonwealth and Development Office; Historic England; Home Office; Ministry of Housing, Communities and Local Government; Information Commissioner's Office; Ministry of Justice; Metropolitan Police; Office for National Statistics; Natural England; Postal Museum; HM Revenue and Customs; Science Museum Group; Royal Parks; Office for Standards in Education and Children's Services and Skills; Tate; Department for Transport; HM Treasury; UK Export and Finance; Welsh Government; Department for Work and Pensions.

Freedom of Information panels

The Council acts on behalf of the Secretary of State, to consider the balance of the public interest in the release or non-disclosure of information contained in transferred historical records that engage qualified exemptions (only), when an application has been made to The National Archives under section 66 of FOIA for the disclosure of information held by it. The Council exercises this responsibility through the convening of panels of three members to consider up to 20 requests at a time.

Metrics

During the financial year 2021-22, 28 panels were convened, with 523 cases being considered. Panels substantively challenged 37 of these, or 7% of the total. This compared to 277 cases in 2020-21, where 33 cases were substantively challenged, equivalent to 11.9% of the total. This increase in cases has been principally due to the resumption of regular activities after the initial impacts of the COVID-19 pandemic.

Having been provided with more detail, in most cases the panels were able to accept departments' arguments for continuing to apply public interest based exemptions. In one case the FOI panel failed to reach an agreement with the department responsible for the record. In this instance the Panel's view was formally recorded.

- Overall, sections 31 (law enforcement) and 38 of FOIA (health and safety) were both the most challenged exemptions, and the most

frequently applied for.

- There were a number of questions from Council members on the passage of time in relation to section 31 cases and also how to balance the public interest test in section 38 cases.

Process

The FOI panel process is explained in more detail in Appendix D. As in previous years, the majority of FOI requests for closed records sought access to criminal case files, usually relating to historic murder cases. In these instances, the Council is typically called upon to balance the public interest in release against the potential distress which might be caused to victims or their relatives, or (in the case of unsolved crimes) to the risk to the successful prosecution of perpetrators in the future.

Other issues

As part of the Council's broader advisory remit with regard to The National Archives, the Council has received a regular quarterly report from the Chief Executive and Keeper with regard to issues facing The National Archives and about its activities. These reports have been reviewed by the Council at its quarterly meetings.

Part Three – The Forum on Historical Manuscripts and Academic Research

Background

The Forum, in its capacity as a sub-committee of the Council, provides a means through which the Chief Executive of The National Archives, in his capacity as Historical Manuscripts Commissioner, can seek advice on historical manuscripts in independent (i.e. non-governmental) archives. It also facilitates discussion of academic research issues and programmes managed by The National Archives.

Membership

The Forum is chaired by the Master of the Rolls. Professor Leon Litvack currently acts as Deputy Chair, having been appointed in September 2021. Ms Hillary Bauer OBE was previously the Deputy Chair and retired in September 2021.

Two other members of the Council, all of whom have expertise in academic research, and experience of private archives, and two independent members currently serve as members of the Forum. The two independent members of the Forum, Dr Adele Redhead and Ms Jenny Shaw, were reappointed during this year for a second term.

Meetings

Meetings of the Forum are attended by members, and by the Chief Executive and other staff from The National Archives.

The Forum met three times during the period covered by this report; in June, October 2021 and January 2022. It expects to hold at least three further meetings during 2022-23.

At its October meeting the Forum agreed to revisit its existing strategic priorities and update these to better reflect the new archiving and research landscape. The Forum agreed on six strategic priorities:

