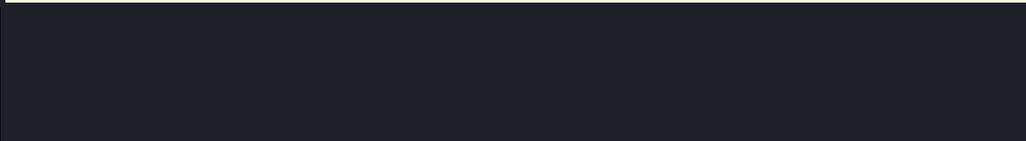


THE				
NATIONAL				
ARCHIVES				

**Annual Report and
Accounts of The
National Archives**

2020-21



Annual Report and Accounts of The National Archives 2020-21

Including the Annual Report of the Advisory Council on National Records and Archives 2020-21
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 15 July 2021

This is part of a series of departmental publications which, along with the Main Estimates 2021-22 and the document 'Public Expenditure: Statistical Analyses 2020', present the Government's outturn for 2020-21 and planned expenditure for 2021-22.



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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 2020 to March 2021 (inclusive) and is divided into three main sections.

The performance report and analysis (pages 5 to 34) 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 35 to 74) includes an introductory statement from the Chair of our Board, and the Directors' report sets out our operating structure and transparency matters, such as inclusion and diversity, and whistleblowing. 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 75 to 100) outline our income and expenditure for the financial year, the financial position of the department as of 31 March 2021, and additional information designed to enable readers to understand these results.

Annex A (pages 101 to 109) 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 2021-22.

Annex B (pages 110 to 123) contains the Advisory Council on National Records and Archives: 18th Annual Report 2020-21, which describes its role, work actioned in year, and details of the Forum on Historical Manuscripts and Academic Research.

Annex C (pages 124 to 125) 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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1.1 Overview

Introduction from Chief Executive and Keeper

To the Right Honourable Oliver Dowden CBE MP, Secretary of State for Digital, Culture, Media and Sport

As I write this introduction, I feel a combination of pride in all we have been able to achieve this year and thankfulness that we have been in a position to do so. In a year like no other, with every aspect of our work impacted by the Coronavirus (COVID-19) crisis, we have continued our historic mission: 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.

In 2020-21, with our doors closed to the public for long periods during the year, with the majority of our staff working from home throughout and with limited scope to deliver our traditional services on our usual scale, we have innovated, we have experimented and we have delivered. As we look forward to the next 12 months and the return of the freedoms few of us will take for granted ever again, we do so with renewed confidence in our capabilities, our reach and our potential.

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Throughout, we remained wholly committed to our long-term vision set out in '[Archives for Everyone](#)': to be the inclusive, entrepreneurial and disruptive 21st century national archive, connecting with the biggest and most diverse audience possible, in the most innovative ways we can. In September 2020, we published five refreshed business priorities setting out how we would continue to deliver 'Archives for Everyone' against the backdrop of COVID-19, while also playing our part in the UK Government's response to the pandemic:

1. Capturing the record and aiding legal certainty
2. Taking the collection to new audiences
3. Realising the value of archives through research, innovation and commercial exploitation
4. Leading the archives sector to a secure and sustainable future
5. Changing the way we work

This year's report relates a set of achievements that would be notable in any 'normal' year. I will not rehearse them all in this introduction, but I will offer the following highlights:

Capturing the record and aiding legal certainty – our work throughout the year to archive the Government response to the COVID-19 pandemic, capturing 13 million resources across GOV.UK, NHS.UK and other key government communication channels; the accessioning into our collection of close to 100,000 government records and our ongoing support for government records management against a background of restricted physical

access to collections; managing the transfer of over 17,000 born digital records from government departments into the archive; our expert support and access to our collections for public inquiries and the key role played by our legislation.gov.uk team in registering and publishing Coronavirus legislation and legislation relating to the UK's Transition Period with the EU and the future relationship.

Taking the collection to new audiences

– our rapid and successful pivot to online delivery at the start of the first lockdown – maintaining a vibrant programme of talks and events; the use of our education services as a key component in the national home-schooling effort; the remarkable popularity of our free digital downloads, which helped mitigate the restrictions on our on site services and loans to exhibitions maintaining the reach of our collections with a global audience.

Realising the value of archives through research, innovation and commercial exploitation

– our key role in national and international research projects, including the Arts and Humanities Research Council's (AHRC) Strategic Priorities Fund '[Towards a National Collection](#)'; our pioneering work developing DiAGRAM, the [Digital Archives Graphical Risk Assessment Model](#); our expert participation in international discussions on collections and conservation and our continued close collaboration with colleagues at the National Archives of the United Arab Emirates on the second phase of the Arabian Gulf Digital Archive.

Leading the archives sector to a secure and sustainable future

– our securing £500,000 of additional funding from HM Treasury to deliver the **COVID-19 Archives Fund** to help safeguard the vulnerable collections of 25 organisations, across all four nations; our partnership with the Business Archives Council-led Crisis Management Team and the

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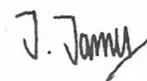
Records at Risk Steering Group to mitigate the risks faced by archive collections; our wide range of sector projects and initiatives from archival traineeships and apprenticeships to projects to build digital capacity in the archives; and, through my Presidency of the Forum of National Archivists (FAN), the work as part of this global network to advocate for the preservation of the world's archival heritage.

Changing the way we work – the continuing success of the majority of staff moving to working from home, providing the opportunity to explore alternative and flexible ways of working in the future; the launch of '[Becoming the Inclusive Archive](#)', a fresh approach to inclusion and a step towards achieving our goals set out in 'Archives for Everyone', with a focus on Workforce – who we are, Audience – who we serve, Practice – how we work, Position – our global role.

Thanks are due to The Friends of The National Archives, The National Archives Trust and our volunteers, all of whom have continued to support us in the delivery of our projects and priorities throughout this most extraordinary of years.

In my introductions to these reports I have customarily paid tribute to the hard work and dedication of The National Archives' staff. I gladly do so here again, but in the context of the year just gone it is difficult for me to do sufficient justice to the quality of their work and the commitment they have shown.

In my introductions to these reports I have customarily paid tribute to the hard work and dedication of The National Archives' staff. I gladly do so here again, but in the context of the year just gone it is difficult for me to do sufficient justice to the quality of their work and the commitment they have shown. All of them have faced challenges and like the country as a whole many have experienced much worse. Throughout they have supported one another and the work of this institution in exemplary fashion. They are a credit both to the Civil Service and the near two centuries-long tradition of this institution and it is an honour to lead them as Chief Executive and Keeper.



Jeff James,

Chief Executive and Keeper,

12 July 2021

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 many things to many audiences:

- For government, we are the custodian of the public record and trusted experts in managing, preserving, using and re-using information.
- For the public, we provide access to more than 1,000 years of the nation's histories and connect people and communities with the millions of stories contained in our collection.
- For the archives sector, we provide leadership and support, helping archives to build the skills and capacity needed to sustain the nation's archival heritage.
- For the academic community and others engaged in scholarly research, we offer opportunities for working together across a broad range of disciplines – to provide solutions to our key challenges, and to open up greater access to our collection.

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,

Our conviction is that archives are for everyone, and that archives change lives for the better.

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. As the living, growing home of our national stories, we aim 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 creation to presentation.

The Coronavirus (COVID-19) pandemic has brought about many changes to how we work and has fundamentally challenged us to rethink how we deliver the priorities we

set ourselves in 'Archives for Everyone'. In September 2020, we set out our two-year plan, focusing on five strategic intents. By focusing on these five priorities in all we do, we will continue to transform ourselves in line with our strategy at the same time as supporting the UK Government's response to the COVID-19 crisis.

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

Our fresh understanding of our capabilities provides us with the opportunity to innovate and make radical changes to the way we work, and the services we provide, to meet head-on the changed expectations of our audiences. We have already started to reimagine both our ability to deliver on our statutory and non-statutory duties, and our ability to make progress towards the long-term vision set out in 'Archives for Everyone', to be the 21st century national archive.

Our audiences

For government, we provide expert advice and scrutiny, ensuring that the record survives and thrives

- Throughout the Coronavirus (COVID-19) pandemic, we have adapted to discharge our legislative and regulatory obligations, supporting government departments by launching and maintaining a COVID-19 Information Hub and delivering advice and guidance about managing the disruption to public records work.
- We have continued to offer access to original records to government colleagues where requests were received to support the Government's response to the COVID-19 crisis. We have also provided expert support and access to our collection for Public Inquiries including the Infected Blood Inquiry, the Independent Inquiry into Child Sexual Abuse (IICSA) and Grenfell.
- The pandemic has created significant challenges for public record bodies in terms of compliance with the 20-year rule owing to lack of physical access to collections. We have supported these bodies to help them meet legal compliance, leading engagement activity and supporting on adjustment of current and future plans.
- The Freedom of Information (FOI) Centre resolved 2,236 cases in 2020-21. This was achieved despite restricted access to the physical records. We continue to look at new ways of working that allow us to progress FOI requests, collaborate with our stakeholders and streamline our approach.
- Since the pandemic became known, we have worked with and supported departments on the capture of their records relating to the Government's response to COVID-19.
- Over the year, we undertook an extensive programme to archive the Government's response to the COVID-19 pandemic. Using our web archiving capabilities, we gathered a comprehensive, in depth and highest quality record of the Government's response to COVID-19 on the web, regularly archiving the GOV.UK and NHS.UK websites and other key communication channels, including official public social media channels. We concentrated on quality and completeness of the public record. This involved using a variety of different web archiving techniques. We captured over 13 million unique resources from over 200 million individual point-in-time captures relating to the pandemic (web pages and other web published content including documents, spreadsheets, videos and raw data files). A large part of the collection is unique (circa 45 per cent), when compared to two other leading web archives.¹ This record is available to support a future public inquiry as well as future generations of civil contingency planners and historical researchers.
- 'The Gazette' fulfilled its historic role, as a trusted source of information during a pandemic, aiding legal and economic certainty. This included providing a permanent record of the use of emergency powers under the Coronavirus Act 2020 on a UK-wide basis and supplying important data to businesses, banks and credit reference agencies about corporate insolvency. Overall, 294,548 notices were placed in

¹ The Internet Archive (www.archive.org) and the UK Web Archive (www.webarchive.org.uk)

'The Gazette', including 73,218 about corporate insolvency. Fifteen new types of notice were created to record the use of powers under the Coronavirus Act 2020, with 221 Coronavirus notices published during the year. These covered restrictions on infected persons, closure of schools, and measures to support the economy.

Aiding legal certainty during the pandemic

- In order for legislation to be publicly available, it must first be registered at The National Archives and then published on the [legislation.gov.uk](https://www.legislation.gov.uk) website. We prioritised the rapid publication of Coronavirus regulations. This was significant, as the Joint Committee on Statutory Instruments set out in a special report, 'Transparency and Accountability in Subordinate Legislation', drawing attention to section 3(2) of the Statutory Instruments Act 1946 which "illustrates the importance attached by Parliament to prompt publication of law once made, and the inherent unfairness of expecting citizens to comply with law that has not been published".
- Legislation.gov.uk played an important role to aid legal certainty during the pandemic, supporting the legislative response of the four nations. From 1 April 2020, the UK Government and devolved administrations enacted 815 new pieces of Coronavirus legislation. Much of this legislation was in the form of Statutory Instruments made using emergency procedures, often with immediate effect, for example to swiftly implement lockdown restrictions or impose international travel rules.
- During the pandemic, we extended the Statutory Instruments (SI) registration and publishing service to provide cover 24 hours a day and seven days per week. This extended service was called upon for 72 SIs, including 16 regulations which were made, registered and published during the weekend. Emergency Coronavirus SIs were registered and published, on average 19 minutes after initial receipt. We set up a specialist team to ensure that Coronavirus amendments were identified and applied as quickly as possible, usually within 24 hours for national restrictions.
- There was significant public demand for Coronavirus regulations, significantly increasing the level of traffic to legislation.gov.uk. Overall website traffic was up by 30 per cent compared to 2019-20, with 24 million page views per month on average. The publication of new Health Protection Coronavirus Restriction regulations resulted in very large spikes in demand. The largest spike was 757,963 page views by 325,170 users to The Health Protection (Coronavirus, Restrictions) (England) (No. 4) Regulations 2020 in the week 2-9 November 2020. Our research showed that users ranged from people working in law enforcement through to businesses and members of the general public. To meet the needs of our users, we created www.legislation.gov.uk/coronavirus, bringing together the key pieces of Coronavirus legislation for each of the four nations.

The Health Protection (Coronavirus, Restrictions) (All Tiers) (England) Regulations 2020

UK Statutory Instruments ▶ 2020 No. 1374 ▶ SCHEDULE 3A

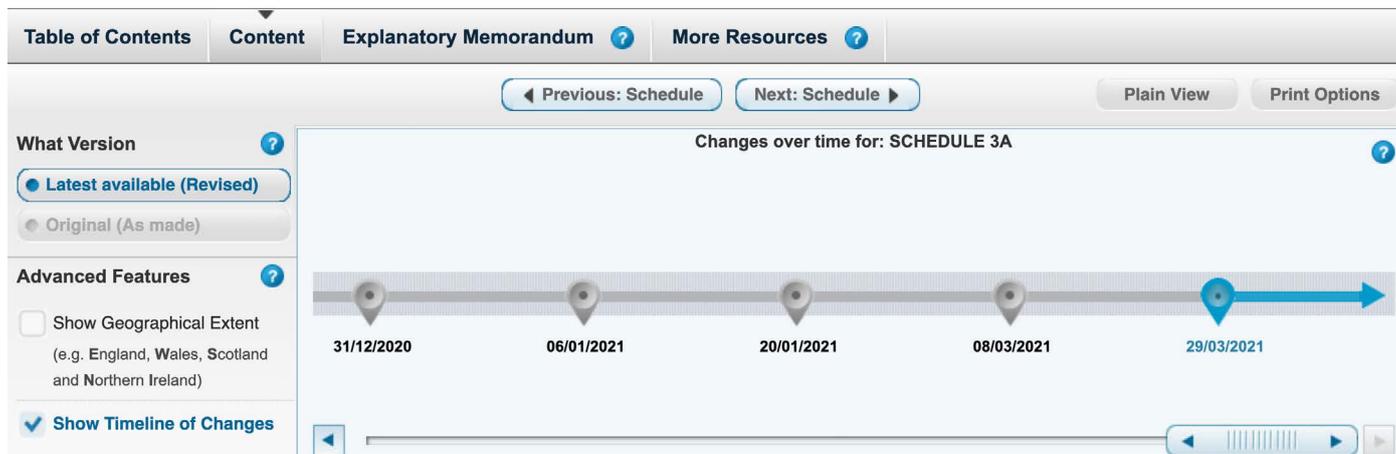


Figure 1, a legislation.gov.uk timeline of versions of the Coronavirus restrictions for England.

Aiding legal certainty from Transition Period to Future Relationship with the European Union (EU)

- As the UK's Transition Period with the EU ended and the future relationship began, legislation.gov.uk played an important role to aid legal certainty. December 2020 was the busiest month for new legislation in five years, with 435 Statutory Instruments registered and published during the month, and the European Union (Future Relationship) Act 2020 given royal assent on 31 December 2020.
- The Queen's Printer fulfilled his duty under the European Union (Withdrawal) Act 2018 Schedule 5, to publish the texts of direct retained EU legislation for the UK. We completed an archive of 30.8 million resources of European law, as it stood on Implementation Period Completion Day, from the relevant parts of the EUR-Lex website, using our web archiving capabilities. We also ensured there was a high-quality capture of GOV.UK and other channels, through to the end of the transition, tailoring our techniques to capture key resources such as the 'Brexit checker' service at <https://webarchive>.

[nationalarchives.gov.uk/*/https://www.gov.uk/transition](https://www.gov.uk/transition).

