

THE  
NATIONAL  
ARCHIVES

# Annual Report and Accounts of The National Archives

# 2022-23

HC 1475



The confession of Guy Fawkes prisoner  
in the Tower of London. taken the  
17 of Nov: 1605 acknowledged before the  
Lord co-wards

A I confesse to be a particuler in generall with first broken  
unto me against his Ma<sup>ties</sup> for reliefe of the Catholique  
cause, and not intended or propounded by my self.  
And that was first propounded unto me about Easter  
last with due ceremony, beyond the Sea in the Low-count-  
rie of the Archduke of Austria by Thomas Wynter  
who came to prison with me into England, and there were  
intended to be executed by other Gentlemen more  
namely Robert Catesby, Thomas Percy, and John Wright  
who all were consulting together of the means how to  
execute the same and taking a course and order  
for service; Catesby propounded to give it performed  
by Gunpowder, and by making a mine under the tower  
house of Parliament, w<sup>ch</sup> place was made choice of  
for that purpose because Religion having bene justly  
suppressed by his most excellent Kings and Queens  
should be executed there.

B This being performed amongst us, Thomas Percy hired  
a house at Westminster for that purpose, where adioy-  
ning to the Parliament house, and there was begunne  
to make a mine, about the 21. of December. 1604.  
So from that first entered into the work were  
Thomas Percy, Robert Catesby, Thomas Wynter, John  
Wright, and my self, and soon after were taken another  
unto us, Christopher Wright, having sworn I was also  
and taken to the Parliament for service.

C When we came to the service foundation of the wall  
of the house, w<sup>ch</sup> was about 3. yeards thick, and  
found it a matter of greater difficultie, we were to take to  
us another Gentleman Robert Winton, in like manner

Guy Fawkes' confession, where he named his co-conspirators in the Gunpowder Plot, dated 17 November 1605 (catalogue reference SP 14/216/1 (152a)).  
  
This document, along with others highlighted in this publication, featured in our *Treason: People, Power & Plot* exhibition, showcasing nearly 700 years of treasonous history through our collection.

# The National Archives Annual Report and Accounts 2022-2023

For the period 1 April 2022 to 31 March 2023

- Including the Annual Report of the Advisory Council on National Records and Archives 2022-23
- 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 His Majesty
- Ordered by the House of Commons to be printed on 18 July 2023

HC 1475

This is part of a series of departmental publications which, along with the Main Estimates 2023-24 and the document 'Public Expenditure: Statistical Analyses 2023', present the Government's outturn for 2022-23 and planned expenditure for 2023-24.

## 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 2022 to March 2023 (inclusive) and is divided into three main sections.**

The performance report and analysis (pages 3 to 37) includes a summary of progress and key activities (the performance overview), followed by our achievements over the year against each of our business priorities, and our input and impact indicators (the performance analysis).

The accountability report (pages 38 to 83) 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 84 to 113) outline our income and expenditure for the financial year, the financial position of the department as of 31 March 2023, and additional information designed to enable readers to understand these results.

**Annex A** (pages 114 to 123) 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 2023-24.

**Annex B** (pages 124 to 140) contains the Advisory Council on National Records and Archives: 20th Annual Report 2022-23, which describes its role, work actioned in year, and details of the Forum on Historical Manuscripts and Academic Research.

**Annex C** (pages 141 to 142) 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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# 1.0 Performance report

## Performance overview

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## Performance analysis

Financial management commentary

Performance against our business priorities

Performance against our input and impact indicators

Environment and sustainability

*Treason Act (catalogue reference C 74/1, m. 16)*

*The concept of Treason was first written into English law at the request of the Westminster Parliament in 1352, providing protection for the king, his bloodline and his officials. It also protected the king's subjects by defining exactly which actions were treasonous. It has never been repealed.*

## 1.1 Performance overview

### Introduction from the Chief Executive and Keeper

**To the Right Honourable Lucy Frazer KC MP, Secretary of State for Culture, Media and Sport**

This year, I look back with great pride at all we have achieved to meet our historic mission to collect and secure the future of the government record, preserving it for generations to come and making it as accessible and available as possible. It has also been a year when we have focused on planning for the future.

In this increasingly digital era, we placed The National Archives at the centre of utilising new technologies to meet future challenges, transforming our digital capabilities to build an archive that is truly hybrid. We launched our new Find Case Law service, utilising digital technologies to accession Court Judgments and Tribunal Decisions for the first time, while improving the accessibility of these records. Work also continued on the preparations for the project that will see the relocation of the Parliamentary Archives collections and services to our site at Kew, with an anticipated completion date of summer 2025. These two strategic partnerships will transform the public's understanding of what The National Archives is and does, beyond its role as the archive of government.

**In this increasingly digital era, we placed The National Archives at the centre of utilising new technologies to meet future challenges, transforming our digital capabilities to build an archive that is truly hybrid.**



Nonetheless, the Public Records Act has been central to key information debates, including those surrounding the use of non-corporate communication channels in government and their selection and retention as part of the historical record. Such debates demonstrate the importance of the Act and the duties of the Keeper to manage risks associated with new technologies, while continuing to meet our core obligations to accession and make available documents, in whatever format.

With this obligation in mind, work continued on the transfer of circa 9.7 million Ministry of Defence (MoD) service personnel records. The consequent increase in Freedom of Information (FOI) requests, owing to the interest in these records, has proved challenging and we have taken significant steps to address this demand and to improve our FOI compliance. Nevertheless, demand for these records is expected to remain

high and we will continue to focus on improving our FOI compliance in the coming year.

In 2021, we marked our ten-year anniversary as the UK Government's lead for archives in England. We have spent the last year developing a refreshed leadership offer to launch in 2023-24. We continue to advocate for the sector and have provided funding programmes to deliver vital support through what has been a challenging time for many archival services.

Over the past year, I'm pleased to say that we have seen demand for records in our reading rooms recover to almost pre-pandemic levels. Our multi-year programme to improve our on site visitor experience moves at pace and our public offer has gone from strength to strength. We continue to reach audiences across the globe through online talks and events, allowing people to experience our records in all their rich historical context and significance. Our on site exhibition, *Treason: People, Power and Plot*, exceeded its visitor target and saw our first ever talk in collaboration with the US National Archives and Records Administration.

We also marked several occasions of national and historical importance. We celebrated Her Late Majesty Queen Elizabeth II's Platinum Jubilee in June 2022 by digitising a collection of documents looking back on her life. The official records we captured following Her Late Majesty's sad passing in September will form part of our collective national memory for the future. In our role now as the King's Printer, we also published the formal notice of the Demise of the Crown and the Accession Proclamation for King Charles III in *The Gazette*.

We are looking forward to 2038 when we will celebrate the bicentenary of the founding of the Public Record Office. As an institution we have a long history, and that history is one of regular change and renewal, but our response to the challenges and opportunities ahead of us will transform The National Archives more profoundly than at any point in the last two centuries. The work we have undertaken in the last year sees us well-placed to support the growth of our collection as we become the archive of the state. The coming year will see us enter a new phase, steered by a new four-year business plan, reaffirming our commitment to the principles set out in *Archives for Everyone* of working towards becoming the inclusive, entrepreneurial and disruptive archive. Our ambitions for the future

**Our multi-year programme to improve our on site visitor experience moves at pace and our public offer has gone from strength to strength.**

are built on firm foundations established over recent years with the focus on our priorities in *Archives for Everyone*.

All that we have achieved has been through the commitment and hard work of many people. Our volunteers, the Friends of The National Archives and The National Archives Trust provided unwavering support. The staff of The National Archives once again demonstrated their determination and enthusiasm for the organisation and our shared priorities. They are a credit to this institution and to the Civil Service.

It continues to be an honour to lead this institution as Chief Executive and Keeper.

**Jeff James,  
Chief Executive and Keeper,  
11 July 2023**

# in numbers

68%



Treason exhibition visitors coming to The National Archives for the first time

87%

teachers rating our education sessions 'excellent' in 2022-23

74%



of grants we distributed to archives between 2017-23 allocated outside of London and the South East

4.5 million

historic service personnel records transferred from Ministry of Defence since 2021

240 km

total linear kilometres of physical records we hold



nearly 305,700

files transferred from government departments in 2022-23

almost

475 k



documents viewed on site in 2022-23

36%

more visitors to our site at Kew in 2022-23



96%

visitor satisfaction



at our site in Kew

21%

less total operational waste in 2022-23



27 million

files transferred so far into our Digital Safe Haven for Ukraine



over 350 million

electronic images delivered to online users via our website and partners in 2022-23



over 19k

school students taught through our remote learning resources in 2022-23



376 k

subscribers to our social media channels



nearly 104,000

amendments to legislation.gov in 2022-23



The National Archives' building in Kew

## Who we are

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

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

Our conviction is that archives are for everyone, and that archives change lives for the better. Our ambition is to connect with the biggest and most diverse audience possible, in the most innovative ways we can. In 2019, we launched our strategic vision, *Archives for Everyone*, which

sets out how we intend to become a national archive for the 21st century: the inclusive, entrepreneurial and disruptive archive.

The inclusive archive builds trust and tears down barriers to access, participation and understanding, harnessing talent from diverse backgrounds. It is bold, active and outward-looking, encountered by people and communities in unexpected places and at vital moments. The inclusive archive is about who we are, who we serve, how we work and, as custodians of a collection of international significance, our global role.

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 our collection. The entrepreneurial archive is ever-alert to new possibilities, partnerships and collaborations and adventurous in pursuing them.

The disruptive archive constantly adapts, rethinks and reshapes our practice to meet our contemporary and future challenges. It develops new skills and exploits emerging technology, reaffirming and transforming our historic mission for the digital age, from creation to presentation. The disruptive archive solves problems. It moves quickly and it moves things forwards.

**With our colleagues in the archive sector across the four nations and beyond, we will enable the technologies of the digital future to illuminate the documents of the distant past.**

This report covers the final year of the strategy's initial phase, which we put into action through five strategic intents.

#### The five intents:

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.

At the end of 2022, we grasped the opportunity to reflect back on our progress over the past four years, and the ways that the world has changed since we outlined our vision. These four years have brought many unexpected challenges, most notably the COVID-19 pandemic, but also many opportunities. We have embarked upon some major long-term projects that will greatly expand access to the records of the judiciary, parliament and government departments. Find Case Law will enable decisions made by the Senior Courts to be accessed more swiftly and easily than ever before. The transfer of the Parliamentary Archives to Kew will ensure that the ledger of democracy in action is safeguarded for the

future. The transfer of the Ministry of Defence's historic service personnel records will deepen our understanding of major world conflicts. Alongside this work, we continue to lead the transition towards the digital era. We have fundamentally changed the ways we work and made strides towards a more sustainable future. With our colleagues in the archive sector across the four nations and beyond, we will enable the technologies of the digital future to illuminate the documents of the distant past.

As we enter a new phase, steered by a new four-year business plan, it is time to reaffirm our commitment to the principles we set out in *Archives for Everyone* of working towards becoming the inclusive, entrepreneurial and disruptive archive. It is clear that, in order to drive our ambitions forward over the next four years, our core task is to sustain and maximise both our value and impact as a national archive and that of archives more widely. We want to harness the value from our collection, from the connections to it that we foster and from our role as custodian both of the collection and of the institution that supports it. What this means for our work over the next four years is a renewed focus on growing our collection, both in terms of its accessibility and utility, opening up bigger and better opportunities for everyone, everywhere, to connect with the collection, and investing in the skills, capability and infrastructure needed to support our mission over the long-term. At this point of transition, we are encouraged by our successes so far that we can move forward with faith in our mission, our people and the value of the public record for everyone, everywhere.

**We want to harness the value from our collection, from the connections to it that we foster and from our role as custodian both of the collection and of the institution that supports it.**

## Our year

### The public record

- The landscape of public records has evolved significantly over the past year, as the authoritative construction of section 3 of the Public Records Act 1958 has proved central to debates surrounding use of unofficial communication channels in government. In December 2022, in the second of two Appeals in the Senior Courts over the use of these channels, a [judgment](#) ([2022] EWCA Civ 1580) clarified that government departments have a statutory duty under sub-section 3[1] of the Act to make arrangements for the selection of the historical record, rather than to retain any particular records prior to this. The Keeper then, as part of the supervisory responsibilities detailed in sub-section 3[2] of the Act, issued statutory guidance to departmental colleagues stating that, absent a legal duty, records should be retained until information governance procedures could be applied. The judgment demonstrated the prevailing efficacy of the Act and the Keeper's duties under it and we continue to work with the Cabinet Office to manage the risks associated with new technologies.
- As the official archive of the UK Government, it is our duty to ensure that the public record endures for the benefit of everyone, now and for the future. We are entering a new era of record preservation, where physical and digital records are increasingly interconnected, and we want to build an archive that is truly hybrid, with online and on site services that inform and enhance each other. We have seen steady, incremental growth year-on-year in engagement about digital transfers with government departments. In 2022-23, the number of bodies transferring to us rose from five last year to eight – with more than 16,700 files transferred – and we've been actively in discussion about future collaboration with over 30 departments and short-term public bodies. We have also been training colleagues in new technologies, running workshops on Artificial Intelligence (AI) and information maturity tools. As the records we take in

move into the period that sees a massive expansion in email use and the creation of born-digital records, we are keen to support colleagues in government continue their work to preserve the public record accurately and securely.

**We have seen steady, incremental growth year-on-year in engagement about digital transfers with government departments.**

- A key part of our mission to preserve the public record is providing the government with expert advice in information and records management. We manage strategic interventions in the Knowledge and Information Management sphere and lead on Crown copyright and the re-use of public sector information on the government's behalf. Our advice has been integral in the past year to the drafting of a new Police Information and Records Management Code of Practice and our input into a new cross-government information management policy ensures consistent application of the [Public Records Act 1958](#) (PRA). We have supported major Public Inquiries into the Hillsborough disaster, the Grenfell tragedy, and the government's response to the COVID-19 pandemic. Our policy work is a core part of our role as a living repository of evidence for both government and for democracy and, through strong relationships with the Cabinet Office, the Government Legal Department and the Information Commissioner's Office, we ensure that information policy keeps pace with the world in which the government operates.
- Every year, we release government files for public access, twenty years after their creation. These records are an essential asset for the public, deepening our understanding of recent historical and political events. In December, we released the Cabinet Office files ([PREM 49](#)) for the period 2000-2002, which see the Prime Minister Tony Blair embarking upon his

second term in office. They chart the priorities and pitfalls of policymaking, his relationship to his US counterpart, President George W. Bush, and reveal personal insights through some unusually detailed candid annotations. We also made available to the public MI5 records relating to the Profumo Affair, the Cambridge spy ring and the former leader of the USSR, Josef Stalin. Our file releases once again generated wide [media](#) attention, bringing our records to audiences across the UK and beyond.

- Our vast multi-year project to transfer historic Ministry of Defence (MoD) service personnel records continues to build momentum. The past financial year was the second full year of the project and progress remains on target, with around 4.5 million records successfully transferred to date. This is a major project, which will have significantly expanded our holdings by the time it is completed in 2027. An undertaking of this scale tests our storage capacity and access provision, but with these challenges have also come opportunities to develop our expertise. As the transfers continue, our project team is working hard to build internal capabilities, with preparing for digitisation a priority for the coming year.
- For many years, the volumes of Freedom of Information (FOI) requests we receive has put us among the top monitored bodies in the UK Government. On average, we usually receive around 3,000 requests each year, but in 2022-23 we received more than 10,000. This growth is the result of the recently transferred MoD service personnel records, as many of these records contain personal information of people who may still be alive and can therefore only be accessed through an FOI request. Given the strong interest in tracing people who served in the military, the current upward trajectory of requests is unlikely to reverse. We are taking significant steps to address the demand, including increasing the size of our teams and publishing more information online about FOI compliance and the MoD records, but despite our efforts, we have been unable to meet the target for timely responses this year.<sup>1</sup> In March, the

Information Commissioner's Office issued a Practice Recommendation outlining an expectation that our compliance rate would improve. We will continue to work to make these important records available to the public over the coming year.

**Our vast multi-year project to transfer historic Ministry of Defence (MoD) service personnel records continues to build momentum.**

- To make way for the many records we receive, including accessions from government departments, the MoD service personnel records, plus the future transfer of the Parliamentary Archives (read more in our case study on page 13), we have been exploring options to increase our storage capacity. During 2022, we began developing a new storage strategy to best evaluate opportunities for off-site storage and make the most of our site at Kew. To meet immediate demand, we have created a new repository space at Kew and are working on sustainable solutions to meet the longer-term challenges of preserving physical records.
- We continue to develop a new Information Maturity Assessment tool for government departments, a crucial mechanism in their record management processes. To ensure we stay ahead of developments in information technologies, we have partnered with the Information and Records Management Society on this work, as well as receiving a wide range of input from the US National Archives and Records Administration, National Records of Scotland and Microsoft. Over the last year, we have achieved major milestones including making our [M365 maturity framework](#) available and developing a module to assess maturity against the s.46 Code of Practice on the Management of Records.

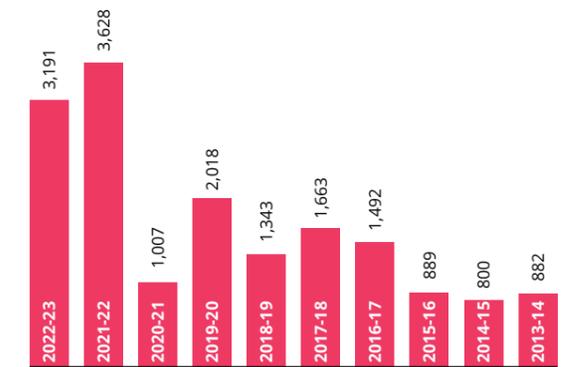
<sup>1</sup> 62% of enquiries were responded to within statutory deadlines in the calendar year 2022. For more information, see page 35.

## CASE STUDY: End of the transition to the 20-year rule

It is our statutory duty as the nation's archive to receive and preserve the records of UK Government departments. Once these records come into our care, we make them accessible to the public – except where exemptions under the Freedom of Information Act 2000 apply – so that everyone has the opportunity to look at how government operates, makes decisions and puts policies into effect. Previously, records had been transferred to us 30 years after they were created, but in 2013 the UK Government began transitioning to a new system in which they are transferred after 20 years. This was a major change to the way public records are managed and was intended to maximise openness and transparency. Two years later, the rule also came into effect at places of deposit around England and Wales for records relating to public bodies such as Magistrates' Courts and the NHS. You can read more about the history of the 20-year rule on our [website](#).

At the end of 2022, the transition period came to a close for central government. We can now therefore look back and assess progress made. Transitioning to a 20-year rule was an enormous task that effectively doubled the work for us and for government departments, who were required to review, select and transfer two-years' worth of documents each year in order to comply. Places of deposit managed by local authorities have also been required to complete the transition; the increased activity has been supported through £7.1m 'New Burdens' funding over a ten-year period, which we distribute annually. This extra resource enabled local places of deposit to implement different approaches to the work, including collaborating more closely with record creators to prepare material before transfer. Local places of deposit have two further years to complete the transition, with a final round of funding being distributed in 2025.

Much has been accomplished during the transition period. Many more records were transferred to us during this time than in the previous ten years, with the vast majority now available to the public. Departments have been prompted to better understand their holdings to an extent that would have been unlikely without the focus of this project. But there is still work to do. Significant challenges were encountered:



**Accessions from government departments to The National Archives (linear metres)**

twice as many records were eligible for transfer than had been anticipated and the COVID-19 pandemic set timeframes back substantially for some departments. Many records still await review, a process that evaluates whether they are eligible for transfer and whether they should be 'open' or 'closed' records, which is completed in collaboration with the Advisory Council of National Records and Archives (ACNRA)—see page 124 for the ACNRA's Annual report. Compliance with the 20-year rule remains high and continues to improve. Nevertheless, this work will entail sustained investment and focus over the next few years. We look forward to working with colleagues across government and with the ACNRA as progress continues.

Looking beyond the transition period, our next step is to review priorities moving forward. As we embark upon the next phase of our strategy to become an archive for everyone, there will be new challenges to preserving the public record, particularly as digital technologies are rapidly changing the way records are created and captured. Another enduring task will be to balance sensitivities in the records with access to information. The transition to the 20-year rule has had a substantial impact on the way records are transferred demonstrating the complexities in records management for everyone involved, from record creators to archive professionals. A collective effort across government will be needed to build on its achievements and continue the vital work of preserving the public record.



To make way for the many records we receive, we have been exploring options to increase our storage capacity.

## CASE STUDY: Parliamentary Archives

After the decision was taken last year to relocate the Parliamentary Archives collections and services to our site at Kew, preparations have now progressed to the transition planning stage. The collections are due to start moving at the beginning of 2024 and we anticipate that the project will be completed by the summer of 2025.

In February, the Keeper signed a Memorandum of Understanding with the Clerk of the Parliaments to govern our joint working until a formal deposit and service transfer agreement is finalised. We have been working with Parliamentary Archives staff to explore our operating model, ready to welcome their people and records to Kew in the coming years, and are glad that our specialist facilities will ensure continuing access to the important collections in their care.

### Digital transformations

- It has been a transformative year for our digital capabilities. Our historic mission to preserve the public record continually evolves along with the nature of that record, and new technologies demand a step change in our capabilities. Over the past year alone, we have launched multiple key programmes that reshape the way judicial records are captured and presented for the public and provided 330 million digital records to online users. Over the next four years, we will be consolidating and expanding our digital infrastructure ready to be able to accession near-contemporary digital records at scale, via a more holistic offer for both the UK Government and the courts.
- Our new Find Case Law service is now up and running and the programme that underpins it, Transfer Digital Records (TDR), is being used daily by the Supreme Court, High Court and Court of Appeal. These cutting-edge digital technologies enable us to accession Court Judgments and Tribunal Decisions for the first time, important



*The Parliamentary Archives are currently based in Victoria Tower at the Palace of Westminster (photo: Simon Barnes)*

**The collections are due to start moving at the beginning of 2024 and we anticipate that the project will be completed by the summer of 2025**

judicial records that complement our other collections of public records. The service also improves the accessibility of these records, making them available in a variety of digital formats. TDR met its project goal for 2022, reaching the public beta stage and facilitating over 5,300 successful transfers. We have since been working on enhancing the service further so that it can receive both 'open' and 'closed' digital records and have been investigating ways to manage transfers direct from the Cloud. You can read more about Find Case Law in our case study on page 15.

- Another major project, Lawmaker, has been getting into its stride over the past year. This inventive drafting service aids clerks in the UK Parliament and Scottish Parliament to create Bills and Statutory Instruments. By the end of March, around 500 users were already using the service – an impressive start for a complex legislation resource – and our priority has been providing users with rapid and effective support as they get set up on the new system. We

are continually improving performance and stability and will continue offering incremental updates over the coming year. Our aim is to ultimately roll out the service to secondary legislation drafters across the UK and Scottish Governments.

- Through the UK Government Web Archive, we continue the crucial work of capturing the government's online activity. We archived an average of 200 websites every month through 2022-23, including key material documenting the death of Her Late Majesty Queen Elizabeth II, the appointment of Prime Ministers, the rising cost of living and the invasion of Ukraine. Over the year, we recorded over 897,000 sessions, archived over 100 Clinical Commissioning Group websites as part of the government's Health and Social Care reforms, as well as capturing the legacy of the COP26 climate conference in Glasgow in 2021.
- *The Gazette* fulfilled its role as the official newspaper of record throughout a year of momentous events with the death of Her Late Majesty Queen Elizabeth II and the accession to the throne of King Charles III. We published an extraordinary edition of *The Gazette* announcing the demise of the Crown on 9 September 2022, followed by a special supplement featuring the Accession Proclamation. This time-honoured publication has been providing the public with a reliable register of state events since 1665 and today forms part of the Keeper's official duties as the King's Printer and Controller of His Majesty's Stationery Office.
- Our ability to become a living, growing digital archive also depends upon developing technologies behind the scenes. Our infrastructure work won awards in 2022, with our innovative digital preservation risk model, DiAGRAM, taking the international Decision Analysis Society and Society of Decision Professionals Practice Award. We have also been investing in our catalogue infrastructure. This expansive multi-year project to bring together the information spanning both our physical and digital holdings made good progress this past year, as around eight million item-level records were extracted and transformed from the current database into our new data model. Our four-year programme to Secure and

# 103,993

amendments to  
legislation  
over the past  
twelve months



Expand the Digital Archiving Infrastructure, which provides an essential scaffold for our user-facing services, is also on track at the half-way point.

- The website [legislation.gov.uk](https://legislation.gov.uk) remains a comprehensive repository for UK legislation—a vital source of legal certainty and information for the public. We strive to publish Acts and Statutory Instruments precisely and swiftly, recording 103,993 amendments to legislation over the past twelve months—a 1% increase on last year. This unrivalled online compendium has also enabled us to provide expert advice to government over the past year, with our extensive analysis of legislation informing preparations for the Retained EU Law (Revocation and Reform) Bill. New legislation resulting from the Bill will be made available online, supported by extra funding from HM Treasury, for the next two financial years.
- We are transforming our website [www.nationalarchives.gov.uk](https://www.nationalarchives.gov.uk) so that online users encounter us more often and explore the past more easily. The second year is now complete of this long-term project to reinvigorate our online presence, called Project ETNA: 'Exploring the nation's archives'. This year we were pleased to release the first glimpse of the new service as a public beta in 'Stories from the Collection', where our experts bring our records to life through blog posts, podcasts and videos. With upgrades of this scale, it is crucial to maintain access to our services throughout the transition period. We have moved our catalogue search engine, [Discovery](#), to the Cloud to bolster its resilience and hope to minimise disruption to users as much as possible as we roll out more new features.

## CASE STUDY: Find Case Law

[Find Case Law](#) is a new service from The National Archives that gives people instant access to the court judgments and tribunal decisions of the Supreme Courts, Crown Courts, and other Senior Courts. This is brand new technology that we have developed to make court judgments available to view more quickly and easily. Thanks to Find Case Law, as soon as a new judgment or decision is handed down at the end of a case, the clerk now sends it straight to us to publish online and preserve. The information is available whether you are using a mobile phone, tablet or laptop—a major advance in making these records accessible. It can also be re-used by legal professionals via a new Open Justice Licence that we developed with the judiciary specifically for these records.

under licences so that the administration of justice is protected and transparent. Judgments are extremely rich public records and have clear legal, social, economic and historical value for the present day and for posterity. They are also a crucial part of our history as the nation's archive, as some of the earliest records kept by the state were court judgments, in the days when our predecessors preserved the documents created by the medieval Court of Chancery. During the nineteenth century, a campaign to make these records available to the public for free attracted support from figures including Charles Dickens and Thomas Carlyle. Find Case Law is another step in the process towards open justice.

Find Case Law is still in the development phase, so we are working closely with our partners in the judiciary to make sure the technology meets their needs, along with those of users. The high frequency, low volume transfer model means that records are transferred earlier, lowering the risk that files get lost or damaged, but creating digital records fit for many different users nevertheless poses technical challenges; you can read about how the team has met these on their [blog](#). As we shape the service over the next few years, it will teach us much about what the digital archiving of the future looks like: how to help record creators by computing metadata beforehand, for example. Developing systems like Find Case Law, capable of managing valuable contemporary records, securing them for future generations and providing quick, straightforward public access, provides a blueprint for our transition towards a living, digital archive.



The information is available whether you are using a mobile phone, tablet or laptop—a major advance in making them accessible. It can also be re-used by legal professionals via a new Open Justice Licence that we developed specifically for these records.