- Threats to the sector, including core threats, as well as the long-term impact of the pandemic and the sector's recovery plan.
 - Digital technology, including the current challenges for the sector in fully utilising its tools and sector-wide skills shortage in this area.
 - Manorial Documents and the 2022 celebration events, including a reception and a conference.
 - Awareness of the Forum's role within the sector.
 - Cross-cutting issues within the sector.
 - Academic research and how archives can aid better research.
- Four of these priorities were updated from the previous strategies and two of these were new. The Forum then agreed a work plan, assigning two strategies to each meeting over the following twelve months. As part of the work plan, it was also agreed that the Forum would invite external guest speakers to meetings on a more regular basis, as appropriate.
- The Forum's January 2022 meeting was the first to implement this new programme; it focused on threats to the sector and digital technology, and was very successful. The Forum invited Mr John Chambers, Chief Executive of the Archives and Records Association, and Professor William Kilbride, Executive Director of the Digital Preservation Coalition, to address them on these topics.
- In addition to this the Forum has also discussed:
- The National Archives partnerships with relevant research and international archiving institutions
 - the events surrounding the 2022 Manorial Documents Centenary Programme
 - current research projects in which The National Archives is involved, including Deep Discoveries' and the future possibilities for these projects.

Most importantly, Forum members have continued to support sector leadership throughout the COVID-19 pandemic, in what has been a challenging year for many archives. Members received regular updates on archives at risk, the wider health of the sector, and the reopening of the sector and they continued to feedback their insight to The National Archives.

Part Four – Looking Ahead


Looking ahead to 2022-23, the Council has identified two key pressures and opportunities to focus on in its coming work. These are the end to the twenty year transition period and the increasing proliferation of born digital records (records which were originally created in digital format) on records-producing bodies, and thus submissions to the Council. Whilst the impacts of the COVID-19 pandemic will continue to have an effect on the Council in this coming year, this will be significantly smaller than in the past twelve months.

In the first instance, the end of the transition period marks a significant change for record-producing bodies, who will need to increase their compliance efforts. However, it presents them with an opportunity to reassess their current position and review their processes. In addition, some of the burden may be lifted from departments as they will now only be obligated to transfer one year's record at a time.

Other business

In addition, the Forum has considered four cases dealing with the acceptance by the Government of private archives in lieu of the payment of a tax liability under the provisions of the Inheritance Tax Act 1984.

Secondly, in light of the twenty-year rule, departments are now increasingly being required to process born digital records, as around the millennium they began the widespread adoption of digital technology. This poses an increased challenge for departments, and in turn the Council, as the number of records departments need to process will increase, along with the complexity of some of these records due to technological obsolescence. The Council has however noted that born digital records provide opportunities to utilise technology to process records and is keen to be kept informed on these opportunities in the coming year. The Council will continue to engage with Departments creatively on this in the future.



The Right Honourable Sir Geoffrey Vos
The Master of the Rolls
24 May 2022

Appendix A

The Remit of the Council and the Forum

Part One – The Council

Background

The Advisory Council on National Records and Archives was established by the Public Records Act 1958 (PRA) and is a non-departmental public body. It is chaired by the Master of the Rolls, The Right Honourable Sir Geoffrey Vos, who was appointed with effect from 11 January 2020.

The role of the Council

The Council is to consider and advise on matters including:

- applications from departments for the retention within those departments of public records beyond the age of 20 years, when those selected for permanent preservation are normally transferred to The National Archives
- the balance of the public interest in relation to applications from departments for the extended closure of historical public records and other “matters relating to the application of the Freedom of Information Act 2000 (‘FOI Act’) to information contained in public records that are historical records within the meaning of Part VI of that Act”
- the balance of the public interest in the release or non-disclosure of historical records, an application for the disclosure of which has been made under the FOIA.
- the preservation of public records in places of deposit and facilities for public access to them.

Requests under FOIA in accordance with the third bullet point are dealt with through the FOI panel process, which is described in Appendix D below.

In addition, the Council may be required to advise on:

- major objectives, programmes and policy changes for The National Archives
- proposed legislation affecting The National Archives
- the implications for records and public services of any proposed change to the status of The National Archives; and/or
- any subject brought to its attention by the Secretary of State.