- Over the course of the year, we published the remaining 559 EU Exit Statutory Instruments, taking the total number of amendments to UK domestic and direct retained EU legislation to 147,517. Overall, we recorded 87,453 amendments during the year, with the editorial team applying 69,615 amendments, bringing an additional 3,458 pieces of legislation up to date.
- Separately, working with our partners – the Houses of Parliament, Scottish Parliament, and the drafting offices for UK and Scottish legislation – we continued to develop Lawmaker, a new browser-based legislation drafting tool. This was used to draft, amend and publish the Botulinum Toxin and Cosmetic Fillers (Children) Act 2021.

Capturing the record

- Throughout the year, we accessioned more than 91,000 government records transferred from over 20 public records bodies, including:
 - Files from the Cabinet Office and the Prime Minister's Office covering events

in 1997 and 1998. We were able to release more of these records digitally than ever before

- Records of the Expert Advisory Group on Acquired Immune Deficiency Syndrome (AIDS)
 - Department of Health files about the control of infection in hospitals
 - Papers of Sir Douglas Wass as Permanent Secretary at HM Treasury
 - More than 50,000 files, maps and photographs of UK coastal areas created by Naval Intelligence Division and Defence Intelligence Staff in the post-war period to assess potential invasion points.
- We began a multi-year project with the Ministry of Defence to transfer their collection of 9.7 million Armed Forces personnel files. These records are of national significance and are internationally unique. The first deliveries arrived at Kew in February 2021 and are expected to continue until 2027. By incorporating these records into the national collection, we are acknowledging the service, sacrifice, honour and pride of our service personnel and reflecting the values that sit at the heart of our nation's stories. However, a transfer of this magnitude brings with it not only opportunity but also risk and challenge, including the cost and logistics of safeguarding these records and, in time, making them available to the public.
 - We have continued to support government departments in the effective management of their digital information; including crucially, the record of the COVID-19 response by collaborating virtually with the Government Knowledge & Information Management Profession (GKIM), our counterparts in other national archives, the Information and Records Management Society and Cloud platform providers, such as Microsoft and Google. We are also supporting ongoing training through our bite size training sessions offered via webinars.
 - On behalf of the Secretary of State, we led a refresh of the Code of Practice issued under s.46 of the Freedom of Information Act 2000 (FOIA) which is planned for publication later in 2021.
 - We drafted the first iteration of a new modular [Information Management Maturity Model](#) for Government. Our aim is to allow Public Record Bodies to self-assess their information management maturity easily and remotely. We will engage with public record bodies throughout 2021-22 through user research workshops to produce a working prototype on our website.
 - Last year, we reported that a number of nuclear information records had been temporarily withdrawn from general access while the Nuclear Decommissioning Authority (NDA), the Ministry of Defence (MoD) and the Atomic Weapons Establishment (AWE) completed a security review. Although progress has been interrupted by COVID-19, around 20,000 records have been returned to general access. We have collaborated with these authorities to create FOI processes to ensure requests are dealt with during this review.
- For the public, we work to inspire new ways for people to use and experience our diverse collection**
- In January 2021, The National Archives launched '[Becoming the Inclusive Archive](#)', a fresh approach to inclusion and a step

towards achieving our goals set out in 'Archives for Everyone' where we said we would:

- Remove barriers to access, participation and understanding
- Harness talent from diverse backgrounds
- Be bold, active and outward-looking.

On site services

- Following the first national lockdown in March 2020, we had to suspend our on site public services, pausing physical access to our collections. We reopened to pre-booked public visitors in July 2020, gradually expanding our offer, including the number of bookable seats, the number of documents that could be ordered, and the amenities that we were able to provide them with during a visit. At all times, we ensured that our operations were in line with Government guidance on social distancing, keeping both our staff and visitors safe. Working with this guidance and in consultation with peer organisations, we developed a set of procedures to ensure documents were safely handled by staff and visitors, including quarantining periods. With the change to national restrictions in December 2020, we once again had to suspend on site public services.
- We have communicated regularly with our staff, users and stakeholders throughout the various periods of restrictions and easing, which have characterised the last year. We have ensured that all changes to services and disruption were notified to users in a timely manner. Nevertheless, the restrictions have led to an understandable level of frustration amongst some user

groups. We have increased our regular public communications and adapted our rigorous user feedback programme to the new circumstances, to help us pick up and respond to public concerns and suggestions.

- We retendered our own off site storage contract with Deepstore and created storage capacity for 8km of new accessions.
- Our New Year annual file release in December 2020 gained significant media coverage, featuring files from the Prime Minister's Office and Cabinet Office from 1997, predominantly covering the final months of Sir John Major's Government. Given the national restrictions in place at the time, many challenges were overcome to provide online and some on site access, to make the file release a success, gaining significant media coverage.

Maintaining remote services

- Our website, www.nationalarchives.gov.uk, was very widely used, with a 25 per cent increase in traffic compared to the previous year. When our reading room service was suspended at Kew, to continue to ensure that our records were available to as wide an audience as possible, we provided access to [digitised copies of our records free of charge](#). This commenced in April 2020. This initiative resulted in a significant increase in the number of users of our digital downloads service, from 51,614 in 2019-20 to 139,037 in 2020-21, a 169 per cent increase. The number of documents downloaded increased from 166,491 in 2019-20, to 2,049,068 in 2020-21, a 1,131 per cent increase.
- Where possible, we continued to provide a limited Record Copying Service, prioritising Naturalisation Certificates.

- We maintained key communications and continued to give advice and guidance to our users and others via our live chat service, emails and letters. A phone line was enabled for users without access to the internet.
- Our records advice service moved entirely online, allowing the public to continue to engage with our specialists for both quick and more in-depth enquiries:
 - Since April 2020, over 18,000 enquiries by live chat were answered remotely by staff.
 - 29,969 email enquiries and 576 letters were answered by staff.
 - Our 355 research guides were viewed over 8 million times between March 2020, and the start of April 2021.

Online Public Engagement

- From March 2020, our public engagement programme switched to online with What's Online, webinars, films, blogs and podcasts. We increased the range and frequency of our online communications. In particular, we sent more frequent e-communications and promoted our [What's Online](#) events series. Our subscriber base grew to 298,967 by the end of March 2021 (an increase of 23 per cent year on year).
- Over the year, our online audience grew, and our reach broadened internationally. Establishing our digital events programme, 'What's Online', we saw a rapid growth in attendees, achieving a total of 17,798 by the end of March 2021 (in comparison to a total of 5,353 last year).
- Events covered a wide range of topics with talks from our internal specialists, including the 1918-1919 influenza pandemic, Margaret Thatcher, the Field of the Cloth of Gold and Tudor plagues. The programme also featured talks delivered by a range of popular historians, including Kate Williams, Annie Gray and Greg Jenner.
- Our [Victorian Christmas](#) events were very popular attracting over 3,000 virtual attendees across three talks. We also recorded three films highlighting aspects of our collections linked to Christmas, including '[A Christmas Carol Goes to Court: Charles Dickens in Chancery](#).' The three films have amassed over 5,000 views on our YouTube channel.
- We marked Black History Month, collaborating with the Black Cultural Archives to deliver an online talk about researching Black British history at both institutions. We also created an online display introducing some of our key records relating to the history of black people in Britain. The video has had 1,200 views on our YouTube channel.
- '[With Love: Letters of love, loss and longing](#)' (our on site exhibition cut short owing to the pandemic) was relaunched online in January 2021 attracting 5,375 visits by March 2021. Alongside the online exhibition we uploaded three short films to YouTube; an expert tour of the gallery, a biopic of Wallis Simpson, and a diverse history film – [Hidden Love](#) – exploring LGBTQ histories in our collection. These films combined attracted a further 5,061 views.
- [Combination Dance](#) worked with us to create a socially-distanced [dance film](#), 'With Love, Combination Dance', which was inspired by the exhibition and featured interpretations of historical characters and quotes from the exhibition. This was a fun and engaging way to reach out to our audiences and was positively received.

- Our [Annual Digital Lecture with Carly Kind](#), Director of the Ada Lovelace Institute and human rights lawyer, on 'The Death of Anonymity in the Age of Identity' was successfully held online and attended by over 175 people.
- This year, we released two series of our podcast '[On the Record](#)' and three bonus episodes. The podcast has been listened to over 23,000 times, in over 70 countries representing a huge growth this year. In July 2020, 'On the Record' won the silver award in the podcast category at the 2020 American Alliance of Museums [MUSE Awards](#).

Outreach Activities

- '[Once British, Always British](#)' was a collaboration with Tamasha Theatre and explored the migration of Yemeni and Indian sailors to British port cities during the 1920s. Each story was inspired by material researched during a writing residency at The National Archives. 322 people attended two online listening events, achieving an 88 per cent satisfaction score and attracting a younger demographic than average for our online events.
- '[Five Photos](#)' was an online resource, written for care home residents or people shielding. It uses images from our collection to inspire discussion, reminiscence and mindfulness as part of the annual Arts in Care Homes national initiative. Since it went online it has had 2,241 page views.
- '[Archival Research and Therapeutic Practice](#)' was the culmination of a one-year collaboration with Stillpoint Spaces International and the Black, African and Asian Therapy Network that drew over 160 people to a series of workshops using The National Archives' records to interrogate fact and feeling when addressing topics of racism, colonialism and empire. The collaboration will culminate in an event to be attended by over 100 people hosted by the British Museum to share learning from this innovative approach.

Schools and Young People's programmes

- Our [education](#) and young people's programme successfully moved entirely online. In the year, we taught over 10,000 participants in online sessions, including PGCE trainees, compared to 2,581 online participants in 2019-20.
- In January 2021, we changed our format to delivering sessions to students who were all home-learning owing to the lockdown. In the spring term alone, including lockdown delivery and a subsequent return to school delivery, we delivered online sessions to over 3,800 participants, including pre-recorded assembly formats, PGCE groups, SEND students and live family sessions.
- Our Young People's film project, premiered in February, produced 15 short individual films, inspired by our collection based on the theme '[From Outbreak to Archive](#)'. These were showcased on our education webpages.
- The completion of the Embedded Learning Spaces in February 2021 expands our on site education offer at Kew, ready for when we can welcome school groups back.
- We also welcomed a new partner, the [Swedish School in London](#), to locate their Sixth Form on site from November 2020. This new agreement is a great example of where we have been able to align all three elements of our strategy (entrepreneurial, inclusive,

and disruptive) to increase public value.

Digital Activities

- Over the year, we have seen an increased demand for our digital resources. Page views increased nearly 16 per cent year on year with a 30 per cent increase during the March-July 2020 lockdown with the launch of our new video-based resources of [Time Travel TV](#) and [History Hook](#) lesson starters and unboxing videos.
 - Our [Great Plague](#) education resource saw an 85 per cent increase in views with the take-off happening from March 2020 as the country entered lockdown.
 - Resources about [Empire](#) and Indian independence also saw a significant increase in use by up to 54 per cent.
 - Resources around [Slavery and Resistance](#) saw increases up by 88 per cent, with a huge spike during the Black Lives Matter events in April 2020.
 - Our [Black, Asian and Minority Histories](#) finding aid was launched in September 2020 to support teaching of Black and Minority Ethnic history by highlighting the wealth of resources already available across the whole of our website. This has received over 2,500 views to date.
 - A similar finding aid for [Women's Histories](#) was launched in March 2021.
- We produced a number of new education resources:
 - [Samuel Pepys: What does his will reveal?](#) – online lesson for primary schools.
 - [Criminal Petitions: What do they reveal about the justice system?](#) – online

lesson for GCSE and A-level students.

- [Workhouse Voices](#) – document collection based on pauper correspondence in our record series MH12.
- Our schools [writing competition inspired by Workhouse Voices](#) generated 317 responses, which were then shortlisted, and the winners were selected by the children's author, Sharon Gosling.

Other Activities

- We have continued to work closely with colleagues at the National Archives of the United Arab Emirates, planning for the delivery of the second phase of the Arabian Gulf Digital Archive (AGDA). We have now completed commercial negotiations for this phase, which will see a further 500,000 records digitised during 2021-2022 and subsequently published on the AGDA website.
- Working in collaboration with The Office of National Statistics and our commercial partner Findmypast, we remain on course to publish the 1921 Census online in early 2022. Earlier in 2020, lockdown restrictions led to a three-month shutdown of the project, and while operations were back up and running as soon as permitted, the subsequent need to work at a much-reduced staffing capacity has removed any remaining contingency from project timelines. The safety and wellbeing of the project team and the security of the information recorded by the census have been of the utmost importance throughout.
- Our on site shop was closed for most of the year, but we were able to launch a new [online shop](#) in September 2020 that has proved very popular and processed 5,623

orders during the year. Total sales for the year were £185,903 (£178,392 online sales) compared to £268,142 last year (£93,029 online sales).

- We moved our volunteer projects online where possible, allowing increased engagement from home. We celebrated National Volunteers Week (1-7 June) with online events, talks and galleries.
- The Annual Report of the Independent Complaints Reviewer, is contained in Annex C, on pages 124 to 125.
- We continued to reduce the impact of our operations on the environment. Read more in the environment and sustainability section of this report (page 33), and in Annex A – Sustainability accounting and reporting (pages 101 to 109).

Charitable partnerships

- The [Friends of The National Archives](#) continued to support us in a variety of ways, from volunteering, events and through funding innovative public programmes. We would like to thank the Friends for helping us to achieve our goals.
- In February 2020, The National Archives Trust (registered charity no. 1187839) was launched. The Trust aims to support world-leading education and engagement programmes inspired by the collections held at Kew and by many other archives throughout the country. The Trust is an independent body and we have been working closely with them on developing a national programme of public engagement and the creation of a Clore Learning Centre at Kew.

For the archives sector, we are an effective leader and collaborator, and support archives of all kinds to sustain and develop their services

- In response to COVID-19 and the necessary closures and changes to service provision, we provided up-to-date guidance, resources and support. We also carried out research into the different impacts of the pandemic on archive services to inform our own response and advocate for the needs of the sector, including ongoing issues around finances and staffing/ redeployment.
- The National Archives received £500,000 additional funding from HM Treasury, and we launched and delivered a [support fund for the archives sector](#) to prevent the loss of documentary cultural heritage arising from the increased risk of failure, dissolution or reduced capacity faced by businesses, charities, local authorities and arts organisations as a result of the pandemic. The fund received 85 applications from across the United Kingdom, of which 25 were successful and provided further evidence of the current risks faced by the archives sector.
- ‘[Bridging the Digital Gap](#)’ is our training programme funded by the National Lottery Heritage Fund to create 24 paid technical trainees in archives around the UK. Bringing new and relevant skills into the sector, the programme is in its third and final year. In 2020, in response to the pandemic, we moved to delivering the traineeships online. The final cohort began in January 2021.
- The Institute for Apprenticeships and Technical Education approved the new Level 7 Apprenticeship for Archivists and Records Managers, which will be launched later in 2021. It has been designed to improve inclusion and provide an alternative route of entry into the profession.