Find Case Law is an important step in helping us to aid legal certainty in the digital age. Judgments are some of the most important records of the UK's judicial system. They set out the facts of the case, the arguments of the parties, the relevant laws, the decision of the court and the reasons for the decision. This data can also be re-used

Find Case Law is still in the development phase, so we are working closely with our partners in the judiciary to make sure the technology meets their needs, along with those of users

As we embark upon a new business plan, we want to cement this recovery into greater and stronger connections with our collections, in person and online, across the country and in new environments.

# TREASON

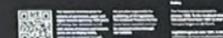


## PEOPLE, POWER & PLOT

The concept of treason is timeless. But in England its definition was dangerously flexible before the mid-1300s. Accusations of treason were used to crush rebellion and shatter rival factions competing for power at court.

Treason was first written into law at the request of Parliament in 1352, in response to fears that the king could arbitrarily charge his subjects with treason.

The Treason Act protected the king, his bloodline and his officials. It also protected the king's subjects by defining exactly which actions were treason and the work of a traitor.



Our exhibition *Treason: People, Power & Plot* opened in November 2022.

### Access and engagement

- Providing access to public records is at the heart of all we do. Over the past year, we have seen demand for our records rise back to almost pre-pandemic levels, producing 92% of the number of documents we did in 2018-19. When we launched our strategy *Archives for Everyone* in 2019, we could not have foreseen how crucial it would be to offer diverse ways to access our collections, but through the pandemic and since we have striven to keep the public record open to as many people as possible. As we embark upon a new business plan, we want to cement this recovery into greater and stronger connections with our collections, in person and online, across the country and in new environments.
- Our readers viewed nearly 475,000 documents on site during the past financial year – 30% more than the previous year – plus higher demand from government departments, too. Providing prompt access to documents is one way we measure our performance, aiming to produce them within an hour of a request, but, due to resuming our 'on demand' service and the sheer number of requests, this was slightly lower this year at 89% (for more information on our input indicators, see page 35). Overall, though, reader satisfaction remained high at 96%. Across the year, our customer teams welcomed over 37,000 visits to our reading rooms and responded to over 25,000 email queries, 400 letters and 11,000 online enquiries.
- Our exhibition on *Treason: People, Power and Plot* opened in time for Guy Fawkes' night on 5 November. Through tales of betrayal and dissent, we brought together for the first time iconic documents about Guy Fawkes, Anne Boleyn, Charles I, and many others. The exhibition led audiences through the centuries, revealing how definitions of treason – and power – could be dangerously flexible. Fascinating insights were provided by speakers including Philippa Gregory, Robert Harris and Tracy Borman and we hosted our first event in collaboration with the US National Archives and Records Administration. The exhibition proved popular, welcoming 16,800 people by the end of March 2023—exceeding our visitor target by 23%. We also explored new ways to showcase our records for this exhibition, producing our first accompanying book, *A History of Treason*, and online [tour](#). Exhibitions are an essential part of our public work, allowing people to experience our records in all their rich historical context and significance.
- Alongside our exhibitions, we have embarked on a multi-year [programme](#) to improve our wider on site visitor experience this year. Our public offer has steadily grown since the COVID-19 pandemic and our programme goes from strength to strength, seeing nearly 75,000 visitors on site over the past financial year – 36% more than last year – including over 22,000 visits to our two exhibition seasons. As more people return to in person events, our on site services have seen activity approaching pre-pandemic levels, with our on site shop takings up 14% at nearly £144,000 and online sales steady at over £203,000. In early 2023, we started opening on Sundays so that we can reach different audiences and signs so far are promising, as 68% of visitors to our *Treason* exhibition were new to us. We've also been renewing our public spaces and updating our signage to make our Kew site more accessible for first-time visitors. An impressive 93% of visitors said they were satisfied or very satisfied and our VisitEngland score continues to climb at 90%. As we build on these successes, our next exhibition for 2023, *Spirit of Invention*, aims to draw new audiences again with interactive exhibits inspired by curiosities in our Victorian Board of Trade design registers.
- We marked several occasions of national and historical importance over the year. In June 2022, we celebrated Her Late Majesty Queen Elizabeth II's Platinum Jubilee by digitising a collection of [documents](#) looking back on her life and [snapshots](#) of her royal ancestors. For schools joining in with the occasion, we produced a set of [resources](#). Following her sad passing in September, we invited people to express their condolences with us. The official records we captured of this moment will form part of our collective national memory for the future.
- On social media, we now have over 376,000 followers across all channels and our content has generated more than 20 million

impressions. This media reach ensures public awareness remains strong, with 83% of people saying they had heard about our work.<sup>2</sup> *Treason* season also spoke to audiences far and wide—23% of visitors were recommended by friends and family, 20% noticed our adverts while out and about and 15% found us through our guest episodes on *The Rest is History* podcast. As we enter a new exhibition season, we will continue finding new ways to meet audiences across the digital sphere.

- We continue to grow our Education programme. From April 2022 to March 2023, we reached over 19,000 students in workshops – a record for our service – either on site, online or offsite, or through our Special Educational Needs and Disability (SEND) programme. Over 87% of teachers rated our sessions ‘excellent’ and people said our resources were ‘fantastic’ and ‘pitched appropriately and fitted perfectly with our GCSE unit’. We delivered 85% of these sessions to state schools and 49% to schools beyond the South East. Of our students, 22% attended a school with above average ethnic minority backgrounds and 30% attended a school with above average take-up of free school meals. We continue to monitor where our sessions can make an impact as part of our wider work on inclusion (read more on page 29).
- We’ve also launched a new video series called *Spotlight On*, which illuminates iconic documents such as Domesday Book, complete with resource packs ready to use in the classroom. Our outreach team also nurtured some thought-provoking creative projects this past year. Records relating to the Irish War of Independence inspired two audio plays: *The Bulletin*, by Barbara Bergin, and *Persons Unknown*, by Fin Kennedy.
- We continue to develop our partnership with The National Archives Trust (NAT) following its launch in February 2020. Thanks to a generous £500,000 grant to the Trust from the Clore Duffield Foundation, we completed our new Clore Learning Centre at Kew, ready to open in May 2023. This Centre is the first of its kind in a UK archive, hosting two production studios, a

broadcast studio and new spaces for our ever-expanding education work. The Centre significantly enhances our capacity for on site and digital learning, helping us fulfil our ambition to open up our collections for more people to enjoy.

- We started a new schools programme in 2022 called ‘20s Streets’, building on the very successful 1921 census release, to give children the chance to use census records and local archival material to uncover stories from their neighbourhoods in the ‘20s. Working with schools in Accrington, Wakefield, Falmouth and Tower Hamlets, this project enabled communities across England to encounter us in new ways and received positive feedback: 100% of people who took part rated the activities very good or excellent!
- We are very grateful to the Friends of The National Archives for their generous contributions, which each year help us do more and reach more people. This year, they funded important projects, including a filmmaking project for young people celebrating ‘LGBTQ+ lives in the archive’, inspired by our collections, and a research project on ‘The Home Office Papers and



*Our 20s Streets schools programme connected children and archives around the country*

<sup>2</sup> A quarterly prompted awareness survey asked 1,000 nationally representative adults: “How familiar are you with The National Archives?”

Ireland, 1793–1803: From Rebellion to Union’.

- We want to thank our volunteers, whose help this year has seen several important cataloguing projects to completion. They have now finished diligently cataloguing the records of over 200,000 individuals in the Prisoner of War & Civilian Internee (WO 416) series, enabling these records to be opened to the public for the first time. Their other valuable work on catalogue descriptions for Second World War diaries from South-East Asia (WO 172) will enable researchers to delve further into the series. Improvements to catalogue information for Colonial Office Correspondence for Mesopotamia in the period 1921-1926 (CO 730) will allow these increasingly popular records to be better understood. In early 2023, one volunteer also made the serendipitous discovery of a letter by J. R. R. Tolkien, who was writing to the British Council about funding for his research into early English languages. To discover what other hidden treasures might be lying in our collections, join our volunteers.

#### Collections and research

- Research is an important part of our mission. Every year, we produce a substantial amount of original research that enhances our collective understanding of the histories we share, illuminating the clues held within archival records so that we can not only make sense of our past, but learn things about our present and our future, too. Over the past year, we have produced dozens of research publications and our projects have made headlines around the world. Read more about our research in our case study on page 23. Testing out new ideas not only helps us drive forward current thinking in archival theory and practice, but also deliver our strategic objectives and address organisational challenges. To ensure that our work continues to align with our priorities to disrupt and innovate, we have also renewed our approach to research this year, designing our future projects to support strategic delivery.
- Our major research partnerships continue to propel innovation in archive theory and practice, backed by over £500,000 from UK Research & Innovation (UKRI):

Every year, we produce a substantial amount of original research that enhances our collective understanding of the histories we share, illuminating the clues held within archival records so that we can not only make sense of our past, but learn things about our present and our future, too.

- With institutes across the UK and the US, we have been exploring maps and botanical drawings made between 1780-1850 in Latin America and Asia for export to Europe or North America. The project, ‘From Lima to Canton and Beyond: An AI-aided heritage materials research platform for studying globalisation through art’, uses advanced imaging and material analysis techniques to streamline how data is collected and interpreted for these rich visual records, to aid future insights into historical trade and information exchange networks.
- The ‘Our Heritage, Our Stories’ project is working with communities and community-generated digital content, using AI tools to enrich data for people to explore and cross-search with our catalogue, Discovery. Led by the University of Glasgow, with the University of Manchester and archive and library partners across the UK, this project is part of the Arts and Humanities Research Council’s ‘Towards a National Collection’ programme.
- ‘Teaching the ‘Voices of the Victorian Poor’ built on the success of our collaborative project with the University of Leicester into the Poor Law, ‘In Their Own Write’, to develop an open database of the archival materials, plus free educational resources, interactive mapping, videos.

- Our project [‘Digital approaches to the capture and analysis of watermarks using the manuscripts of Isaac Newton as a test case’](#) has been using AI to work on automated analysis for watermarks, which in future will aid the process for dating manuscript collections.
- The flagship conference we run with Jisc and Research Libraries UK, [Discovering Collections, Discovering Communities](#), returned for a second successful virtual year in July. The conference explores current research and practice in galleries, libraries, archives, museums and academia, focusing in 2022 on digital innovation and transformation—a key area of our work. The conference will be back in 2023 with a fully hybrid experience and welcomes the British Library as a new partner.
- Our research events bring people together from across professions to generate conversations on the topics that matter. In March, our brand new [‘History and Archives in Practice’](#) conference co-organised with the Institute of Historical Research and the Royal Historical Society was a sell-out success; the inaugural event explored the theme [‘Collecting Communities: Working together and with Collections’](#). Our [Annual Digital Lecture](#) showcased innovative research, too, with Professor Kate Crawford from USC Annenberg speaking about [‘Ground Truth: In the Archives That Train Machine Learning’](#). Attendees said the event gave valuable [‘insight into ethical and environmental](#)

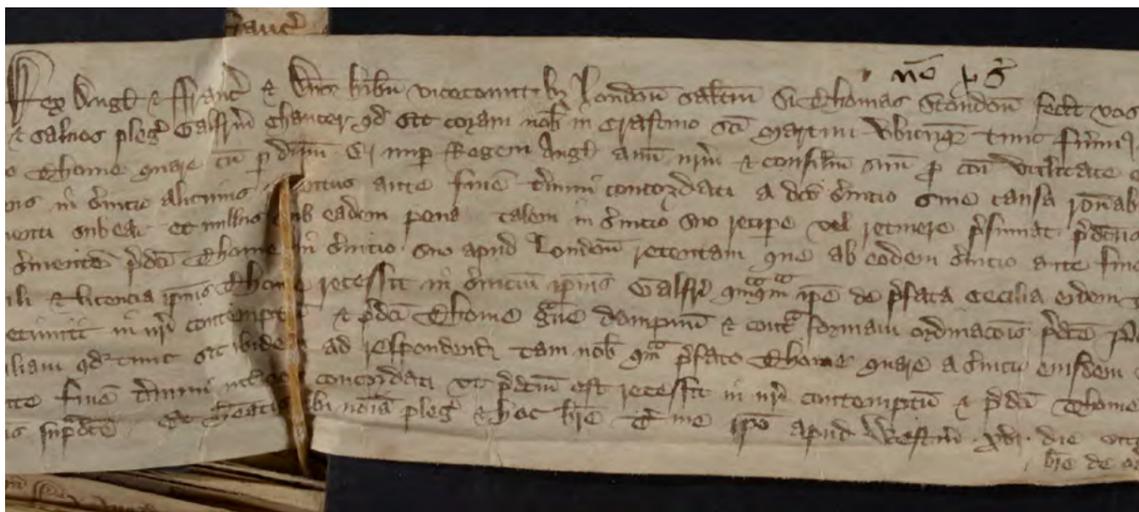
issues’ and would encourage them to [‘approach AI projects in a different way’](#).

- Our Medieval records specialist Dr Euan Roger made a remarkable find in 2022. In collaboration with Prof. Sebastian Sobiecki from the University of Toronto, he uncovered documents shedding new light on the life of the medieval poet, Geoffrey Chaucer, from the Court of King’s Bench collection (KB 27) and Common Pleas (CP 40). The records bring a new perspective to Chaucer’s role in a controversial court case and is the first new evidence on his life

**Through our archival skills training workshops, we help nurture the researchers of the future.**

in over 20 years. The find led to a [special issue](#) of the journal *Chaucer Review*, a sell-out online event with over 700 people, and international [headline coverage](#).

- Through our archival skills training workshops, we help nurture the researchers of the future. In the past year alone, we have introduced over 400 university students to original documents and how to work with them. We are also committed to enriching our internal research culture, through events including writing retreats, monthly writing groups, student symposia, and, as of 2023, a new Researcher Development



*New academic research provided new perspectives on Chaucer (catalogue reference KB 136/5/3/1/2)*

programme. We have been hosting two Research Fellows working on areas where we are trying to develop our understanding: photography, and data visualisation and storytelling. We have a vast collection of visual records, which is encouraging us to work with records in new ways, and as archive professionals we are always trying to discover the stories that data holds. Investing in people is a crucial contribution to the sector we lead, nurturing the current and future practitioners whose ideas and expertise benefit us all.

- We are growing our ambitions for our grants programmes, devising new processes to transform our approach to delivery, compliance and risk. We now offer enhanced project management support to staff holding grants, consolidating not only financial management for individual projects but also our understanding of the organisation’s overall portfolio, so that we can work more strategically towards our objectives. Since April 2022, we have secured nearly £650,000 in external income for our research activities. Each project helps build our collective research expertise, which, in turn, helps us share our understanding and practices with others in the sector.
- Events and exhibitions around the world help our records reach people far beyond the reading rooms. Over the past twelve months, over a million visitors have experienced physical items from our collections through 31 loans to 11 exhibitions around the UK, Europe, and further afield. One of our most memorable collaborations was making preparations to mark 25 years since the signing of the Belfast Agreement (Good Friday Agreement). Ready for a series of commemorative events across Northern Ireland in April 2023, we have been working with the Public Record Office of Northern Ireland and the Northern Ireland Office to exhibit the UK copy of the Agreement – the first time it will have been on public display in Northern Ireland. The Northern Ireland Office also commissioned us to develop [educational resources](#) for launch by Secretary of State, Chris Heaton-Harris. This dynamic partnership puts into action our belief that archives hold the potential to build bridges towards mutual



*Musical manuscript discovered among the Prize Papers collection (catalogue reference HCA 32/111B (G11r))*

understanding, even when our histories contain conflict.

- We are forging ahead with our work on the Prize Papers, a sprawling collection of documents and artifacts legally seized from ships by the British Royal Navy between 1652 and 1817. The collection contains material relating to maritime, legal and commercial matters during an era of exploration, land capture and violent oppression. It therefore testifies to the lives of not only sailors, passengers and correspondents, but enslaved people on board some of the vessels. This project,

**Over the past twelve months, over a million visitors have experienced physical items from our collections through 31 loans to 11 exhibitions around the UK, Europe, and further afield.**

Our 'Unheard opera' explored a collection of musical manuscripts, containing pieces believed not to have been performed in several centuries, which had been discovered in the personal effects of an early nineteenth-century Dutch merchant ship officer Jan Bekker Teerlink.

in collaboration with the University of Oldenburg and the German Historical Institute, will provide new insights into colonial expansion and, as such, the project team is approaching the material with consideration for the different experiences it documents. One illuminating find so far from the collection was brought to life in early 2023 with a sell-out event supported by our Strategic Research Fund. Our 'Unheard opera' explored a collection of musical manuscripts, containing pieces believed not to have been performed in several centuries, which had been discovered in the personal effects of an early nineteenth-century Dutch merchant ship officer Jan Bekker Teerlink. As the Prize Papers project unfolds, we are keen to share what else this collection holds, whether tales of discovery or oppression, so that we can better understand this defining period of European history.

- Our exceptional research facilities and expertise in heritage science and conservation enhance the wider UK cultural heritage sector. This past year we have been working on a number of exciting new projects, including analysing the secrets contained in Admiral Nelson's uniform with the National Maritime Museum, investigating the materiality of rare Armada maps with the National Museum of the Royal Navy, and exploring dyes in King Charles I's execution shirt at the Museum of London.



*Analysis of Admiral Nelson's uniform from the National Maritime Museum's collection*

## CASE STUDY: Virtual Record Treasury of Ireland

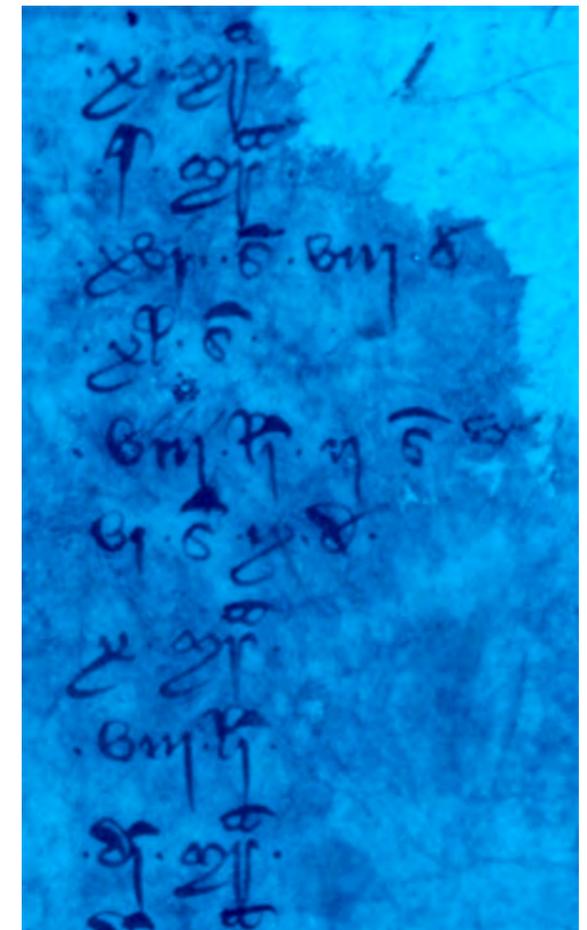
2022 saw the launch of a project to recreate a lost archive through the wonders of virtual technology. The [Virtual Record Treasury of Ireland \(VRTI\)](#) is a rich online platform to explore records from the Irish Record Treasury, which was destroyed by a fire at the outbreak of the Irish Civil War. On a single day in 1922, seven centuries of Irish records were lost. One hundred years later, thanks to an international collaborative effort led by Trinity College Dublin, along with founding partners the National Archives of Ireland, the Public Record Office of Northern Ireland, the Irish Manuscripts Commission and us, the reconstruction opened its virtual doors.

The project incorporates our extensive holdings relating to pre-Independence Ireland, using clerical copies and original records to recreate substantial parts of the lost collection. It required a major feat of collaboration to amass the relevant information; the project team compiled an Inventory of Loss, with input from our collections specialists, then used Linked Open Data principles to create an Inventory of Survival. Colleagues across our research and conservation teams provided crucial assistance in helping identify and restore many records (hear more on our [podcast](#)).

**Our research provides lasting benefits not only for the documents within the VRTI, which can now be read, but also our broader understanding of using imaging techniques on faded or damaged documents.**

The project has also prompted further [research](#) into accessibility issues unfortunately common among archival collections in which the materials used to inscribe or preserve a record have chemically altered over time, to the point that the document is no longer legible. Our heritage science team has investigated two examples, the use of iron gall ink and gallic acid 'treatment' applied later, using multispectral imaging, x-ray fluorescence scanning and hyperspectral imaging to improve readability.

Our research provides lasting benefits not only for the documents within the VRTI, which can now be read, but also our broader understanding of using imaging techniques on faded or damaged documents. We are now working with University College London and Historic Royal Palaces to share our findings. The VRTI has strengthened our connections with colleagues in the sector and in government both in Ireland and Northern Ireland, demonstrating our belief that when we share the stories within our collections, our collective understanding of even troubled histories is enriched as a result. As a repository of memory, the VRTI serves as a reminder of the importance – and fragility – of the public record.



*Multispectral imaging techniques improved the readability of documents featured in the Virtual Record Treasury of Ireland project*

### The archive sector

- After ten years of policy leadership for archives in England, we have been reviewing our approach to sector leadership this year ready to launch a refreshed offer in summer 2023. It has been a difficult year for the sector, with inflationary pressures tightening resources as some areas continue to recover following the COVID-19 pandemic. As part of our aim to be an effective leader and advocate, we have focused our recent support for the sector on meeting these challenges. Feedback has been very positive: participants at our Creative Income Generation sessions said they provided “lots of ideas and avenues to pursue in the future” and attendees at our 'Reframe, Regear, Reset' workshops found them a “welcome opportunity to think in a different way about what we're currently doing”. Despite a challenging year, places of deposit eligible for the New Burdens funding we distribute successfully received 977 linear metres of public records in the twelve months to March. With our revitalised leadership offer, we will continue to support the sector in their vital work.
- Over the past financial year, our regular funding programmes have delivered vital support through what has been a challenging time for many organisations:
  - Our Archives Testbed Fund awarded nearly £75,000 to support archives to enhance their sustainability and engage local communities
  - Our new [Records at Risk](#) and [Resilience Funds](#) awarded over £103,000 to help mitigate the rising cost of living and maintain collections at risk
  - We distributed £660,000 of New Burdens funding to support the sector manage the transition to the 20-year rule (read more in our case study on page 11)
  - Our cataloguing grants programme, [Archives Revealed](#), awarded nearly £380,000, in partnership with The

Wolfson Foundation and the Pilgrim Trust, to open up ten significant collections representing the lives and perspectives of people across the four nations.

We are committed to supporting archives to reach people around the UK and in the past six years have provided more than £2.9 million to the archives sector, with 74% of our funding allocated outside of London and the South East. We are currently laying the groundwork for new funding programmes and objectives designed with sector colleagues firmly in mind.

**To replace the annual Archive Services Statistics Survey, we have developed our own Local Authority Archives Benchmarking Exercise, which this year saw contributions from 68% of services in England and Wales.**

- So that we continue learning from archive professionals around the country, we have also been working on gathering better data. To replace the annual Archive Services Statistics Survey, we have developed our own Local Authority Archives Benchmarking Exercise, which this year saw contributions from 68% of services in England and Wales.
- The Archive Service Accreditation programme has resumed assessment operations across the four nations and there are now 176 accredited services.<sup>3</sup> Some timetables for assessment have still experienced disruption following the COVID-19 pandemic, but we are working hard to complete outstanding reviews. The Archive Service Accreditation Committee and its programme partners are now planning a review as the programme's tenth anniversary approaches.

<sup>3</sup> Archive Service Accreditation is supported by a partnership of the Archives and Records Association (UK), Archives and Records Council Wales, National Records of Scotland, Public Record Office of Northern Ireland, Scottish Council on Archives, The National Archives and the Welsh Government through its Museums, Archives and Libraries Wales division.

- We are developing various resources to help the archive and conservation sector share knowledge. Our knowledge sharing website, ResearchSpace, which records conservation practice and research, will be open to the public later in 2023. We also have published a new inclusion hub on our website with data and resources on inclusive practices, as well as case studies, videos, and tools for communicating histories of conflict.
- Over 540 collections were added to Discovery by UK archivists using the Manage Your Collections tool in 2022. The system is now used by over 300 UK archives. Over the year, we ran training webinars and workshops on the tool and we continue to engage a range of stakeholders in using the tool and making collections more accessible and discoverable.
- In June, we celebrated the centenary of the Law and Property Act 1922 with a reception hosted by the Master of the Rolls at the Royal Courts of Justice. The event was an opportunity to celebrate the project to digitise the catalogues of manorial documents, important records that centuries later retain significant relevance for legal and research purposes. In partnership with Nottingham University, we also ran a [conference](#) to celebrate current and innovative research involving manorial records, the discussions demonstrating the prevailing power of such records to define land use and ownership. Our thanks go to the members of the previous Manorial Documents Panel who helped bring this project to fruition. You can read about the Advisory Council on National Records and Archives' continuing work on Manorial and Tithe Documents in their Annual Report (page 124).

**For many years, we have been actively exploring the challenges of shared archival heritage.**

- As policy lead for the sector, our expert advice spans fields as diverse as business archives and cultural property. We monitor hundreds of sales of archival material in the commercial market each year to ensure our guidance is based on the most up-to-date intelligence and, as part of a cross-sector

Crisis Management Team, help safeguard business archives. This year, we have been working with the Business Archives Council, the Insolvency Practitioners Association and the Institute of Directors to raise awareness about the importance of [Managing Business Archives](#) and digital preservation.

- We continue to invest in training future archive and research professionals who will help provide trusted evidence, safeguard transparency and unlock the compelling stories in collections across the country. We saw over 800 people register onto our Novice to Know How Learning Pathway this year, plus we hosted a number of doctoral studentships and pairings via our Peer Mentoring Programme. Our Bridging the Digital Gap programme funded by the Heritage Lottery Fund came to completion this year after: you can read about participants' experiences on their [blogs](#).

### International collaboration

- Over the past year, we have joined archives throughout the world in important conversations on the future of archives. Working closely with the International Council on Archives (ICA), the Forum of National Archivists (FAN), and colleagues in sister institutions around the globe, we have been thinking through the issues that we as an international archival community face. We want to ensure we are making the most meaningful contributions to international dialogues that we can and are reviewing our international strategy, ready to relaunch later in 2023.
- As the conflict in Ukraine carries on, so do our efforts to support archive colleagues there to preserve their documentary heritage. So far, we have taken 153 Terabytes across 27 million digital files into our Digital Safe Haven and material is still coming in. We are committed to looking after as much as we are sent, which we will hold in trust for the Ukrainian people for as long as the invasion continues. We are proud to be able to use our expertise and resources to help other nations protect their cultural heritage.
- For many years, we have been actively exploring the challenges of shared archival heritage. We have facilitated important

discussions at FAN meetings, including the International Council on Archives' Expert Group on Shared Archival Heritage. We have begun a project closer to home, too, to widen access to our record series Foreign and Commonwealth Office and predecessors: Records of Former Colonial Administrations: Migrated Archives (FCO 141). In 2022, it was discovered that documents in this series had been treated using a potentially harmful insecticide. After conducting thorough testing via external agencies, we established that it was possible to continue our work to digitise the records and they can now be accessed without further potential exposure. Thanks to research by our teams in Collections Care, Digitisation and Collections Expertise and Engagement, our findings on historical preservation treatments are now available for the benefit of all archives. Digitising the whole series is a task on a global scale and is anticipated to take around five to ten years to complete. In the meantime, we are committed to working with colleagues in African national archives towards agreed approaches to shared archival heritage.

across the globe delved into the urgent questions facing the archive and information management professional communities: digitisation programmes, artificial intelligence, resilient records management, shared archival heritage and memory, global collaboration and more. Colleagues from nearly 30 organisations in 19 countries over five continents shared their experience and expertise with audiences [online](#).