As its name suggests, the Council’s role is advisory. Accordingly, the Council does not:

- make the final decision as to:
 - when they become historical, records are transferred to The National Archives closed;
- nor
- when a closed record is reviewed after transfer, it should remain closed

as these decisions lie with the department whose records they are;

- make the final decision on whether a record can be retained by a department. This decision is made by the Secretary of State for Digital, Culture, Media and Sport
- advise on departments’ retention of records under the Security and Retention Instrument 2011; nor
- review departments’ decisions on the selection of their records for permanent preservation. This falls under the remit of the Keeper of Public Records.

Part Two – The Forum

The Council's responsibility relating to historical manuscripts (private archives) is discharged through the work of its sub-committee, the Forum on Historical Manuscripts and Academic Research. The Forum advises the Keeper of Public Records in his capacity as Historical Manuscripts Commissioner. The Forum considers and provides advice to the Secretary of State through the Council on matters relating to manuscripts, records and archives, other than public records, and particularly:

- the location, collection, care, custody, preservation, acquisition, sale, and use in all formats of such documents
- the compilation and dissemination of information about them
- any questions affecting such documents as may be referred for its consideration, including issues relating to the statutory duties of the Master of the Rolls in respect of manorial and tithe documents, and the making of recommendations to Arts Council England on the allocation of archives and manuscripts accepted for the nation in lieu of tax; and
- other issues that would formerly have come within the terms of reference of the Royal Commission on Historical Manuscripts.

In addition, on behalf of the Council, the Forum is to:

- act as a vehicle for the development of constructive and collaborative engagement between The National Archives and its academic stakeholders, sharing knowledge and developing trust and understanding; and
- provide an open, independent and authoritative advisory voice to The National Archives, to support its research and academic liaison.

Appendix B

Membership

Part One – The Council

The Master of the Rolls chairs the Advisory Council. The Master of the Rolls was originally responsible for the safe keeping of charters, patents and records of important court judgments. Today they are President of the Court of Appeal (Civil Division) and Head of Civil Justice. The current Master of the Rolls is the Right Honourable Sir Geoffrey Vos.

The current members of the Council are:

Mr Trevor Woolley CB, Deputy Chair of the Council; Former Director General of Finance, Ministry of Defence.

Lady Moira Andrews, Director, ADS Group Ltd and Digi2al Ltd; Visiting Professor, King's College London; former Government Legal Adviser.

Ms Liz Copper, BBC Senior Broadcast Journalist.

Dr Nigel Fletcher, Teaching Fellow in the Department of Political Economy at King's College London; co-founder of the Centre for Opposition Studies.

Dr Helen Forde, historian and archivist; formerly board member of the Museums and Libraries Association.

Dr Peter Gooderham CMG, former Ambassador to the UN and WTO in Geneva.

Mr Stephen Hawker, a former senior security and intelligence official; independent member of the Audit Committee of Manchester Metropolitan University.

Mr Martin Howard CB, retired senior security official specialising in cyber and intelligence security policy and operations; Appointed Companion of the Bath.

Professor Phillip Johnson, barrister; Professor of Commercial Law at Cardiff University; published numerous books and articles on law and legal political history.

Professor Leon Litvack, Deputy Chair of the Forum, Professor of Victorian Studies at the Queen's University of Belfast; specialist on Charles Dickens; board member of the Charles Dickens Museum; board member of National Museums Northern Ireland; freelance broadcaster for the BBC.

Sir David Natzler, Assistant Boundary Commissioner; retired Clerk of the House of Commons.

Ms Helene Pantelli, solicitor specialising in commercial law; ombudsman at the Financial Ombudsman.

Mr David Rossington CB, former civil servant; Vice Chair and Treasurer of Stoll; Treasurer of Arts at the Old Fire Station; Independent Member of Gambling Commission's 4th National Lottery Competition Committee; Occasional independent reviewer for Department for Digital, Culture, Media and Sport, including Sports Ground Safety Authority.

Dr Jeannette Strickland, independent archive and records consultant; formerly Head of Art, Archives and Records Management, Unilever; Research Fellow, University of Liverpool.