- Our Inclusion and Change work developed rapidly this year, with a number of initiatives, including:
 - Inclusive reopening training in response to the COVID-19 pandemic
 - Support materials on how to assess risk when communicating potentially upsetting histories
 - A matrix for inclusion to assist archive services in identifying current barriers to access
 - Wellbeing and Mental Health guides and training
 - A campaign promoting the 'Manage Your Collections' tool to diverse archives
 - An inclusion review of the 'Archives Revealed' programme.
- 'Plugged in, Powered Up', our strategy for building digital capacity in the archives sector, has provided a wide range of support in a year in which archives were compelled to turn to digital as never before:
 - Together with the Digital Preservation Coalition, we launched 'Novice to Know-How', a game-changing series of online digital preservation modules, which has been completed by nearly 3,000 learners, 61 per cent of which have been from the UK.
 - We launched a peer mentoring programme for colleagues undertaking digital work, incorporating outstanding support from digital colleagues across The National Archives and from dedicated UK archivists from all parts of the sector.
 - Over 1,500 collections were added in 2020 to Discovery, our online catalogue, by UK archivists using the Manage Your Collections tool. The system is now used by over 250 repositories. Over the year, 200 attendees joined one of eight accompanying webinars, including three for community archives networks in Cornwall, the South West and Norfolk.
- The Archive Service Accreditation scheme has remained open, with some elements of activity scaled down in response to the pandemic. New applications were paused for some months, owing to practical restrictions around site visits and restricted assessment capacity for some partners in the programme. We have now piloted remote assessment methods and applications have reopened. Awards Panels have continued to meet for oversight of Accredited Archive Services, including scheduled reviews, and reports of any significant changes.
- 'Archives Revealed' is delivered in collaboration with The Pilgrim Trust and The Wolfson Foundation. We are grateful to both partners, who have this year confirmed their ongoing support for the fund for the next three years, pledging £300,000 each. The National Archives too has increased its contribution, bringing the total funding of the scheme to £1 million.
 - Cataloguing Grants: In August 2020, the independent panel met to award £290,324 to eight archive organisations
 - Scoping Grants: During the last financial year, eight grants were awarded totalling £24,000
- The 'Collaborate and Innovate' funding programme is focused on both empowering archives to use creativity and innovation in developing ideas and solutions, and encouraging the work of

networks, leading to outcomes that will make a real difference to archives in the UK. This is delivered through two funding programmes:

- Networks for Change Grants: £48,000 has been awarded, in four grants
- Archive Testbed Grants: £42,739 has been awarded, in seven grants
- We distributed £660,000 of [New Burdens](#) funding to 54 local authority places of deposit,² who accessioned nearly 2.5 kilometres of public records in 2019. The funding, first made available in 2016, has been provided to support extra activity during the 10-year transition period.
- We ran a Manorial Documents Survey to gather data on the current use and users of manorial documents, and the research it supports. The results from this national survey will support the future development of the [Manorial Documents Register \(MDR\)](#) and plans for a commemorative programme of events.

For academic and researchers, we lead, enable and inspire pioneering research through fostering collaborative engagement and inclusive practice. We work to generate new knowledge and drive progress for archives, the wider community and society as a whole

- Our research spans disciplines from computer science to history, and archival to heritage science and beyond, to further understanding of and access to our collections. Increasingly, our research activity is in multidisciplinary teams that draw on collaborative expertise from across nine departments at The National Archives, and from external partners, including 30 universities in England,

Scotland, Wales, USA and Canada, four Independent Research Organisations, and three industry partners.

- We have submitted more research applications than ever this year, 33 compared to 26 last year to 10 funding bodies. This increased activity reflects both more funding opportunities for cultural organisations and the growing momentum of our research.
- Our success in winning funding includes six projects as co-investigators, and two as principal investigators. The two we are leading are part of the Arts and Humanities Research Council's (AHRC) Strategic Priorities Fund '[Towards a National Collection](#)' research programme. These projects are partnerships between Higher Education Institutions and Independent Research Organisations:
 - 'Deep Discoveries' joins computer vision experts, cultural heritage professionals, and user experience researchers to explore the opportunities afforded by AI-enabled visual similarity recognition technologies for cross-collection image searching, with an aim to design a prototype demonstrating the 'research' and 'discovery' potentials of a novel technology to multiple types of users.
 - 'Engaging Crowds: citizen research and heritage data at scale' investigates practices around citizen research projects, particularly ways to improve the experience of volunteers with these online projects, and explores the creation, use, and reuse of heritage data.
- We were successful in the highly

² Several local authorities manage more than one places of deposit. See Appendix 1 on Page 126 for the full list.

competitive funding call, 'Capability for Collections' from the AHRC, securing £264,000 towards new scanning equipment for our digitisation programme and critical upgrades for our Heritage Science and Conservation Research Laboratory. The funding enabled the acquisition of an open-geometry micro-Raman analyser and an upgrade to our multispectral imaging system, completing our suite of analytical instruments in the Collection Care studio, and securing its status as a vital research hub for archival and library heritage science research and innovation in the UK.

- A particular highlight of our year was the UK-US funding call AHRC-National Endowment for the Humanities New Directions for Digital Scholarship in Cultural Institutions. Colleagues are co-investigators on two projects:
 - 'From Lima to Canton and Beyond: An AI-aided heritage materials research platform for studying globalisation through art'
 - 'Digital approaches to the capture and analysis of watermarks using the manuscripts of Isaac Newton as a test case'
- We are very grateful to [The Friends of the National Archives \(FTNA\)](#) for supporting a one-year Research Fellowship on Advanced Digital Methods. The FTNA Research Fellow is focussing on records of the First World War and data from the volunteer citizen-research project, Operation War Diary.
- We have been working to make our academic offer more diverse and inclusive. Our audience survey has deepened our understanding of our current engagement and one outcome

of this is in increasing the accessibility of our online events – of particular importance as all events are currently online – such as via video captioning.

- We welcomed four new collaborative PhD students, funded through the AHRC's Collaborative Doctoral Partnership and Doctoral Training Partnership programmes. We supported our new and existing students to continue their research remotely during lockdown and on site when restrictions allowed.
- We rose to the challenge of remote working by rapidly developing a new model for placements to ensure that students could still gain experience of working with us. We hosted our first remote student in August 2020 and three further placements are now underway.

Collection Care

- In 2019, our Collection Care department created a Treatment Round Table, a forum to discuss conservation treatment options for our unique collection items. Initially designed as an internal discussion group, during the lockdown periods in 2020-21 the Treatment Round Table rapidly evolved into an international forum, regularly attracting over 70 speakers and participants from around the world. The agenda feeds into the wider conservation and archives sectors as well as higher education.
- Despite the national lockdowns, we continued to highlight our collection through our loans programme. Exhibitions in the UK, Europe, and the US enabled access to our collections for 523,821 visitors. Travel restrictions, in particular, have led to new approaches regarding the transport and installation of artefacts,

maximising the use of technology to facilitate processes that traditionally rely on human presence.

- We reviewed and renewed our agreement with the British Film Institute to store and care for our moving images collection.

Over the last few years, we have made important changes to the ways we think and work in order to become a digital archive by instinct and design

- We pioneered the development of DiAGRAM, the [Digital Archives Graphical Risk Assessment Model](#), working with the Applied Statistics and Risk Unit at the University of Warwick and a group of other archives. DiAGRAM was funded by the National Lottery Heritage Fund. It is an integrated decision support system for digital archives, based on a digital preservation risk model using a Dynamic Bayesian Network. The model combines the experience of a range of institutions. It allows archivists to investigate potential mitigations to digital preservation risks and judge the relative effectiveness of different interventions. DiAGRAM reached the final shortlist in the Digital Preservation Awards 2020.
- We started work to develop a private beta for a new website for The National Archives, which will better meet the needs of our users and help us to more creatively engage the public.
- We switched off our digital records infrastructure at the start of the first national lockdown. We took advantage of the shutdown to replace a key piece of software as preventative maintenance of our archival storage service. The infrastructure was restarted in November 2020. We investigated options for a replacement archival storage service in the longer-term, with a view to minimising our exposure to supplier risk. We managed the transfer of 17,180 born-digital records from government departments into the archive and helped others to prepare for upcoming transfers, including from two public inquiries.
- We developed our capacity as a digital archive. We have been working on developing a private beta for a new service to Transfer Digital Records from government departments. The scope of the private beta service is limited to open records. We started work on a new catalogue management system, which turns our current catalogue into a knowledge graph about the whole collection. We also improved the catalogue, with 471,546 enhancements to catalogue descriptions made during the year.
- We were an active and contributing member of the Digital Preservation Coalition, the DLM Forum and the Open Preservation Foundation, as well as continuing to participate in the Archives Portal Europe Foundation.

International work and collaboration

- We are longstanding members of the International Council on Archives (ICA) through which we hold the Presidency of the Forum of National Archivists (FAN) comprising more than 160 national or central archive institutions. Together, we form part of a global network which advocates the importance and impact of archives of all kinds and is dedicated to the preservation of the world's archival heritage. Last year, a partnership statement, '[COVID-19: The duty to document does not cease in a crisis, it becomes more essential](#)', was published, an activity coordinated jointly by The National Archives and the ICA. Partners include the International Conference of Information Commissioners (ICIC), ARMA International, Codata, the Digital Preservation Coalition (DPC), Research Data Alliance, UNESCO Memory of the World and World Data Systems. The statement reiterated the significant value and contribution archives make to international information best practice.
- Via the FAN Steering Committee, represented by members of the four geographic regions, and convened through our Presidency, our peers shared their informative experiences on their respective country's handling of the pandemic to date, while looking positively ahead to the ICA's strategic reflections which align with FAN's (and in many respects) those of The National Archives. One such reflection includes the changing landscape for archives across intellectual property and information rights, and as a result of our intervention (as part of the ICA's Expert Group on Legal Matters), a draft proposed Declaration on Copyright has been produced. Like other joint ICA initiatives, the aim of this Declaration is to inform conversations on ways to improve copyright provisions internationally, which we plan to do in greater collaboration with partners such as the World Intellectual Property Organization – for the benefit of archives worldwide.

1.2 Performance analysis

Financial management commentary

Parliamentary Support – Income and Expenditure

The National Archives continues to manage its resources effectively, with sound financial control frameworks and a strong organisational engagement with its fiduciary duties.

Our net resource and capital outturn was £40.0 million compared to the HM Treasury net allocation of £42.1 million (£2.1 million or 5.0 per cent adverse variance). A significant driver of this variance was the depreciation charge which was £1.1 million lower than estimated. This is because the amount charged was calculated using the prior year valuation whereas the estimated charge was based on the projected valuation. The remaining outturn variance was affected by lower staff recruitment than originally planned owing to the challenges arising from the COVID-19 pandemic.

Total Net Operating Expenditure

Total Net Operating Expenditure, shown on the Statement of Comprehensive Expenditure, was £36.5 million (2019-20: £36.0 million). This does not include £3.5 million of capital spend, which is built into the Parliamentary Support statement above and the Statement of Outturn against Parliamentary Support (SoPS). The net figure is made up of the following:

i) Total Operating Expenditure

Total Operating Expenditure of delivering our remit as the official archive and publisher for the UK Government, and for England and Wales, was £47.5 million. Staff costs amounted to £25.9 million (2019-20: £24.5 million) with the number of employees increasing by 9 Full Time Equivalent (FTE) during the year to 507 at 31

March 2021 (2019-20: 498). New appointments, which were at higher than average grades, together with the in year pay award and the increase in a holiday pay provision result in an increase in staff costs. Further information can be found in the staff report on page 52. It should be noted that the increase in FTE and hence the year-on-year variance was in line with our plans and budgets.

Operating Expenditure, excluding staff costs, depreciation, provisions and audit charges, amounted to £15.4 million (2019-20: £18.7 million). This reduction is mainly owing to the expenditure relating to a software development contract in 2019-20 together with reductions in costs relating to public access and travel due to COVID-19 pandemic restrictions. These reductions were partially offset by an increase in the holiday pay accrual in 2020-21 resulting from the COVID-19 pandemic, together with an increase in grants paid, which included the additional funding received for the COVID-19 Emergency Fund.

ii) Total Operating Income

Total operating income for the financial year was £11.0 million (2019-20: £13.5 million). The reduction relates primarily to income related to the software development contract that was completed in 2019-20 together with reductions in income relating to on site services such as record copying, retail, conservation income and digital reprographics, which were all disrupted by COVID-19. However, the impact of the on site closure was more than offset by increases in commercial licensing and Gazettes' income: both performed strongly in the latter half of the year.

Total Capital Expenditure

The Total Capital Expenditure in 2020-21 of £3.5 million (2019-20: £2.8 million) was £0.2 million below the final allocation of £3.7 million. The outturn was affected by the continued closure of the building and the delay of projects that spanned the year end.

Financial position

Assets and liabilities are shown in the Statement of Financial Position on page 77. Assets less liabilities totalled £193.3 million at 31 March 2021 (2019-20: £190.2 million).

Total assets at 31 March 2021 were £198.9 million (2019-20: £196.9 million). Property, plant and equipment and intangible assets represented 97.2 per cent of the asset value (2019-20: 97.6 per cent). A professional valuation, undertaken at 31 March 2021, valued the land and buildings at £152.1 million.

Total current assets at 31 March 2021 were £5.4 million (2019-20: £4.7 million). The increase is explained mainly by Trade and other receivables increasing by £0.6 million (see note 8). At 31 March 2021, 90 per cent of the trade receivables related to money owed from a concessionary contract that has been paid in full since the year end.

Total liabilities were £5.6 million at 31 March 2021 (2019-20: £6.7 million). Accruals decreased from £2.6 million to £1.2 million (see note 9), as more works on the estate, legislation software development and IT services were underway at 31 March 2020. There was also an increase of £0.5 million in year relating to the holiday pay accrual (see note 9).

Financial outlook

Notwithstanding the impact of COVID-19 in 2020-21, significant uncertainty remains with respect to the extent of the pandemic's impact in 2021-22. The National Archives has adapted to a more agile model of financial stewardship, which includes its financial control, planning, analysis and modelling structures. Continued challenges around on site income will be offset against the increase in online-driven income streams.

The majority of our commercial income remains embedded in the digital exploitation of our intangible assets, and we are projecting to realise greater ambition in this key growth area. The outcome of the forthcoming Spending Review and the determination of the application for Commercial Freedoms will be pivotal in determining the strategic objectives, outlined in 'Archives for Everyone'.

Performance against our business priorities

Two year business priorities – year 1

Goal	How we were to achieve this	Status at end 2020-21
Capture the record and aid legal certainty	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	Paper transfers: Not On Track – Delivery Confidence High – COVID-19 has impacted government departments' ability to transfer records under the 20-year rule. We successfully completed a pilot transfer of 440,000 MoD Service Personnel Records – the equivalent of six years' worth of transfers over a period of six weeks. Digital transfers: On track
	Develop the infrastructure to archive the Government's response to the first global pandemic in the digital age	Not On Track – Delivery Confidence High – The impact of COVID-19 on the development of the new Transfer Digital Records service has delayed the release of the Private Beta by two months to May 2021.
	Provide access for everyone to the legislation that governs us at a time of unprecedented and rapid change to the statute book	On track

Take the collection to new audiences

Grow a bigger and more diverse audience through public engagement, partnership and collaboration

On track

Enable more people to encounter our collection online, better help them to understand it, and support their participation

Not On Track – Delivery Confidence High – We prioritised developing and launching a new seat booking service for the re-opening of Kew.

Expand online access to an increased range of digitised records, achieving where appropriate a commercial return

Not On Track – Delivery Confidence High – We prioritised delivering a free digital downloads service, enabling over two million downloads (a 35-fold increase), by 137,000 users (a 7-fold increase). Website page views were up by 45 per cent compared to 2019.

Realise the value of archives through research, innovation and commercial exploitation

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

Not On Track – Delivery Confidence High – The establishment of a new Grants and Funding Office has been agreed. The recruitment for the Head of Grants and Funding role began in April 2021.

Realise increasing commercial returns from our estate, our collection, our expertise, and our intangible asset base

Not On Track – Delivery Confidence High – Total earned income returned £11.0 million at the end of the year versus the July 2020 forecast of £11.3 million. The impact of the pandemic in the second half of the year caused significant disruption to our on site revenue, but other income streams proved to be highly resilient.