- In September 2022, we were delighted to join colleagues in person for the first time in a few years for the ninth annual International Council on Archives (ICA) conference, hosted in collaboration with SOS Archivi and Symposia in Rome. The conference was themed on [Archives: Bridging the Gap](#), speaking to our strategic aims to become a more inclusive archive: one that can bridge gaps between diverse communities, life experiences and histories. Colleagues from across the organisation presented sessions on emerging issues for national archivists and stewarded important discussions on shared archival heritage.

#### Commercial activity

- Our commercial activity continues to grow and our partnerships proved productive once again over the past year. As well as generating vital revenue, these partnerships add public value, too, with partners increasingly offering greater access to records relevant to communities around the globe. Our licensing programme is one of the largest in the world<sup>4</sup> and our publishing activity makes new research possible, in turn fuelling new understanding of our past, educational

**Our licensing programme is one of the largest in the world and our publishing activity makes new research possible, in turn fuelling new understanding of our past, new educational resources and new stories through art and culture.**



*After three years of virtual meetings, delegates from The National Archives attended the 9th ICA Conference in person in Rome in September 2022*

- In April 2022, the FAN Virtual Conversations (#FANVC) took place online in collaboration with the ICA and FAN. At #FANVC, representatives from national archives

<sup>4</sup> Based on royalties from partners such as Ancestry.

resources and stories through art and culture. Expanding access to our records via this work is an essential part of our strategic ambition to bring archives to people in new ways and unexpected places, whether that be through the classroom, genealogy websites, or the pages of the latest historical tome. Over the next four years, as we implement our new business plan, we will work to steer this expansion in line with our strategic ambitions.

- Licensing is integral to our mission to become an archive for everyone. Making our records available online allows people to access them where they are, whether on-the-go or on the other side of the world. In the past year, we have made over two million new images available from our collections via both commercial and non-commercial partners. With AM (formerly Adam Matthew), we launched new academic resources on 'Life at Sea', 'Colonial Caribbean' and 'Africa and the New Imperialism'—read more about how these will be available free to those regions the records concern as part of our inclusion work on page 29. With Gale, we launched new products on 'Women's Studies' and 'Colonial Asia', and with Coherent Digital we released a new series on 'Weimar Nazi Germany'. In partnership with Ancestry, we have made many important early-twentieth-century genealogical records available online for the first time, including on records relating to the Women's Land Army and a selection of war diaries from 1942-1944. The Genealogist is working on digitising the Board of Inland Revenue Valuation Office's Field Books, this year publishing those relating to London and Buckinghamshire. In all, our records have been viewed an impressive 337 million times over the past year via our partners.

- In November, the Keeper signed a new Memorandum of Understanding with the United Arab Emirates' National Library and Archives, opening the door to further collaboration opportunities. Our part of Phase Two of the Arabian Gulf Digital Archives project is now complete, having digitised over 500,000 pages of our documents ready to be published later in 2023. We are delighted to be working towards common goals and look forward to seeing our plans come to fruition for the benefit of both organisations.

- We have re-launched our online [Image Library](#) service, partnering with Capture UK to create an online portal to serve business users wanting to reproduce images from our collections. The site holds approximately 80,000 images and is growing; it provides a great shop window into our more visually arresting records.
- We have also been making the most of our space at Kew. We have renewed our contract with University College London to provide storage and access to their Special Collections on site and continue to host the Swedish School of London and facilitate storage for the Worshipful Company of Mercers. These partnerships are proving successful ways to share our scenic Kew location.

#### Our organisation

- We have seen some vital operational changes over the past year. To ensure that we launch our new business plan on firm corporate foundations, we have been updating our systems, renewing our behaviours, and rethinking how we use our site. Our People, Inclusion and Change team have been working with colleagues across the organisation to distil what our strategic aims mean in behavioural terms and, to help us bring our vision and values to life, we are now rolling out a behaviour framework.



*Our commercial digitisation team promoted the service at the Museums and Heritage Show at Olympia London in May 2022*

- As we have transitioned away from the period defined by the COVID-19 pandemic, we have been embedding more adaptive and agile ways of working. Taking a team-based approach to our office space, we have been renewing our Kew site ready for more flexible working environments. It has also been a busy year for recruitment. We have begun to see a shift in the market for digital talent due to the unique opportunities we can offer at the very forefront of digital archiving technologies, but attracting and retaining talent remains a challenge for us over the coming year. Staff engagement was slightly lower than the previous year at 69% (for more information, see page 35) and so, as we evolve our approach to hybrid working over the year ahead, we will focus on inspiring our people and making sure that everyone feels connected, whether working on site or in a hybrid pattern.
- Our teams have been busy working towards implementing a new Enterprise Resource Planning (ERP) system. The system centralises financial and employment data, enabling a cultural shift towards better access to information and operational analysis. This in turn will lead to more mature financial planning and faster decision making, which helps us navigate potential external pressures such as inflation. With robust forecasting, we will be better equipped to monitor our objectives and prioritise our activity through the four-year cycle of our new business plan. We will be rolling out the new ERP system over summer 2023 and expect to begin seeing the benefits later in the year.
- As part of the Greening Government Commitments, we are making preparations towards more sustainable archival practices.<sup>5</sup> Overall, our greenhouse gas emissions rose by 7% in 2022-23 compared with the previous year, because our activity re-stabilised following the COVID-19 pandemic. Despite this, we continued to perform well against the government's targets for 2025, sending no operational waste to landfill, reducing total waste by 21%, increasing our recycling by 12% and reducing our paper consumption by 33%. We expect that from next year our

**As new ideas, technologies, and data about environmental issues emerge, we are committed to leading archival communities towards greater readiness and resilience.**

comparative figures will be more balanced.

- We have recently also improved data transparency about the carbon emissions associated with our data storage, which are now publicly measured and monitored. The data currently shows that these emissions are relatively minimal, so our efforts to reduce our impact will focus on other areas of our site. You can read more about our on site initiatives in Annex A Sustainability accounting and reporting on page 115.
- We have also been supporting colleagues across the archives sector to put in place processes that keep environmental impact in mind. We have contributed to free online resources including the Digital Humanities Climate Coalition toolkit and the *Arts Green Book: Sustainable Buildings*. These tools aim to accelerate and amplify sustainable conservation practices. Through our new Risk and Resilience programme, we funded projects seeking to safeguard long-term custodianship at archives in London, Somerset, Cornwall, County Durham, Greater Manchester and the West Midlands.
- We maintain strong links with sector partners, devising our new Carbon Literacy Training to align with the Climate Heritage Network's new action plan and working with the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM) to improve their sustainability toolkit for use throughout the sector. Through their Our Collections Matter Initiative, we also funded three projects at the Black Cultural Archives in London, The Box in Plymouth, and Harrow Local History Collection and Archive. In November 2022, we shared our initiatives aiming to strike a balance between environmental sustainability and collection preservation at

<sup>5</sup> Greening Government Commitments 2021 to 2025.

the Southeast Asia Regional Branch of the International Council on Archives (SARBICA) International Symposium. As new ideas, technologies, and data about environmental issues emerge, we are committed to leading archival communities towards greater readiness and resilience.

### Becoming the inclusive archive

- Opening our collections to the widest possible audience is the central mission of our public engagement work. For people visiting our site at Kew, we offer an [Accessibility Guide](#) and put on many events throughout the year celebrating the diverse stories within our collections. In the past year, we've invited people to join us in interactive activities such as our [Pride portraits](#). To help us reach new audiences beyond our site, we also regularly partner with external organisations. This year, we took a look into our collections via [Black History Month Magazine](#), as well as helping commemorate the 50th anniversary of the migration and resettlement of thousands of Ugandan Asians with [BUA50](#), the British Ugandan Asians at 50 event. By working collaboratively within communities, we want to create new routes into and through our collections.
- Our commercial partnerships are also helping us realise our ambition to be a more inclusive archive. AM (formerly Adam Matthew) is making its 'Africa and the New Imperialism' series permanently and freely available to the national libraries and archives of all countries within the African Continent and its 'Colonial Caribbean' resources available free in the Caribbean. In addition, Ancestry is digitising our entire Office of Registry of Colonial Slaves and Slave Compensation Commission: Records (T71) series, which will be accessible free of charge on its website and on the website of University College London's Centre for the Studies of the Legacies of British Slavery.
- We are working closely alongside professionals across the sector to help make archives more welcoming places to work and visit. In 2022, we launched a new online training session for archivists on diversity and inclusion, plus we're developing a Level 7 Archivist and Records Manager apprenticeship for autumn 2023. This is a

really important step in opening up more inclusive routes into the sector as it offers an equivalent professional qualification to a Master's degree, which may present financial or educational barriers. We also ran two government-funded [Kickstart placements](#) in 2022, which support young adults who are receiving Universal Credit.

- Our pioneering Black History Digital Portal research project is now entering its second phase. In collaboration with the Black Cultural Archives, the Friends of Huntley Archives at London Metropolitan Archives and the George Padmore Institute, the project is developing an online research portal that brings together archival records relating to UK Black History with their historical contexts, to illustrate the connections between our records and with audiences.
- Working with our colleagues in the education sector is a key part of our inclusion initiatives. Over the past year, we have worked with thousands of teachers and hundreds of archivists to support their skills with Special Educational Needs and Disabilities. We published many new



*Our inclusive illustrations helped support the archive sector to foster a sense of belonging in as many people as possible*

resources, including a teachers' book on *Diverse Histories* and launched new online education packs on the history of sugar and tobacco, nineteenth-century protest and, with Goldsmiths University of London, the independence of Bangladesh. Our resources have generated over three million online interactions with our records across the year and are at the heart of our public engagement activity. Re-evaluating these historical documents can provide an entry point for audiences of all ages into complex conversations on global politics, past and present. As we build an archive that is truly for everyone in the coming years, we will continue to revisit existing histories with fresh eyes and actively seek out new stories within our collections.



*We helped commemorate the 50th anniversary of the migration and resettlement of thousands of Ugandan Asians in autumn 2023 by hosting the British Ugandan Asians at 50 event*

socio-economic status of the schools we work with, recording ethnic demographics and the number of students eligible for free school meals. Our Grants Office is developing our data on grants awarded and one of the team's main objectives for 2023-24 is to develop individuals in order to support a wider range of grant bidders in the future. Over the coming year, the Better Data Stories project team will be looking to standardise what data we collect from the people who use our services, so that we can better understand our audiences and enhance our focus and our aims as an organisation. As we assemble more coherent, comprehensive stories from our data, we will then be able to begin identifying how our future activity can best reach new audiences.

**So that we can track our progress towards becoming a more inclusive archive, we have also been developing our data collection and analysis.**

- We have been working hard internally to mobilise our aim to be an inclusive archive. As we renew our practices and approaches as an organisation, a central goal has been to develop holistic processes to better engage colleagues with Diversity, Equity and Inclusion (DEI) issues. As part of this, we appointed a new DEI team in summer 2022, who have been working collaboratively on our culture programme, bringing an intersectional lens to internal networks, leading staff events and drop-in sessions, and growing confidence around records relating to historic injustices.
- So that we can track our progress towards becoming a more inclusive archive, we have also been developing our data collection and analysis. We have been working on a project to create Better Data Stories, collating the reporting already happening across teams. Currently, we ask people who attend our events for the public and for academic audiences to tell us about themselves. We also collect data on the

## 1.2 Performance Analysis

### The Public Sector Budgeting Framework

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

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

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

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

A summary of The National Archives' outturn in all categories compared with 2022-23 is shown in the table below:

£'000		2022-23	2021-22	2020-21	2019-20	2018-19
RDEL	Income	(14,346)	(12,678)	(10,981)	(13,484)	(10,281)
	Expenditure	60,522	52,918	47,479	49,481	44,778
CDEL		5,296	6,383	3,524	2,836	2,765
AME		(5)	(142)	-	(10)	(16)
<b>Total Expenditure</b>		<b>51,467</b>	<b>46,481</b>	<b>40,022</b>	<b>38,823</b>	<b>37,246</b>

The Common Core tables detailing financial expenditure for the current Comprehensive Spending Review can be found on The National Archives website: <https://www.nationalarchives.gov.uk/about/our-role/plans-policies-performance-and-projects/our-performance/>.

## Financial management commentary

### Parliamentary support – Income and expenditure

Our net resource and capital outturn was £51.5 million compared to the HM Treasury net allocation of £52.8 million: a £1.3 million or 2% variance.

Our resource outturn was £46.2 million compared to a budget of £46.9 million. The variance of £0.7 million (1%) was largely driven by an underspend of £0.6 million in our ring-fenced depreciation budget, due to some assets under construction not being complete at year-end and thus not yet depreciable.

Our capital outturn was £5.3 million against a budget of £5.9 million. The underspend of £0.6 million was in part due to the timing of Estates projects with a number due to finish in the final quarter of the year, leading to some slippage of costs. There was also some underspend against our digital capital projects due to reprofiling of activity plans.

### Total net operating expenditure

Total Net Operating Expenditure, shown on the Statement of Comprehensive Expenditure, was £46.2 million (2021-22: £39.2 million). This excludes the £5.3 million of capital spend that is part of the Parliamentary Support statement above and the Statement of Outturn against Parliamentary Support (SOPS). The net figures are:

#### i. Total operating expenditure

Total Operating Expenditure for delivering our remit as the official archive and publisher for the UK Government, and for England and Wales, was £60.5 million (2021-22: £52.8 million). Staff costs amounted to £29.1 million (2021-22: £26.5 million) with the number of employees increasing by 13 Full Time Equivalent (FTE) during the year to 590 at the year-end (2021-22: 577). A further £0.6 million of staff costs were capitalised as part of Digital projects (2021-22: £0.8 million).

Operating Expenditure, excluding staff costs, depreciation, provisions and audit charges, amounted to £24.2 million (2021-22: £20.1 million). This increase was in part driven by a £2.4 million increase in Contracted Services, to support

continued development of our digital services and the ongoing transfer of records from the Ministry of Defence. The increase was also driven by inflationary pressures across our cost base.

#### ii. Total operating income

Total Operating income for the financial year was £14.3 million (2021-22: £13.6 million). The increase was driven by increased income from our reprographics service, licensing sales and *The Gazette*.

### Total capital expenditure

Total Capital Expenditure was £5.3 million (2021-22: £6.4 million), which funded the continued investment in our digital services. We also invested in our Estate to accommodate the ongoing transfer of records from the Ministry of Defence and to construct our new Clore Learning Centre. The capital budget also funded development of our IT infrastructure.

### Financial position

Assets and liabilities are shown in the Statement of Financial Position on page 86.

The National Archives adopted the new leases accounting standard International Financial Reporting Standards 16 from 1 April 2022. This standard requires that all leases which meet the recognition criteria be recognised as an asset on the statement of financial position, with a corresponding lease liability. Under this standard our existing lease for storage space was recognised as a right-of-use asset of £7.7 million, with a corresponding lease liability of the same amount.

Total assets as at 31 March 2023 were £211.1 million (2022: £234.5 million). Property, Plant and Equipment, Right of Use Assets and Intangibles represented 96.6% of the asset value (2022: 96.5%). The decrease of £37.1 million for Property, Plant and Equipment was primarily driven by a decrease in the value of land, which was driven by wider market conditions.

Total current assets as at 31 March 2023 were £6.8 million (2022: £8.0 million), a decrease due to last year's current assets including £0.9 million of one-off income in relation to the 1921 Census.

## Performance against our business priorities

Goal	How we were to achieve this	Status at end 2021-22
Capture the record and aid legal certainty	Deliver and expand the Find Case Law service to publish selected court judgments and tribunal decisions quickly, accessibly, and without issue.	Completed
	Secure and expand the digital archive. Reduce the risk of current digital holdings via effective hardware and software procurement. Expand our capacity for increased digital holdings via transfer (TDR), Access, and Search (Catalogue).	Completed
	Transfer service personnel records as part of the multi-year Ministry of Defence service personnel transfer programme.	Completed
Take the collection to new audiences	Grow a bigger and more diverse audience on site, offsite and online to better serve the communities we represent.	Completed
Realise the value of archives through research, innovation and commercial exploitation	Build our grants portfolio and implement our new strategic approach to research to enable pioneering research that benefits The National Archives, our audiences and the wider economy.	Completed
Lead the archives sector to a secure and sustainable future	Consult on and implement a new approach to sector leadership, delivering a clearly defined role advising government on policy for the archives sector and advocating for its financial and other support.	Completed
Change the way we work	Deliver a culture programme, including a hybrid working model, and an Enterprise Resource Planning (ERP) system to embed the values and behaviours required of an archive for everyone.	Partially Completed Our behaviour framework has been delivered and is currently being rolled out. Our hybrid working plan is nearly at completion. We remain on track for a July launch of our ERP system.

## Performance against our input and impact indicators

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

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



Our Collection Care team investigated the materiality of rare Armada maps with the National Museum of the Royal Navy

## Performance against our input indicators

Input indicator	2022-23 Outcome	2021-22 Outcome
<b>Original records delivered to on site users</b>	474,643	362,661
<b>Electronic records delivered to online users</b>	350,000,000	374,200,000
<b>Staff diversity:</b>		
Women	53.4% (average)	52.8% (average)
Top management women	52.7% (average)	54.2% (average)
Black and Minority Ethnic	16.0% (average)	15.3% (average)
Disabled	6.0% (average)	6.6% (average)
<b>Staff engagement (as reported by the Civil Service People Survey)</b>	69%	73%
<b>Time taken to deliver original records to on site users</b>	88.8% of on demand orders were delivered within an hour	92.8% of on demand orders were delivered within an hour
<b>Time taken to respond to Freedom of Information and Environmental Information Regulation requests</b>	Our Freedom of Information (FOI) performance figures are reported on an annual basis as part of the FOI statistics published by Cabinet Office. The performance rate figure for the calendar year 2022 is 62%. <sup>6</sup>	Our Freedom of Information (FOI) performance figures are reported on an annual basis as part of the FOI statistics published by Cabinet Office. The performance rate figure for the calendar year 2021 is 78%
<b>Total departmental spend</b>	£46.2 million	£39.2 million
<b>Staff sick absence</b>	6.1 days per FTE (average)	5.2 days per FTE (average) <sup>7</sup>
<b>Outstanding effects on legislation.gov.uk</b>	103,993 amendments applied to legislation.gov.uk	102,893 amendments applied to legislation.gov.uk
<b>Number of physical records accessioned</b>	305,654 pieces 3,191 metres <sup>8</sup>	100,886 pieces 3,628 metres

<sup>6</sup> In February 2021, the Ministry of Defence began the transfer of historic service personnel records to The National Archives. Approximately 9.7 million records will be transferred over the next 6 years. Having transferred nearly half of this collection, around 4.5 million records, to date, this has resulted in more than a two-fold increase in the volume of Freedom of Information (FOI) requests received over 2022, compared to the previous year. This has impacted the overall percentage of requests responded to 'in time'. More information on the project can be found on our website: <https://www.nationalarchives.gov.uk/about/our-role/plans-policies-performance-and-projects/our-plans/ministry-of-defence-service-records/>. More information on our FOI performance can be found on the Cabinet Office website: <https://www.gov.uk/government/statistics/freedom-of-information-statistics-annual-2022/freedom-of-information-statistics-annual-2022-bulletin>

<sup>7</sup> See page 67 for more information.

<sup>8</sup> These figures relate to accessions only and do not include special transfer projects such as the Ministry of Defence (MoD) service personnel records. There is no direct correlation between the number of records accessioned and the space required to hold them because records can vary enormously in size, from around 0.5mm for a single sheet to upwards of 10cm if a record is housed in multiple boxes. In 2022-23, the MoD service personnel records accounted for 80% of total accessions but only 40% of the space used.

## Performance against our impact indicators

Impact indicator	2022-23 Outcome	2021-22 Outcome
Web archiving <sup>9</sup>	<b>Web Archive Services – Sessions</b> <sup>10</sup> Total: 897,342 <b>Web Archive Services – Users</b> Total: 520,527	<b>Web Archive Services – Sessions</b> Total: 955,268 <b>Web Archive Services – Users</b> Total: 570,604 <sup>11</sup>
<b>Customer satisfaction:</b>		
On site users	96%	94%
Online users <sup>12</sup>	83%	57%
legislation.gov.uk users	71%	72%
<b>Records and information management services used across government</b>	A new version of the Information Management Assessment Programme is being piloted. 15 departments took part in elements of this pilot in 2022-23.	The Information Management Assessment Programme was being revised last year, with user research testing being conducted of a new prototype modular Information Management Maturity Model.

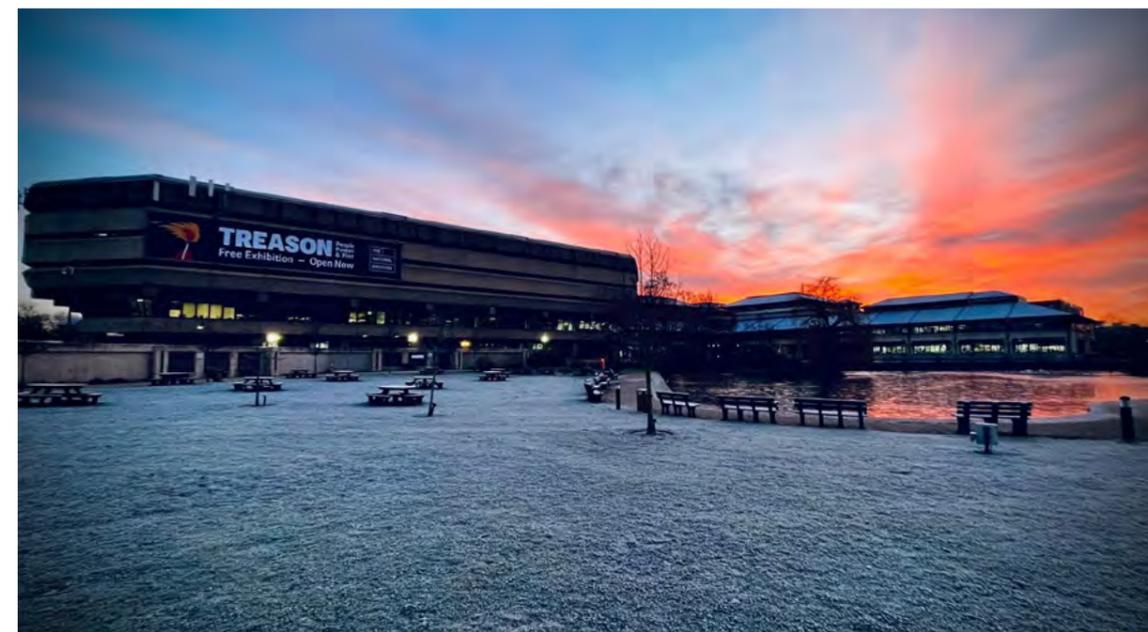
Further details of how we measure our performance, our long-term strategic plans and our transparency reporting can be found on our website: <https://www.nationalarchives.gov.uk/about/our-role/>.

<sup>9</sup> This indicator was previously referred to as 'Web continuity'.

<sup>10</sup> Since 2021-22, what we previously referred to as UK Government Web Archive 'visits' have been termed 'sessions' and what was formerly 'visitors' is now termed 'users' 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 European Union Exit Web Archive <https://webarchive.nationalarchives.gov.uk/eu-exit/>.

<sup>11</sup> The decrease in recorded web archive service users and sessions from 2021-22 onwards is due to changes in the way web search engines index content from the web archive. During the COVID-19 pandemic, we temporarily blocked search engines from indexing the web archive, because it was necessary to archive significant levels of government guidance. We are now working on unblocking search engines. In addition, our analysis tool, which requires cookies to record users and sessions, has been recording fewer users since 2022 because search engines now require users to 'opt-in' to cookies. We are currently working on addressing the way that usage of our web archives services is recorded.

<sup>12</sup> Please note that our customer satisfaction rating (% of people saying they were either satisfied or extremely satisfied) is not a directly comparable to 2021-22 because, as of 2022-23, it is calculated from responses to our free digital downloads and Discovery services, in addition to our Book a reading room visit service. Including more surveys allows for greater understanding of our overall online performance. Our customer satisfaction scores for 2022-23 breakdown as: Discovery 47%; Book a reading room visit 57%; Free digital downloads 96%.



Our site in Kew displaying a banner for the Treason Exhibition, November 2022

## Environment and sustainability

In 2021, the UK Government published new *Greening Government Commitments 2021-25*<sup>13</sup> (GGCs), revising the baseline year from 2009-10 to 2017-18. Our reporting from 2021-22 onward has therefore been adjusted to reflect the change in baseline year. It should be noted that, since our strategy was to exceed the targets set against the previous baseline, and significant progress was made in that regard in previous years, we anticipate more challenges when trying to achieve the new GGC targets.

Despite these challenges introduced by the change of baseline year, though, we continue to perform well against the GGCs and our performance is on track to achieve the 2025 targets in most cases. Where we have identified risks that targets may not be achieved, we have taken steps to identify additional measures we can put in place. During 2022-23, operations stabilised at a post-pandemic level, which resulted in increases in some impact areas—something we do not expect to see repeated in future years. For further information, please see Annex A Sustainability accounting and reporting on page 115.

During 2022-23, we have continued to work towards reducing the impact of our operations on the environment and local surroundings, further consolidating the progress we have made against government targets.

In the coming year, we will continue to look beyond the 2025 GGC targets to ensure that our activities align with the government's long-term goals of a 78% reduction in emissions by 2035 and Net Zero by 2050.

Jeff James,  
Chief Executive and Keeper,  
11 July 2023

<sup>13</sup> *Greening Government Commitments 2021 to 2025*

## 2.0

# Accountability report

## Corporate governance report

Statement from the Chair of The National Archives' Board

Directors' report

Governance statement

Statement of Accounting Officer's responsibilities

## Remuneration and staff report

## Parliamentary accountability and audit report

Statement of Outturn against Parliamentary Supply (SoPS)

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

US Declaration of Independence 1776 (catalogue reference EXT 9/1, extracted from ADM 1/487)

The US Declaration of Independence, agreed on 4 July 1776, formally rejected the authority of King George III – to those Americans colonists who agreed, he was a traitor.

## 2.1 Corporate governance report

The Corporate governance report explains the composition and organisation of The National Archives' governance structures and how they support the achievement of our objectives.

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

This report marks the final year of the first phase of The National Archives' strategy, *Archives for Everyone*, a year marked by numerous milestone achievements and a confident transition into post-pandemic renewal. The National Archives has implemented new ways of working and embraced new ways of engaging with an increasingly online world, growing to take advantage of the opportunities that these changes offer.

During 2022-23, The National Archives has provided exceptional support for government colleagues through a time of economic uncertainty, technological innovation, and the historic events of the death of Her Late Majesty Queen Elizabeth II and the accession to the throne of King Charles III. Through an extended range of services such as Find Case Law, the public can access an official record that is robust and available with increasing ease. This year has also seen continued growth in the ways that people can encounter the collections, as envisioned in *Archives for Everyone*: digitally, through exhibitions and research, in the reading rooms and via the wider archive sector.

This year has also seen continued growth in the ways that people can encounter our collections, as envisioned in *Archives for Everyone*: digitally, through exhibitions and research, in our reading rooms and via the wider archive sector.

The *Treason* exhibition, which attracted thousands of first-time visitors, was one highlight among many. As set out at greater length elsewhere



in this report, it has been encouraging to see a rising number of stimulating and high-quality engagements, for example, the conference to mark the centenary of the Law of Property Act in September 2022, and the performance of music hidden in the Prize Papers since the eighteenth century at the Unheard Opera evening in March 2023. With major archival endeavours on the horizon, such as the recently launched Research Infrastructure for Conservation and Heritage Science (RICHeS) funding stream from UK Research and Innovation, it is an exciting time to be working on archives and collaborating with others in these endeavours.