Mr Jonathan Scherbel-Ball, Barrister at 5RB; and member of the Attorney General's 'B' Panel of Counsel.

Mr Martin Uden, former Ambassador in Seoul; International Partnerships Adviser at Queen Mary University of London; Trustee of a Christian mission charity; Chairman of the British Korean Society; President of the British Korean War Veterans' Society; published author.

Mr John Wood, solicitor; formerly Advisory Committee on Business Appointments

(ACOPA) Independent Member; formerly Charity Commission for England and Wales Legal Board Member and Board Consultant; formerly Herbert Smith Freehills, Partner, then Consultant.

The Secretary to the Council is **Isabel Saunders**.

Part Two – The Forum

The Master of the Rolls chairs the Forum.

Council members Professor Leon Litvack (the current Deputy Chair), Dr Helen Forde and Dr Jeannette Strickland Leon Litvack sit on the Forum, together with the following independent members:

Ms Adele Redhead, a lecturer at the University of Glasgow, where she leads the MSc in Information Management and Preservation. She is a qualified archivist and has extensive experience in archives and records information management in a variety of sectors. She is

a member of the Scottish Catholic Heritage Commission.

Ms Jenny Shaw, the Collections Development Manager for the Wellcome Collection, where she is responsible for setting the collecting direction across formats, including archives. She previously worked as an archivist at the British Red Cross and BT Heritage.

The Chief Executive of The National Archives is also a member of the Forum, on an ex officio basis, as the Historical Manuscripts Commissioner.

Appendix C

Key statistics relating to applications considered by the Council are set out below:

Closure and Retention of Records

- In 2021-22, 100,886 (2020-21: 91,286) government records were accessioned at The National Archives.
- 77,160 or 76.5% (2020-21: 82,504 or 90.4%) of these records were transferred open in full or partially closed and can be viewed at The National Archives by any member of the public who has a reader's ticket.
- 20,314 or 20.1% (2020-21: 2,472 or 2.7%) of these records were transferred closed, after departmental applications to do so had been scrutinised by the Council.
- 3,341 or 3.3% (2020-21: 1,820 or 2%) of these records were retained in full by the relevant department.
- The remaining 71 were transferred as 'number not used'. (Please note: This tag is used where a gap is identified in The National Archives' sequential catalogue numbering system. This might occur if, for example, a duplicate record is discovered. To avoid a laborious renumbering process, the relevant record number is shown in the catalogue as 'unused'.)
- The number of closure applications submitted to the Council decreased this year to 4,905 compared with 5,481 in 2020-21 and 5,778 in 2019-20. Around 42% of these applications engaged only absolute exemptions and so were not subject to a public interest test. Of these, the vast majority involved personal information about private individuals; personal information may be protected from release by data protection legislation. In considering applications to close records to the public, the Council focuses on those that invoke exemptions subject to a public interest test. The most common exemptions claimed concern of damage to international relations and risks to the health or safety of individuals.
- This year, the Council considered 734 retention applications, compared with 804 in 2020-21.

Applications considered

Overall, there was a decrease of 10% in the number of closure applications compared with 2020-21, but this still represents an increase of 15% on 2014-15.

The following tables set out key metrics for 2021-22, as compared with previous years:

	Closure Applications					
	Applications considered	Applications queried	Applications where clarification was received and accepted	Applications that were amended by departments and accepted	Applications withdrawn by departments following Council challenge	Outstanding closure applications
2014-15	4,250	181	105	67	9	-
2015-16	4,435	480	340	126	14	-
2016-17	4,290	465* (510*)	173 (232)	247 (218)	44 (34)	-
2017-18	5,974	410**	122	209.5**	32.5 (31.5 +1 outstanding query withdrawn)	0 (1 resolved)
2018-19	5,843	387	162	208	17	0
2019-20	5,778	487	194	173	23	97
2020-21	5,481	952	433	298	158	63
2021-22	4,905	403	99	170	53	81