Ensure these commercial returns are invested to optimise long-term benefit

On track

Lead the archives sector to a secure and sustainable future	Through partnership, work to safeguard the nation’s archival heritage from threats presented by the current crisis	On track
	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	On track
	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	Not On Track – Delivery Confidence High – Building on our work with the sector in 2020-21, work is now underway to gather further intelligence to inform options for a future approach to sector leadership.
Change the way we work	Refresh our Values and develop a new People Strategy	Not On Track – Delivery Confidence High – Preparatory work has been completed ahead of the recruitment of the new Director of People, Inclusion and Change.
	Take positive action to improve representation	On track
	Through our new People Strategy, build a culture and technical infrastructure that enables and supports 21st century working	On track

Performance against our input and impact indicators

Our input and impact indicators demonstrate our overall performance as an organisation, our commitment to quality, and illustrate 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 we can be held accountable as we move forward in delivering our strategic priorities, underpinned by the 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	2020-21 Outcome	2019-20 Outcome
Original records delivered to on site users	71,328	508,284
Electronic records delivered to online users	447,547,640	371,728,677
Staff diversity:		
Women	53.4% (average)	52.6% (average)
Top management women	54.1% (average)	52.9% (average)
Black and Minority Ethnic	14.7% (average) ³	17.8% (average)
Disabled	6.1% (average)	5.8% (average)
Staff engagement (as reported by the Civil Service People Survey)	75%	71%
Time taken to deliver original records to on site users	The on-demand document service was not available during 2020-21 due to COVID-19 restrictions	93% of documents delivered to users within one hour

³ The methodology for calculating the average percentage of Black and Minority Ethnic staff changed in 2020-21 to the per cent declaring as a proportion of the whole workforce, rather than only of those that declared ethnicity.

Time taken to respond to Freedom of Information, and Environmental Information Regulation requests	89% of enquiries responded to within statutory deadlines	91% of enquiries responded to within statutory deadlines
Total departmental spend	£34.2 million	£32.6 million

Input indicator	2020-21 Outcome	2019-20 Outcome
Staff sick absence	3.7 days per FTE (average)	6.1 days per FTE (average)
Outstanding effects on legislation.gov.uk	69,615 amendments applied to primary legislation on legislation.gov.uk	63,288 amendments applied to primary legislation on legislation.gov.uk
Number of physical records accessioned	91,286 pieces 1,007 metres	72,899 pieces 2,018 metres

Performance against our impact indicators

Input indicator	2020-21 Outcome	2019-20 Outcome
Web continuity⁴	Web Archive Services – Sessions	Web Archive Services – Sessions
	Total: 2.6 million	Total: 3.8 million
	Web Archive Services – Users	Web Archive Services – Users
	Total: 2 million	Total: 3 million
Customer satisfaction % on site users	88%	87%

⁴ What was 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 (<http://www.nationalarchives.gov.uk/webarchive/>) and the EU Exit Web Archive <https://webarchive.nationalarchives.gov.uk/eu-exit/>.

Online users	Unlike previous years, the website satisfaction metrics have been calculated from several separate surveys. As such, it allows a greater understanding of performance of individual elements within our online offer, but to note is not a directly comparable metric to previous years.	53%
legislation.gov.uk users⁵	59%	79%
Records and information management services used across government⁶	The Information Management Assessment Programme is currently being revised and figures are not available this year.	<p>2 Information Management Assessments completed</p> <p>2 Information Management Assessment reports published</p> <p>1 action plan published</p> <p>1 annual review report published</p> <p>3 formal review meetings undertaken</p>

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.⁷

⁵ The online users' satisfaction survey results are down this year as we were not able to get responses from the full range of people due to the COVID-19 crisis.

⁶ The Information Management Assessment (IMA) programme is currently being evaluated. This means that these figures are not included in this annual report. The assessment criteria will be updated, and we will also aim to widen the number of public record bodies who can benefit from it. A publication model for this new iteration of the programme is to be decided. As a result, assessment numbers and publication figures will not be reported on until the new assessment programme has been developed, trialled and implemented. Please see: nationalarchives.gov.uk/information-management/manage-information/ima/ima-reports-action-plans/ for all previously published reports and action plans. Progress on a refreshed programme will be communicated in due course.

⁷ nationalarchives.gov.uk/our-role

Environment and sustainability

During 2020-21, we continued to reduce the environmental impact of our operations. This reduction was significantly influenced by the impact of the COVID-19 pandemic, with staff predominately working from home and the building being closed to the public for much of the year. We achieved an 80 per cent reduction in carbon emissions, compared with the baseline year of 2009-10, and against the Government target of a 32 per cent reduction.

We have worked to meet and exceed our obligations under the Greening Government Commitments⁸ sending no waste to landfill and reducing the overall waste we produced by 88 per cent, compared with the baseline year of 2010-11, against a target of a 30 per cent reduction.

We reduced our paper consumption by 99 per cent, compared with the previous year and no domestic flights were taken.

In 2020-21, we used 38 per cent less water compared with the 2009-10 baseline year, which represents an 11 per cent decrease compared with the previous year.

For further information, please see Sustainability accounting and reporting (Annex A) on page 101.

While the impact of COVID-19 has restricted in-person engagement, we have continued to

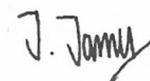
support our local community stakeholders in the following ways:

- Maintained our grounds and ornamental ponds as a local amenity for our staff, visitors, and local residents to enjoy. The grounds were open to the public from dawn until dusk, 364 days of 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, supporting the Environment Agency and the Port of London Authority's Thames flood defence maintenance work.
- Communicated regularly with our neighbours and local residents regarding planned maintenance and project works.
- Continued membership and participation with the Richmond Chamber of Commerce and key employers across the borough.
- 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.

8

<https://www.gov.uk/government/publications/greening-government-commitments-2016-to-2020>.

- Our embedded learning spaces are now furnished and will be used by the education team as part of our engagement with schools and the local community. We look forward to welcoming these groups and using this space as COVID-19 restrictions ease.
- Meetings previously held on site were not possible owing to COVID-19 restrictions.



Jeff James,

Chief Executive and Keeper,

12 July 2021

Accountability report

2

2.1 Corporate governance report

Statement from Lesley Cowley OBE, Chair of The National Archives' Board

This report marks the second year of The National Archives' strategy, 'Archives for Everyone', and like many other institutions, we have undergone rapid, often wholesale adjustments in how we operate over the course of the last 12 months. The National Archives forms a part of the UK Government's wider response to the Coronavirus (COVID-19) pandemic, and thus revised its business priorities accordingly.

Despite the challenges, The National Archives remains committed to its strategic goals, while mindful of the impact of the pandemic on our staff and business. This includes the exhaustive and timely publication of Coronavirus legislation; enhancing our public programming into an online and accessible platform for as many people as possible to experience; and working more closely with the archives sector to support the preservation of documentary heritage across the UK during difficult times. These mentions are a sample of the colossal and noteworthy efforts of the people both within and outside of the organisation during this challenging time.

With this in mind, the Board was pleased to oversee progress and completion in several significant areas. One highlight for us was the launch of 'Becoming the Inclusive Archive', which sets out The National Archives' approach to inclusion and to making meaningful changes as an organisation over the next decade. The Board remains encouraged by the

organisation's leadership and supports their aim of seeking further opportunities of benefit, such as sustainable commercial activities.

Over the last year, the Board continued to meet (virtually) and it was humbling to see the demonstrable level of focus and care from the leadership team in navigating the organisation through the many challenges it faced. We know that The National Archives' team have been doing their utmost to provide the services expected by our many audiences during this period.

There were no retirements of Non-executive Board members during the period, but we were very pleased to welcome Sonia Cargan as an additional Non-executive Board member, whose expertise will provide the Board with an invigorating new perspective.

The impact of the pandemic will be felt for a while to come, but the achievements of the last year are testament to the tireless efforts of our staff and the partners who work with, and for, The National Archives. I would like to thank everyone for their continued commitment and support and look forward to further positive developments to come.



Lesley Cowley OBE,
Chair of The National Archives' Board,
15 June 2021

Directors' report

About The National Archives

Our remit is summarised on pages 9 to 24 of this report.

Management and structure

During the year under review, 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, 'The Gazette'); Queen's Printer for Scotland and Controller of Her Majesty's Stationery Office; and the office of Government Printer for Northern Ireland.
Chief Operating Officer (from 1 March 2021) Formerly Finance and Commercial	Neil Curtis, Chief Operating Officer (from 1 March 2021) Formerly Finance and Commercial Director	Supporting the Accounting Officer. Our financial and procurement functions and driving the development of our commercial capacities in new and innovative ways.
Public Engagement	Caroline Ottaway-Searle, ⁹ 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.
Operations	Paul Davies, Operations Director	Our business-critical functions, including the estates and facilities, security, IT operations, corporate and strategic planning, and human resources.

⁹ Caroline Ottaway-Searle retired on 31 March 2021. Emmajane Avery joined The National Archives on 1 March 2021 as the new Director of Public Engagement.

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.
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.
Government and Information Rights	Lucy Fletcher, 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.

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

The National Archives' Board¹⁰

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 The National Archives' Board

Dr Claire Feehily

Non-executive Board member, Chair of the Audit and Risk Committee

Sonia Cargan¹¹

Non-executive Board member

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.

Governance statement

The National Archives' Board is the main governance body of the organisation. It consists of the Chief Executive, six 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. 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

Audit

The financial statements have been audited by the National Audit Office on behalf of the Comptroller and Auditor General. The audit fee was £75,000 (see note 4 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 have 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.¹²

are 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
- provides leadership in the delivery of statutory, corporate, and business responsibilities

¹⁰ In addition, Robert Milburn is the Independent Member of the Audit and Risk Committee.

¹¹ Sonia Cargan joined The National Archives' Board from 19 January 2021.

¹² nationalarchives.gov.uk/about/our-role/what-we-do

- makes key investment, procurement and project decisions that withstand scrutiny
- identifies and manages risks effectively
- encourages improvements in performance across the organisation
- takes corporate responsibility for its decisions and their implementation.

The role of Board members is to:

- provide effective challenge through open debate on Board matters
- ensure the right 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.¹³

The Board has a rolling agenda. Fixed agenda items include monthly financial reporting, quarterly business and performance reporting and bi-annual corporate risk register review. The Board also reviews budget and strategic priorities and scrutinises major procurement and policy decisions affecting our future strategic direction. Minutes of Board meetings are available on the website at <https://www.nationalarchives.gov.uk/about/our-role/management-board/meeting-summaries>

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.

All Board members 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.

Register of Board interests

At the beginning of each Board 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 members remove themselves from Board discussions relating to the individual agenda items. In 2020-21, there were no declared conflicts of interest which resulted in a Board member recusing themselves from discussion of an item. Board members are also responsible for ensuring that entries in the Register of Interests are maintained and updated as necessary. The [Register of Interests](#) is available on the website. For further details on related party transactions, see page 99.

Board effectiveness and performance

The Board undertakes an annual review of its effectiveness, using a survey of its members to inform in-depth discussion. This year, the Board again concluded that it was working well despite it being a challenging year, but could increase its focus on strategic items and horizon scanning as the organisation emerges out of the pandemic.

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.

The Executive Team

The Executive Team is the decision-making body of the organisation. It consists of the Chief Executive and Keeper and Executive Directors. The Head of Strategy and Chief Executive's Office and/or a Deputy also attend Executive Team meetings

¹³ <https://www.gov.uk/government/publications/the-7-principles-of-public-life>

which were typically held fortnightly during 2020-21. The role of the Executive Team is 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.

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 Teams meetings are available on the website at <https://www.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 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 Board to support 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 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 and is the main oversight committee for the organisation. Membership comprises of the Chair of the Audit and Risk Committee, another 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 Operations Director, representatives from our external auditors from the National Audit Office, representatives from the Internal Auditors (BDO UK LLP), the Head of Governance and the Corporate Performance Manager (Secretary). Traditionally, other Non-executives, Executive Directors and senior staff members may be invited to attend particular meetings for discussion of individual agenda items.

Proposed areas for internal audit focus are informed by discussions with the Committee and the Executive 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

the internal auditors, taking reports and evidence of progress as a standing agenda item. Any overdue recommendations are reported to the 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 impact of the COVID-19 pandemic on the organisation, in terms of financial performance, new and emerging risks, crisis management, business continuity and resilience, has been a key priority for the Committee throughout the year, and the Committee has worked very closely with The National Archives' Board and Executive Team to support the organisation's response to the pandemic.

The Committee maintains a list of risk assurance processes and items to be reported to each meeting 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 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: this gave the Committee further assurance we have a culture of fraud awareness and mitigation and highlighted any new areas for potential fraud.
- Security (including information assurance, cyber security risks, and data handling) and Business Continuity: the Committee noted that there were no significant breaches of security. It was also given assurance that our performance against HMG Minimum Security Standards was assessed via the Departmental Security Health Check return to the Cabinet Office. Importantly, the Committee received a high level of assurance that The National Archives' Business Continuity Management System and specifically its Pandemic Action Plan, ensured critical services continued during the COVID-19 crisis.
- Health and safety: The Committee gained assurance that there is a safe working environment for staff, visitors, and contractors at The National Archives, and that, in line with Government guidance, the building is COVID-19 secure.
- Environment and sustainability: this gave the Committee assurance that we are on track to meet 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 and had been tested. 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 during the COVID-19 crisis.
- Safeguarding Report: this report gave the Committee assurance that we are fulfilling

our statutory responsibilities.

- Procurement Report: this bi-annual update gave assurance to the Committee that there is sound oversight and management of any potential risks and opportunities associated with our procurement and commercial activities.
- 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: through regular scrutiny of the Corporate Risk Register and the specific COVID-19 Risk Register, the Committee actively continued to closely monitor and review the associated risks around The National Archives' ability to operate efficiently and effectively as a 'virtual' organisation, and importantly assess the impact on the organisation's ability to deliver its statutory duties and other obligations.
- Accountability Statements: this 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:

- the 1921 Online Census Project
- modelling and measuring digital preservation risk using DiAGRAM (an online tool that archives can employ to aid their preservation planning)
- Places of Deposit risk contingency planning

- a potentially revised allocation procedure for the New Burdens payments to both Places of Deposit (PoDs) and coroner's courts for 2020 accessions of public records.

In November 2020, 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 included feedback from other Non-executive Board members who do not sit on the Audit and Risk Committee) were predominately positive with very few proposals for change. There will be a significant number of senior staff, non-executive board members and other committee members leaving the organisation over the next 18 months. In order to mitigate the potential risk of lost skills, knowledge, and expertise throughout the organisation, one of the outputs from the self-assessment review was that a 'workforce roadmap' should be created to facilitate effective succession planning across The National Archives to identify and fill potential gaps in skillset and expertise.

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 Head of Human Resources and 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	10 of 10	4 of 4	4 of 4
Neil Curtis	Chief Operating Officer	10 of 10	4 of 4	N/A
Paul Davies	Operations Director	10 of 10	4 of 4	N/A
Lucy Fletcher	Director for Government and Information Rights	10 of 10	N/A	N/A
Dr Valerie Johnson	Director of Research and Collections	10 of 10	N/A	N/A
Caroline Ottaway-Searle ¹⁴	Director of Public Engagement	10 of 10	N/A	3 of 4 ¹⁵
John Sheridan	Digital Director	10 of 10	N/A	N/A
Lesley Cowley OBE	Chair of the Board	10 of 10	N/A	4 of 4
Sonia Cargan ¹⁶	Non-executive Board member	3 of 3	N/A	2 of 2
Dr Claire Feehily	Non-executive Board member	9 of 10	4 of 4	4 of 4
Robert Milburn	Independent member of the Audit and Risk Committee	N/A	4 of 4	N/A

14 Emmajane Avery, the incoming Director of Public Engagement also attended the March 2021 meeting.

15 Caroline Ottaway-Searle attended to provide secretariat support in place of the Head of Human Resources and Organisation Development.

16 Sonia Cargan joined 19 January 2021.

Mark Richards	Non-executive Board member	9 of 10	4 of 4	4 of 4
Baroness (Ros) Scott of Needham Market	Non-executive Board member	10 of 10	N/A	4 of 4

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 2020-21, 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 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 the COVID-19 pandemic:

there is a risk that a) our response to the COVID-19 pandemic, i.e. the closure to public and staff of our building and the transition to a largely 'virtual' home-working organisation for an as yet unknown period, and b) the impact of the virus itself, may impact on our ability to deliver our statutory duties and other obligations.