A central focus for the Board this year has been to support the development of the next phase of the *Archives for Everyone* strategy, expressed



in a new four-year business plan. Alongside this, following an away day in the autumn, we have embarked on a Board Effectiveness Review, considering how the Board's experience, skills and ways of working can be deployed to optimum effect. I thank my fellow Non-Executive Board Members, the Chief Executive and Keeper and the members of the Executive Team for their considered and wide-ranging contributions over the year, which have added materially to the energy and direction of The National Archives' current work and laid firm foundations for a transformative decade ahead.

Our clear sense as a Board is that The National Archives is achieving its objectives with purpose and integrity under strong executive leadership. The organisation's ability to evolve alongside its audiences is credit to a vibrant network of highly capable people. Staff, volunteers, and partners, along with colleagues at The National Archives Trust and the Friends of The National Archives, continue to show an extraordinary dedication to work of helping the organisation fulfil its core purpose as a public service.

On behalf of the Board, I take this opportunity to thank everyone connected with this extraordinary

organisation for their efforts over the past year, and I look forward to working with you in the period ahead, for the prosperity of The National Archives and the public record.

**Professor Andrew Wathey CBE**  
**Chair of The National Archives' Board**  
**10 July 2023**

**Directors' report**

**About The National Archives**

The National Archives is a non-ministerial department sponsored by the Department of Culture, Media and Sport. Our main statutory duties are set out in the Public Records Act 1958 and associated legislation and we fulfil the remit of the Public Record Office, the Historical Manuscripts Commission, His Majesty's Stationery Office, King's Printer of Acts of Parliament, Government Printer for Northern Ireland, and King's Printer for Scotland. Further details on our remit are summarised on pages 3 to 37 of this report.

**Management and structure**

During the year under review, we reorganised some directorate portfolios. The Corporate Services directorate ceased on 31 January 2023 with the departure of the Corporate Services Director and the responsibilities of this directorate are now carried out by the Chief Operating Officer.

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

Directorate/Function	Who	Responsible for
<b>Chief Executive and Keeper</b>	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 King's Printer of Acts of Parliament (responsible for publishing all UK legislation, and the official newspapers of record, <i>The Gazette</i> ); King's Printer for Scotland and Controller of His Majesty's Stationery Office; and the office of Government Printer for Northern Ireland.
<b>Chief Operating Officer</b>	Neil Curtis, Chief Operating Officer	Ensuring The National Archives has all the resources (human and financial) it needs to deliver its agreed business priorities, via our business-critical functions across the organisation, including finance, corporate and strategic planning, security, IT operations and estates, delivering an effective and efficient foundation from which the organisation can achieve its strategic goals.
<b>Commercial</b>	Gemma Maclagan Ram, Commercial Director	Our commercial teams and growing and diversifying our commercial products and services, delivering value for money, and embedding an entrepreneurial culture and ethos.
<b>Digital</b>	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.

Directorate/Function	Who	Responsible for
<b>People, Inclusion and Change</b>	Andrea Metcalf, Director for People, Inclusion and Change	Our human resources and commitment to further strengthen our culture and approach so that we continually strive to better reflect and represent the society we serve. Our People strategy, building an organisational culture, delivering the new ways of working programme and building a more representative workforce.
<b>Public Engagement</b>	Emmajane Avery, Director of Public Engagement	Our public engagement strategic direction, and developing on site, online, and remote learning and engagement programmes for the public and wider educational audiences.
<b>Public Records Access and Government Services</b>	Lucy Fletcher, Director for Public Records Access and Government Services	Our delivery of access services to the public and 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; enhancing our approach to information rights; and enabling the growth of digital capability for the future preservation of born-digital government records.
<b>Research and Collections</b>	Dr Valerie Johnson, Director of Research and Collections	Our research, academic engagement, grants and funding activities as well as our conservation and heritage science. Our active support for the archives sector to secure the best possible long-term future for their collections and services.

Together the Directors make up the Executive Team. Further details about the Executive Team can be found on page 47. Further information about the organisation and directorate functions can be found on our website at: [nationalarchives.gov.uk/about/our-role/transparency/our-staff](https://nationalarchives.gov.uk/about/our-role/transparency/our-staff).

### The National Archives' Board

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

<b>Andrew Wathey</b> Chair of The National Archives' Board
<b>Sonia Cargan</b> Non-executive Board member
<b>Rommel Pereira</b> Non-executive Board member, Chair of the Audit and Risk Committee
<b>Mark Richards</b> Non-executive Board member
<b>Baroness (Ros) Scott of Needham Market</b> Non-executive Board member

More information about our Executive Team and Board can be found on our website at [nationalarchives.gov.uk/about/our-role/executive-team/](https://nationalarchives.gov.uk/about/our-role/executive-team/) and [nationalarchives.gov.uk/about/our-role/management-board/](https://nationalarchives.gov.uk/about/our-role/management-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 £80,600 (see note 3 to the accounts). The National Audit Office did not provide any non-audit services during the year.

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

### Public sector information

The National Archives has complied with the cost allocation and charging requirements set out by HM Treasury. We are one of the public sector bodies now brought fully within the scope of the Re-use of Public Sector Information Regulations 2015 and we have taken steps to ensure that we comply with those Regulations, including publishing a statement of our public task.<sup>13</sup>

<sup>13</sup> [nationalarchives.gov.uk/about/our-role/what-we-do](https://nationalarchives.gov.uk/about/our-role/what-we-do)

## Governance statement

The Governance statement describes the framework of controls at The National Archives, including the assurances on the operation of the control framework, plus the processes for identifying and managing risk.

The Transparency<sup>14</sup> page on our website incorporates a series of documents and policies that govern how we operate and take decisions, as well the procedures followed to ensure that our actions are fair, efficient, transparent and accountable to our stakeholders.

**The Board concentrates on strategic issues affecting the organisation, as well as financial scrutiny and the oversight of major policies and performance.**

The National Archives' Board is the main governance body of our organisation. The Board concentrates on strategic issues affecting the organisation, as well as financial scrutiny and the oversight of major policies and performance. Meetings are chaired by the Chair of The National Archives' Board and the Head of Governance acts as the Board Secretary. The Head of Strategy and Chief Executive's Office also attends meetings. Formal Board meetings usually take place nine times a year and include one or two strategy days.

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

### The National Archives' Board is responsible for:

- Agreeing and taking forward the strategic aims and objectives of The National Archives, as agreed with Ministers and within the resources framework agreed with HM Treasury
- Ensuring that it is kept informed of any changes which are likely to impact on the strategic direction of The National Archives

or on the attainability of its targets, and advising on the steps needed to deal with such changes and where appropriate bringing such matters to the attention of the responsible Minister via the Executive Team, DCMS sponsorship team or directly

- Providing scrutiny, advice, support and challenge to the organisation, including supporting The National Archives and the Chief Executive and Keeper in fulfilling their statutory responsibilities and other duties
- Demonstrating high standards of corporate governance at all times, including by using the Audit and Risk Committee to help the Board address key financial and other risks; ensuring that adequate governance, audit and control systems are in place to meet statutory and administrative requirements, including that The National Archives operates within its statutory authority and delegated authority given by HM Treasury, in accordance with any other conditions relating to the use of public funds; and that, in its deliberations, the Board takes into account guidance issued by DCMS
- Ensuring that the Board receives and reviews regular financial information concerning the management of The National Archives; is informed in a timely manner about any concerns about the activities of The National Archives; and provides positive assurance, via the Chair, to DCMS that appropriate action has been taken on such concerns
- Through the Chair, ensuring that senior officials (the relevant Directors General or the Permanent Secretary) at DCMS are informed of any concerns about the management and direction of The National Archives.

### The role of Board members is to:

- Provide scrutiny, advice, challenge and support to the Chief Executive and Keeper and Executive Directors to support The National Archives' senior leadership team

<sup>14</sup> [nationalarchives.gov.uk/about/our-role/transparency/](https://nationalarchives.gov.uk/about/our-role/transparency/)

- Ensure The National Archives is setting a clear strategic direction across government, in all policy areas in which it is the lead department
- Strive to improve how The National Archives delivers its strategic aims and objectives and how effectively it meets new strategic challenges as they emerge
- Provide consistently strong and effective oversight of and support to the Chief Executive and Keeper and the Executive Directors in delivering The National Archives' strategic aims and objectives
- Promote effective and transparent challenge through open debate on Board matters, wherever necessary, to achieve the best decisions and outcomes
- Actively encourage new and innovative ways of thinking at Board level, and across the organisation, including on the best use of new technology
- Ensure that the right strategies and policies are in place to encourage and inspire the entire workforce to contribute to the organisation's overall aims, reflecting the Civil Service's core values
- Comply at all times with the Code of Conduct for Board Members of Public Bodies,<sup>15</sup> and with the rules relating to the use of public funds and conflicts of interest
- Demonstrate adherence to the 12 Principles of Governance for all Public Body Non-Executive Directors as appropriate
- Not misuse information gained in the course of their public service for personal gain or for political profit, nor seek to use the opportunity of public service to promote their private interests or those of connected persons or organisations
- Comply with The National Archives' rules on handling conflicts of interest and on the acceptance of gifts and hospitality, and of business appointments
- Act in good faith and in the best interests of The National Archives. Uphold the values of the organisation as well as those expressed in the Seven Principles of Public Life<sup>16</sup>
- Ensure they are familiar with any applicable guidance on the role of public sector non-executive directors and Boards that may be issued from time to time by the Cabinet Office, HM Treasury or wider government
- Ensure the right information and evidence is available to make decisions, measure performance and provide assurance.

### Board performance

The Board works collectively and has a rolling agenda. Fixed agenda items include monthly financial reporting, quarterly business and performance reporting, bi-annual corporate risk register, annual staff survey results and its resulting action plan and review and approval of the Annual Report and Accounts. The Board also receives regular reports from the Executive Team on its activities and updates from the Chair of the Audit and Risk Committee on the sub-committees' work and receives assurance around risk management, governance and internal control.

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

- Endorsing a refreshed five-year commercial strategic plan which balances the challenges, risk and opportunities in this area
- Development of a strategic approach to physical storage in the medium and long-term based on need and wider opportunities presented to the organisation
- Endorsing a vision and draft Digital strategic plan, the 'Living Digital Archives' with an ambitious multi-year programme that will be reflected in the next four-year business plan

<sup>15</sup> [Code of Conduct for Board Members of Public Bodies](https://www.gov.uk/government/publications/code-of-conduct-for-board-members-of-public-bodies)

<sup>16</sup> [gov.uk/government/publications/the-7-principles-of-public-life](https://www.gov.uk/government/publications/the-7-principles-of-public-life)

- Lessons for the Digital Archives from the Find Case Law Service launched in April 2022
- Oversight of the implementation and delivery of the new strategic approach to research, as adopted in April 2021
- Oversight of Project ETNA, 'Explore the nation's archives' about developing a new website for the online catalogue that better meets user's needs
- Oversight of the annual Information Management Report, which provides data on compliance by government departments to the 20-year rule for transferring records to The National Archives and endorsing the Keeper's report on the transition
- Oversight and input into the People and Cultural Programme and development of a new staff behaviour framework and refresh of 'values'
- Endorsing a new vision and plan for Public Engagement 2022-2030 focused on audience growth
- Endorsing a new approach to The National Archives' role in providing leadership to the archives sector for approval by Ministers
- Oversight of the temporary withdrawal of records series FCO 141 - Foreign and Commonwealth Office and predecessors: Records of Former Colonial Administrations: Migrated Archives
- Oversight on the implementation and delivery of the Grants and Funding Office established in November 2021 and endorsing a new Grants Policy and approach for the outward grant-making programme for 2023-24
- Agreeing a draft new Framework Document with DCMS for submission to HM Treasury for final approval
- Development and endorsement of the next Archives for Everyone four-year Business Plan and Priorities for ministerial agreement

- Annual meetings with the Chairs of the Friends of The National Archives and The National Archives Trust for relationship building and focused discussion on potential areas of support and partnering.

Minutes of Board meetings are available on our website: [nationalarchives.gov.uk/about/our-role/management-board/meeting-summaries/](https://nationalarchives.gov.uk/about/our-role/management-board/meeting-summaries/)

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

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

#### Register of Board interests

In April 2022, we adopted a new Conflicts of interest policy<sup>17</sup> which sets out our approach to handling potential and perceived conflicts of interest to maintain the integrity and impartiality of our decision-makers. All Board members are required to declare all personal or business interests and these are published in the Register of Interests<sup>18</sup> on the website. At the beginning of each corporate governance meeting, all members are asked to declare any potential conflicts of interest. These are noted in the minutes and where the matter is deemed to constitute a conflict, the member is asked to remove themselves from discussion of the item. In 2022-23, there were no declared conflicts of interest that resulted in a Board member recusing themselves from discussion. For further details on related party transactions, see page 113.

The Board engaged no special advisers in the financial year 2022-23.

#### Board effectiveness

The induction of new Board members includes interviews with key managerial staff about strategic issues and the remit and services

<sup>17</sup> [nationalarchives.gov.uk/about/our-role/transparency/conflicts-of-interest/](https://nationalarchives.gov.uk/about/our-role/transparency/conflicts-of-interest/)

<sup>18</sup> [nationalarchives.gov.uk/about/our-role/transparency/register-of-interests/](https://nationalarchives.gov.uk/about/our-role/transparency/register-of-interests/)

of The National Archives as well as providing briefing material on its governance framework.

The Board undertakes an annual assessment of its own effectiveness, which is usually on the basis of a self-evaluation questionnaire that results in an action plan to improve effectiveness. The action plan is reviewed bi-annually for progress. At its July 2022 meeting, the Board received a progress update on the action plan arising out of the previous year's self-assessment and also agreed to undertake an external Board effectiveness review to bring us into compliance with the Code of Practice for Corporate governance in central government departments and new Cabinet Office guidance on arm's length bodies boards: reviews and appraisals published in April 2022. Following a procurement exercise the contract was awarded to Campbell Tickell, who commenced our external board effectiveness review in January 2023 and will be reporting back on their findings early in the next financial year.

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 review and its resulting action plan.

Non-executive Board members have annual appraisals with the Chair which monitors performance and is used to identify training and development needs.

Diversity on the Board has improved with appointments made in recent years.

#### The Executive Team

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

- fulfil The National Archives' statutory responsibilities and deliver its strategic and business priorities

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

Supporting and informing the work of the Executive Team are a number of sub-committees.

In the reporting year, the Operational Management Team's main focus was to manage people resource requests. Following the departure of the Corporate Services Director and subsequent restructuring of functions, the Operational Management Committee was disbanded.

The Estates Strategy Committee was set up in 2022 to provide assurance that the organisation is managing its sites and assets appropriately and effectively, ensuring that all estates development activity aligns to and furthers our strategic plans, brand and cultural change initiatives. The Committee identifies interfaces across projects and manages competing demands and priorities for space. Its main focus in the report year was future document storage requirements, commercial development opportunities, public space transformation, and office space planning.

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

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

### The Audit and Risk Committee

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

- reviewing the effectiveness of the assurance framework in meeting the Board's and Accounting Officer's assurance needs
- reviewing the reliability and integrity of these assurances
- providing an opinion on how well The National Archives' Board and the Accounting Officer are supported in decision-taking and in discharging their accountability obligations, particularly in respect of Financial Reporting.

The Committee met five times during 2022-23: in May 2022, September 2022, December 2022, February 2023, and for an extraordinary meeting of the Committee in July 2022 to review the final design version of the Annual Report and Accounts 2021-22.

Membership comprises the Chair of the Audit and Risk Committee, an additional Non-executive Board member, and an appointed independent member. Additional Non-executive Board members may be co-opted when needed. Other attendees at each meeting are the Chief Executive and Keeper, the Chief

**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.**

Operating Officer, representatives from our external auditors at the National Audit Office, representatives from our Internal Auditors, the Head of Governance and the Corporate Performance Manager who acts as the Committee secretary. Robert Milburn stepped down as the independent member of the Audit and Risk Committee on 31 December 2022 after five and a half years. The Committee is grateful for the invaluable contribution he made to the work of The National Archives during his term of office. Recruitment for a replacement independent member of the Committee is underway and Andrew Wathey, in his capacity as Chair of The National Archives' Board, has been providing additional support, advice, and guidance in the meantime.

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 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.

Internal audit services continued to be managed by BDO during 2022-23. In March 2023, following an invitation to submit tenders for The National Archives' internal audit contract via the Crown Commercial Service Framework, an evaluation and interview panel (which comprised of the Audit and Risk Committee Chair, the Chief Operating Officer, and the Head of Procurement), considered high quality bids from a number of internal audit suppliers. Following this evaluation process, a decision was made to award the new internal audit contract to Mazars.

The Committee are grateful to BDO for the range of high-quality internal audit reviews it has carried out on behalf of The National Archives during the last five years.

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

- Progress on the implementation of recommendations from internal audit reviews: the Committee received assurance that management was taking appropriate action to fully implement internal audit recommendations or had provided business justification if implementation deadlines (which are set by the owner as part of their management response to each recommendation) were not met.
- Fraud risk assessment: the Committee took a risk-based approach to potential fraud within the organisation and was pleased to note the findings from the annual risk assessment, which concluded that there was generally a good level of fraud awareness within The National Archives' culture, and adherence to the UK Government Functional Standard GovS 013: Counter Fraud.
- Security (including information assurance, cyber security risks, and data handling) and Business Continuity: The Committee received bi-annual updates on key developments in relation to The National Archives' physical security, business continuity, and data handling, and was pleased to note that there had been no significant breaches of security. As a key source of assurance, The National Archives' performance against His Majesty's Government's Minimum-Security Standards was assessed via the annual Departmental Security Health Check return to the Cabinet Office. The Committee was pleased that within the 2022 government security health check, The National Archives scored above the government average in all categories, including a 99% compliance rating in relation to cyber control.
- Health and safety: The Committee gained assurance that the building remained a safe and accessible working environment for

staff, visitors, and contractors. Importantly, the Committee gained regular assurance that appropriate measures and resources were in place to help support the positive mental health and wellbeing of The National Archives' staff.

- Environment and sustainability: Bi-annual progress updates around environmental and sustainability issues provided the Committee with confident assurances that The National Archives is on track to meet Greening Government Commitments, noting however the challenges to do so within the current budget constraints, maintaining appropriate conditions for public records, and maintaining its statutory obligations. The Committee was pleased to note that at year-end, The National Archives was on track to exceed its sustainability commitments on domestic flights, water consumption, waste produced, and paper usage.
- Human Resources Governance: The Committee oversaw and regularly reviewed current human resource risks within the organisation and took assurance that avenues for confidential reporting within The National Archives were understood and had been tested. The Committee was pleased to note that the Chair of the Audit and Risk Committee remained the external and independent whistleblowing escalation point.
- Safeguarding Report: The Committee successfully oversaw the implementation of a comprehensive programme of safeguarding measures and policies within the organisation, providing strong assurance that The National Archives is fulfilling its statutory responsibilities.
- Procurement Report: Bi-annual updates gave the Committee oversight of any potential risks and opportunities associated with The National Archives' procurement and commercial activities. In particular, the Committee was kept updated on the impact of the revised Public Procurement Regulations and Cabinet Office Spend Controls on the organisation's procurement exercises.
- Risk Management Policy and Risk Appetite: The Committee received assurance that our appetite and tolerance for risk management

control within various areas of the business were adequate and effective.

- Corporate Risks: The Committee was pleased to note that all corporate risks were being actively managed by the Executive Team. Particular issues identified within the Corporate Risk Register, which continued to be key priorities for the Committee included risks associated with the organisation's inability to recruit and retain key roles (particularly within the digital and financial areas), the ongoing risks around Freedom of Information compliance, specifically in relation to the Ministry of Defence service personnel records, and the potential impact of ongoing corporate services pressures on some of the organisation's high-profile initiatives and projects (including Enterprise Resource Planning).
- Throughout 2022-23, working closely with The National Archives' Board, the Committee monitored the risk implications of the invasion of Ukraine by maintaining a specific Ukraine Risk Register, particularly reviewing risks around existing and future supply chains, staff morale, and potential increased cyber security threats. Towards the end of the year, these risks were incorporated into the Corporate Risk Register and Issues Log. By proactively monitoring and reviewing red risks from the Corporate Risk Register and Issues Log at each meeting, the Committee played a key role in ensuring appropriate mitigation plans were in place to manage all corporate risks, which in turn fostered and helped develop a robust risk aware culture at all levels throughout the organisation.
- Accountability Statements: this bi-annual update provided the Committee with assurance that business-as-usual risks were being managed effectively throughout the organisation.

In addition, the Committee received regular updates and progress reports on other issues of particular interest. This year, progress updates included assurance regarding:

- Freedom of Information (FOI) Compliance – the Committee was presented with an overview of the current risks regarding FOI compliance at The National Archives, with a specific focus on the impact of the Ministry

of Defence (MoD) service personnel records transfer project. The Committee was pleased to note that an action plan had been published outlining a recovery pathway to bring the organisation back within the parameters of the government's standards for FOI compliance.

- Enterprise Resource Planning (ERP) – as a standing item on the Audit and Risk Committee agenda, the Committee received regular updates on the ERP project, which is scheduled to go live in July 2023. The Committee provided the necessary support, direction and independent assurance around the project, regularly reviewing costs and risks relative to the benefits, and ensuring that the programme is closely aligned with The National Archives' overall strategic goals and objectives.
- Lessons learned from financial forecasting – in May 2022, the Committee was presented with the results from a 'lessons learned exercise', which identified a number of actions to improve the forecasting accuracy of The National Archives, enabling the organisation to manage its finances in a more controlled manner.

Pending the full results from the independent effectiveness review of The National Archives' Board and its sub-committees, the Committee agreed to defer this year's annual (internal) self-assessment survey. However, a separate survey was carried out to review the internal and external audit services provided by, respectively, BDO and the National Audit Office (NAO). Specific feedback in relation to internal audit highlighted the need to improve opportunities for The National Archives' staff to provide regular feedback on the quality of internal audit reviews. In relation to external audit services, the survey recommended NAO's audit planning to work more closely with The National Archives' to deliver a flexible and responsive service. These recommended actions for improvement will be regularly reviewed and followed up by the Committee during the year.

#### **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 Committee meets a minimum of twice a year. Pay increases are in line with guidance provided by the Cabinet Office, which hears the outcome of the Review Body on Senior Salaries and sets the pay policy for senior salaries across the Civil Service. The Committee ensures that there are satisfactory systems for identifying and developing staff with high potential. It is chaired by the Chair of The National Archives' Board and membership consists of all Non-executive Board members, the Chief Executive and Keeper in an advisory capacity and the Director of People, Inclusion and Change. The Chief Operating Office attends on occasion where relevant and secretarial support is provided by Organisational Development. The Committee met three times in 2022-23, in June and September 2022 and for an extraordinary meeting in December 2022.

#### **The Corporate Governance Code**

As a non-ministerial department, we adopt and adhere to HM Treasury's *Corporate governance in central government departments: code of good practice* to the extent that it is practical, appropriate and compatible with our statutory or other authoritative requirements. We periodically review the Board's effectiveness and corporate governance arrangements to ensure that we are aligned with good practice elsewhere across government—taking into account our unique role and responsibilities, and the statutory and non-statutory roles fulfilled by our 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, to shape the Board agenda and provide positive assurance to senior officials at DCMS, via the Chair of The National Archives' Board, on the management and direction of the organisation.

### Attendance at Board meetings and Committees 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	8 of 8	5 of 5	3 of 3
Neil Curtis	Chief Operating Officer	7 of 8	5 of 5	N/A
Emmajane Avery	Director of Public Engagement	8 of 8	N/A	N/A
Lucy Fletcher	Director for Public Records Access and Government Services	7 of 8	N/A	N/A
Dr Valerie Johnson	Director of Research and Collections	8 of 8	N/A	N/A
Gemma Maclagan Ram	Commercial Director	8 of 8	N/A	N/A
Andrea Metcalf	Director of People, Inclusion and Change	7 of 8	N/A	2 of 3
John Sheridan	Digital Director	8 of 8	N/A	N/A
Aaron Smith	Corporate Services Director	6 of 7	4 of 4	N/A
Andrew Wathey	Chair of the Board	8 of 8	1 of 1 <sup>19</sup>	3 of 3
Sonia Cargan	Non-executive Board member	8 of 8	N/A	3 of 3
Rommel Pereira	Non-executive Board member	8 of 8	5 of 5	3 of 3
Robert Milburn	Independent member of the Audit and Risk Committee	N/A	4 of 4	N/A
Mark Richards	Non-executive Board member	8 of 8	5 of 5	3 of 3
Baroness (Ros) Scott of Needham Market	Non-executive Board member	8 of 8	N/A	3 of 3

<sup>19</sup> Andrew Wathey provided additional support to the Audit and Risk Committee from February 2023.

### Functional Standards

All central government departments and their arm's length bodies are required to comply with 14 Functional Standards in a way that meets their business needs and priorities. For the financial year 2022-23, The National Archives fully met 11 of the standards (nine in 2021-22). We have assessed that two areas remain not applicable, as the scale of requirements are not proportionate to an organisation of our size: Analysis and Communication. In Internal Audit, we meet all the intentions that are applicable to us as a non-ministerial department. During the year, we focused on meeting the standards in the three areas we did not comply with last year, which are explained below.

In Project Delivery, we continue to demonstrate consistent good practice as evidenced by relevant internal audits and have appointed experienced project and programme managers to oversee and co-ordinate the delivery of projects across directorates. In Grants, we have made significant progress by adopting a new Grants Policy and a refreshed grants funding programme. In Human Resources, we successfully meet all the intentions, except in respect to our workforce planning. Strategic workforce planning is currently underway to align our approach with our new four-year business priorities. This will be completed in 2023-24. We are pleased to report we are now fully compliant with the Project Delivery and Grants standards and will be working towards meeting the standards for Human Resources in 2023-24.

### 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 2022-23, 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 and the Audit and Risk Committee with bi-annual updates to the Board.

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

### Operating as a national archive delivering our strategic ambitions with reduced staffing levels or reduced financial support:

There is a risk that a sustained period of high inflation, coupled with any further savings and efficiency targets, will result in a significant cut in real terms operating budgets for the remainder of this spending review period, and beyond.

Overview of controls in place during the year:

- We secured an additional £3.5million over two years to address work arising from the Retained EU Law (Revocation and Reform) Bill. We are preparing a workforce plan to define the teams and skills required to deliver the four-year ambitions articulated in our new business plan.

- **Industrial action:** Inflation remains high, driving increased cost of living for staff. Pay has not risen in line with this, leading to the potential for staff to consider taking strike action.

Overview of controls in place during the year:

- Strike contingency planning is operational.

**Failure to meet the challenges of digital:**

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

Overview of controls in place during the year:

- We are delivering a major programme of investment to secure and expand the Digital Archiving Infrastructure. We have seen recent recruitment successes, but challenges remain for digital roles in a competitive labour market. Mitigations taken include increasing use of contingent labour, widening scope of market supplements, development roles, apprenticeships, and use of third-party contractors.

**Staff leadership and culture:** There is a risk that leadership and management do not deliver the direction and support required as we adjust to a hybrid way of working to ensure an effective and engaged, diverse and representative workforce.

Overview of controls in place during the year:

- Culture workshops have been completed and data has been compiled and analysed to form a behaviour framework that is being rolled out. A Senior leadership development programme is also underway. We have a continued focus on wellbeing and we provide support for both managers and non-managers.

**Freedom of Information (FOI) statutory compliance:** There is a risk that, due to an inability to keep pace with the complexity and scale of demand, we are unable to fulfil

our statutory obligations to provide access to records through the FOI regime.