	Retention Applications					
	Applications considered	Applications queried	Applications where clarification was received and accepted	Applications that were amended by departments and accepted	Applications withdrawn by departments following Council challenge	Outstanding closure applications
2014-15	793	28	21	4	3	-
2015-16	952	44	28	12	4	-
2016-17	986	108 (116)	39 (41)	57.5 (39)	11.5 (26)	-
2017-18	1,432	125	32	79	14	-
2018-19	970	52	20	25	6	1
2019-20	878	76	25	18	5	28
2020-21	804	68	27	16	10	15
2021-22	734	77	28	38	3	8

* One application for 2016-17 was resolved by the minister for the department, following an unresolved disagreement between the Council and the department. There were 46 closure applications queried in 2017-18 that were not resolved through the query process but resubmitted on a new schedule.

** The figure of $\frac{1}{2}$ referred to reflects the fact that the relevant application covered two records and the application in respect of one of these was withdrawn.

Note: Responses to the resolves outstanding in 2017-18 and 2018-19 are in brackets and underlined. The first number in the bracket refers to that shown last year. 2016-17 and 2018-19 figures have been recalculated as some discrepancies had occurred.

Appendix D

The Council's Freedom of Information panel process

The Council is responsible for advising the Secretary of State on the application of the Freedom of Information Act 2000 (FOIA) to historical public records.

Records retained by departments and those closed at transfer to The National Archives remain subject to the FOIA and individuals can make a request under FOIA (an 'FOI request') to have access to them.

When The National Archives receives an FOI request for access to closed information held by it, it follows the procedure set out in Part VI of FOIA. Under these provisions, before a request can be refused on the grounds of a qualified exemption, the Secretary of State must be consulted. The Council will assess the public interest test, which is necessary before such an exemption can be applied. This test is applied to determine, whether, in all the circumstances of the case, the public interest in disclosure is outweighed by the public interest in refusing access to the information in the record.

For this purpose, panels of three Council members are convened to consider the public interest in the release or non-disclosure of the requested information. (The Council has no advisory role when a request is to be refused citing only absolute exemptions.)

In most cases, the FOI request concerns information closed at transfer on the grounds that it was information:

- that, if released, would endanger the safety or physical or mental health of an individual
- that, if released, would damage international relations; or
- relating to law enforcement.

Cases are carefully scrutinised and debated by panels on the basis of a fresh assessment by the department of the arguments for and against disclosure, taking account of any change in circumstances since the access status of the record was last considered.

If they consider it necessary, panel members will request further detail or clarification from the relevant department or The National Archives. Even where they are in agreement that the public interest in closure outweighs the public interest in applying the exemption, members of the panel may also raise concerns about departmental practices and draw attention to inconsistencies between departments in their handling of FOI requests.

Annex C

Annual Report of the Independent Complaints Reviewer 2021-22

In April 2018, The National Archives appointed ch&i associates to act as its Independent Complaints Reviewer (ICR). We are delighted to present our fourth annual report as ICR for The National Archives, having been reappointed in December 2021.

The ICR service is free to complainants and offers an independent review of complaints that The National Archives has been unable to resolve itself. Our role is:

- To provide judgements as to whether The National Archives has provided good or reasonable service consistent with its policies and procedures and in line with its stated standards and practices and other widely accepted principles of good practice.
- To determine whether there have been any deficiencies in the service provided to the customer (whether constituting, or falling short of, maladministration) that call for attention.
- To recommend proportionate and fitting remedies where service standards have fallen below an acceptable standard.

ch&i associates is run by Jon Wigmore and Alex Oram, both of whom have extensive experience of complaint handling and investigations. They currently also act as the ICR (or equivalent) for other bodies, including the Department for Transport and the Fundraising Commission.

Overview of complaint activity and The National Archives' learning from complaints and customer feedback

The National Archives sets itself high service delivery standards and has an ambitious complaints process that aims to ensure that customer feedback, however defined and expressed, improves service delivery and puts

things right for people. The National Archives' commitments and principles here are spelled out in its Policy for handling comments and complaints. This emphasises simplicity of access, clarity, timeliness and fairness.