As the Coronavirus pandemic situation began to develop, we decided to create a dedicated COVID-19 risk register to manage the associated risks in five categories:

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

Overview of controls in place during the year:

- following all Government COVID-19-related instructions and guidance

- Major Incident Management Team meeting regularly to plan and deliver the closure and re-occupation of our building and restoration of services within the restrictions required
- closure of Kew site to staff and public when required, with minimal essential ongoing on site presence, enabled by enhancements to our capability to work off site
- regular communication to staff, stakeholders (including DCMS) and the public
- identification of business-critical functions and their 'on site' dependency, with ongoing monitoring via the Major Incident Management Team of our capacity to deliver in business critical areas.

Staff Leadership and Culture: there is a risk that the prolonged nature of COVID-19 pandemic restrictions have an adverse effect on the personal and professional resilience of managers and staff, leading to long term implications, including the physical and mental health of individuals.

Overview of controls in place during the year:

- focus on staff wellbeing through strong leadership and effective communication
- practical support to staff working from home
- dedicated online learning, development and wellbeing programme
- provision of a COVID-19-secure workplace for staff returning to site
- continued recruitment of new and replacement posts
- planning for new ways of working as we recover from the pandemic.

Failure to aid legal certainty: there is a risk that the ongoing scale of changes to the expanded statute book, as the UK takes back control of its laws, exceeds the financial and/or resource capacity of our team, leading to a failure to aid legal certainty and lack of compliance by The National Archives.

Overview of controls in place during the year:

- robust governance of legislation services
- strong project management and operational controls
- measurements of the volume of legislation changes required
- measurement of the rate of progress reducing the EU Exit backlog of unapplied amendments
- plans to increase editorial capacity if required.

Threat to archive services: there is a risk that financial constraints and the COVID-19 pandemic lead to pressure on archives.

Overview of controls in place during the year:

- securing and allocating 'Archives at Risk' funding of £500,000 from HM Treasury to prevent the loss of documentary cultural heritage
- ongoing advocacy and support by The National Archives to reinforce the role of Places of Deposit and the importance of retaining records locally
- leading a Records at Risk group and working with an Arts Council England-led group on records at risk in the cultural heritage sector
- working with the Business Archives Council-led Crisis Management Team to save and find a home for business records at risk

and building relationships with liquidators to support this work.

Other strategic risks considered and mitigated include:

- **Failure to meet the challenges of digital:** there is a risk that we fail to address the challenges of being a digital archive, for example, not developing suitably scalable systems, not growing and developing our expertise, not moving quickly enough to respond to technological change.
- **Transition to the 20-year rule:** there is a risk that we fail to provide sufficient support, resources and/or expertise to government departments regarding the transition to the 20-year rule.
- **Failure to exploit and benefit from commercial opportunities:** there is a risk arising from us not currently enjoying the commercial freedoms of museums and galleries, together with an organisational lack of a commercial culture and limited commercial expertise.

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 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 and approved by the Chief Executive and Keeper. Any significant governance or performance issues highlighted 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 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 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.

We monitor accidents and near miss incidents preventing 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 and put in place measures to control these risks. We ensure safe working methods and provide safe work equipment.

We provide information, instruction, training, and supervision. We consult with staff, the health and safety committee, and their representatives on health, safety, and welfare matters.

We continue to 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 the aims of our health and safety policy are met.

In these unprecedented and challenging times, we responded to the Coronavirus pandemic by implementing a COVID-19 Secure site based on our risk assessment process. We continue to follow COVID-19 Government Guidance and the guidance is regularly reviewed and updated for staff, contractors, and the public, to prevent the risk of spread of Coronavirus. We have created a COVID-19 staff hub on our intranet which contains useful guidance such as social distancing measures, first aid arrangements, access to mental health first aiders, home working, wellbeing, access to welfare facilities, hand sanitisation and face coverings.

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 ensure people enjoy our visitor experience safely.

We promote a systematic and organised method of improving health and safety within departments and a robust programme of inspection and audit. Through training and communication, we advance the principles and safe systems of work to facilitate the exchange of information for staff and managers working together with other departments in pursuit of mutual safety.

Confidential reporting (whistleblowing)¹⁷

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. No concerns were raised under these policy arrangements in 2020-21.

17 This is now known as the Civil Service 'Speak Up' campaign.

Information risk

We continue to demonstrate that we are an exemplar in the field of information risk within UK Government. There were no personal data-related incidents reported to the Information Commissioner's Office in 2020-21.

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 Principal 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

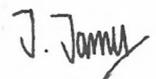
responsibility for the annual report and accounts and the judgements required for determining that it is fair, balanced and understandable

- 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

Accounting Officer

12 July 2021

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.¹⁸

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.

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's contract was extended until 31 December 2021 and Claire Feehily's contract was extended until 31 May 2021.

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

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

At the time of writing, Rommel Pereira had been appointed from 1 May 2021 on a three-

¹⁸ www.gov.uk/government/organisations/office-of-manpower-economics.

year contract to succeed Claire Feehily as Chair of the Audit and Risk Committee, following the end of her term.

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

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 2020-21 relate to performance in both 2020-21 and 2019-20, with the comparative bonuses relating to performance in both 2019-20 and 2018-19.

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, Associate Director, Non-executive Directors and Non-executive Board members of The National Archives, were as follows (audited):^{19 20}

19 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.

20 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.

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
Paul Davies Operations Director	90-95	4	-	24	120-125
Lucy Fletcher Director for Government and Information Rights	85-90	-	-	34	120-125
Dr Valerie Johnson Director of Research and Collections	85-90	-	-	34	120-125
Caroline Ottaway-Searle Director of Public Engagement	90-95	4	-	36	130-135
Emmajane Avery Director of Public Engagement (from 1 March 2021)	5-10 (85-90)	-	-	-24	-15--20 (60-65)
John Sheridan Digital Director	85-90	10	-	40	135-140
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	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
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

	2019-20				
	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	-	-	48	170-175
Neil Curtis Finance and Commercial Director	95-100	10	-	38	145-150
Paul Davies Operations Director	85-90	-	-	28	115-120
Lucy Fletcher Director for Government and Information Rights	80-85	-	-	32	110-115
Dr Valerie Johnson Director of Research and Collections	85-90	-	-	33	120-125
Caroline Ottaway-Searle Director of Public Engagement	90-95	-	-	35	125-130
Emmajane Avery Director of Public Engagement (from 1 March 2021)	N/A	N/A	N/A	N/A	N/A
John Sheridan Digital Director	85-90	-	-	35	120-125
Lesley Cowley OBE Chair of The National Archives' Board	15-20	N/A	1,700	N/A	15-20
Sonia Cargan Non-executive Board member (from 19 January 2021)	N/A	N/A	N/A	N/A	N/A
Dr Claire Feehily Non-executive Board member	10-15	N/A	2,800	N/A	15-20
Robert Milburn Independent member of the Audit and Risk Committee	0-5	N/A	-	N/A	0-5
Mark Richards Non-executive Board member	10-15	N/A	500	N/A	10-15
Baroness (Ros) Scott of Needham Market Non-executive Board member	10-15	N/A	300	N/A	10-15

Pay multiples (audited)

	2020-21	2019-20
Band of highest paid Director's remuneration (£)	120-125	120-125
Median total remuneration (£)	33,127	31,141
Ratio	3.7	3.9

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

The banded remuneration of the highest-paid Executive Director at The National Archives in the financial year 2020-21 was £120-£125,000 (2019-20: £120-£125,000). This was 3.7 times the median remuneration of the

workforce, which was £33,127. The increase in the median from the previous year is due primarily to a 2.5 per cent average pay increase received by staff and 1 per cent for Senior Civil Service staff from April 2020.

In both 2020-21 and 2019-20, no employees received remuneration in excess of the highest-paid director. Remuneration ranged

from £16,000-£125,000 (2019-20: £16,000-£125,000).

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 31/03/21 and related lump sum	Real increase in pension and related lump sum at pension age	CETV ²¹ at 31/03/21	CETV at 31/03/20	Real increase in CETV
	£000 in bands of £5,000	£000 in bands of £2,500	£000 to nearest £000	£000 to nearest £000	£000 to nearest £000
Jeff James Chief Executive and Keeper	15-20	2.5-5	251	207	28
Neil Curtis Finance and Commercial Director	10-15	0-2.5	115	86	19
Paul Davies Operations Director	25-30	0-2.5	610	562	25
Lucy Fletcher Director for Government and Information Rights	10-15	0-2.5	106	85	11
Dr Valerie Johnson Director of Research and Collections	25-30	0-2.5	415	373	22
Caroline Ottaway-Searle Director of Public Engagement	25-30	0-2.5	471	419	28
Emmajane Avery, Director of Public Engagement (from 1 March 2021)	20-25	0	348	358	-19
John Sheridan Digital Director	25-30	0-2.5	376	338	21

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

21 Cash Equivalent Transfer Values

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 will switch into alpha sometime between 1 June 2015 and 1 February 2022. 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 'money purchase' stakeholder pension with an employer contribution (partnership pension account).

Employee contributions are salary-related and range between 4.6 per cent and 8.05 per cent 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 per cent 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 per cent. 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 a stakeholder pension arrangement. The employer makes a basic contribution of between 8 per cent and 14.75 per cent (depending on the age of the member) into a stakeholder pension product chosen by the employee from the appointed provider – Legal & General. The employee does not have to contribute, but where they do make contributions, the employer will match these up to a limit of 3 per cent of pensionable salary (in addition to the employer's basic contribution). Employers also contribute a further 0.5 per cent 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. 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 eleventh year, we participated in the Civil Service staff engagement survey, achieving an overall engagement score of 75 per cent (2019-20: 71 per cent) and retaining our status as a Civil Service 'high performer'.

We are committed to training and developing our staff. We continue 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 is available to all staff, and our Stepping Up – Exploring Your Potential programme for aspiring managers. This year, due to the pandemic, we have successfully converted all of our classroom-based training to online delivery.

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

In response to the COVID-19 pandemic all recruitment was successfully conducted online. Recruitment levels have matched those we would usually expect, with

successful campaigns across all areas of the business and at all levels, including a role on our executive team.

Equality and diversity

We are committed to equal opportunities for all. Policies are in place to guard against discrimination and to ensure that there are no unfair or illegal barriers to employment or advancement within 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. In 2020, a Racial Equality Network was set up by employees for those staff who self-identify as a person of colour.

We have launched 'Becoming the Inclusive Archive' in which we set out our commitment to harnessing talent from diverse

backgrounds. We carry 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 have appointed a Non-executive Board member with a deep expertise in the field of Equality, Diversity, and Inclusion to provide expertise and oversight at a corporate level. In addition, we are developing a workforce Equality, Diversity and Inclusion action plan which sets out specific actions that will enable us to achieve the aspirations articulated in 'Becoming the Inclusive Archive'.

We are a Disability Confident Level 2 employer, and we aim to make sure that there is no discrimination on the grounds of disability.

We continue to encourage and support our staff and invest in their wellbeing.

Workforce breakdown

		31 March 2021	31 March 2020
Staff numbers	Headcount	545	527
Workforce diversity	Black and Minority Ethnic ²²	19.0%	19.9%
	Women – director level	4 of 8	3 of 7
	Women	53.6%	53.8%
	Disabled ²³	9.0%	8.8%
	Temporary appointments ²⁴	17	17
Staff Turnover		7.0%	14.7%

22 Percentage of employees declaring an ethnicity.

23 Percentage of employees declaring a disability.

24 Temporary appointments are employees appointed under Exception 1 of the [Civil Service Recruitment Principles](#).

Sickness	Days per FTE	3.7	6.1
Civil service staff engagement survey	Engagement score %	75	71
Consultancy expenditure	£000s	6	9

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

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

	2020-21			2019-20
	Permanently employed staff	Other staff ²⁵	Total	Total
Government information management	120	4	124	116
Preservation and protection	101	0	101	86
Public access	279	0	279	296
Staff engaged on capital projects	3	-	3	-
Total	503	4	507	498

²⁵ 'Other staff' includes staff on fixed-term contracts as well as agency staff and any specialist contractor.

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

Salary band	2020-21	2019-20
	Number	Number
£60,000 - £70,000	-	-
£70,000 - £80,000	-	-
£80,000 - £90,000	4	4
£90,000 - £100,000	3	2
£100,000 - £110,000	-	-
£110,000 - £120,000	-	-
£120,000 - £130,000	1	1
Total	8	7

Staff costs (audited)

	2020-21			2019-20
	Permanently employed staff	Other staff	Total	Total
Wages and salaries	19,061	153	19,214	17,956
Social security costs ²⁶	1,993	-	1,993	1,868
Other pension costs	4,801	-	4,801	4,620
Sub total	25,855	153	26,008	24,444
Less recoveries in respect of outward secondments	(79)	-	(79)	34
Total net costs	25,776	153	25,929	24,478

26 2020-21 includes £78,000 (2019-20: £67,000) apprenticeship levy cost. The Apprenticeship Levy was introduced in April 2017, requiring employers with a pay bill of more than £3 million 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 2021:

Number of existing engagements as of 31 March 2021	5
Of which:	
Number that have existed for less than one year at time of reporting	5
Number that have existed for between one and two years at time of reporting	0
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 2021:

Number of off-payroll workers engaged during the year ended 31 March 2021	7
Of which:	
Numbers determined as in-scope of IR35	0
Numbers determined as out-of-scope of IR35	7

Number of engagements reassessed for compliance or assurance purposes during the year	0
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Of which: Number of engagements that saw a change to IR35 status following the consistency review	0
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Number of engagements where the status was disputed under provisions in the off-payroll legislation	0
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Of which: Number of engagements that saw a change to IR35 status following the review	0
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Table 3: For any off-payroll engagements of Board members, and/or senior officials with significant financial responsibility, between 1 April 2020 and 31 March 2021:

Number of off-payroll engagements of Board members, and/or senior officials with significant financial responsibility, during the financial year	0
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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	12
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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. Details can be found in the resource accounts of the Cabinet Office: Civil Superannuation at www.civilservicepensionscheme.org.uk/about-us/resource-accounts

For 2020-21, employers' contributions of £4.7 million were payable in Accruing Superannuation Liability Charges (2019-20: £4.6 million) at one of four rates in the range 26.6 to 30.3 per cent (unchanged from 2019-20) 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 (2019-20: £0.07 million) were paid to the appointed stakeholder pension provider, Legal & General. Employer contributions are age-related and range from 8 to 14.75 per cent of pensionable pay.

Employers also match employee contributions up to 3 per cent of pensionable pay. In addition, employer contributions of £0.003 million (2019-20: £0.002 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 (2019-20: £0.006 million). Contributions prepaid at that date were nil (2019-20: 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	2020-21			2019-20		
	Compulsory redundancies	Other departures	Total	Compulsory redundancies	Other departures	Total
< £10	-	-	-	-	1	1
£10 - £25	-	-	-	-	-	-
£25 - £50	-	1	1	-	-	-
£50 - £100	-	-	-	-	-	-
Total number of exit packages	-	1	1	-	1	1
Total costs (£000)	£-	£28	£28	£-	£10	£10

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
16	15.1

Percentage of time spent on facility time

Percentage of time	Number of employees
0%	12
1-50%	4
51%-99%	-
100%	-

Percentage of pay bill spent on facility time

Total cost of facility time	£6,154
Total pay bill	£25,929,214
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 (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 outturn will not precisely reconcile to cash spend) 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 SOCNE, to tie the SoPS to the financial statements (note 2); and a reconciliation of outturn to net cash requirement (note 3).