Overview of controls in place during the year:

- The Ministry of Defence (MoD) Information Access Team was formed specifically to deal with FOI requests arising from the MoD Service Personnel Records transfer project. Strong and transparent working relationships are being maintained with the Information Commissioner's Office, with an agreed action plan to recover compliance. The plan has been published and sets out the context of the challenge and describes the interventions we are making.

**Legal certainty:** There is a risk that the enactment of the Retained EU Law (Revocation and Reform) Bill, sunseting retained EU legislation at the end of 2023 and downgrading all EU derived law, creates legal uncertainty about the Keeper's responsibilities for managing Crown rights and unmanageable demands for our legislation publishing, editorial and data analysis services.

Overview of controls in place during the year:

- We attend the weekly meeting between the Brexit Opportunities Unit and the Cabinet Office Parliamentary Business and Legislation Secretariat to discuss the government's legislative programme as planning evolves for the Retained EU Law (Revocation and Reform) Bill. We have costed the additional work anticipated during 2023-24 and thereafter.

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 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 the Executive Team and approved by the Chief Executive and Keeper. Any significant governance or performance issues highlighted are monitored by the Chief Operating Officer/Chief Information Security Officer and are raised with the Audit and Risk Committee.

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

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

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

We are satisfied that we manage and mitigate 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 for the year 2022-23 aligned with our strategic priorities set out

in *Archives for Everyone*, which focuses on our goals of becoming the inclusive, entrepreneurial and 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, healthy working and learning environment, in order to support our collective goals of protecting staff at work and ensuring that visitors to our site enjoy their experience.

We monitor, record and investigate accidents and near miss incidents in order to prevent recurrence and work-related ill-health. We continue to meet our legal responsibilities under health and safety legislation, as a minimum, and to assess risks to anyone who could be affected by our activities. We put in place robust measures to control these risks.

We provide our staff with information, instruction, training, and supervision. We ensure that resources are available to support workplace health and safety. Health and Safety procedures are in place and responsibilities are appropriately assigned to ensure that the aims of our health and safety policy statement are met.

We are committed to delivering an inclusive, safe working environment whether staff are working on site, remotely, or a mixture of the two, ensuring safe working methods and providing safe work equipment. We monitor and review our safety arrangements and prevention measures to ensure they are both effective and encourage a culture of continuous improvement.

We consult on health, safety, and welfare matters with staff, the Health and Safety Committee, and their representatives, including trade unions. We promote a systematic and organised method of improving health and safety within Departments with a robust programme of inspection and audit. Through training and communication, we further promote the exchange of information for staff and managers to adopt safe systems of work within departments.

### Whistleblowing policy: 'Raising a concern'

Staff and contractors have access to our Whistleblowing policy, 'Raising a concern'. 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. They can raise a concern either with a manager within the organisation to begin this process or with one of the nominated officers (the Head of Visitor Experience and the Head of Document Services).

We encourage awareness of the policy by reminding staff and contractors during the year, including the process for raising concerns. In September 2021, we launched 'Speak Up' workshops for staff to help remove barriers to raising a concern and, in November 2022, we participated in the Civil Service 'Speak Up' week. Alongside this, in December 2022, we engaged our legal firm DLA Piper to train 16 senior leaders across the organisation in facilitating investigations, including whistleblowing. No concerns were raised under these policy arrangements during the financial year 2022-23.

### Information Risk

We have maintained our high standards of Information Security risk management over 2022-23, as attested by maintenance of our ISO 27001 and Cyber Essentials Certification. This was further supported by a positive result on the Cross Government Departmental Security Health Check.

### UK General Data Protection Regulation

There were no personal data-related incidents reported to the Information Commissioner's Office during 2022-23.

### Conclusion

The Accounting Officer is assured by and is content with the effectiveness of the framework of governance, risk and controls outlined above.

## Statement of Accounting Officer's responsibilities

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

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

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

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

- prepare the accounts on the going concern basis.

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

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

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

The annual report and accounts as a whole are fair, balanced and understandable and I take personal responsibility for the annual report and accounts and the judgments required for determining that they are fair, balanced and understandable.



**Jeff James,**  
Chief Executive and Keeper,  
11 July 2023

## 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 and, where relevant, promote suitably able and qualified people to exercise their different responsibilities;
- regional/local variations in labour markets and their effects on the recruitment, retention and, where relevant, promotion 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 the UK Government website.<sup>20</sup>

#### 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, as published in the Recruitment Principles published by the Civil Service Commission. These principles also define where there may be exceptions to this, and the rules governing these.

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 Culture, Media and Sport (DCMS), concluding in July 2022. His appointment was extended for a further two years by DCMS to conclude in July 2024.

Rommel Pereira was appointed from 1 May 2022 on a three-year contract as Chair of the Audit and Risk Committee.

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

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

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

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

Further information about the work of the Civil Service Commissioners can be found at [www.civilservicecommission.org](http://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 (unaudited)

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 2022-23 relate to performance in both 2022-23 and 2021-22, with the comparative bonuses relating to performance in both 2021-22 and 2020-21.

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

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.

<sup>20</sup> [gov.uk/government/organisations/office-of-manpower-economics](http://gov.uk/government/organisations/office-of-manpower-economics)

## Directors' remuneration (audited)

The salary, pension entitlements and the value of any taxable benefits in kind of the Chief Executive and Keeper, Executive Directors and Non-executive Board members of The National Archives, were as follows:<sup>21 22</sup>

2022-23					
	Salary and FYE (full-year) £000	Bonus £000	Benefit in kind £	Pension benefits £000	Total £000
Jeff James Chief Executive and Keeper	125-130	10-15	-	48	185-90
Neil Curtis Chief Operating Officer	110-115	-	-	43	150-155
Aaron Smith Corporate Services Director (until 31 January 2023)	75-80 (85-90)	-	-	29	105-110 (115-125)
Emmajane Avery Director of Public Engagement	85-90	-	-	9	95-100
Lucy Fletcher Public Access and Government Services Director	85-90	10-15	-	35	130-135
Dr Valerie Johnson Director of Research and Collections	85-90	-	-	35	120-125
John Sheridan Digital Director	85-90	0-5	-	5	90-95
Gemma Maclagan Ram Commercial Director	85-90	0-5	-	35	120-125
Andrea Metcalf Director of People, Inclusion and Change	85-90	-	-	35	120-125
Professor Andrew Wathey CBE Chair of The National Archives Board (from 1 Apr 2022)	15-20	N/A	-	N/A	15-20
Sonia Cargan Non-executive Board member	10-15	N/A	-	N/A	10-15
Robert Milburn Independent member of the Audit and Risk Committee (until 31 December 2022)	0-5	N/A	-	N/A	0-5
Rommel Pereira Non-executive Board member	15-20	N/A	-	N/A	15-20
Mark Richards Non-executive Board member	10-15	N/A	-	N/A	10-15
Baroness (Ros) Scott of Needham Market Non-executive Board member	10-15	N/A	-	N/A	10-15

21 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.

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

2021-22					
	Salary and FYE (full-year, equivalent) £000	Bonus £000	Benefit in kind £	Pension benefits £000	Total £000
Jeff James Chief Executive and Keeper	120-125	-	-	47	170-175
Neil Curtis Chief Operating Officer	105-110	-	-	50 <sup>23</sup>	155-160
Aaron Smith Corporate Services Director (from 2 August 2021)	55-60 (85-90)	-	-	22	80-85 (110-115)
Emmajane Avery Director of Public Engagement	85-90	-	-	9	95-100
Lucy Fletcher Public Access and Government Services Director	85-90	-	-	34	120-125
Dr Valerie Johnson Director of Research and Collections	85-90	-	-	34	120-125
John Sheridan Digital Director	85-90	-	-	25	110-115
Gemma Maclagan Ram Commercial Director	60-65 (85-90)	-	-	25	85-90 (110-115)
Andrea Metcalf Director of People, Inclusion and Change	30-35 (85-90)	-	-	13	45-50 (100-105)
Professor Andrew Wathey CBE Chair of The National Archives Board (from 1 Apr 2022)	N/A	-	-	N/A	N/A
Sonia Cargan Non-executive Board member	10-15	-	-	N/A	10-15
Robert Milburn Independent member of the Audit and Risk Committee (until 31 December 2022)	15-20	N/A	-	N/A	0-5
Rommel Pereira Non-executive Board member	10-15	N/A	-	N/A	15-20
Mark Richards Non-executive Board member	10-15	N/A	-	N/A	10-15
Baroness (Ros) Scott of Needham Market Non-executive Board member	0-5	N/A	-	N/A	10-15

23 Pension benefit in 2021-22 increased from £42,000 to £50,000 due to a retrospective update to salary data.

## Pay multiples (audited)

2022-23	25th percentile pay ratio	Median pay ratio	75th percentile pay ratio
Band of highest paid Director's remuneration (£)	£135,000-£140,000	£135,000-£140,000	£135,000-£140,000
Employee total remuneration (£)	£28,000	£34,943	£46,036
Staff salary and allowances (£)	£28,000	£34,943	£46,036
Ratio	4.91	3.93	2.99

2021-22	25th percentile pay ratio	Median pay ratio	75th percentile pay ratio
Band of highest paid Director's remuneration (£)	£120,000-£125,000	£120,000-£125,000	£120,000-£125,000
Employee total remuneration (£)	£25,070	£33,127	£43,838
Staff salary and allowances (£)	£23,588	£33,127	£43,838
Ratio	4.9	3.7	2.8

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

The banded remuneration of the highest-paid Executive Director at The National Archives in the financial year 2022-23 was £135,000-£140,000 (2021-22: £120,000-£125,000). This was 3.93 times (2021-22: 3.7) the median remuneration of the workforce, which was £34,943 (2021-22: £33,127). The change in salary for the highest-paid Director represents a 4% increase from the previous year and a bonus was paid where no bonus was paid the previous year; there were no increases in allowances or other performance-related pay.

In both 2022-23 and 2021-22, no employees received remuneration in excess of the highest-paid director. Remuneration ranged from £22,328-£140,000 (2021-22: £14,300-£125,000). The average salary and allowance for all employees was £39,105, a 6% increase on the previous year (2021-22: £36,889). The average bonus payable for all employees was £323, an 11% increase on the previous year (2021-22: £291).

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 31/03/23 and related lump sum	Real increase in pension and related lump sum at pension age in	Cash Equivalent Transfer Values (CETV) at 31/03/2023 <sup>24</sup>	Cash Equivalent Transfer Values (CETV) at 31/03/22	Real increase Cash Equivalent Transfer Values (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	25-30	2.5-5	351	295	28
Neil Curtis Chief Operating Officer	15-20	2.5-5	185	147	22
Emmajane Avery Director of Public Engagement	25-30	0-2.5	411	368	-3 <sup>25</sup>
Lucy Fletcher Public Access and Government Services Director	15-20	0-2.5	152	127	12
Dr Valerie Johnson Director of Research and Collections	30-35	0-2.5	512	457	24
Gemma Maclagan Ram Commercial Director	5-10	0-2.5	92	68	14
Andrea Metcalf Director of People, Inclusion and Change	0-5	0-2.5	36	9	20
John Sheridan Digital Director	30-35	0-2.5	448	409	-7 <sup>26</sup>
Aaron Smith Corporate Services Director (until 31 January 2023)	0-5	0-2.5	36	15	15

There were no employer contributions to partnership pension accounts in respect of any of the above.

<sup>24</sup> CETV figures are calculated using the guidance on discount rates for calculating unfunded public service pension contribution rates that was extant at 31 March 2023. HM Treasury published updated guidance on 27 April 2023; this guidance will be used in the calculation of the 2023-24 CETV figures.

<sup>25</sup> Taking account of inflation, the CETV funded by the employer has decreased in real terms.

<sup>26</sup> Taking account of inflation, the CETV funded by the employer has decreased in real terms.

### Civil Service pensions

Pension benefits are provided through the Civil Service pension arrangements. From 1 April 2015, a new pension scheme for civil servants was introduced – the Civil Servants and Others Pension Scheme or alpha, which provides benefits on a career average basis with a normal pension age equal to the member's State Pension Age (or 65 if higher). From that date, all newly appointed civil servants and the majority of those already in service joined alpha. Prior to that date, civil servants participated in the Principal Civil Service Pension Scheme (PCSPS). The PCSPS has four sections: three providing benefits on a final salary basis (classic, premium or classic plus) with a normal pension age of 60; and one providing benefits on a whole career basis (nuvos) with a normal pension age of 65.

These statutory arrangements are unfunded with the cost of benefits met by monies voted by Parliament each year. Pensions payable under classic, premium, classic plus, nuvos and alpha are increased annually in line with Pensions Increase legislation. Existing members of the PCSPS who were within ten years of their normal pension age on 1 April 2012, remained in the PCSPS after 1 April 2015. Those who were between 10 years and 13 years and 5 months from their normal pension age on 1 April 2012 switched into alpha sometime between 1 June 2015 and 1 February 2022. Because the UK Government plans to remove discrimination, identified by the courts in the way that the 2015 pension reforms were introduced for some members, it is expected that, in due course, eligible members with relevant service between 1 April 2015 and 31 March 2022 may be entitled to different pension benefits in relation to that period (and this may affect the Cash Equivalent Transfer Values shown in this report – see below). All members who switch to alpha have their PCSPS benefits 'banked', with those with earlier benefits in one of the final salary sections of the PCSPS having those benefits based on their final salary when they leave alpha. The pension figures quoted for officials show pension earned in PCSPS or alpha – as appropriate. Where the official has benefits in both the PCSPS and alpha, the figure quoted is the combined value of their benefits in the two schemes. Members joining from October 2002 may opt for either the appropriate defined benefit arrangement or a defined contribution (money purchase) pension with an employer

contribution (partnership pension account).

Employee contributions are salary-related and range between 4.6% and 8.05% for members of classic, premium, classic plus, nuvos and alpha. Benefits in classic accrue at the rate of 1/80th of final pensionable earnings for each year of service. In addition, a lump sum equivalent to three years' initial pension is payable on retirement. For premium, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no automatic lump sum. Classic plus is essentially a hybrid with benefits for service before 1 October 2002 calculated broadly as per classic and benefits for service from October 2002 worked out as in premium. In nuvos, a member builds up a pension based on their pensionable earnings during their period of scheme membership. At the end of the scheme year (31 March) the member's earned pension account is credited with 2.3% of their pensionable earnings in that scheme year and the accrued pension is uprated in line with Pensions Increase legislation. Benefits in alpha build up in a similar way to nuvos, except that the accrual rate is 2.32%. In all cases, members may opt to give up (commute) pension for a lump sum up to the limits set by the Finance Act 2004.

The partnership pension account is an occupational defined contribution pension arrangement, which is part of Legal & General Mastertrust. The employer makes a basic contribution of between 8% and 14.75% (depending on the age of the member). The employee does not have to contribute, but where they do make contributions, the employer will match these up to a limit of 3% of pensionable salary (in addition to the employer's basic contribution). Employers also contribute a further 0.5% of pensionable salary to cover the cost of centrally-provided risk benefit cover (death in service and ill health retirement).

The accrued pension quoted is the pension the member is entitled to receive when they reach pension age, or immediately on ceasing to be an active member of the scheme if they are already at or over pension age. Pension age is 60 for members of classic, premium and classic plus, 65 for members of nuvos, and the higher of 65 or State Pension Age for members of alpha. (The pension figures quoted for officials show pension earned in PCSPS or alpha – as

appropriate. Where the official has benefits in both the PCSPS and alpha, the figure quoted is the combined value of their benefits in the two schemes, but note that part of that pension may be payable from different ages).

Further details about the Civil Service pension arrangements can be found at the website: [www.civilservicepensionscheme.org.uk](http://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 thirteenth year, we participated in the Civil Service staff engagement survey, achieving an overall engagement score of 69% (2021-22: 73%). The change has largely been driven by a decrease in satisfaction levels around pay and progression.

We are committed to developing our people and have continued to offer various learning opportunities throughout the year. These have included management development, sessions on mental health and wellbeing, as well as various technical training programmes. Going forward, we are looking at embedding our behavioural framework and developing a culture of knowledge sharing, coaching and feedback.

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

Our recruitment is now based on a hybrid arrangement with both online and on site interviews as required. Recruitment has remained at a constant level with successful campaigns across all areas of the business and at all levels, including increased success in the Digital teams. However, some technical roles remain unfilled.

### Diversity, equity and inclusion

As a public sector organisation, we are committed to equal opportunities for all as part of our duty under the Equality Act 2010. Our dedication to becoming a more diverse, inclusive and equitable organisation is underpinned in our 2021 plan, *Becoming the Inclusive Archive*, and reiterated in our organisation-wide strategy, *Archives for Everyone*.

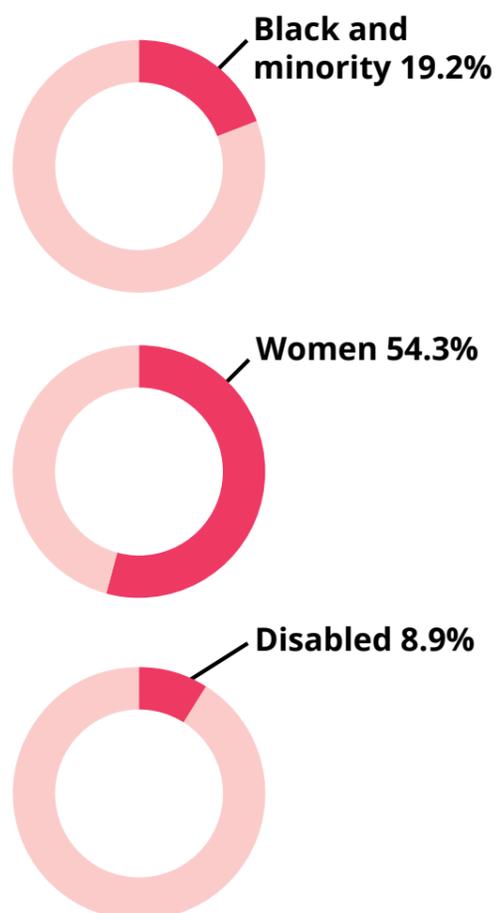
As part of the Public Sector Equality Duty, we aim to foster good relations between persons who share a relevant protected characteristic and persons who do not share it, including among staff. We have policies in place to guard against discrimination and work hard to make The National Archives a safe and supportive environment for staff and visitors alike.

We continue to review our policies and procedures to ensure that there are no unfair or

illegal barriers to employment or advancement across the organisation. Our strategic plans include creating and establishing a diverse workplace and suitability for employment is based on skills, qualifications, and experience (both lived and professional) irrespective of race, age, gender, marital status, disability, sexual orientation, socio-economic status, religious or political beliefs or opinions. We remain committed to harnessing talent from diverse backgrounds and 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 are a Disability Confident Level 2 employer, and we aim to make sure that there is no discrimination on the grounds of disability.

This year, we have prioritised an intersectional approach to engaging and empowering colleagues across the organisation, with a particular focus on our staff networks. In line with our organisational values, our staff networks are all about people, exploring progressive change, supporting our colleagues and peers, and inspiring a feeling of belonging. Our active staff networks include the Racial Equality Network, Neurodiversity Forum, Menopause Network, Hear Together volunteers, LGBT+ Network and Green Champions. Throughout the year, the networks continued to meet and support organisational decision-making. As we adjust to new ways of working in the wake of the COVID-19 pandemic, the staff networks worked hard to encourage and support our staff and invest in their wellbeing. This coming reporting year will involve setting shared priorities aligned to our inclusion and change strategies, and to deliver positive and meaningful outcomes for staff across the organisation.

**We have policies in place to guard against discrimination and work hard to make The National Archives a safe and supportive environment for staff and visitors alike.**



### Workforce breakdown

		31 March 2023	31 March 2022
<b>Staff numbers</b>	Headcount	590	577
<b>Workforce diversity</b>	Black and Minority Ethnic <sup>27</sup>	19.2%	20.5%
	Women – director level	5 of 8	5 of 9
	Women	54.3%	52.9%
	Disabled <sup>28</sup>	8.9%	9.7%
	Temporary appointments (average per month) <sup>29</sup>	10	20
<b>Staff turnover<sup>30</sup></b>		16.7%	13.3%
<b>Staff sickness absence<sup>31</sup></b>	Days per FTE	6.0	5.2
<b>Civil service staff engagement survey</b>	Engagement score %	69	73
<b>Consultancy expenditure</b>	£000s	25	14

<sup>27</sup> Percentage of employees declaring an ethnicity.

<sup>28</sup> Percentage of employees declaring a disability.

<sup>29</sup> Temporary appointments are employees appointed under Exception 1 of the [Civil Service Recruitment Principles](#).

<sup>30</sup> We found that while we were dealing with the impact of Coronavirus many people preferred to retain the security of their existing role, but since the pandemic the job market has proved more buoyant, providing an opportunity for people to change roles.

<sup>31</sup> We saw a marked decrease in overall staff sickness absence during the COVID-19 pandemic, due to the effect of people not mixing socially and the ability to work from home when ordinarily sickness would have prevented them attending the workplace. Since regulations eased, sickness absence has remained higher due to increased social mixing and the continuing impact of the pandemic.

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

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

	2022-23			2021-22
	Permanently employed staff	Other staff <sup>32</sup>	Total	Total
Government information management	111	16	127	136
Preservation and protection	104	13	117	94
Public access	307	32	339	321
Staff engaged on capital projects	8	0	8	15
<b>Total</b>	<b>530</b>	<b>61</b>	<b>591</b>	<b>566</b>

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

Salary band	2022-23 number	2021-22 number
£60,000 - £70,000	-	-
£70,000 - £80,000	-	-
£80,000 - £90,000	6	7
£90,000 - £100,000	-	-
£100,000 - £110,000	-	1
£110,000 - £120,000	1	-
£120,000 - £130,000	1	1
<b>Total</b>	<b>8</b>	<b>9</b>

<sup>32</sup> 'Other staff' includes staff on fixed-term contracts, as well as agency staff and specialist contractors.

**Staff costs (audited)**

	2022-23 £000			2020-21 £000
	Permanently employed staff	Other staff	Total	Total
Wages and salaries	21,409	354	21,763	19,893
Social security costs <sup>33</sup>	2,443	-	2,443	2,136
Other pension costs	5,611	-	5,611	5,181
<b>Sub total</b>	<b>29,463</b>	<b>354</b>	<b>29,817</b>	<b>27,210</b>
Less staff costs capitalised on IT projects	(637)	-	(637)	(750)
<b>Total net costs</b>	<b>28,826</b>	<b>354</b>	<b>29,180</b>	<b>26,460</b>

**Off-payroll engagements****Review of tax arrangements of public sector appointees****Table 1: Temporary off-payroll worker engagements as at 31 March 2023:**

<b>Number of existing engagements as of 31 March 2023</b>	<b>7</b>
<b>Of which:</b>	
Number that have existed for less than one year at time of reporting	7
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

<sup>33</sup> 2022-23 includes £93,000 apprenticeship levy cost (2021-22: £85,000). The Apprenticeship Levy was introduced in April 2017, requiring employers with a pay bill of more than £3 million pounds each year to pay the levy.

**Table 2: All temporary off-payroll workers engaged at any point during the year ended 31 March 2023:**

Number of off-payroll workers engaged during the year ended 31 March 2023	20
<b>Of which:</b>	
Numbers determined as in-scope of IR35	8
Numbers determined as out-of-scope of IR35	12
Number of engagements reassessed for compliance or assurance purposes during the year	5
Of which: Number of engagements that saw a change to IR35 status following the consistency review	0
Number of engagements where the status was disputed under provisions in the off-payroll legislation	0
Of which: Number of engagements that saw a change to IR35 status following the review	0

**Table 3: For any off-payroll engagements of Board members, and/or senior officials with significant financial responsibility, between 1 April 2022 and 31 March 2023:**

Number of off-payroll engagements of Board members, and/or senior officials with significant financial responsibility, during the financial year	0
Total number of individuals both on payroll and off-payroll that have been deemed 'board members, and/or senior officials with significant financial responsibility', during the financial year	15

**Staff pension arrangements**

The Principal Civil Service Pension Scheme (PCSPS) is an unfunded multi-employer defined benefit scheme in which The National Archives is unable to identify its share of the underlying assets and liabilities. A full actuarial valuation was carried out as at 31 March 2016. Work on the next quadrennial actuarial valuation due as at 31 March 2020 is under way by the Government Actuary's Department. The 2020 valuation will be reported in the CSPA ARA when it is completed.

For 2022-23, employers' contributions of £5.5 million were payable in Accruing Superannuation Liability Charges (2021-22: £5.1 million) at one of four rates in the range 26.6% to 30.3% (unchanged from 2021-22) 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 (2021-22: £0.09 million) were paid to the appointed stakeholder pension provider, Legal & General. Employer contributions are age-related and range from 8% to 14.75% of pensionable pay.

Employers also match employee contributions up to 3% of pensionable earnings. In addition, employer contributions of £0.003 million (2021-22: £0.003 million) of pensionable pay were payable to the PCSPS to cover the cost of the future provision of lump sum benefits on death in service or ill health retirement of these employees.

Contributions due to the partnership pension provider at the balance sheet date were £0.007 million (2021-22: £0.007 million). Contributions prepaid at that date were nil (2021-22: 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	2022-23			2021-22		
	Compulsory redundancies	Other departures	Total	Compulsory redundancies	Other departures	Total
< £10	-	-	-	-	-	-
£10 - £25	-	-	-	-	-	-
£25 - £50	-	2	2	-	-	-
£50 - £100	-	1	1	-	-	-
Total number of exit packages	-	3	3	-	-	-
<b>Total costs (£000)</b>	<b>£-</b>	<b>£169</b>	<b>£169</b>	<b>£-</b>	<b>£-</b>	<b>£-</b>

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.

**Business Appointment Rules**

The Business Appointment Rules (BARs) apply to civil servants (including Special Advisers) leaving Crown Service. In compliance with Business Appointment rules, we are transparent in the advice given to individual applications for senior staff, including special

advisers. Advice regarding specific business appointments has been published on GOV. UK here: [Business appointment rules for Crown servants](#). We inform all leavers that they must obtain agreement before accepting a post outside the Civil Service if their official duties in the two years before leaving Crown service (or earlier if the association has been of a continued or repeated nature) resulted in personal involvement with the prospective employer, or they had access to commercially sensitive information of their competitors. If either of the above applies, we ask staff to contact us for advice.

During the 2022-23 financial year, there was one exit from the Civil Service (SCS) and one application assessed by the department at Grade G, for which no conditions were set. We did not receive any disclosures relating to BARs and we were not aware of any breaches.

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

#### Relevant union officials

Number of employees who were relevant union officials during the relevant period	Full-time equivalent employee number
15	14.67

#### Percentage of time spent on facility time

Percentage of time	Number of employees
0%	12
1-50%	3
51%-99%	0
100%	0

#### Percentage of pay bill spent on facility time

Total cost of facility time	£5,912.94
Total pay bill	£29,180,440
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) (audited)

In addition to the primary statements prepared under the International Financial Reporting Standards (IFRS), the Government Financial Reporting Manual 2022-23 (FRm) requires The National Archives to prepare a Statement of Outturn against Parliamentary Supply (SoPS) and supporting notes.

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

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

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

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

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

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

(SoCNE), to tie the SoPS to the financial statements (note 2); a reconciliation of outturn to net cash requirement (note 3); and an analysis of income payable to the Consolidated Fund (note 4).

The SoPS and Estimates are compiled against the budgeting framework, which is similar to the IFRS. An understanding of the budgeting framework and an explanation of key terms is provided on page 31, in the Performance analysis section of the Performance Report. 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.<sup>34</sup>

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

<sup>34</sup> Consolidated budgeting guidance 2022 to 2023.