Over the course of the last two years the number of complaints received by The National Archives has significantly increased, rising from 30 (in 2019/20) to 126 during the current year. This is still a very low number when set in the context of The National Archives' relatively high level of transactions; in the last year, these included 362,661 document productions, over 26,000 written enquires and nearly 20,000 contacts via the online chat function; an all-time high. The increase though is also reflected in feedback that while not a complaint, has also highlighted a concern or criticism (606, up by 5% against the previous year).

When looking at what might be causing the increase in expressed dissatisfaction, we have to firstly acknowledge the impact of the pandemic. The National Archives noticed at an early stage that the upturn in complaints almost exclusively related to changes that had been brought in to manage the service within the confines of the Covid lockdown restrictions. The fact that initially only 30 people a day could access records on site and the quarantining of those documents for three days either side of being accessed caused understandable frustrations. While many of these very necessary restrictions have been eased over the course of the last year, areas such as record copying continued to receive a relatively high number of complaints (22) primarily because the capping of daily orders continued into the current period.

The primary reason for the increase in negative feedback over the last year is the release of 1921 Census online, which led directly to 51 formal complaints and 151 expressions

or criticism or concern. The publication of the census, which was carried out by The National Archives alongside their partners Findmypast, was always going to be a difficult undertaking, as it was the culmination of a three-year process involving the digitisation and conservation of records relating to nearly 38 million individuals and 8.5 million households. In those circumstances, the rise was expected and well within the volumes expected based on previous releases of census and other large datasets. And we were further reassured by the fact that many simply demonstrated a lack of understanding with regards how online releases are managed and which had already been addressed by the FAQ's prepared pre-launch and published alongside.

Despite the upturn in complaints, the number of complainants who asked us to independently review The National Archives' handling of their complaint remained remarkably low. Indeed, we were only approached to conduct two reviews over the last 12 months. One of the complainants who contacted us was initially open to discussing her dissatisfaction with the service she had been provided, but then did not respond to our efforts to agree the scope of our review or provide us permission to proceed. The review that we were able to complete concerned The National Archives' response to a complaint in which it was alleged that their charging a fee for the copying service conflicted with Article 6 Section 3(b) of the Human Rights Act. While we felt that The National Archives could have rebuffed the complainant's concerns more confidently in its initial response to him, we were satisfied that this had done at the second stage of their complaint process; as such, we did not uphold the complaint.

Contact the ICR

Details of the ICR service can be found at:

<https://www.nationalarchives.gov.uk/contact-us/complaints-procedure/>

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Appendix

Local places of deposit awarded New Burdens Funding 2021-22

Barnsley Archive and Local Studies Department	North East Wales Archives (NEWA), Flintshire Record Office
Bedfordshire Archives	Northamptonshire Archives
Berkshire Record Office	Northumberland Archives
Cambridgeshire Archives	Oxfordshire History Centre
Cheshire Archives and Local Studies	Portsmouth History Centre
Cumbria Archive Centre, Carlisle	Sandwell Community History and Archives Service
Cumbria Archive Centre, Kendal	Sheffield City Archives
Devon Archives and Local Studies Service (South West Heritage Trust)	Surrey History Centre
Dorset History Centre	West Glamorgan Archive Service
Durham County Record Office	West Sussex Record Office
Glamorgan Archives	West Yorkshire Archive Service, Bradford
Gloucestershire Archives	West Yorkshire Archive Service, Leeds
Gwent Archives	West Yorkshire Archive Service, Wakefield
Kent History and Library Centre	Wigan Archives and Local Studies
Lancashire Archives	Wiltshire and Swindon History Centre
Liverpool Record Office	Wirral Archives Service
London Metropolitan Archives: City of London	Worcestershire Archive and Archaeology Service
Manchester Archives and Local Studies	
North Devon Record Office (South West Heritage Trust)	
North East Wales Archives (NEWA), Denbighshire Archives	



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