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, 2020-21, all figures presented in £000s

Type of Spend	SoPS note	Outturn			Estimate			Voted outturn vs Estimate, Savings/ (Excess)	Prior Year Outturn Total 2019-20
		Voted	Non-Voted	Total	Voted	Non-Voted	Total		
Departmental Expenditure Limit									
Resource	1.1	36,498	-	36,498	38,385	-	38,385	1,887	35,997
Capital	1.2	3,524	-	3,524	3,760	-	3,760	236	2,836
Total		40,022	-	40,022	42,145	-	42,145	2,123	38,833
Annually Managed Expenditure									
Resource	1.1	-	-	-	7	-	7	7	(10)
Total		-	-	-	7	-	7	7	(10)
Total Budget									
Resource	1.1	36,498	-	36,498	38,392	-	38,392	1,894	35,987
Capital	1.2	3,524	-	3,524	3,760	-	3,760	236	2,836
Total Expenditure		40,022	-	40,022	42,152	-	42,152	2,130	38,823

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 2020-21 – all figures presented in £000s

Item	SoPS note	Outturn	Estimate	Outturn vs Estimate, Saving/ (Excess)	Prior Year Outturn Total 2019-20
Net Cash requirement	3	35,773	35,900	127	32,817

Administration costs 2020-21 – all figures presented in £000s

Item	SoPS note	Outturn	Estimate	Outturn vs Estimate, Saving/ (Excess)	Prior Year Outturn Total 2019-20
Administrative costs	1.1	9,225	10,220	995	9,423

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, 2020-21

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 2019-20
	Administration			Programme			Total	Total		
	Gross	Income	Net	Gross	Income	Net				
Spending in Departmental Expenditure Limits										
Voted expenditure	9,285	(60)	9,225	38,194	(10,921)	27,273	36,498	38,385	1,887	35,997
Spending in Annually Managed Expenditure										
Voted expenditure	-	-	-	-	-	-	-	7	7	(10)
Total resource	9,285	(60)	9,225	38,194	(10,921)	27,273	36,498	38,392	1,894	35,987

The Outturn was affected by lower staff recruitment than originally planned because of the challenges arising from the COVID-19 pandemic. Depreciation was £1.1 million lower than estimated. This is because the amount

charged was calculated using the prior year valuation whereas the estimated charge was based on the projected valuation. The remaining variance of £1 million is explained mainly by the reduction in staff recruitment.

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

Spend type	Outturn			Estimate	Outturn vs Estimate, Saving/ (Excess)	Prior Year Outturn Total 2019-20
	Gross	Income	Total	Total		
Spending in Departmental Expenditure Limit (DEL)						
Voted expenditure	3,547	(23)	3,524	3,760	236	2,836
Total Capital	3,547	(23)	3,524	3,760	236	2,836

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 <https://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; 2019-20
Total Resource outturn	SoPS1.1	36,498	35,987
Depreciation charged to Other Comprehensive Net Expenditure		(3)	(2)
Net Operating Expenditure in Consolidated Statement of Comprehensive Net Expenditure	SOCNE	36,495	35,985

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 2019-20 and 2020-21 relate to depreciation on donated assets, charged directly to Other Comprehensive Net Expenditure.

SoPS3. Reconciliation of net resource outturn to net cash requirement – all figures presented in £000s

Item	SoPS note	Outturn total	Estimate	
Total Resource outturn	SoPS 1.1	36,498	38,392	
Total Capital outturn	SoPS 1.2	3,524	3,760	236
Adjustments to remove non-cash items:				
Depreciation		(6,053)	(7,207)	(1,154)
Adjustment to previous provisions		(16)		16
Loss on disposal of assets		(10)		10
Other non-cash items		(75)		75
Adjustments to reflect movements in working balances:				
Increase/(decrease) in inventories		20		(20)
Increase/(decrease) in receivables		682		(682)
Increase/(decrease) in contract assets		(95)		95
(Increase)/decrease in payables		1,101	955	(146)
(Increase)/decrease in contract liabilities		178		(178)
Use of provisions		19		(19)
Net cash requirement		35,773	35,900	127

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.

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 2020-21 (2019-20: nil).

Remote contingent liabilities

In addition to contingent liabilities within the meaning of 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 2020-21, there were no remote contingent liabilities to report (2019-20: nil).



Jeff James,

Accounting Officer,

12 July 2021

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 2021 under the Government Resources and Accounts Act 2000. The financial statements comprise: Statement of Comprehensive Net Expenditure, Financial Position, Cash Flows, Changes in Taxpayers' Equity; and the related notes, including the significant accounting policies. These financial statements have been prepared under the accounting policies set out within them. The financial reporting framework that has been applied in their preparation is applicable law and International Accounting Standards as interpreted by HM Treasury's Government Financial Reporting Manual.

I have also audited the Statement of Parliamentary Supply and the related notes, and the information in the Accountability Report that is described in that report as having been audited.

In my opinion, the financial statements:

- give a true and fair view of the state of the Department's affairs as at 31 March 2021 and of the Department's net operating expenditure for the year then ended
- 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 Parliamentary Supply properly presents the outturn against voted Parliamentary control totals for the year ended 31 March 2021 and shows that

those totals have not been exceeded

- 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 (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 12 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 Reporting Manual, which require 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 parts of the Accountability Report described in that report as having been audited, the financial statements and my auditor's report thereon. 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 report, 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, based on the work undertaken in the course of the audit:

- the parts of the Accountability Report to be audited 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.

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

- adequate accounting records have not been kept 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 to be audited are not in agreement with the accounting records and returns; or
- certain disclosures of remuneration specified by HM Treasury's Government Financial Report Manual are not made; or
- I have not received all of the information and explanations I require for my audit; 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:

- the preparation of the financial statements in accordance with the applicable financial reporting framework and for being satisfied that they give a true and fair view
- internal controls as the Accounting Officer determines is necessary to enable the preparation of financial statement to be free from material misstatement, whether due to fraud or error
- 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.

I design procedures in line with my responsibilities, outlined above, to detect material misstatements in respect of non-compliance with laws and regulation, including fraud.

My procedures included the following:

- Inquiring of management, 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
 - 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 Government Resources and Accounts Act 2000 and Managing Public Money.
- discussing among the engagement team and involving relevant internal and external specialists, including on the valuation of property regarding how and where fraud might occur in the financial statements and any potential indicators of fraud. As part of this discussion, I identified potential for fraud in the following areas: revenue recognition and posting of unusual journals
- obtaining an understanding of The National Archives' framework of authority as well as other legal and regulatory frameworks

that The National Archives operates in, focusing on those laws and regulations that had a direct effect on 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 the Government Resources and Accounts Act 2000, Managing Public Money and relevant employment law and taxation legislation.

In addition to the above, my procedures to respond to identified risks included the following:

- 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 in revenue recognition, assessing the accuracy of licensing income against royalty statements from third parties.

I also communicated relevant identified laws and regulations and potential fraud risks to all engagement team members including internal specialists and significant component audit teams 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.

I am required to obtain evidence sufficient to give reasonable assurance that the Statement of 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

12 July 2021

Comptroller and Auditor General

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

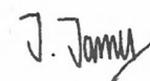
3. Financial statements

Statement of Comprehensive Net Expenditure for the year ended 31 March 2021

		2020-21	2019-20
	Note	£000	£000
Revenue from contracts with customers	4	(5,325)	(9,148)
Other operating income	4	(5,656)	(4,336)
Total operating income		(10,981)	(13,484)
Staff costs	3	25,929	24,478
Purchase of goods and services	3	15,396	18,659
Depreciation, provisions and audit charges	3	6,151	6,332
Total operating expenditure		47,476	49,469
Net operating expenditure		36,495	35,985
Other comprehensive net expenditure			
Items that will not be reclassified to net operating expenditure:			
- Net gain on revaluation of property, plant and equipment	5	(2,387)	(3,240)
- Net (gain)/loss on revaluation of intangible assets	6	(1,364)	454
- Depreciation of donated assets		(20)	2
Comprehensive net operating expenditure for the year		32,724	33,201

Statement of Financial Position as at 31 March 2021

	Note	31 March 2021		31 March 2020	
		£000	£000	£000	£000
Non-current assets:					
Property, plant and equipment	5	163,988		165,223	
Intangible assets	6	29,337		26,867	
Prepayments falling due after one year	8	164		70	
Total non-current assets			193,489		192,160
Current assets:					
Inventories		146		126	
Trade and other receivables	8	4,441		3,853	
Contract assets	8	654		749	
Cash and cash equivalents		127		10	
Total current assets			5,368		4,738
Total assets			198,857		196,898
Current liabilities					
Trade and other payables	9	(4,924)		(5,857)	
Contract liabilities	9	(60)		(238)	
Provisions	10	(48)		(14)	
Total current liabilities			(5,032)		(6,109)
Total assets less current liabilities			193,825		190,789
Non-current liabilities:					
Contract liabilities	9	(401)		(452)	
Provisions	10	(130)		(167)	
Total non-current liabilities			(531)		(619)
Total assets less liabilities			193,294		190,170
Taxpayers' equity and other reserves:					
General fund			57,421		58,015
Revaluation reserve			135,852		132,154
Donated asset reserve			21		1
Total equity			193,294		190,170



Jeff James,
Accounting Officer,
12 July 2021

Statement of Cash Flows for the year ended 31 March 2021

	Note	2020-21 £000	2019-20 £000
Cash flows from operating activities			
Net operating expenditure		(36,495)	(35,985)
Adjustments for non-cash transactions	3	6,151	6,332
(Increase)/decrease in trade and other receivables	8	(682)	1,289
Decrease in contract assets	8	95	161
Increase in inventories		(20)	(19)
Decrease in trade and other payables	9	(984)	(643)
Decrease in contract liabilities	9	(178)	(1,103)
Increase in balance with Consolidated Fund	9	(117)	-
Use of provisions	10	(19)	(13)
Net cash outflow from operating activities		(32,249)	(29,981)
Cash flows from investing activities			
Purchase of property, plant and equipment	5	(2,315)	(1,812)
Purchase of intangible assets	6	(1,232)	(1,024)
Capital grant donation		23	-
Net cash outflow from investing activities		(3,524)	(2,836)
Cash flows from financing activities			
From the Consolidated Fund (Supply) – current year		35,890	32,817
Net financing		35,890	32,817
Net increase/(decrease) in cash and cash equivalents in the period before adjustment for receipts and payments to the Consolidated Fund		117	-
Cash and cash equivalents at the beginning of the period		10	10
Cash and cash equivalents at the end of the period		127	10

Statement of Changes in Taxpayers' Equity for the year ended 31 March 2021

	Note	General Fund £000	Revaluation Reserve £000	Donated Asset Reserve £000	Taxpayers' equity £000
Balance at 1 April 2019		58,994	131,482	3	190,479
Net Parliamentary funding		32,817	-	-	32,817
Comprehensive net expenditure for the year		(35,985)	2,786	(2)	(33,201)
Auditor's remuneration	3	75	-	-	75
Transfers between reserves		2,114	(2,114)	-	-
Balance at 31 March 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

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 2020-21 'Government Financial Reporting Manual' (FRM) 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 FRM 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 FRM 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 FRM 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 FRM 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 FRM and was planned to be effective from 1 April 2021. However, HM Treasury has 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 COVID-19.

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. 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 £6.2 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 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 payment that limit 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 per cent 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. Appropriate indices are applied in intervening years.

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 5 years
Plant and machinery	up to 25 years
Furniture, fixtures and fittings	up to 50 years
Transport equipment	up to 10 years

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 10 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 11 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 have been catalogued and contain descriptions of a broad

range of documents and items. Further details of our online catalogue, Discovery, 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. 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: In the current year the land and buildings are stated at fair value using professional valuations. Professional valuations are required every five years at a minimum with appropriate indices used in intervening years. The selection of the indices used 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 38. 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.

	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
	2019-20			
	Government information management	Preservation and protection	Public access	Total
	£000	£000	£000	£000
Income	(2,361)	(495)	(10,628)	(13,484)
Operating expenditure	8,628	16,464	18,121	43,213
Depreciation, amortisation and impairment	1,249	2,383	2,624	6,256
Net operating cost	7,516	18,352	10,117	35,985

3. Operating costs

	2020-21		2019-20	
	£000	£000	£000	£000
Staff Costs				
Wages and salaries	19,214		17,956	
Social Security costs	1,993		1,868	
Other pension costs	4,801		4,620	
Secondment charges/(recoveries)	(79)		34	
		25,929		24,478
Purchase of goods and services				
Goods and services	5,474		6,042	
Storage lease rental (see below)	346		-	
Contracted services	2,243		2,826	
Building maintenance and costs	3,458		3,403	
Office supplies and equipment	199		249	
Technology cost	2,031		2,082	
Telecommunication	190		198	
Grants paid	1,022		151	
Public access	62		613	
Recruitment and training	221		333	
Travel, subsistence and hospitality	16		362	
Professional expenses	125		154	
Contract expenditure (IFRS 15)	9		2,246	
		15,396		18,659
Non-cash items:				
Depreciation and amortisation				
- Civil estate	3,950		3,959	
- Other non-current assets	2,100		2,297	
Total depreciation		6,050		6,256
Auditor's remuneration – audit work	75		75	
Loss on disposal of non-current assets	10		-	
Change to onerous lease provision	16		1	
Total other non-cash items		101		76
Total non-cash items		6,151		6,332
Total operating expenditure		47,476		49,469

Further analysis on staff numbers, compensation scheme packages and pension disclosure can be found on pages 52 to 63, within the accountability report.

No fees have been paid to auditors for non-audit work.

Storage lease rental

A new storage agreement for archival records

commenced on the 1 July 2020 and is classified as an operating lease in 2020-21. The costs associated with the storage of the documents are shown under Storage lease rental. Storage costs of £437,000 for 2019-20 and £112,000 from April to June 2020 were not classified as a lease and are included within goods and services.

Contract expenditure

In accordance with IFRS 15, revenue and costs relating to a software development contract spanning three years were held as a contract liability in the Statement of Financial Position

until the performance obligation was met during 2019-20. Costs incurred of £2,246,000 were released from contract liabilities and are shown in operating costs above.

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>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>Licensing resales. The initial commercial partner is required to provide us with a digitised copy of the images from which we can sell to an additional partner for a lump sum and benefit from further royalties.</p>	<p>The lump sum is received in advance and recognised at the time of granting the licence and images unless we require the images to be updated over the period in which the commercial partner has access to the licenced material. In such cases, the lump sum is recognised over the period of the licence.</p>
<p>Reprographics. A digitisation service for bulk orders from third parties. The records can belong to us or external parties.</p>	<p>Revenue is recognised once the copies are provided to the third party and typically billed in advance.</p>
<p>Software development. Preparation of records and the development of a website for use by commercial partner.</p>	<p>Revenue is recognised once control of the software has passed to the commercial partner. Billing is in line with costs incurred. Project revenue and costs are deferred until ownership has passed.</p>

	2020-21	2019-20
	£000	£000
Revenue from contracts with customers		
Software development	-	3,056
Licensing royalties	3,237	2,784
Storage income	319	307
Licensing resales	318	329
Reprographics	296	480
Drafting tools	236	142
Record copying	192	561
Shop income	168	244
Legislation services	128	141
Document downloads	97	265
Other	334	839
	5,325	9,148
Other operating income		
Fees charged to other government departments	676	341
Grant income	562	410
Apprenticeship levy notional income	48	51
Lessor income	4,370	3,534
	5,656	4,336
	10,981	13,484

The 2019-20 receipt of £3,056,000 for software development is derived from a single commercial partner and exceeds 10 per cent of the total revenue (2020-21: nil).

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 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
	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 2019	42,864	122,718	10,283	10,310	10,693	-	196,868
Additions	-	252	289	76	148	1,047	1,812
Disposals	-	-	(86)	(2)	-	-	(88)
Revaluation	900	2,583	-	-	-	-	3,483
At 31 March 2020	43,764	125,553	10,486	10,384	10,841	1,047	202,075
Depreciation							
At 1 April 2019	-	11,551	5,927	4,834	8,283	-	30,595
Charged in year	-	3,928	776	508	890	-	6,102
Disposals	-	-	(86)	(2)	-	-	(88)
Revaluation	-	243	-	-	-	-	243
At 31 March 2020	-	15,722	6,617	5,340	9,173	-	36,852
Net book value							
At 31 March 2020	43,764	109,831	3,869	5,044	1,668	1,047	165,223
At 31 March 2019	42,864	111,167	4,356	5,476	2,410	-	166,273

Notes

- a) Freehold land and buildings were valued on 31 March 2021 at £152.1 million BNP Paribas Real Estate (the "Valuer") acting in the capacity of external valuers. 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) A grant of £23,000 was received for the purchase of a Safepod costing £24,000. A Safepod is a prefabricated safe setting which provides accredited researchers with secure access to sensitive datasets.