## Summary table 2022-23, all figures presented in £000s

Type of Spend	SoPS note	Outturn			Estimate			Outturn vs Estimate, Savings/(Excess)	Prior Year Outturn Total 2021-22
		Voted	Non-voted	Total	Voted	Non-voted	Total		
<b>Departmental Expenditure Limit</b>									
Resource	1.1	46,176	-	46,176	46,909	-	46,909	733	40,240
Capital	1.2	5,296	-	5,296	5,860	-	5,860	564	6,383
<b>Total</b>		<b>51,472</b>	<b>-</b>	<b>51,472</b>	<b>52,769</b>	<b>-</b>	<b>52,769</b>	<b>1,297</b>	<b>46,623</b>
<b>Annually Managed Expenditure</b>									
Resource	1.1	(5)	-	(5)	3	-	3	8	(142)
<b>Total</b>		<b>(5)</b>	<b>-</b>	<b>(5)</b>	<b>3</b>	<b>-</b>	<b>3</b>	<b>8</b>	<b>(142)</b>
<b>Total Budget</b>									
Resource	1.1	46,171	-	46,171	46,912	-	46,912	741	40,098
Capital	1.2	5,296	-	5,296	5,860	-	5,860	564	6,383
<b>Total Expenditure</b>		<b>51,467</b>	<b>-</b>	<b>51,467</b>	<b>52,772</b>	<b>-</b>	<b>52,772</b>	<b>1,305</b>	<b>46,481</b>

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 2022-23, all figures presented in £000s

Item	SoPS note	Outturn	Estimate	Outturn vs Estimate, Savings/(Excess)	Prior Year Outturn Total 2021-22
Net Cash requirement	3	45,362	45,611	249	41,011

## Administration costs 2022-23, all figures presented in £000s

Type of spend	SoPS note	Outturn	Estimate	Outturn vs Estimate, Savings/(Excess)	Prior Year Outturn Total 2021-22
Administration costs	1.1	12,384	12,683	299	10,259

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 2022-23

## 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						Total	Estimate Total	Outturn vs Estimate, Savings/(Excess)	Prior Year Outturn Total 2021-22
	Administration			Programme						
	Gross	Income	Net	Gross	Income	Net				
<b>Spending in Departmental Expenditure Limits (DEL)</b>										
Voted expenditure	12,425	(41)	12,384	48,097	(14,305)	33,792	46,176	46,909	733	40,240
<b>Spending in Annually Managed Expenditure (AME)</b>										
Voted expenditure	-	-	-	(5)	-	(5)	(5)	3	8	(142)
<b>Total Resource</b>	<b>12,425</b>	<b>(41)</b>	<b>12,384</b>	<b>48,092</b>	<b>(14,305)</b>	<b>33,787</b>	<b>46,171</b>	<b>46,912</b>	<b>741</b>	<b>40,098</b>

The Outturn was lower than the Estimate primarily due to an underspend in ring-fenced depreciation of £0.6million, largely driven by some assets under construction not being complete at year end and so not yet depreciable.

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

Spend Type	Outturn			Estimate Total	Outturn vs Estimate, Savings/(Excess) Total	Prior Year Outturn Total 2021-22
	Gross	Income	Total			
<b>Spending in Departmental Expenditure Limit (DEL)</b>						
Voted expenditure	5,296	-	5,296	5,860	564	6,383
<b>Total Capital</b>	<b>5,296</b>	<b>-</b>	<b>5,296</b>	<b>5,860</b>	<b>564</b>	<b>6,383</b>

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

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

Item	Reference	Outturn total	Prior Year Outturn Total 2020-21
Total Resource Outturn	SoPS1.1	46,171	40,098
Depreciation charged to Other Comprehensive Net Expenditure		(2)	(2)
Extra Receipt payable to the Consolidated Fund	SoPS4.1	-	(900)
<b>Net Operating Expenditure in Consolidated Statement of Comprehensive Net Expenditure</b>	<b>SoCNE</b>	<b>46,169</b>	<b>39,196</b>

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 item in both 2022-23 and 2021-22 relates to depreciation on a donated asset, charged directly to Other Comprehensive Net Expenditure.

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

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

Item	SoPS note	Outturn total	Estimate	Outturn vs Estimate, Saving/ (Excess)
<b>Total Resource Outturn</b>	<b>SoPS 1.1</b>	<b>46,171</b>	<b>46,912</b>	<b>741</b>
<b>Total Capital Outturn</b>	<b>SoPS 1.2</b>	<b>5,296</b>	<b>5,860</b>	<b>564</b>
<i>Adjustments to remove non-cash items:</i>				
Depreciation		(7,045)	(7,619)	(574)
Depreciation on donated asset		(2)	(3)	(1)
Right-of-use asset - interest charge		(73)	-	73
Right-of-use asset - Remeasurement		13	-	(13)
Gain on disposal of assets		(7)	-	7
Other non-cash items		(81)	-	81
<i>Adjustments to reflect movements in working balances:</i>				
Increase in inventories		3	-	(3)
Increase in receivables		665	-	(665)
Decrease in contract assets		(1,696)	-	1,696
Decrease in payables		781	(461)	(320)
Increase in contract liabilities		(67)	-	67
Use of provisions		7	-	(7)
Right of Use Asset - Capital repayment		497	-	(497)
CFER paid to Consolidated Fund		900		(900)
<b>Net Cash Requirement</b>		<b>45,362</b>	<b>45,611</b>	<b>249</b>

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

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

Item	Reference	Outturn total		Prior Year, 2021-22	
		Accruals	Cash basis	Accruals	Cash basis
Excess cash surrenderable to the Consolidated Fund		-	-	900	-
<b>Total amount payable to the Consolidated Fund</b>		-	-	<b>900</b>	-

£900,000 accrued royalty income from the 1921 Census was due to the Consolidated Fund at 31 March 2022. This income was received during 2022-23 and paid back to the Consolidated Fund, leaving nothing due at the reporting date.

**Parliamentary Accountability Disclosures (audited)****Fees and charges**

There were no material fees and charges throughout the year that require disclosure (2021-22: nil).

**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 2022-23 (2021-22: nil).

**Remote contingent liabilities**

In addition to contingent liabilities within the meaning of International Accounting Standard (IAS) 37, The National Archives also reports liabilities for which the likelihood of a transfer of economic benefit in settlement is too remote to meet the definition of contingent liability. In the year 2022-23, there were no remote contingent liabilities to report (2021-22: nil).



**Jeff James**  
Accounting Officer  
11 July 2023

**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 2023 under the Government Resources and Accounts Act 2000. The Department comprises the core Department and its agencies. The financial statements comprise: the Department's

- Statement of Financial Position as at 31 March 2023;
- Statement of Comprehensive Net Expenditure, Statement of Cash Flows and Statement of Changes in Taxpayers' Equity for the year then ended; and
- the related notes including the significant accounting policies.

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

In my opinion, the financial statements:

- give a true and fair view of the state of the Department's affairs as at 31 March 2023 and its net operating expenditure for the year then ended; and
- have been properly prepared in accordance with the Government Resources and Accounts Act 2000 and HM Treasury directions issued thereunder.

**Opinion on regularity**

In my opinion, in all material respects:

- the Statement of Outturn Against Parliamentary Supply properly presents the outturn against voted Parliamentary control totals for the year ended 31 March 2023 and shows that those totals have not been exceeded; and
- the income and expenditure recorded in the financial statements have been applied to the purposes intended by Parliament

and the financial transactions recorded in the financial statements conform to the authorities which govern them.

**Basis for opinions**

I conducted my audit in accordance with International Standards on Auditing (UK) (ISAs UK), applicable law and Practice Note 10 *Audit of Financial Statements and Regularity of Public Sector Bodies in the United Kingdom (2022)*. 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 am independent of The National Archives in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK. My staff and I have fulfilled our other ethical responsibilities in accordance with these requirements.

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

**Conclusions relating to going concern**

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

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

My responsibilities and the responsibilities of the Accounting Officer with respect to going concern are described in the relevant sections of this certificate.

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

### Other Information

The other information comprises information included in the Annual Report, but does not include the financial statements and my auditor's certificate and report. The Accounting Officer is responsible for the other information.

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

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

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

I have nothing to report in this regard.

### Opinion on other matters

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

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

- the parts of the Accountability Report subject to audit have been properly prepared in accordance with HM Treasury

directions made under the Government Resources and Accounts Act 2000;

- the information given in the Performance and Accountability Reports for the financial year for which the financial statements are prepared is consistent with the financial statements and is in accordance with the applicable legal requirements.

### Matters on which I report by exception

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

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

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

### Responsibilities of the Accounting Officer for the financial statements

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

- maintaining proper accounting records;

- providing the C&AG with access to all information of which management is aware that is relevant to the preparation of the financial statements such as records, documentation and other matters;
- providing the C&AG with additional information and explanations needed for his audit;
- providing the C&AG with unrestricted access to persons within The National Archives from whom the auditor determines it necessary to obtain audit evidence;
- ensuring such internal controls are in place as deemed necessary to enable the preparation of financial statements to be free from material misstatement, whether due to fraud or error;
- ensuring that the financial statements give a true and fair view and are prepared in accordance with HM Treasury directions made under the Government Resources and Accounts Act 2000;
- ensuring that the annual report, which includes the Remuneration and Staff Report, is prepared in accordance with HM Treasury directions made under the Government Resources and Accounts Act 2000; and
- assessing The National Archives' ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the Accounting Officer anticipates that the services provided by The National Archives will not continue to be provided in the future.

### Auditor's responsibilities for the audit of the financial statements

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

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue a certificate that includes my

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

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

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

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

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

- considered the nature of the sector, control environment and operational performance including the design of The National Archives' accounting policies;
- inquired of management, The National Archives' head of internal audit and those charged with governance, including obtaining and reviewing supporting documentation relating to The National Archives' policies and procedures on:
  - identifying, evaluating and complying with laws and regulations;
  - detecting and responding to the risks of fraud; and
  - the internal controls established to mitigate risks related to fraud or non-compliance with laws and regulations including The National Archives' controls relating to The National Archives' compliance with the Government

Resources and Accounts Act 2000, the Public Records Act 1958 and Managing Public Money;

- inquired of management, The National Archives' head of internal audit and those charged with governance whether:
  - they were aware of any instances of non-compliance with laws and regulations;
  - they had knowledge of any actual, suspected, or alleged fraud,
- discussed with the engagement team regarding how and where fraud might occur in the financial statements and any potential indicators of fraud.

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

I obtained an understanding of The National Archives' framework of authority and other legal and regulatory frameworks in which The National Archives operates. I focused on those laws and regulations that had a direct effect on material amounts and disclosures in the financial statements or that had a fundamental effect on the operations of The National Archives. The key laws and regulations I considered in this context included Government Resources and Accounts Act 2000, Managing Public Money, Supply and Appropriation (Main Estimates) Act 2023, and relevant employment law and tax legislation.

### 3. Audit response to identified risk

To respond to the identified risks resulting from the above procedures:

- I reviewed the financial statement disclosures and testing to supporting documentation to assess compliance with provisions of relevant laws and regulations described above as having direct effect on the financial statements;

- I enquired of management, the Audit and Risk Committee and legal counsel concerning actual and potential litigation and claims;
- I reviewed minutes of meetings of those charged with governance and the Board; and internal audit reports; and
- in addressing the risk of fraud through management override of controls, I tested the appropriateness of journal entries and other adjustments; assessed whether the judgements on estimates are indicative of a potential bias; and evaluated the business rationale of any significant transactions that are unusual or outside the normal course of business.

I also communicated relevant identified laws and regulations and potential risks of fraud to all engagement team members 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](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of my certificate.

### 4. Other auditor's responsibilities

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

I am 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 I identify during my audit.

### Report

I have no observations to make on these financial statements.

**Gareth Davies**  
**Comptroller and Auditor General**  
**13 July 2023**

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

## 3.0

# Financial statements

## Notes to the Departmental Resource Accounts

Court documents charging Anne Boleyn and her brother Sir George Boleyn Lord Rocheford with high treason, adultery and incest (catalogue reference KB 8/9 m.10v)

Anne Boleyn, Henry VIII's second wife, was executed for treason in May 1536, four years after their marriage had failed to produce a male heir. She was accused of adultery with members of the king's closest counsel and her own brother George – charges she denied.

## 3.0 Financial statements

### Statement of Comprehensive Net Expenditure for the year ended 31 March 2023

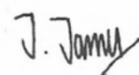
		2022-23	2021-22
		£000	Re-presented £000
	Note		
Revenue from contracts with customers	4	(12,803)	(11,991)
Other operating income	4	(1,543)	(1,587)
<b>Total operating income</b>		<b>(14,346)</b>	<b>(13,578)</b>
Staff costs	3	29,180	26,460
Purchase of goods and services	3	24,136	20,109
Depreciation, provisions and audit charges	3	7,126	6,205
Right-of-use asset interest charge	7	73	-
<b>Total operating expenditure</b>		<b>60,515</b>	<b>52,774</b>
<b>Net operating expenditure</b>		<b>46,169</b>	<b>39,196</b>
<b>Other comprehensive net expenditure</b>			
Items that will not be reclassified to net operating expenditure:			
- Net (gain)/loss on revaluation of property, plant and equipment	5	32,411	(35,059)
- Net (gain)/loss on revaluation of intangible assets	6	(4,178)	2,128
- Depreciation of donated assets		2	2
<b>Comprehensive net operating expenditure for the year</b>		<b>74,404</b>	<b>6,267</b>

The net loss on revaluation of property, plant and equipment is primarily driven by the decrease in value of the land owned by The National Archives at the Kew site. Last year there was a significant increase in land values, driven by the strength of the industrial and logistics market sector. However, since then there has been just as significant a drop in the market as a result of steadily rising interest rates, which has accelerated since September 2022.

In 2022-23, *Gazette* income has been reclassified from lessor income to revenue from contracts with customers under transition to IFRS 16. Prior year figures have been represented to reflect this change retrospectively. See note 1.3.

## Statement of Financial Position as at 31 March 2023

	Note	31 March 2023		31 March 2022	
		£000	£000	£000	£000
<b>Non-current assets:</b>					
Property, plant and equipment	5	162,464		199,567	
Intangible assets	6	34,505		26,800	
Right-of-use assets	7	7,109		-	
Prepayments falling due after one year	9	266		111	
<b>Total non-current assets</b>			<b>204,344</b>		<b>226,478</b>
<b>Current assets:</b>					
Inventories		170		167	
Trade and other receivables	9	6,461		5,951	
Contract assets	9	131		1,827	
Cash and cash equivalents		74		67	
<b>Total current assets</b>			<b>6,836</b>		<b>8,012</b>
<b>Total assets</b>			<b>211,180</b>		<b>234,490</b>
<b>Current liabilities</b>					
Trade and other payables	10	(5,249)		(6,866)	
Contract liabilities	10	(137)		(70)	
Obligations under finance leases	7	(496)		-	
Provisions	11	(27)		(8)	
<b>Total current liabilities</b>			<b>(5,909)</b>		<b>(6,944)</b>
<b>Total assets less current liabilities</b>			<b>205,271</b>		<b>227,546</b>
<b>Non-current liabilities:</b>					
Contract liabilities	10	(249)		(306)	
Obligations under finance leases	7	(6,769)		-	
Provisions	11	-		(26)	
<b>Total non-current liabilities</b>			<b>(7,018)</b>		<b>(332)</b>
<b>Total assets less liabilities</b>			<b>198,253</b>		<b>227,214</b>
<b>Taxpayers' equity and other reserves:</b>					
General fund			57,762		58,450
Revaluation reserve			140,474		168,745
Donated asset reserve			17		19
<b>Total equity</b>			<b>198,253</b>		<b>227,214</b>



Jeff James,  
Accounting Officer,  
11 July 2023

## Statement of Cash Flows for the year ended 31 March 2023

	Note	2022-23	2021-22
		£000	£000
<b>Cash flows from operating activities</b>			
Net operating expenditure		(46,169)	(39,196)
Adjustments for non-cash transactions	3	7,206	6,205
(Increase)/decrease in trade and other receivables	9	(665)	(1,457)
(Increase)/decrease in contract assets	9	1,696	(1,173)
(Increase)/decrease in inventories		(3)	(21)
Increase/(decrease) in trade and other payables	10	(1,674)	1,847
Increase/(decrease) in contract liabilities	10	67	10
Increase/(decrease) in balance with the Consolidated Fund	10	(7)	60
Use of provisions	11	(7)	(3)
<b>Net cash outflow from operating activities</b>		<b>(39,556)</b>	<b>(33,728)</b>
<b>Cash flows from investing activities</b>			
Purchase of property, plant and equipment	5	(4,092)	(3,915)
Purchase of intangible assets	6	(1,217)	(2,468)
<b>Net cash outflow from investing activities</b>		<b>(5,309)</b>	<b>(6,383)</b>
<b>Cash flows from financing activities</b>			
From the Consolidated Fund (Supply) – current year		45,369	40,951
Repayment of capital element of obligations under finance leases	7	(424)	-
Interest element of obligations under finance leases	7	(73)	-
Extra Receipts due to the Consolidated Fund		-	(900)
<b>Net cash flows from financing activities</b>		<b>44,872</b>	<b>40,051</b>
<b>Net increase/(decrease) in cash and cash equivalents</b>		<b>7</b>	<b>(60)</b>
<b>Cash and cash equivalents at the beginning of the period</b>		<b>67</b>	<b>127</b>
<b>Cash and cash equivalents at the end of the period</b>		<b>74</b>	<b>67</b>

## Statement of Changes in Taxpayers' Equity for the year ended 31 March 2023

	Note	General Fund £000	Revaluation Reserve £000	Donated Asset Reserve £000	Taxpayers' equity £000
<b>Balance at 1 April 2021</b>		<b>57,421</b>	<b>135,852</b>	<b>21</b>	<b>193,294</b>
Net Parliamentary funding		41,011	-	-	41,011
CFER Payable to the Consolidated Fund		(900)	-	-	(900)
Net expenditure for the year		(39,196)	-	-	(39,196)
Other comprehensive expenditure		(2)	32,931	-	32,929
Auditor's remuneration	3	76	-	-	76
Transfers between reserves		40	(38)	(2)	-
<b>Balance at 31 March 2022</b>		<b>58,450</b>	<b>168,745</b>	<b>19</b>	<b>227,214</b>
Net Parliamentary funding		45,362	-	-	45,362
Net expenditure for the year		(46,169)	-	-	(46,169)
Other comprehensive expenditure		(2)	(28,233)	-	(28,235)
Auditor's remuneration	3	81	-	-	81
Transfers between reserves		40	(38)	(2)	-
<b>Balance at 31 March 2023</b>		<b>57,762</b>	<b>140,474</b>	<b>17</b>	<b>198,253</b>

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

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

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

## Notes to the Departmental Resource Accounts

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

## 1.1 Statement of accounting policies

These accounts have been prepared in accordance with the Government Financial Reporting Manual 2022-23 (FRm) issued by HM Treasury, as required by the statutory Accounts Directions issued pursuant to section 5(2) 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 (the practise of recording the original cost of an asset at its cost on a balance sheet) modified to account for the revaluation of non-current assets, where material, at their value to the business by reference as applicable to their current costs, replacement costs or indices.

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.

## Areas of significant estimates and judgements

The preparation of financial statements required 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 affected.

The estimates and judgements that had a significant risk of causing a material adjustment to the carrying amounts of assets and liabilities within the next accounting period are:

- IAS 16 Land and Buildings: Professional valuations are required every five years at a minimum with a professional desktop valuation used in intervening years. In the current year, the land and buildings are stated at fair value using a professional desktop valuation, with a full professional valuation taken in 2020-21. Further details are in note 5.
- 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 8.
- IAS 38 Intangible assets: The valuations of licences 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.

- IFRS 15 Revenue Recognition: On transition to IFRS 15, judgments were made relating to the determination of performance obligations in each of the major revenue streams, which had the potential to impact the revenue recognition pattern under the contract. No further judgments have been made since transition. Assumptions are required to determine an appropriate measure of progress when determining how control over promised goods or services transfers to the customer. Estimates are made at year end to recognise revenue where actual sales are unknown. Further details are in note 4.

### Going concern

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

In forming this view, the directors note that the Department:

- Applies prudent financial management in order to ensure that its commitments are accommodated within the timing of allocated budget;
- and
- Undertakes a robust and detailed annual business planning and budgeting process to establish its operational cost requirements for each financial year.

### 1.3 New and revised standards

The National Archives has adopted IFRS16 Leases from 1 April 2022 and has applied the standard using the modified retrospective approach. This allows for the recognition of cumulative effects of initially applying IFRS 16 (C7) recognised on 1 April 2022 as an adjustment to the opening balances.

The National Archives has applied the practical expedient in IFRS16 (C3) to not reassess whether a contract is, or contains, a lease at the date of initial application. An assessment of leases at the

date of transition has resulted in one lease for a storage facility being identified as falling under IFRS 16, and one lease for photocopiers which does not due to being of low value.

The National Archives receives revenue from *The Gazette*, which has previously been treated as a lease. This is a licence of intellectual property granted by a lessor and so under IFRS 16 (3d), from transition it will fall under IFRS 15 Revenue from Contracts with Customers (see note 4). Prior year figures have been re-presented to reflect this change.

IFRS 16 Leases has superseded IAS 17 Leases, IFRIC 4 Determining whether an Arrangement Contains a Lease, SIC 15 Operating Leases – Incentives, and SIC 27 Evaluating the Substance of Transactions in the Legal Form of a Lease.

### Initial Recognition

At the transition date, The National Archives recognised a right-of-use asset and a lease liability.

The lease liability was initially measured at the present value of the lease payments that are not paid at the commencement date, discounted using HM Treasury discount rate of 0.95% as in the Public Expenditure System (PES) 2021 10 paper. Future lease payments are subject to an annual increase based on the Retail Price Index (RPI) as at 31 January each year. The calculation of the lease liability inflates future lease payments using inflation rates from the PES 2021 10 paper, except for where another inflation rate is more applicable for underlying cashflows. For the opening liability, the expected cashflow for 2022-23 has been calculated using a known inflation rate of 7.8% and 13.4% for 2023-24. The PES rate of 2% is used for all cashflows after this point into perpetuity. Were future lease payments not inflated, the present value of future cashflows would be £6.174 million.

Right-of-use assets are initially recognised at an amount equal to the lease liability adjusted for: any payments made or amounts accrued before the commencement date, lease incentives received, incremental costs in obtaining the lease, and any disposal costs at the end of the lease. None of these adjustments were required for the lease recognised this year.

The National Archives has applied the following FReM mandated exemptions under IFRS 16 (6) on initial adoption:

- No adjustment for leases for which the underlying asset is of low value
- No adjustment for leases for which the lease term is less than 12 months.

### Subsequent Measurement

The lease liability is adjusted for any change in projected RPI rates affecting future lease payments. It is also re-measured to take into account any adjustments to capital lease repayments in year. For the closing liability, the expected cashflow for 2023-24 has been calculated using the known rate of 13.4%. For 2024-25 the cashflow has been inflated using a rate of 2% instead of 0.6% as found in the PES 2021 10 paper as this is more applicable to the underlying cashflow. The PES rate of 2% is used for all cashflows after this point into perpetuity. Were future lease payments not inflated, the present value of future cashflows would be £6.497 million.

The right-of-use asset is measured using the cost measurement model as a proxy for fair value as it is based on the present value of lease payments. A re-measurement is done each year based on the re-measurement of the lease liability, due to the changes in lease payments being increased by RPI each year.

Depreciation is charged using the straight line method from the commencement date to the end of the lease term.

### 1.4 Accounting standards issued but not yet effective

IFRS 17 Insurance Contracts is expected to replace IFRS 4 from 1 January 2023 for public sector organisations. The scope of the standard covers insurance contracts issued or held. This reporting standard is anticipated to have no accounting impact upon The National Archives as no such insurance contracts are held. Review work will be undertaken to provide assurance of this in advance of the effective date.

### Accounting policies for expenditure

#### 1.5 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.

### 1.6 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.

### 1.7 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.

### 1.8 Grant expenditure

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

### 1.9 Value Added Tax (VAT) on purchases

The National Archives reclaims VAT on purchases under section 41 (3) of the VAT Act 1994. Under this provision, HM Treasury issues a Direction commonly known as the 'Contracting Out Direction', which lists the government departments that are eligible to claim refunds of VAT, and the services on which VAT can be reclaimed. Where The National Archives makes purchases on which VAT cannot be recovered, it is charged to the relevant expenditure category or included in the capitalised purchase price of non-current assets.<sup>35</sup>

#### Accounting policies for income

### 1.10 Revenue recognition

The National Archives recognises revenue in accordance with IFRS 15. The standard sets out that the point of recognition is based on when performance obligations of a contract are satisfied and the benefits are fully received by the customer.

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.

### 1.12 Value Added Tax (VAT) on sales

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

#### Accounting policies for assets and liabilities

### 1.13 Property, plant and equipment and intangible assets

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

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

#### Property, plant and equipment

The National Archives building and grounds at Kew are freehold property. The land and buildings are stated at fair value using professional valuations, by property valuers having appropriate recognised professional qualifications and recent experience in the location and category of the properties being valued, every five years at a minimum. In intervening years, the value is stated at fair value using a professional desktop valuation.

Other plant and equipment are valued at depreciated replacement cost in existing use, which is used as a proxy for fair value.

Expenditure on restoration and conservation work is part of the normal operating costs of

The National Archives and is not capitalised; it is recorded as part of programme costs.

#### Depreciation

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

Asset lives are in the following ranges:

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

#### Leases

Adoption of IFRS 16 Leases on 1 April 2022 led to the recognition of a right-of-use asset.

Depreciation is charged on a straight line bases over the term of the lease, which from the date of adoption of IFRS 16 was 13.25 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 15 years
Licences issued to third parties	indefinite
Internally developed revenue-generating databases	indefinite

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

### 1.14 Heritage assets

The National Archives holds around 16 million physical records, artefacts and a significant and growing digital archive, which are collectively classed as non-operational heritage assets. These are held in order to fulfil our statutory function, which includes ensuring that important information is preserved and that it can be accessed and used.

Records in our collection are put onto our online catalogue, Discovery, which contains descriptions of a broad range of documents and other types of records. Further details can be found at: [discovery.nationalarchives.gov.uk/](https://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) 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 Domesday Book, one of our most prized national treasures, which has been preserved for over nine centuries and is now cared for at Kew; two contemporary versions of Magna Carta; unique records of official treaties; and a host of irreplaceable social records including the 1921

<sup>35</sup> A full list of the services on which VAT can be reclaimed under the Contracting Out Direction can be found at: [www.gov.uk/hmrc-internal-manuals/vat-government-and-public-bodies/vatgpb9700](https://www.gov.uk/hmrc-internal-manuals/vat-government-and-public-bodies/vatgpb9700).

Census and over 4.5 million historic military service personnel records. Further details of the preservation and management of our heritage assets are provided in note 8 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 liabilities are amounts invoiced and due from software development, licences, record copying or other services.

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

Trade receivables do not carry any interest and are stated at their nominal value as reduced by appropriate allowances for irrecoverable amounts. These impairment provisions are recorded in administrative expenses in the Statement of Comprehensive Net Expenditure. The carrying amount of trade receivables is deemed to be an approximation of fair value.

If collection of amounts receivable is expected in one year or less they are classified as current assets. If not, they are presented as non-current assets.

### 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.

The National Archives holds around 16 million physical records, artefacts and a significant and growing digital archive, which are collectively classed as non-operational heritage assets.

### 1.18 Provisions

Provisions are recognised in accordance with IAS 37 Provisions, Contingent Liabilities and Contingent Assets. The amount recognised as a provision is the best estimate of expenditure required to settle the present obligation at the Statement of Financial Position date. Provisions that are more than a year from the Statement of Financial Position date are discounted at the rates set annually by HM Treasury because The National Archives is a public body funded by the Exchequer and setting its own discount rate could expose taxpayers' funds to risks unnecessarily.