A capital grant of £264,000 was received from the Arts and Humanities Research Council, of which £223,000 was spent on heritage science and digitisation equipment in year.

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 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
	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 2019	654	1,555	24,259	342	26,810
Additions	189	-	-	835	1,024
Revaluation	-	(766)	312	-	(454)
At 31 March 2020	843	789	24,571	1,177	27,380
Amortisation					
At 1 April 2019	357	-	-	-	357
Charged in year	156	-	-	-	156
At 31 March 2020	513	-	-	-	513
Net book value					
At 31 March 2020	330	789	24,571	1,177	26,867
At 31 March 2019	297	1,555	24,259	342	26,453

Assets under construction relates to internally generated software to be depreciated once ready for use.

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 2020-21 valuation
	£000
2020-21 income 10% less than forecast for revenue generating databases	(113)
2020-21 income 10% higher than forecast for revenue generating databases	113
2020-21 income 10% less than forecast for licences issued	(2,856)
2020-21 income 10% higher than forecast for licences issued	2,856

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 2020-21: £2.09 million was recognised (2019-20: £1.98 million).

Our approach to preservation risk

Physical records

The physical records held by The National Archives span over 1,000 years and fill more than 200 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 of 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 3,390 snapshots of websites and social media accounts for the UK Government web archive (2,998 in 2019-20).

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. In instances where digital records are unsuitable for online presentation, they may only be viewed within the Digital Preservation department.

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.

While we remained closed to the public, in line with the UK Government's advice in response to the pandemic, we provided free digital downloads of records via Discovery, our online catalogue. We also set up a temporary government reading room, following COVID-19-safe measures.

During the periods we were allowed to be open, all documents were produced in advance. Orders were placed seven days in advance from our July 2020 opening, reduced to four days in advance when we reopened in April 2021.

8. Trade and other receivables

	2020-21	2019-20
	£000	£000
Amounts falling due within one year:		
Contract receivables	74	230
Trade receivables	1,767	1,005
Deposits and advances	56	45
Prepayments	1,210	1,193
Accrued income	1,334	1,380
	4,441	3,853
Contract assets	654	749
	5,095	4,602
Amounts falling due after one year:		
Prepayments	164	70
Total receivables	5,259	4,672

9. Trade and other payables

	2020-21	2019-20
	£000	£000
Amounts falling due within one year:		
Other Taxation, Social Security and Pension	1,034	974
Trade payables	722	1,027
Accruals	1,222	2,593
Deferred income	527	425
Short-term staff benefits (earned leave liability)	1,292	828
Amounts issued from the Consolidated Fund for supply but not spent at year end	127	10
	4,924	5,857
Contract liabilities	60	238
	4,984	6,095
Amounts falling due after one year:		
Contract liabilities	401	452
Total payables	5,385	6,547

10. Provisions for liabilities and charges

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

	2020-21	2019-20
	£000	£000
Balance at 1 April	181	193
Provision not required written back	16	1
Provisions utilised in year	(19)	(13)
Balance as at 31 March	178	181

Analysis of expected timing of discounted cash flow

	2020-21	2019-20
	£000	£000
Payable within one year	48	14
Payable later than one year and not later than five years	130	167
Balance as at 31 March	178	181

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

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:

	2020-21	2019-20
	£000	£000
Not later than one year	1,566	1,569
Later than one year and not later than five years	488	1,163
Beyond five years	-	-
	2,054	2,732

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:

	2020-21	2019-20
	£000	£000
Receivable within one year	160	-
Receivable later than one year and not later than five years	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 (2019-20: 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.

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 £18,305 (2019-20: £17,526).

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 (2019-20: £9,360) and £788 (2019-20: £762) respectively. The National Archives paid DPC £71,942 for development of an online digital preservation learning resource (2019-20: £22,478) and £15,614 (2019-20: nil) for development of a digital preservation risk model. A sponsorship award was made to DPC to the sum of £2,500 during 2020-21 (2019-20: nil).

Dr Claire Feehily, Non-executive Board member and Chair of Audit and Risk Committee (until 31 May 2021) is a Trustee of the National Heritage Lottery Fund. Grants

were received in year to the sum of £288,002 (2019-20: £118,087) and grant income is accrued to the sum of £46,283 (2019-20: £241,567).

There are no further outstanding balances

owed to or owed from any of the above related party organisations.

The Remuneration Report (page 54) contains details of payments made to key personnel.

16. Events after the reporting period date

There have been no significant events after 31 March 2021 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.

Annex A

Sustainability accounting and reporting

This report presents an overview of The National Archives' activities during the 2020-21 financial year, and our progress against the revised Greening Government Commitments targets, and our plans for the next financial year. This was the final year of the Greening Government Commitments as they were

extended by one year to March 2021.²⁷

This report was prepared in accordance with HM Treasury's 'Public Sector annual reports: sustainability reporting guidance 2020-21'. Further information is available on our website.²⁸

Our approach

Governance and reporting

Our key sustainability targets are summarised within business plans and performance is regularly reviewed throughout the year. We are committed to meeting, and exceeding where practicable, the Greening Government Commitments. Our Executive Team reviews our sustainability performance regularly. Our Board and Audit and Risk Committee review our sustainability performance, 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, 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 sector. In particular, this has focused upon carbon reduction journeys and increased biodiversity on site as well as visitor engagement post COVID-19. This work will continue throughout the coming year and beyond.

We have shown leadership by joining the Climate Heritage Network, an international, non-lobbying, voluntary network, promoting the concept that culture and heritage are assets for climate action, and we look forward to collaborating with other members to increase the positive impact of the sector over the coming year.

Data accuracy

We review and seek to improve our data gathering and reporting processes each year. Quarterly reporting has also been reinstated for data accuracy purposes.

The COVID-19 pandemic and resulting periods of national lockdown led to the site closure in March 2020, with a series of phased re-openings and closures throughout the year. With the majority of staff continuing to work from home, the pandemic has had a positive impact on both our operational emissions and environmental impact. However, the impact on the environment of staff working from home has not been calculated or included.

²⁷ www.gov.uk/government/publications/greening-government-commitments-2016-to-2020.

²⁸ nationalarchives.gov.uk/about/our-role/transparency/.

This year, the data accounting dashboards continued to be fully utilised to improve data quality with additional opportunities to enhance data accuracy:

- The relevant dashboards have been updated with the current emissions and conversions factors
- An interim desktop review of Information Technology (IT) asset disposal took place. A full review of operations and disposal processes will be carried out when COVID-19 restrictions allow
- The biodiversity template has been updated making it easier for staff members to conduct surveys and for data collection purposes.

In 2020-21, the use of an automated platform to improve reporting and analytics has been reviewed and we will be conducting further due diligence in 2021-22. 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 (GGCs) – a set of targets and outcomes that together help ensure that

central government meets its vision for sustainability.

In many cases, these targets have already been achieved, and we have set more challenging internal targets and will continue to do so, striving to reduce our environmental impacts. Our environmental management system is built on sustainability and encourages continual improvement.

We translated the 2019-20 environmental goals and targets into a short infographic and shared across the organisation to engage and promote the progress to date with simple messages. This has proven to be successful, and we continued to provide the same for the 2020-21 information to highlight the sustainability progress achieved.

In 2020-21, 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 hindered by COVID-19. However, this remains a strategic priority for financial year 2021-22.

Sustainable Development Goals (SDGs)	2020-21 Progress	Focus for 2021-22
SDG 3. Good Health & Wellbeing	Improved wellbeing Supported employees in transitioning to home working Supported staff to return to the building and new ways of working	Improve wellbeing Visitor engagement and awareness
SDG 8. Decent Work and Economic Growth	Defined what the New Social Value Model means to The National Archives	Embed new Social Value and Modern Slavery Act requirements into all procurement, systems and processes
SDG 11. Sustainable Cities & Communities	Joined the Climate Heritage Network	Climate and energy outreach with stakeholders
SDG 12. Responsible Consumption and Production	Focused on removing single use beverage containers Explored solutions for hard to recycle waste	Further development of sustainable procurement process
SDG 13. Climate Action	Continued to focus on emissions reduction	Develop an organisation-wide Net Zero strategy and action plan aligned with GGC's
SDG 15. Life on Land	Biodiversity surveys conducted throughout COVID-19	Biodiversity Action Plan Review Further signage for staff and visitor engagement.

Progress against each of these areas is captured within the sections below and forms a key workstream of the Green Champions Network to engage employees and highlight 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

Progress has been strong in the final year of reporting against the revised Greening Government Commitments targets, building on the progress made last year.

Indicator	GGC target (2020-21)	Our target (2020-21)	Our target baseline year	FY21 change against the baseline (+/- %)	Change compared with 2019-20 (+/-%)
Greenhouse gas emissions	-32%	-65%	2009-10	-80%	-32%
	Less than 10% waste to landfill	Zero waste to landfill	2010-11	0%	0%
Operational waste	Reduce waste generation	-30%*	2010-11	-88%	-74%
	Increase recycling rate	Increase recycling rate	2010-11	-21%	-18%
Paper	-50%	-50%	2010-11	-100%	-99%
Water	Reduce water consumption	-25%	2009-10	-38%	-11%
Domestic flights taken	-30%	-30%	2009-10	-100%	-100%

* The National Archives has set its own target for waste reduction beyond the previous 25 per cent Greening Government Commitment target against the 2009-10 baseline, to aspire towards 30 per cent reduction in waste generated.

2020-21 performance

Performance in 2020-21 has continued the previous downward trend for carbon, energy and waste.

Indicator	2020-21	2020-21 per per FTE employee	2019-20	2019-20 per FTE employee
Greenhouse gas emissions – scopes 1-3 (tonnes CO₂e)	2,105	4.2	2,400	4.9
Energy used (MWh)	8,542	17.2	8,993	18.6

Waste produced* (tonnes)	83	0.17	96	0.2
Water used (m³)	17,462	35.1	18,514	38.3
Domestic flights taken	21	0.04	19	0.04

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

Greenhouse gas emissions

The Department of Digital, Culture, Media and Sport (DCMS) set an emissions reduction target for 2020-21 of 63 per cent against the 2009-10 baseline. The National Archives went further by setting an internal target of 65 per cent for this period.

Our greenhouse gas emissions associated with building energy use and domestic business travel in the 2020-21 financial year were 1,637 tonnes CO₂e. This represents an 80 per cent reduction in greenhouse gas emissions against the baseline 2009-10 financial year figures and a 22 per cent reduction on the previous year's emissions.

Indicator		2020-21	2019-20
Greenhouse gas emissions (tonnes CO₂e)	Gross emissions for scope 1 and 2	1,556	1,959
	Gross emissions for scope 3	80	146
	Electricity: non-renewable	3,998	5,279
Building energy consumption (MWh)	Electricity: renewable	0	0
	Electricity: good quality combined heat and power	90	132
	Natural gas	2,941	3,263
	Diesel oil	13.8*	0.9
Financial indicators (£)	Energy	£734,055	£885,650
	Business travel	£1,021	£113,094

* We had a lengthy power outage during lockdown which required the generators to run for over 24 hours

The intensity of emissions associated with each unit of electricity consumed has reduced by 52 per cent since the 2009-10 baseline year, with The National Archives reducing emissions by 84.4 per cent over the same time. Overall total energy consumption has reduced by 19 per cent in comparison to the same period last year and by 66 per cent since the baseline year.

In 2020-21, CO2 monitoring sensors have been installed as a trial scheme in the Estates office workspace, including meeting rooms and breakout spaces. This trial will be used to test if integration with the Building Management System (BMS) can provide monitoring of occupancy levels and reduce the use of heating, ventilation, air conditioning (HVAC) in the area whilst maintaining a suitable environment for staff, with trend-recorded graphical data for historical reporting.

The capital project to replace building boilers has been completed. This has delivered a reduction in gas consumption, but it is unclear at this time how much of this was due to the impact of COVID-19 restrictions.

Additional energy projects implemented this year include the continued Light Emitting Diode (LED) lighting roll out into back of house areas with motion sensors. In 2021-22 we will continue to install LED light fittings in office areas using lighting with high output passive infrared sensors (PIR) controlled switching. Investing in this technology aims to achieve a 40 per cent reduction in the number of installed fittings with potentially higher energy savings.

Although business travel remains a relatively small contributor to The National Archives' overall emissions, it has also reduced by 99 per cent when comparing the same period to last year. There were no flights in 2020-21 and whole-site annual business travel

emissions were 0.28 tCO2e. Following a review of business travel emissions data, whole-site travel-related emissions for 2019-20 have been adjusted to 119.3 tCO2e.

We continue to avoid unnecessary business travel and have a general approach of promoting travel by public transport rather than car, and train rather than plane. This year working remotely, limits on international travel, and using technology for business meetings, has dramatically reduced the requirement to travel during the COVID-19 pandemic. This has helped further reduce our carbon emissions this year.

In 2020-21, we continued to review our wellbeing programme against a baseline of wellbeing performance and further highlight areas for improvement which continue to be developed in 2021-22. 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, baselined to 2010-11, are to reduce the total quantity of waste we produce, to increase our recycling rate, and to send less than 10 per cent of our waste to landfill. We also have a target to reduce paper consumption by 50 per cent.

We have produced a total of 21 tonnes of general and recycling waste this year, in comparison to the 2010-11 baseline of 174.9 tonnes. No operational waste has been sent to landfill in 2020-21. Overall average monthly waste production has reduced by 88 per cent since 2009-10 and 74 per cent since last year. This overall reduction in waste reflects the site closures during COVID-19.

Indicator	2020-21	2019-20 [^]	
Operational waste (tonnes)	Total	21	83
	Recycled and reused	11	52
	Energy from waste incineration	8	24
	Food and catering: anaerobic digestion	2	7
	Composted	0	0
	Landfill	0	0
	Construction and refurbishment projects waste (tonnes)[^]	Total	30
Recycled and reused	29	4	
Landfill	0	4	
Operational waste expenditure (£)[*]	Total	£14,559	£19,860
	Recycled and reused	£4,225	£3,639
	Energy from waste incineration	£2,692	£7,558
	Food and catering: anaerobic digestion	£247	£1,655
	Landfill	£0	£0

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

[^] Following a review of the waste service providers reporting, there were some anomalies found in the data collection methodology for FY2019-20 and this has now been restated.

The proportion of waste being recycled this financial year was 52 per cent. This is lower than last year (63 per cent) and less than the proportion achieved throughout 2010-11 (65 per cent). This decrease in recycling is due to the disposal of Personal Protective Equipment (PPE) associated with the COVID-19 pandemic measures and a reduction in recyclable materials such as paper. The waste volumes and types are therefore not representative of

normal operating conditions.

In 2020-21, the Green Champions network held regular meetings (remotely) with a series of key areas promoted to engage employees. This included discussions about how to further reduce single-use plastic across departments, and biodiversity surveys to improve knowledge both on and off site. Further programmes will continue to be developed in alignment with

the Sustainable Development Goals, within the constraints of COVID-19 pandemic adaptation. In 2021-22 we intend to expand the use of the staff intranet to highlight positive environmental outcomes from changes in behaviour at The National Archives.

In 2020-21, we planned to focus further on visitor engagement and intended to remove plastic water bottles and move away from plastic takeaway cartons, as well as working with our catering supplier to promote locally sourced food sources, implement healthier eating plans and reduce food waste. Since the catering facilities remained closed throughout the year due to COVID-19, no action was taken.

Improved awareness of sustainability issues, wellbeing, visitor engagement and supply chain matters continue to be the focus areas for the Green Champion network for 2021-22. In 2020-21, we were due to carry out a staff survey and incorporate questions to improve sustainable behaviours in the office environment, however this was delayed due to COVID-19, as the majority of staff were working from home. We will now consider running a staff sustainability survey in 2021-22.

Use of finite resources

Indicator	2020-21	2019-20
Water consumption (m ³)	15,486	17,462
Water supply costs (£)	£35,740	£39,710
Paper use: (reams A4 eq.)	20	1,697

We have a target to reduce overall water consumption from 2009-10 levels.

The quantity of water consumed by The National Archives estate this financial year was 15,486m³. This is a reduction of 11 per cent on the quantity consumed in the same period last year (17,462m³), and the consumption is 38 per cent lower than that recorded in 2009-10.

Our paper consumption stands at the equivalent of 20 standard reams of A4 paper – 99 per cent less than last year and has reduced by 99.6 per cent since the 2010-11 baseline. This significant reduction is due to COVID-19 and the majority of staff working from home.

Sustainable procurement

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

- In the first half of 2020-21, a stakeholder engagement exercise was carried out to develop a definition of Social Value for The National Archives. In the second half of the year, the publication of policy note 06/20 defined the primary Social Value criteria for central government procurement. As a result, the planned review of procurement policy was deferred.
- As a result of COVID-19, strategic projects on waste reduction and the Government Procurement Card were also deferred.
- Our contract for catering services and their approach to procuring and disposing products was due to be reviewed in 2020-21. However, this was deferred to 2021-22 due to the restaurant closure and other impacts of COVID-19.

The National Archives continues to embed Social Value into its culture, having carried out a detailed review to understand what social

value means for the organisation and where we can best support and provide benefits within local communities. We plan to embed the new Social Value and Modern Slavery Act requirements into all procurement, systems and processes during 2021-22.

Biodiversity

The National Archives' site continues to be an important ecosystem for birds, bees, small mammals, and a variety of invertebrates. It has significant biodiversity value, which positively impacts its attractiveness as a destination, the wellbeing of employees, and its relationships with local stakeholders. We value our existing relationship with Royal Botanic Gardens, Kew, and look forward to developing this in the coming year.

This is the fourth year of regular biodiversity surveys. Whilst the impact of COVID-19 meant that a survey could not be undertaken in the first quarter of the year, surveys from quarter two resumed and therefore meaningful year-on-year comparisons can be made to devise recommendations for improvement. The engagement of the 'Green Champions' in biodiversity last year has been increasingly successful and we will continue to encourage involvement by interested staff. The analysis from the surveys will feed into our new five-year biodiversity action plan that will be

published in 2021-22. Additionally, there are ongoing discussions regarding new signage across the site to highlight biodiversity features to staff, visitors and, in particular, to children.

Climate change adaptation

The greatest risks 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.

Sustainable construction

The roof refurbishment project and boiler and Combined Heat and Power (CHP) upgrade were completed this year. We chose to install an additional CHP unit to improve energy efficiency and forecast that this unit will reduce electricity demand as well as supporting low-level heating demand, providing a sustainable energy source. We have also continued to progress our building master plan with the construction of two embedded learning spaces within the reading rooms. These learning spaces will provide public engagement benefits as they will be used by school groups as part of our education programme, adult learners, and for group events and holiday activities. In addition, the spaces can be used for events and functions.

Annex B

Advisory Council on National Records and Archives: 18th Annual Report 2020-21

To the Right Honourable Oliver Dowden CBE MP Secretary of State for Digital, Culture, Media and Sport ('DCMS').

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.

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 2020-21

Membership

The Council is Chaired by the Master of the Rolls, Sir Geoffrey Vos. Sir Geoffrey was appointed during the reporting period on 11 January 2021, following the retirement of Lord Etherton. Mr Trevor Woolley acts as Deputy Chair. Following

successful reappointment submissions, two members were reappointed in February 2021: Dr Peter Gooderham and Mr John Wood. The total membership of the Council remains at 18, including the Chair.

Meetings

The Council held four virtual meetings in May, July and November 2020 and in March 2021, together with an additional training meeting in September, at which a number of helpful and informative presentations were given, including on the transfer of digital records and on the implications of information already in the public domain when considering Freedom of Information cases.

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 2020-2021 totalled £106,150.

Closure of records under the Freedom of Information Act

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 Freedom of Information Act (FOIA 2000) 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 Freedom of Information (FOI) 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 (although this was not required in 2020-2021). Further information on how the Council scrutinises and challenges the applications it receives is available on the Council's website: www.nationalarchives.gov.uk/about/our-role/advisory-council/.

In 2020-21, the Council considered 5,481 applications for closure from departments (a similar figure to 2019-20). The Council queried 36 per cent of applications for the transfer of records closed under qualified (i.e. not absolute) exemptions. This figure compares with 16 per cent in 2019-20. The increase is not due to any general deterioration in the quality of departmental explanations, but rather that the Council has continued to raise the bar on the amount of evidence it has asked of departments before reaching its conclusions. Departments have been constructive in their response to this. Of the records queried, departments withdrew their applications in response to the Council's challenge in 158 cases, compared with 23 in 2019-20.

In 2020-21, the Council considered 804 individual records which departments had applied to retain (a slight reduction from 878 in 2019-20). The Council queried 8 per cent of these (11.5 per cent in 2019-20), and departments withdrew 10 applications in response to the Council's challenge, compared with five in 2019-20. The Secretary of State has accepted the Council's advice on every

application considered this year.

Detailed metrics are at Appendix C.

The Advisory Council's work on 'Born Digital' records

An increasing proportion of the records considered by the Council are in digital format. Although the percentage is currently in single figures, this will increase significantly as records since the turn of the century are transferred. The Council has increased its focus on the challenges this will present to making historic records accessible in the future. This has included the use of informal media in decision-making, the increasing volume of material which will require reviewing because of the use of email, and the problems of brigading electronic records when the discipline of a physical file is absent. The Council's governance working group received a helpful briefing from the Foreign, Commonwealth and Development Office (FCDO) on the use of artificial intelligence in the sensitivity review of historic records, which is likely to increase across government in the years ahead. All these developments have potential implications for the work of the Council.

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 2020-21, the Council received such briefings from: The British Library; Competitions and Markets Authority; Ministry of Defence; Foreign and Commonwealth Development Office; Historic England; Ministry of Justice; Metropolitan Police; Office for National Statistics; HM Revenue and Customs; and HM Treasury.

Review backlogs

This year, the Council considered a larger than usual number of requests from departments relating to the management of review backlogs. In many cases, this has been due to the impact of COVID-19, which has prevented departments from accessing records to undertake selection for permanent transfer and sensitivity review.

The Council received such retention applications from the Advisory, Conciliation and Arbitration Service; 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 Prosecution Service; UK Debt Management Office; Ministry of Defence; Department for Digital, Culture, Media and Sport; Department for Education; Centre for Environment, Fisheries and Aquaculture Science; Department for Environment, Food & Rural Affairs; UK Export Finance; Food Standards Agency; Foreign, Commonwealth and Development Office; Forestry Commission; Permanent Committee on Geographical Names; Health and Safety Executive; Historic England; Home Office; Ministry for Housing Communities and Local Government; The Insolvency Service; Ministry of Justice; HM Land Registry; The Meteorological Office; National Audit Office; Office for National Statistics; Natural England; Natural Resources Wales; NHS Resolutions; Northern Ireland Office; Royal Mail Group Ltd and Post Office Ltd; Privy Council Office; HM Revenue and Customs; Royal Botanic Gardens Kew; 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 seven years was requested.

The outcome of these applications was as follows:

- For 37 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 five cases, the recommendation was that the department be granted a lesser retention period than requested
- In three cases, the organisations were asked to attend the relevant Council meeting in person to provide a more detailed justification and timetable before a recommendation to the Secretary of State could be made
- 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 Home Office; Ministry of Defence; Ministry of Justice; Ministry of Housing, Communities and Local Government; Metropolitan Police; HM Treasury; HM Revenue and Customs; Department for Education; Animal & Plant Health Agency; Competition and Markets Authority; Historic England; British Library; Cabinet Office; Department for Transport;

Foreign Commonwealth and Development Office; Crown Prosecution Service; Medicines and Healthcare products Regulatory Agency; Civil Aviation Authority; Tate; and the Office for National Statistics.

FOI 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 2020-21, 26 panels were convened, with 277 cases being considered. Panels substantively challenged 33 of these, or 11.9 per cent of the total. This compared to 514 cases in 2019-20, where 62 cases were substantively challenged, equivalent to 12 per cent of the total. This reduction in cases considered in the last year has principally been due to the impact of COVID-19 on FOI requests.

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. As a result of this, three records were opened in full.

- Overall, sections 27 (international relations) 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 and its impact on the applicability of

exemptions.

- Last year, Council regularly reiterated the importance of quality assurance to applications for clarity to ensure cases are progressed as swiftly as possible, and improvements have been seen this year.

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 received regular quarterly reports 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.

This year, the Council also received regular quarterly updates on the impact of COVID-19 on departments' ability to comply with the 20-year rule and continues to monitor the impact of this.

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. Ms Hillary Bauer, OBE currently acts as Deputy Chair.

Four other members of the Council, all of whom have expertise in academic research and/or knowledge and experience of private archives, and two independent members currently serve as members of the Forum.

Meetings

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

The Forum met four times during the period covered by this report, in July, September and December 2020 and in March 2021. It expects to hold at least three meetings during 2021-22.

During the reporting period, the Forum has focused on:

- discussing and advising on The National Archives' research funding landscape, particularly on measuring success and working with the research community
- discussing and advising The National Archives on its Archives Unlocked Action Plan
- discussing and advising on the work of the Research and Academic Engagement and the Archive Sector Development teams at The National Archives
- considering the issue of valuation of digital archives for the Government's Acceptance in Lieu scheme

- assessing members' current skill level through a skills audit and highlighting areas for future focus in membership
- advising and assisting The National Archives regarding the events surrounding the 2022 Manorial Documents Centenary Programme
- investigating the relationship between the Forum, the Advisory Council, The National Archives and public record keeping by Arm's Length Bodies and Places of Deposit.

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. Nominated members of the Forum sat on the assessment panel of the COVID-19 Archives Fund to advise and results of the Fund were reported back to the Forum. This has been alongside general engagement on this matter throughout the year with The National Archives.

Other business

In addition, the Forum has considered three

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.

Part Four – Looking Ahead

Looking ahead to 2021-22, the biggest challenge will be the continuing impact of the COVID-19 pandemic on the end-to-end process of selecting, reviewing, and transferring records to The National Archives. Whilst the Government's roadmap out of lockdown continues to progress, the longer-term impacts of the pandemic continue to affect and constrain departments. The Council stands ready to play its part through being flexible and innovative in enabling this important activity to continue as far as possible.

The Right Honourable Sir Geoffrey Vos

The Master of the Rolls

8 July 2021

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.

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
- 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
- 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
- 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
- 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 present 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. Non-executive director, the Oil and Pipeline Agency, former Director General of Finance, Ministry of Defence

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

Ms Hillary Bauer, OBE, adviser on culture and heritage issues; Board Member of Towner Gallery Eastbourne and of Ben Uri Museum and Gallery; Trustee of the Worshipful Company of Arts Scholars

Ms Liz Copper, BBC Senior Broadcast Journalist

Ms Lesley Ferguson, Head of Archives and Engagement, Historic Environment Scotland

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 Michael Smyth CBE QC (Hon), Senior Independent Director Legal Services Board and Chairman Gastronomy Advisory Partners; former Head of Government Practice, Clifford Chance

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

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

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, 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

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 the Oxfordshire Community Foundation; Treasurer of Arts at the Old Fire Station; Trustee of UK Community Foundation

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

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

Part Two – The Forum

The Master of the Rolls chairs the Forum.

Council members Ms Hillary Bauer, OBE (the current Deputy Chair), Ms Lesley Ferguson, Dr Helen Forde, Dr Jeannette Strickland and Professor 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 – Metrics

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

Closure and Retention of Records

- In 2020-21, 91,286 (2019-20: 72,899) government records were accessioned at The National Archives
- 82,504 or 90.4% (2019-20: 60,707 or 83.3%) 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
- 2,472 or 2.7% (2019-20: 6,923 or 9.5%) of these records were transferred closed, after departmental applications to do so had been scrutinised by the Council
- 1,820 or 2% (2019-20: 5,197 or 7.1%) of these records were retained in full by the relevant department
- The remaining 31 were transferred as 'number not used'. (NB: 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 5,481, compared with 5,778 in 2019-20 (and 5,843 in 2018-19). Around 47 per cent 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 804 retention applications, compared with 878 in 2019-20.

Applications considered

Overall, there was a decrease of 6 per cent in the number of closure applications compared with 2019-20, but this still represents an increase of 28 per cent on 2014-15.

The following table sets out key metrics for 2019-2020, as compared with previous years:

	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21*
Closure applications							
Applications considered	4,250	4,435	4,290	5,974	5,843	5,778	5,481
Applications queried	181	480	465** (510**)	410**	387	487	952
Applications where clarification was received and accepted	105	340	173 (232)	122	162 (157+1+4 recalculated)	194	433
Applications that were amended by departments and accepted	67	126	247 (218)	209 ½***	208 (183+24,+1 recalculated)	173	298
Applications withdrawn by departments following challenge by the Council	9	14	44 (34)	32½ (31 ½ + 1 outstanding query withdrawn)	17 (13+4)	23	158
Outstanding closure applications at March 2020*				0 (1 resolved)	0 (37 but recalculated as 29 entries on the proforma, all resolved)	97	63
Retention applications							
Applications considered	793	952	986	1,432	970	878	804
Applications queried	28	44	108 (116)	125	52	76	68
Applications where clarification was received and accepted	21	28	39 (41)	32	20	25	27
Applications that were amended by departments and accepted	4	12	57½ (39)	79	25 (19+6)	18	16
Applications withdrawn by departments following challenge by the Council	3	4	11½ (26)	14	6 (4+2)	5	10
Outstanding retention applications at March 2020*					1 (9-8 resolved)	28	15

*A number of queried cases remained unresolved at the end of the period covered by this report and will be carried forward. At the same time, the unresolved queries from the previous period have been included in this report.

**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 ½ 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 FOI panel process

The Council's FOI 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 a 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
- 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 2020-21

In April 2018, The National Archives appointed ch&i associates to act as its Independent Complaints Reviewer (ICR). We are delighted to present our third annual report as ICR for The National Archives.

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, the General Medical Council and the Public Services Ombudsman for Wales.

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.

At the end of 2019-20, we were pleased to report that the number of complaints recorded by The National Archives had reduced from 56 to 30. In the year since, complaints have risen to 83. This is still a remarkably low number when set in the context of The National Archives' relatively high level of transactions; in the last year, these included 29,960 written enquires and 18,136 contacts via the online chat function. Indeed, such low numbers would instinctively cause us to have concerns about how customers are signposted to their complaints process and how easy The National Archives make it for them to make a complaint. Having conducted a thorough review of The National Archives' complaint handling function in 2019 though, we are confident that they place a high value on customer feedback and that the relatively low number of complaints is a result of their commitment to getting it right first time.

It is impossible to talk about the last year without talking about 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-19 lockdown restrictions. The fact that only a limited number of 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. Lessons quickly learned, which included the introduction of new ways of working to increase capacity and changes to the booking process, saw a relatively large reduction in negative feedback from November 2020 onwards.

Despite the upturn in complaints and the impact of the lockdown restrictions on the staff tasked with dealing with them, the number of complainants who asked us to independently review The National Archives handling of their complaint did not rise. As we

approach the end of our third year in the role of ICR, only two complainants have asked for an ICR review. The one review request that we received during 2020-21 did not in fact concern a service that The National Archives is responsible for delivering, but rather their use of a logo that they are required to use by HM Government. Indeed, we would have offered no criticism had The National Archives deemed this complaint to have been outside of the scope of their complaint process from the outset. The National Archives' determination to assist the complainant regardless is testament to their 'customer first' approach.

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 of Local places of deposit who received New Burdens Funding 2020-21

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