## 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 41 to 43. 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.

	2022-23			
	Government information management	Preservation and protection	Public access	Total
	£000	£000	£000	£000
Income	(3,927)	(589)	(9,830)	(14,346)
Operating expenditure	12,451	15,435	25,584	53,470
Depreciation, amortisation and impairment	1,640	2,034	3,371	7,045
Net operating expenditure	10,164	16,880	19,125	46,169
	2021-22			
	Government information management	Preservation and protection	Public access	Total
	£000	£000	£000	£000
Income	(3,815)	(602)	(9,161)	(13,578)
Operating expenditure	11,531	12,540	22,433	46,504
Depreciation, amortisation and impairment	1,555	1,691	3,024	6,270
Net operating expenditure	9,271	13,629	16,296	39,196

### 3. Operating expenditure

	2022-23		2021-22 Re-presented	
	£000	£000	£000	£000
<b>Staff Costs</b>				
Wages and salaries	21,763		19,893	
Social Security costs	2,443		2,136	
Other pension costs	5,611		5,181	
Less capitalised staff costs	(637)		(750)	
		<b>29,180</b>		<b>26,460</b>
<b>Purchase of goods and services</b>				
Goods and services	5,982		5,520	
Storage lease rental	-		462	
Contracted services	8,518		6,072	
Building maintenance and costs	4,170		3,718	
Office supplies and equipment	902		353	
Technology cost	3,098		2,728	
Telecommunication	138		156	
Grants paid	502		491	
Public access	246		178	
Recruitment and training	255		377	
Travel, subsistence and hospitality	222		58	
Professional expenses	103		121	
Contract expenditure	-		(125)	
		<b>24,136</b>		<b>20,109</b>
<b>Non-cash items:</b>				
Depreciation and amortisation				
- Civil estate	4,238		3,860	
- Other non-current assets	2,807		2,410	
<b>Total depreciation</b>		<b>7,045</b>		<b>6,270</b>
Auditor's remuneration – audit work	81		76	
Right-of-use asset interest charge	73		-	
Change to onerous lease provision	-		(141)	
<b>Total other non-cash items</b>		<b>154</b>		<b>(65)</b>
<b>Total non-cash items</b>		<b>7,199</b>		<b>6,205</b>
<b>Total operating expenditure</b>		<b>60,515</b>		<b>52,774</b>

Further analysis on staff numbers, compensation scheme packages and pension disclosures can be found on pages 58 to 65, within the Accountability report.

No fees have been paid to auditors for non-audit work in the financial year 2022-23.

### IFRS16 Adjustment

In accordance with IFRS16 Leases, lease payments for the Deepstore storage facility are now recognised against a Lease Liability on the SoFP rather than through the SoCNE.

### 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
<b>Licensing royalties</b> Commercial partners use accessioned content on their websites or within their online products. Royalties are due to us when their subscribers use this content, or customers purchase their products.	Revenue is recognised in line with usage/sales. A statement is received from the partner detailing usage/sales during the period which is then billed for. Billing arrangements vary from a monthly to quarterly or annual basis. An estimation of usage/sales is made for the last quarter where statements have not been received, based on forecasts and information from partners, and is accrued through the SoCNE.
<b>Record Copying (statutory provision).</b> Digital or paper copies of our accessioned records are sold to individual customers.	Revenue is recognised at the point where the copies are provided to the customer. Billing takes place prior to distribution of the copies.
<b>Reprographics</b> A digitisation service for bulk orders from third parties. The records can belong to us or to external parties. Digitised copies are provided on hard drives.	Revenue is recognised at the point where the copies are provided to the third party and is typically billed in advance. Projects on which work has begun, but which has not been delivered at the reporting date, are held as contract assets at the value of the work completed to date.
<b>Storage income</b> Commercial partners store records in The National Archives storage facility.	Revenue is recognised in line with usage, with billing arranged quarterly.
<b>Drafting tools</b> Publishing legislation on behalf of other government departments and devolved administrations.	A fee is charged per document published and recognised in line with publication. Billing on a quarterly basis.

Revenue stream	Timing of performance obligations and significant payment terms
<p><b>Licensing resales</b> Copies of images digitised either by a licensing partner, or by The National Archives, can be resold to another licensing partner or digitisation customer. When sold to another licensing partner, this will be alongside a licence to publish and The National Archives will also benefit from future royalties.</p>	Revenue is recognised at the point where the images are transferred and the licensing partner obtains control of the right to publish, unless it is a sale to a licensing partner where the images are required to be updated over the period that they have access to the material, in which case it is recognised over the period of the licence. Revenue is received either in advance or on delivery.
<p><b>Gazette Income</b> <i>The Gazette</i> is the official newspaper of the government and is printed and distributed by our publishing partner. The income is principally driven from advertisements placed in the paper both statutory and non-statutory.</p>	Revenue is recognised on a sliding scale as set out in the contract with the publisher. The contract period is annual and based on a percentage of the revenue with the percentage increasing as turnover thresholds are reached. The contract is based on a calendar year and the lowest percentage is used to calculate the revenue for January to March as any additional revenue cannot be guaranteed until the turnover threshold in that year has been exceeded.
<p><b>Contract Assets</b> Where work has begun on a contract, but the performance obligation has not been fully satisfied by year end, the value of the work is held as a contract asset.</p>	
<p><b>Contract Liabilities</b> Where work has been billed in advance and delivery has not taken place by year end, the value of the invoices raised are held as a contract liability.</p>	

	2022-23 £000	2021-22 Re-presented £000
<b>Revenue from contracts with customers</b>		
Licensing royalties	3,557	3,965
Record copying	612	608
<i>Gazette</i> income	5,520	5,150
Reprographics	1,035	497
Storage income	469	433
Shop income	347	302
Drafting tools	198	213
Licensing resales	325	130
Legislation services	115	121
Digital downloads	35	46
Other	590	526
	<b>12,803</b>	<b>11,991</b>
<b>Other operating income</b>		
Fees charged to other government departments	574	594
Grant income	649	654
Apprenticeship levy notional income	23	38
Lessor income	297	301
	<b>1,543</b>	<b>1,587</b>
<b>Total Income</b>	<b>14,346</b>	<b>13,578</b>

In 2022-23, *Gazette* income has been reclassified from lessor income to revenue from contracts with customers under transition to IFRS 16. Prior year figures have been represented to reflect this change retrospectively. See note 1.3.

## 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
<b>Cost or valuation</b>							
At 1 April 2022	73,000	110,300	12,869	11,744	14,619	2,155	224,687
Additions	-	49	375	369	349	2,950	4,092
Reclassification	-	-	867	469	(2,595)	(1,518)	(2,777)
Disposals	-	-	-	-	(9)	-	(9)
Revaluation	(38,850)	2,201	-	-	-	-	(36,649)
<b>At 31 March 2023</b>	<b>34,150</b>	<b>112,550</b>	<b>14,111</b>	<b>12,582</b>	<b>12,364</b>	<b>3,587</b>	<b>189,344</b>
<b>Depreciation</b>							
At 1 April 2022	-	-	8,104	6,464	10,552	-	25,120
Charged in year	-	4,238	811	560	576	-	6,185
Reclassification	-	-	-	-	(185)	-	(185)
Disposals	-	-	-	-	(2)	-	(2)
Revaluation	-	(4,238)	-	-	-	-	(4,238)
<b>At 31 March 2023</b>	<b>-</b>	<b>-</b>	<b>8,915</b>	<b>7,024</b>	<b>10,941</b>	<b>-</b>	<b>26,880</b>
<b>Net book value</b>							
<b>At 31 March 2023</b>	<b>34,150</b>	<b>112,550</b>	<b>5,196</b>	<b>5,558</b>	<b>1,423</b>	<b>3,587</b>	<b>162,464</b>
<b>At 31 March 2022</b>	<b>73,000</b>	<b>110,300</b>	<b>4,765</b>	<b>5,280</b>	<b>4,067</b>	<b>2,155</b>	<b>199,567</b>
	Land	Buildings	Plant and machinery	Furniture fixtures and fittings	Computers and equipment	Assets under construction	Total
	£000	£000	£000	£000	£000	£000	£000
<b>Cost or valuation</b>							
At 1 April 2021	45,600	106,500	11,599	11,654	11,007	477	186,837
Additions	-	-	2,757	141	835	182	3,915
Reclassification	-	-	(1,445)	(51)	2,777	1,496	2,777
Disposals	-	-	(42)	-	-	-	(42)
Revaluation	27,400	3,800	-	-	-	-	31,200
<b>At 31 March 2022</b>	<b>73,000</b>	<b>110,300</b>	<b>12,869</b>	<b>11,744</b>	<b>14,619</b>	<b>2,155</b>	<b>224,687</b>
<b>Depreciation</b>							
At 1 April 2021	-	-	7,367	5,895	9,587	-	22,849
Charged in year	-	3,859	779	569	965	-	6,172
Disposals	-	-	(42)	-	-	-	(42)
Revaluation	-	(3,859)	-	-	-	-	(3,859)
<b>At 31 March 2022</b>	<b>-</b>	<b>-</b>	<b>8,104</b>	<b>6,464</b>	<b>10,552</b>	<b>-</b>	<b>25,120</b>
<b>Net book value</b>							
<b>At 31 March 2022</b>	<b>73,000</b>	<b>110,300</b>	<b>4,765</b>	<b>5,280</b>	<b>4,067</b>	<b>2,155</b>	<b>199,567</b>
<b>At 31 March 2021</b>	<b>45,600</b>	<b>106,500</b>	<b>4,232</b>	<b>5,759</b>	<b>1,420</b>	<b>477</b>	<b>163,988</b>

## Notes

a. Freehold land and buildings were valued on 31 March 2023 at £146.7 million by BNP Paribas Real Estate (the 'Valuer') acting in the capacity of external valuers. The Valuation was a desktop exercise; the Valuer did not visit the Kew site as part of the process of producing the Valuation.

The valuation was in accordance with the requirements of the Government 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 85) and accumulated in taxpayers' equity under the revaluation reserve.

## 6. Intangible assets

	Software licences	Internally developed IT Systems	Internally developed revenue-generating databases	Licences issued to third parties	Assets under construction	Total
	£000	£000	£000	£000	£000	£000
<b>Cost or valuation</b>						
<b>At 1 April 2022</b>	<b>916</b>	<b>-</b>	<b>623</b>	<b>23,972</b>	<b>2,027</b>	<b>27,538</b>
Additions	-	-	-	-	1,217	1,217
Reclassifications	-	2,777	-	-	-	2,777
Revaluation	-	-	(117)	4,295	-	4,178
<b>At 31 March 2023</b>	<b>916</b>	<b>2,777</b>	<b>506</b>	<b>28,267</b>	<b>3,244</b>	<b>35,710</b>
<b>Amortisation</b>						
<b>At 1 April 2022</b>	<b>738</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>738</b>
Charged in year	97	185	-	-	-	282
Reclassification	-	185	-	-	-	185
<b>At 31 March 2023</b>	<b>835</b>	<b>370</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,205</b>
<b>Net book value</b>						
<b>At 31 March 2023</b>	<b>81</b>	<b>2,407</b>	<b>506</b>	<b>28,267</b>	<b>3,244</b>	<b>34,505</b>
<b>At 31 March 2022</b>	<b>178</b>	<b>2,592</b>	<b>623</b>	<b>23,972</b>	<b>2,027</b>	<b>29,392</b>
	Software licences	Internally developed IT Systems	Internally developed revenue-generating databases	Licences issued to third parties	Assets under construction	Total
	£000	£000	£000	£000	£000	£000
<b>Cost or valuation</b>						
<b>At 1 April 2021</b>	<b>843</b>	<b>-</b>	<b>568</b>	<b>26,156</b>	<b>2,409</b>	<b>29,976</b>
Additions	73	-	-	-	2,395	2,468
Reclassification	-	-	-	-	(2,777)	(2,777)
Revaluation	-	-	55	(2,184)	-	(2,129)
<b>At 31 March 2022</b>	<b>916</b>	<b>-</b>	<b>623</b>	<b>23,972</b>	<b>2,027</b>	<b>27,538</b>
<b>Amortisation</b>						
<b>At 1 April 2021</b>	<b>639</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>639</b>
Charged in year	99	-	-	-	-	99
<b>At 31 March 2022</b>	<b>738</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>738</b>
<b>Net book value</b>						
<b>At 31 March 2022</b>	<b>178</b>	<b>-</b>	<b>623</b>	<b>23,972</b>	<b>2,027</b>	<b>26,800</b>
<b>At 31 March 2021</b>	<b>204</b>	<b>-</b>	<b>568</b>	<b>26,156</b>	<b>2,409</b>	<b>29,337</b>

Assets Under Construction relates to Internally developed IT Systems, to be depreciated once ready for use.

Internally developed revenue-generating databases and Licences issued to third parties are assets based on forecasts of future revenue generating capacity. The revenue-generating databases include the Image Library and Digital Downloads, which generate revenue through customers purchasing copies of The National Archives' digitised records. Licences issued to third parties are the licences issued to licensing partners for which royalties will be generated on their sales/usage of The National Archives' records.

Revaluation in year is accounted for within other comprehensive net expenditure (page 85) 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 revaluations of revenue-generating databases and licences issued to third parties are based on forecasts of future revenue generating capacity as at 31 March 2023, discounted using the rate of 3.5% set out set out in HM Treasury's The Green Book. The forecast cashflows estimated are subject to market conditions as they are dependent on customer use of the products offered – both existing and new.

If the cashflows were not discounted, the value of the revenue-generating databases would be £734,000 and the licences issued would be £34.17 million.

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

	Increase/(decrease) in 2022-23 valuation
Market risk – assumptions tested	£000
2022-23 income 10% less than forecast for revenue generating databases	(84)
2022-23 income 10% higher than forecast for revenue generating databases	84
2022-23 income 10% less than forecast for licences issued	(3,040)
2022-23 income 10% higher than forecast for licences issued	3,040

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. Leases

As detailed in Note 1, The National Archives adopted IFRS 16 Leases from 1 April 2022. As permitted by the FReM, it has been implemented using the cumulative catch up method, without restating prior year figures. Only one lease previously recognised as an operating lease until 31 March 2022 is now recognised as a right-of-use leased asset, with the associated costs being recognised in Note 7c.

### 7a) Right-of-use leased assets

	2022-23	2021-22
	£000	£000
<b>Cost or valuation</b>		
At 1 April	7,702	-
Remeasurement	(13)	-
<b>At 31 March</b>	<b>7,689</b>	<b>-</b>
<b>Depreciation</b>		
At 1 April	-	-
Charged in year	580	-
<b>At 31 March</b>	<b>580</b>	<b>-</b>
<b>Net Book Value</b>	<b>7,109</b>	<b>-</b>

### 7b) Lease Liability

	2022-23	2021-22
	£000	£000
Balance at 1 April	7,702	-
Remeasurement	(13)	-
Finance charge	73	-
Lease payments in year	(497)	-
<b>At 31 March</b>	<b>7,265</b>	<b>-</b>

The following table shows the maturity analysis of undiscounted cashflows:

	2022-23	2021-22
	£000	£000
Within one year	564	-
Later than one year and not later than five years	2,373	-
Beyond five years	4,811	-
	<b>7,748</b>	<b>-</b>

### 7c) Amounts recognised in the Statement of Comprehensive Net Expenditure

	2022-23	2021-22
	£000	£000
Interest charge	73	-
Depreciation charge	580	-
	<b>653</b>	<b>-</b>

### 7d) Amounts recognised in Statement of Cashflow

	2022-23	2021-22
	£000	£000
Principal repayment of lease	497	-
Finance charge	73	-
Depreciation charge	580	-
	<b>1,150</b>	<b>-</b>

## 8. Further information on heritage assets

### 8a) 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. Government departments typically transfer records to The National Archives within 20 years of creation.

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 reviewed periodically. 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 2022-23, £1.77 million was recognised (in 2021-22 this was £1.81 million).

#### Our approach to preservation risk

##### Physical records

The physical records held by The National Archives span over 1,000 years and fill nearly 240 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 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 Culture, Media and Sport officials, in line with the loans policies of other major cultural heritage institutions.

**The National Archives adopts a combined approach of preventative measures and conservation treatments for records in their digital and physical forms.**

### Digital records

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

Our digital preservation techniques and policies follow current good practice, as recognised nationally and globally. Our approach involves assessing risks to render-ability (our ability to keep records and produce them in a usable form) and intellectual control (our ability to understand what they are). We act to mitigate these risks.

Our digital preservation systems provide secure, resilient archival storage to ensure the integrity of the original digital objects ('bit preservation'). Our work with DROID and PRONOM provides the international digital preservation community with the ability to identify file formats, a prerequisite for understanding which files are at risk of becoming unfit for presentation. Should a format be identified as posing a risk, action can be taken to migrate records to a more durable format or to otherwise mitigate that risk ('active preservation'). The National Archives maintains the original manifestation of the record as accessioned. During the year, we took 3,617 snapshots of websites and social media accounts for the UK Government web archive (3,797 in 2021-22).

### 8b) 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 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 on site; this is not required to view surrogates or online copies of documents.

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

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

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

## 9. Trade other receivables

	2022-23	2021-22
	£000	£000 (Restated)
<b>Amounts falling due within one year:</b>		
Trade receivables	3,081	2,714
Deposits and advances	22	14
Prepayments	946	1,520
Accrued income	2,412	776
Accrued income due to the Consolidated Fund	-	900
VAT	-	27
	<b>6,461</b>	<b>5,951</b>
Contract assets	131	1,827
	<b>6,592</b>	<b>7,778</b>
<b>Amounts falling due after one year:</b>		
Prepayments	266	111
<b>Total receivables</b>	<b>6,858</b>	<b>7,889</b>

## 10. Trade other payables

	2022-23	2021-22
	£000	£000
<b>Amounts falling due within one year:</b>		
Other Taxation, Social Security and Pension	1,158	1,095
Trade payables	1,409	2,189
Accruals	1,154	1,157
Deferred income	150	298
Deposits	12	26
Short-term staff benefits (holiday pay accrual)	1,022	1,134
Amounts issued from the Consolidated Fund for supply but not spent at year end	74	67
VAT	270	-
Amounts due to be paid to the Consolidated Fund	-	900
<b>Total trade and other liabilities</b>	<b>5,249</b>	<b>6,866</b>
Contract liabilities	137	70
Lease liabilities	496	-
	<b>5,882</b>	<b>6,936</b>
<b>Amounts falling due after one year:</b>		
Contract liabilities	249	306
Lease liabilities	6,769	-
<b>Total payables</b>	<b>12,900</b>	<b>7,242</b>

See Note 7 for details of amounts due under Lease Liabilities.

## 11. Provisions for liabilities and charges

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

	2022-23	2021-22
	£000	£000
Balance at 1 April	34	178
Provision not required written back	-	(141)
Provisions utilised in year	(7)	(3)
<b>Balance as at 31 March</b>	<b>27</b>	<b>34</b>

### Analysis of expected timing of discounted cash flow

	2022-23	2021-22
	£000	£000
Payable within one year	27	8
Payable later than one year and not later than five years	-	26
<b>Balance as at 31 March</b>	<b>27</b>	<b>34</b>

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

Future cashflows have been discounted using HM Treasury Discount Rates.

## 12. Other financial commitments

The National Archives has no capital commitments (2021-22: £nil)

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:

	2022-23	2021-22
	£000	£000
Not later than one year	1,798	2,277
Later than one year and not later than five years	176	2,236
Beyond five years	-	-
	<b>1,974</b>	<b>4,513</b>

The facilities management contract (£1.4 million) is due to end in December 2023 and no further contract has been entered into beyond that point.

On transition to IFRS 16 the Deepstore lease was transferred to the balance sheet (see note 7). This lease was not previously disclosed as a commitment.

	2022-23	2021-22
	£000	£000
Not later than one year	-	498
Later than one year and not later than five years	-	2,330
Beyond five years	-	(5,432)
	-	<b>8,260</b>

### 13. Future income due under non-cancellable operating leases

In 2021-22, 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:

	2022-23	2021-22
	£000	£000
Receivable within one year	228	228
Receivable later than one year and not later than five years	360	588

### 14. 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.

### 15. Contingent liabilities

There were no material contingent liabilities at the reporting date (2021-22: nil).

### 16. Related party transactions

The National Archives is a non-ministerial department of the UK Government. Its parent department is the Department for Culture, Media and Sport. The Chief Executive and Keeper, Jeff James reports to the Secretary of State.

The National Archives has had a number of transactions with other government departments and other central government bodies, primarily The Cabinet Office, Scottish Parliament, The Scottish Government, Department for International Trade, Government Legal Department, Department for Culture, Media and Sport and the Ministry of Justice. At 31 March 2023, The National Archives was owed £30,616 by the Government Legal Department (2021-22: £nil).

Jeff James, Chief Executive and Keeper, is the President of the International Council on

Archives' Forum of National Archivists (ICA-FAN). He is also a member of the ICA Executive Board. Subscription to the ICA was paid to the sum of £18,822 (2021-22: £17,224).

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 (2022-22: £9,945) and £854 (2021-22: £745) respectively.

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

The Remuneration and staff report (pages 58 to 72) contains details of payments made to key personnel. contains details of payments made to key personnel.

### 17. Events after the reporting period

There have been no significant events after 31 March 2023 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 Comptroller and Auditor General's Audit Certificate.

Date	May 4th	19 16 .	No.
Name of Alleged Offender (a)	Offence charged	Plea	Finding, and if Convicted, Sentence. (b)

# Annexes and appendix

- Annex A** Sustainability accounting and reporting
- Annex B** Advisory Council on National Records and Archives: 20th Annual Report 2022-23
- Annex C** Annual Report of the Independent Complaints Reviewer 2022-23
- Appendix** Local places of deposit awarded New Burdens Funding 2022-23

Charge sheet for Countess Constance Markievicz (catalogue reference HO 144/1580)

Constance Markievicz commanded a battalion during the Easter Rising in Dublin 1916 and was arrested and tried by court-martial. The court found her guilty of 'attempting to cause disaffection among the civilian population of His Majesty' but her death sentence was commuted to life imprisonment 'solely & only on account of her sex'.

as unknown,

## Annex A

### Sustainability accounting and reporting

This report presents an overview of our activities during the 2022-23 reporting year, detailing how our progress aligns with the revised Greening Government Commitments (GGCs) 2021-2025 and outlining our plans for the next reporting year.

This report was prepared in accordance with HM Treasury's Sustainability reporting guidance: 2022-23. Further information on our sustainability work is available on our website: <https://www.nationalarchives.gov.uk/about/our-role/transparency/energy-environment-and-sustainability/>.

#### Our approach

#### Governance and reporting

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

We actively work with other government departments in sharing best practice as well as benefitting in turn from guidance from various public and private sector bodies. We continue to be a member of the National Museums Directors Council (NMDC) to share best practice within the sector. This group has continued to focus upon carbon reduction journeys and increasing on-site biodiversity, as well as visitor engagement post-pandemic. This work will continue throughout the coming year and beyond.

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

#### Data accuracy

We ensure data accuracy through quarterly reporting and GGC accounting and our data reporting has been further streamlined through harmonising our data gathering process. We have also achieved the Carbon Trust Standard for measuring, managing and reducing our carbon emissions.

Our environmental management system is built on sustainability and encourages continuous improvement. In the second quarter of the 2023-24 financial year, we will transition to data gathering and reporting via a new sustainability management software platform. This will allow the process to become more automated and allow easier tracking of progress against targets, in order to enable opportunities for improvement to be more easily identified.

#### Our sustainability strategy and targets

general, recycling and food waste reduced

50%



As a non-ministerial government department, The National Archives is required to report against the Greening Government Commitments (GGCs) – a set of targets and outcomes that together help ensure that central government meets its vision for sustainability.

In previous reporting periods, we achieved many of the previous GGCs targets ahead of schedule and applied more ambitious internal targets.

We continue to assess our operations in line with the applicable Sustainable Development Goals (SDGs), highlighting how we contribute

to these Goals and to help inform and plan our operations going forward. Our attention continues to focus on those SDGs that align closely to our strategic sustainability goals and where we would have most impact. As the effect of the pandemic recedes, we have

refocused on visitor engagement as a strategic priority. During 2022-23, we translated our environmental goals and targets into a short infographic to share across the organisation, to engage staff and visitors with clear messaging promoting our sustainability progress.

SDG	2022-23 progress	Focus for 2023-24
<b>SDG 3. Good Health and Wellbeing</b>	<ul style="list-style-type: none"> <li>Improve health and wellbeing</li> <li>Visitor engagement and awareness</li> <li>Support employees in the transition to hybrid working patterns</li> </ul>	<ul style="list-style-type: none"> <li>Review our methodology for measuring health and wellbeing to align with hybrid working patterns</li> </ul>
<b>SDG 8. Decent Work and Economic Growth</b>	<ul style="list-style-type: none"> <li>Continue to apply the requirements of the Social Value Act and the Modern Slavery Act into all procurement, systems, and processes</li> </ul>	<ul style="list-style-type: none"> <li>Continue to apply the requirements of the Social Value Act and the Modern Slavery Act into all procurement, systems, and processes</li> </ul>
<b>SDG 11. Sustainable Cities and Communities</b>	<ul style="list-style-type: none"> <li>Continue climate and energy outreach with stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Continue climate and energy outreach with stakeholders</li> </ul>
<b>SDG 12. Responsible Consumption and Production</b>	<ul style="list-style-type: none"> <li>Continue to promote sustainable procurement practices</li> <li>Focus on removing consumer single use plastic</li> <li>Reuse schemes</li> </ul>	<ul style="list-style-type: none"> <li>Introduce quarterly reporting on consumption of consumer single use plastics</li> <li>Through our shop limit and where possible eliminate the sale of single use plastic</li> <li>Working with our partners limit and where possible eliminate the use of single use plastic</li> <li>Utilise the Green Champions to support implementation of consumer single use plastic and other initiatives to reduce operational impacts</li> </ul>
<b>SDG 13. Climate Action</b>	<ul style="list-style-type: none"> <li>Adopting science-based targets in support of our Net Zero commitment and expanding the scope of emissions management to include more of Scope 3</li> </ul>	<ul style="list-style-type: none"> <li>Continue to increase our understanding of Scope 3 emissions and develop and implement strategies to reduce them</li> </ul>
<b>SDG 15. Life on Land</b>	<ul style="list-style-type: none"> <li>Review and improve site survey technique</li> </ul>	<ul style="list-style-type: none"> <li>Develop a Nature Recovery Plan</li> <li>Develop and install educational signage to educate site users of the biodiversity of the Estate</li> </ul>

**Meeting the Greening Government Commitments**

The Greening Government Commitments 2021-25 set more stretching targets on the core areas of emissions, water, waste and domestic flights, and introduced new measures on direct emissions, biodiversity, climate adaptations and food waste. The target baseline year has

been changed from 2009-2010 to 2017-2018, to more accurately reflect the current government estate and ensure it builds on the progress it has already achieved. Our decision to set more ambitious internal targets than the 2015-20 GGCs means that our efforts to accelerate emissions reductions before 2017 have created additional challenges for achieving the 2021-25 GGCs.

Indicator	GGC target 2021-25	Our target baseline year	Change against the new baseline 2017-18 for 2022-23	Change compared with 2021-22 (+/-%)
<b>Greenhouse gas emissions (tCO2e)</b>	-58%	2017-18	-35%	+7%
<b>Operational waste (tCO2e)</b>	Less than 5% waste to landfill	2017-18	0% to landfill	0% to landfill
	Reduce overall waste generated by 15%	2017-18	-50%	-21%
	Increase recycling rate to at least 70% overall waste	2017-18	-10.2% (Actual recycling rate for 2022-23: 58%)	+11.8%
<b>Paper (A4e)</b>	-50%	2017-18	-84%	-33%
<b>Water (m3)</b>	Reduce water consumption by at least 8%	2017-18	-28%	+11%
<b>Domestic flights taken (km)</b>	-30%	2017-18	-8%	+2,099% <sup>35</sup>

<sup>35</sup> This increase is due to travel becoming more possible following the easing of restrictions relating to the COVID-19 pandemic.

2022-23 performance

Greenhouse gas emissions have increased in comparison to the 2021-22 reporting year although they remain well below the 2017-18 reporting year baseline. This is almost entirely due to operations returning to a more normal level during the first reporting year that was not impacted by any COVID-19 restrictions.

Indicator	2021-22	2021-22 per FTE employee <sup>^</sup>	2022-23	2020-21 per FTE employee <sup>^</sup>
Greenhouse gas emissions – Scopes 1-3 (tCO <sub>2</sub> e)	1,692.4	3.3	1,809.9	3.3
Energy used (MWh)	7,961.2	15.7	8,788.7	15.9
Waste produced* (tonnes)	68.5	0.1	54.4	0.1
Water used (m <sup>3</sup> )	12,272.0	22.2	13,632.0	24.6
Domestic flights taken (kg/CO <sub>2</sub> e)	186.8	0.3	4,106.5	7.4
International flights distance travelled (miles)	2,381.0	0.43	113,105.8	204.5

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

<sup>^</sup> Average FTE throughout financial year 2022-23.

Greenhouse gas emissions

An overall reduction target of 58% against the new 2017-18 baseline was set by The Department of Culture, Media, and Sport (DCMS). Our greenhouse gas emissions associated with building energy use and business travel in the 2022-23 reporting year were 1,810 tonnes CO<sub>2</sub>e. This represents a 35% decrease in overall greenhouse gas emissions against the baseline, but a 7% increase on 2021-22 emissions.

Against the new GGC target of a 33% reduction in direct emissions (Scope 1 only) from estate and operations, we recorded a 13% increase compared to the baseline 2017-18 reporting year. This is a particularly challenging target for us, as Scope 1 emissions are almost exclusively from natural gas used for heating, which is necessary to maintain temperature for the collections that we have a statutory

obligation to protect. Up to the new baseline year of 2017-18, we had already reduced our emissions from gas consumption by 61% from the previous 2009-10 baseline, which leaves reduced opportunities for further reductions.

During 2022-23, a detailed energy audit was carried out to identify opportunities for us to reduce our operational emissions, in particular natural gas consumption. A number of potential adaptations and projects were laid out that could allow the 33% reduction by 2025 target to be met. Options included the isolation of the Combined Heat and Power (CHP) system, office consolidation and the switch to electric boilers or a heat pump heating system. We will apply these recommendations in future years to minimise natural gas consumption as much as possible.

Indicator		2022-23	2021-22	2020-21	2019-20	Baseline 2017-18
Greenhouse gas emissions (tonnes CO <sub>2</sub> e)	Gross emissions for scope 1 and 2	1,660	1,595	1,556	1,960	2,529
	Gross emissions for scope 3	149	98	80	146	230
Building energy consumption (MWh)	Electricity: grid	5,176	4,671	3,998	5,279	5,537
	Electricity: renewable	0	0	0	0	0
	Electricity: good quality combined heat and power	108	3	90	132	87
	Natural gas	3,613	3,284	2,941	3,263	3,165
	Diesel oil	0	6.4	13.8	9.1	0
Financial indicators (£)	Energy	885,795	857,511	734,055	113,094	753,022
	Business travel	98,488	14,498	1,021	113,094	129,623

Intensity of emissions per MWh of electricity used for the current reporting year 2022-23 has decreased by 45% in comparison to the baseline reporting year 2017-18; a substantial decrease due to grid decarbonisation. Total

electricity consumption (MWh) has decreased by 7% since the baseline year but has increased by 11% in comparison to the previous 2021-22 reporting year, due to increased building occupancy following the COVID-19 pandemic.

Indicator	2022-23	2021-22	2020-21	2019-20	Baseline 2017-18
Electricity Emissions: (Scope 2 / MWh)	193	212	233	256	352

LED lighting has continued to be installed across the site in staff and document storage areas which will lead to a reduction in emissions from electricity used for lighting across the estate.

Business travel makes up a relatively small percentage of our overall emissions and we aim to keep any return to the post-pandemic pattern of business travel moderate. We are working to continually reduce our travel footprint and emissions have decreased by 38% since the 2017-18 baseline reporting year.

We continue to challenge whether travel is required and promote the use of digital conference facilities to avoid unnecessary business travel; we generally promote travel by public transport rather than car and train rather than plane. There were 20 domestic flights in total during 2022-23.

Waste minimisation and management

Our GGC waste targets are to send at least 70% of our waste to recycling and less than

5% to landfill. We also aim to reduce paper consumption by at least 50% against the 2017-18 baseline.

We produced 54.4 tonnes of general, recycling and food waste in 2022-23, in comparison to the 2017-18 baseline figure of 108 tonnes; a reduction of 50%. None of our operational waste is sent to landfill – 22 tonnes were sent to incineration for energy recovery. The proportion of waste being recycled this financial year was 58%. The average monthly weight of operational waste was 4.5 tonnes, a decrease from 8.99 tonnes against the 2017-18 baseline year.

proportion of waste recycled this financial year

58% 

Indicator		2022-23	2021-22	2020-21	2019-20	Baseline 2017-18
Operational waste (tonnes)	Total	54	68	21	83	116
	Recycled and reused	31	47	11	52	64
	Energy from waste incineration	22	19	8	24	46
	Food and catering: anaerobic digestion	2	1	2	7	6
	Composted	0	0	0	0	0
	Landfill	0	0	0	0	0
Construction and refurbishment projects waste (tonnes) ^^	Total	9.14	3.36	30	8	12
	Recycled and reused	9.14	3.36	29	4	6
	Landfill	0	0	0	4	6
Operational waste expenditure (£)*	Total	25,856	23,409	14,559	19,860	24,520
	Recycled and reused	10,244	9,842	4,225	3,639	4,553
	Energy from waste incineration	5,337	5,650	2,692	7,558	9,324
	Food and catering: anaerobic digestion	681	443	247	1,655	1,830
	Landfill	0	0	0	0	0

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

We promote recycling of waste around the site for staff and visitors. Visitor engagement has been a focus for us in the 2022-23 reporting year as pandemic restrictions have eased. This has included removing consumer single use plastic, reducing food waste and reusing materials.

### Use of finite resources

Indicator	2022-23	2021-22	2020-21	2019-20	Baseline 2017-18
Water consumption: m <sup>3</sup>	13,632	12,272	15,468	17,462	18,915
Water supply costs: £	33,313	34,439	35,740	39,710	36,915
Paper use: reams A4 eq.	545	815	20	1,697	3,471

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

Our estate consumed 13,632 m<sup>3</sup> of water this reporting year. This a 11% increase compared to last reporting year, due to an increase in office occupancy compared to that period, and a 28% reduction compared to the 2017-18 baseline.

Printing restrictions and the ongoing digitisation of records is reducing our paper use and this is set to continue into the future. Our paper consumption stands at the equivalent of 545 standard reams of A4 paper, which is an 84% reduction against the new 2017-18 baseline.

### Procuring sustainable products and services

We are committed to buy more sustainable and efficient products and services with the aim of achieving the best long-term, overall value for money for society. We have implemented the new Social Value Model to embed sustainability considerations into our procurement process.

### Biodiversity

Our site at Kew, especially the pond and surrounding vegetation, is a habitat for bees, small mammals, invertebrates, birds and a number of species of wildfowl. This means that, despite being a relatively small area of land, it has substantial biodiversity value, especially for its urban location. This positively impacts its attractiveness as a destination, the wellbeing of employees, and its relationships with local stakeholders. It has the potential to influence key biodiversity indicators in the area, such as species richness and ecosystem health.

We have measures in place to promote the health of its ecosystems and continue to take steps to enhance biodiversity impact. A

Preliminary Environmental Appraisal (PEA) was carried out that laid the ground work for a more in-depth environmental assessment to be made at a later date. This will require us to develop a Nature Recovery Plan, which is in the planning for early 2024.

We have also liaised with the Swan Sanctuary for monitoring the wellbeing of resident wildfowl on our grounds as necessary.

### Adapting to climate change

In 2021-22, we conducted a Climate Risk Assessment; we have also commissioned a Flood Risk Assessment for our site. These will inform the development of a Climate Change Adaptation Action Plan over the coming year.

**Sustainability drives the direction of travel within our IT operations and our modernisation programme has made significant strides towards fulfilling the Government Greening Commitments.**

### ICT and digital sustainability

Sustainability drives the direction of travel within our IT operations and our modernisation programme has made significant strides towards fulfilling the Government Greening Commitments. Following government policy, we have eliminated tape backup, as well as replacing dozens of physical servers and a telephony system with cloud services, making the organisation more resilient and reducing our physical footprint by 43%. As we are aware, though, that utilising cloud services displaces



some of our carbon emissions to service providers such as Microsoft, we continue to monitor our carbon use through Microsoft's Emissions Impact Dashboard. To support hybrid working and rationalise our desktop estate, we have reduced our devices by more than 50%.

Our IT systems are a key enabler of the corporate aims articulated in our strategy Archives for Everyone, including supporting the organisation in leading the archives sector to a secure and sustainable future. Moving forward, our strategic priorities are to continue modernising, with an emphasis on automation and integration towards the goal of making our systems easier to use.

#### Sustainable construction

No major construction projects were undertaken during 2022-23, but two minor

refurbishment projects were completed, both of which involved refitting existing areas:

- An existing repository area was fitted with new racking for document storage, as part of which new energy efficient lighting was installed;
- 200m<sup>2</sup> of space was equipped as a new learning facility for use as part of our educational outreach programme.

**We have maintained our grounds and ornamental ponds as a local amenity for our staff, visitors and local residents to enjoy, with our grounds open to the public from dawn until dusk throughout the year**

#### Community engagement

We have continued to engage actively with our local community and related stakeholders this year. We have maintained our grounds and ornamental ponds as a local amenity for our staff, visitors and local residents to enjoy, with our grounds open to the public from dawn until dusk throughout the year.

We have maintained our surface water drainage arrangements to meet our obligations to the flood defences of the local area in support of the Environment Agency. Additionally, we have communicated regularly with our neighbours and local residents regarding planned maintenance and project works and have also supported the London Borough of Richmond upon Thames' environmental initiatives, including a Ultra Low Emission Zone and a no idling campaign.

Multiple local groups and organisations have been hosted and aided, including:

- Kew Society events and Annual General Meeting approximately eight times per year
- Kew Riverside Park Residents Annual General Meeting
- Q2 Players Local Dramatic Society, typically two productions per year
- Four community engagement events for the retail park redevelopment project
- Kew Gardens to provide for extra car parking spaces for their events
- Ensuring our embedded learning spaces can be utilised by the education team as part of our on site engagement with schools and the local community.

**We have maintained our surface water drainage arrangements to meet our obligations to the flood defences of the local area in support of the Environment Agency.**

## Annex B

# Advisory Council on National Records and Archives: 20th Annual Report 2022-23

## Introduction by Sir Geoffrey Vos, Master of the Rolls

To the Right Honourable Lucy Frazer KC MP, Secretary of State for Culture, Media and Sport

I am pleased to present the 20th Annual Report for the Advisory Council on National Records and Archives.

The Council's work continues to evolve alongside the demands of the public records system. This year saw the end of the government's ten year transition from a 30-year rule for public record release to a 20-year rule. The Council has supported the work needed to achieve it, and has assisted government departments in complying with the legislation. I should note, however, that some departments have yet to complete the transition to a 20-year period. The Council will, of course, continue to engage with those departments and with future developments in records retention beyond the transition period.

The Council has undergone its own transition this year with the departure of Mr Trevor Woolley, the Council's Deputy Chair from 2017 to 2022, and the appointment of Mr David Rossington as Deputy Chair from Autumn 2022 onwards. I want to thank Trevor most warmly, on behalf of all the members of the Council, past and present, for his leadership and comradery over so many years. I much look forward to working with David.

The Council carried on with its work throughout the COVID-19 pandemic. Despite very effective remote working, it was great to resume in-person meetings at the end of the 2022. We have continued to make the best use of video-conferencing technology to allow government departments to attend Council meetings far more easily than they did before the pandemic.

The Forum on Historical Manuscripts and Academic Research, a subcommittee of the Council, also continues to build on the strong foundations established last year. The Forum plans to hold its first external meeting in the



autumn of 2023. This will enable it to include and benefit from external contributions.

This year has also seen the creation of a new sub-committee sitting within the Advisory Council structure. This new group, titled the Manorial and Tithe Documents Panel, will focus its work on the Master of the Rolls' remit for Manorial and Tithe Documents. The Panel follows on from the work of the previous Manorial Documents sub-committee, which ceased operations last Autumn, having completed the digitisation of the Manorial Documents Register.

The highlight of the year was in June 2022, when we celebrated the centenary of the Law and Property Act 1922. I was absolutely delighted to welcome The National Archives and many archivists and researchers to the Royal Courts of Justice for a reception and some fascinating speeches and exhibits. The evening

re-emphasised the continuing importance of Manorial documents to the nation. Other inspiring activities and conferences were also held to celebrate the centenary. I would like to offer my thanks to everyone at The National Archives who worked to organise these events. It is important and worthwhile to highlight the current relevance alongside the historic significance of Manorial documents.

Finally, I would like to thank all Council members for their continuing hard work and dedication,

and to thank all the staff at The National Archives who work so tirelessly towards the Council's success. I much look forward to working with them all in the coming year.

**The Right Honourable Sir Geoffrey Vos**  
The Master of the Rolls  
6 June 2023

## 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 Culture, Media and Sport (the 'Secretary of State') on issues relating to access to public records. It also carries out duties under the Freedom of Information Act 2000 (FOIA).

Through its sub-committee, the Forum on Historical Manuscripts and Academic Research (the 'Forum'), the Council also advises the Chief Executive of The National Archives and Keeper of Public Records on matters relating to independent (non-governmental) archives outside the public records system.

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

## Part Two – The Advisory Council's work in 2022-23

### Key areas of focus

- Government developments on public records
- Major public records projects at The National Archives
- The Council's records
- FOI exemptions – 23/24, 31, 37, 65/66
- Relationships with government departments
- Outstanding closure applications

Throughout 2022 and 2023, the Council has had a number of priorities. These ranged from specific FOIA exemptions to broader topics.

The broader topics have included ongoing pieces of work by The National Archives, particularly its work on Court Judgments, the accession of the extensive Ministry of Defence's service personnel records and The National Archives' partnership with the Parliamentary Archives. The Council has also received updates on the use of unofficial communication channels in government and the potential effect on future public records. Additionally, the Council has kept itself aware of the necessary withdrawal and reinstating of access for certain Foreign Office records

series whilst risks regarding past chemical treatments were investigated.

The Council has also focused on its own records. At the end of 2022, it came to light that 71 Council records had not been processed and transferred to The National Archives as required by the Public Records Act. As a result of this, the Council sought approval for retention for these records and is working through 2023 to process these by the end of the year.

With regards to exemptions set out in the FOIA the Council has concentrated its discussions around six sections. There has been consideration of sections 65 (covering historic records retained by government departments) and 66 (covering historic record withheld from public access at The National Archives) and how these affect the work and remit of the Council. In April 2022 the Council wrote to DCMS regarding the Council's role in relation to sections 65 and 66 and also raised sections 23 and 24 (national security exemptions from disclosure under FOIA). The Council noted that these exemptions are not considered by them and wanted to confirm if the Secretary of State was still content for this arrangement to be in place. The Council is aware that DCMS has worked hard to provide the Council with a thorough response, which was received in early May 2023, and which the Council will now consider during 2023-24.

The Council has also considered FOIA exemptions under sections 31 and 37. Section 31 provides an exemption for release of historical documents for reasons of law enforcement. The Council has discussed the application of section 31 as it relates to historic murder cases and have been liaising with The National Archives and the Metropolitan Police to better understand the balancing of public interest for and against release of such documents. These discussions are ongoing and the Council will seek to explore this area further in 2023-24 with the aim of reaching a common understanding of the application of this exemption with all parties. The other key exemption which has been a focus of the Council interest is section 37. Section 31(1)(ac) and (ad) cover exemptions from release for material relating to communications with members of the wider royal family and their households. The Council has been keen to better understand the types of subject matter which would be considered for exemption and

how departments assess whether applying these exemptions is appropriate. The Council has liaised with the Foreign, Commonwealth and Development Office, and the Cabinet Office on this matter and is keen to continue discussions into 2023-24.

The Council will also continue to work with departments on a more general basis to build good relationships and a deeper understanding of how best FOIA exemptions should be considered. This has been done partially through the work carried out in 'File Spot Check' exercises conducted by the Council members, where individual files are examined, and feedback is provided to departments based on the outcome of the exercise. The Council has a Governance Working Group which undertakes detailed work, and has invited departments to join these meetings where required. Additionally, the Council is hoping to visit the Foreign Commonwealth and Development Office's records assessment centre at Hanslope Park in the coming months, as it has done in the past.

Finally, the Council has recently turned its attention towards a backlog in responses to its queries from departments, which has arisen during the COVID-19 pandemic. At this stage the Council is working with The National Archives to analyse the data. It will then meet with departments or issue guidance on specific items as necessary.

### Meetings

The Council held four meetings in May, July and November 2022 and February 2023, together with an additional, virtual, training meeting in September, at which a number of helpful and informative presentations were given, focusing on the governance of the Council and on the balances involved in performing its public interest tests.

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.

### Closure of records under the Freedom of Information Act 2000

The core of the work of the Council is to:

1. act on behalf of the Secretary of State, in advising public record transferring bodies on the consideration of the public interest in relation to engaged qualified exemptions as defined in the FOIA when a record is at the point of transfer to The National Archives. The Council may respond to applications by such bodies for records (in whole or in part as appropriate) to be transferred closed by:
  - a. accepting that the information may be withheld for longer than 20 years and earmarking the records for release or re-review at the date identified by the authority
  - b. accepting that the information may be withheld for longer than 20 years but asking the authority to reconsider the proposed date for release or re-review
  - c. questioning the basis on which it is considered that the information may be withheld for longer than 20 years, asking the authority to reconsider the case, and, exceptionally, to request sight of the record
  - d. advising departmental ministers against the application of an FOIA exemption in a particular case when, following thorough examination of the department's rationale, it judges the balance of public interest to be against closure.
2. providing advice to the Secretary of State when a public record transferring body has made an application to retain records that are 20 years old, which would otherwise be transferred to The National Archives. The Secretary of State signals approval for retention for the specified period by signing a Retention Instrument.

Given the very large volume of applications placed before it, the Council works on the basis of summaries prepared by departments and scrutinised by The National Archives. The Council will ask for more details and question apparent weaknesses in the arguments for closure until it is satisfied; or until the department withdraws or modifies the request.

Where the department provides sufficient additional information so that the Council is satisfied the public interest test has been correctly applied, the application is considered accepted due to clarification. Where the Council has challenged an application and this has been modified for the item to be accepted this is recorded as accepted due to amendment. These terms are used in the charts below.

**Occasionally, the Council may request that one of its members sees the full record; the Council viewed a record once in 2022-23.**

Occasionally, the Council may request that one of its members sees the full record; the Council viewed a record once in 2022-23. In addition, the Council periodically calls for selected files to be reviewed by a panel of its members, in a process known as File Spot Checks, to assess the accuracy of summaries and to monitor the applications submitted by departments. This helps to inform the Council's overall assessment of the way that departments are applying particular FOIA exemptions and may indicate issues which the Council needs to consider further. The Council conducted one File Spot Check exercise this year in October 2022 where it considered a number of files. Feedback from members following this check led to improvements in the guidance for the spot check process and aided the Council in framing its discussions with departments who apply section 37(a-c) and (ad) of the FOIA.

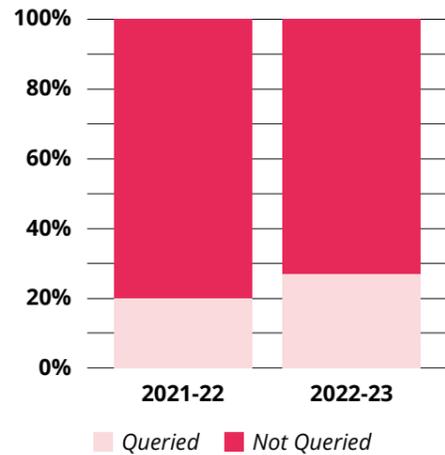
**In 2022-23, the Council considered 3,116 applications for closure**

In 2022-2023, the Council considered 3,116 applications for closure from departments which engaged a qualified exemption. This number of applications represents a substantial increase on the figures from 2021-22 (2,038). This is in response to the increasing number of records which government departments are required to process each year. The Council queried 26% of applications for the transfer of records closed under qualified (i.e. not absolute) exemptions. This figure compares with 20% in 2021-22. This increase from last year, reflects the Council's rigorous approach

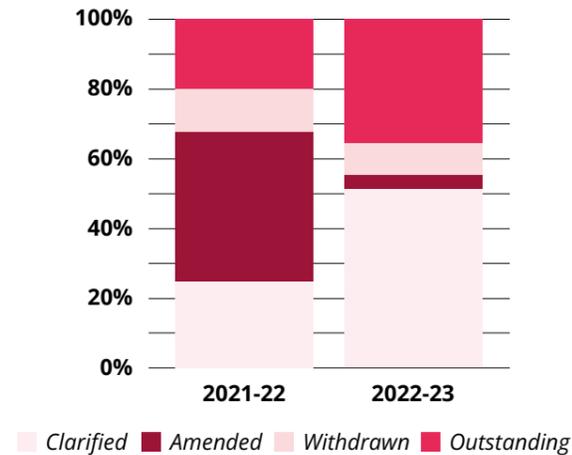
to closure applications. Departments have in the main continued to be constructive in their responses to the Council's queries. Of the records queried, a significant proportion

remain ongoing due to current discussions with departments on resolutions in cases concerning section 31 and section 37.

Queried Applications by %



Resolution of Queried Application by %

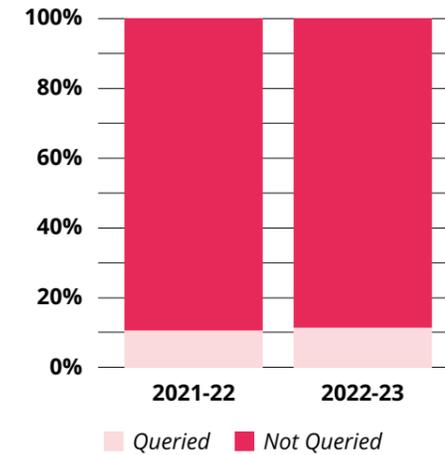


Qualified Closure Applications						
	Applications considered	Applications queried	Applications where clarification was received and accepted	Applications that were amended by departments and accepted	Applications withdrawn by departments following Council challenge	Outstanding closure applications
2021-2022	2,038	403	99	170	53	81
2022-2023	3,116	832	421	34	77	300

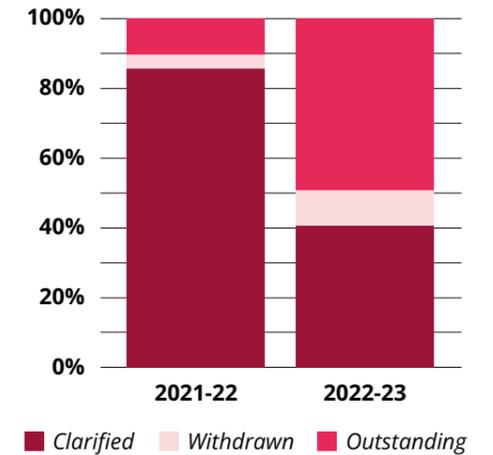
In 2022-23, the Council considered 1,315 individual items which departments had applied to retain. This represents a significant increase on previous years mirroring the increase seen in closure applications. The Council queried 11% of these (10% in 2021-22), and departments withdrew 10% of the queried applications in response to the Council's challenge, compared with 3% in 2021-22.

There are a higher number of outstanding applications this year, but these are mostly from the Council's last meeting of the year, with the expectation that the vast majority of these will be resolved at its May meeting. The Secretary of State has accepted the Council's advice on every application for retention considered this year.

Queried Applications by %



Resolution of Queried Application by %



Retention Applications					
	Applications considered	Applications queried	Applications where clarification or amendment was received and accepted	Applications withdrawn by departments following Council challenge	Outstanding closure applications
2021-2022	734	77	66	3	8
2022-2023	1,315	150	61	15	74

Further metrics about records and transfer are available at Appendix C.

**Engagement with departments**

As part of the Council's work to support departments in transferring records, it will request relevant updates from departments. This can either be through a written update, or an update where the department appears before the Council to discuss their records and processing plans in greater detail. Updates can include information on the support a department has in place, timescales and methods for processing these records, and details on the types of records.

During 2022-23, the Council received such in person updates from: Department for Business; Energy & Industrial Strategy; Defence Geographic Centre; Food Standards Agency; Foreign Commonwealth and Development Office; Department for Levelling Up, Housing and Communities; HM Revenue and Customs.

Council also seeks to engage with departments and other relevant public bodies on wider

issues to discuss and understand general processes and the application of exemptions, or to discuss items that might impact public access to records. During 2022-23, the Council spoke to the Metropolitan Police.

**Review backlogs**

This year, the Council considered 108 requests from departments relating to the management of review backlogs. This represents a 22% increase on the previous year (86) and reflects the end of the ten year transition period, from the previous retention of documents by departments for 30 years to the 20-year rule, as well as the additional focus The National Archives has had on working with departments to assist them. Additionally, departments are now reaching a point where many of them are beginning to regularly process born-digital records, in addition to paper records.

The Council received such retention applications from the Office of the Advocate General for Scotland; Attorney General's Office; British

Library; Department for Business, Energy and Industrial Strategy; Cabinet Office; Centre for Environment, Fisheries and Aquaculture Science; Civil Aviation Authority; Companies House; Competitions and Markets Authority; Crown Estate; Crown Prosecution Service; Ministry of Defence; Defence Geographic Centre; Department for Digital, Culture, Media and Sport; Department for Education; Department for Environment, Food & Rural Affairs; Food Standards Agency; Foreign, Commonwealth and Development Office; Office of Gas and Electricity Markets; Health and Safety Executive; Department of Health and Social Care; Historic England; Historic Royal Palaces; Home Office; Independent Office for Police Conduct; The Insolvency Service; Department for International Trade; Ministry of Justice; Kew Gardens; HM Land Registry; Department for Levelling Up, Housing and Communities; Medicines and Healthcare products Regulatory Agency; National Crime Agency; National Highways; National Institute for Health and Care Excellence; National Savings & Investments; Office for National Statistics; Natural England; Natural Resources Wales; NHS Digital; Northern Ireland Office; Nuclear Decommissioning Authority; Pensions Regulator; Postal Museum; Privy Council Office; HM Revenue and Customs; 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 five years was requested.

The Council also considered papers updating it on progress in reviewing records for transfer to The National Archives from Cabinet Office; Crown Estate; Department for Digital, Culture, Media & Sport; Companies House; Foreign and Commonwealth Development Office; Office of Gas and Electricity Markets; Health and Safety Executive; Home Office; Kew Gardens; Department for Levelling Up, Housing and Communities; National Crime Agency; Natural England; Privy Council Office; Serious Fraud Office; Tate; Department for Transport; Welsh Government; Department for Work and Pensions.

#### The outcome of the 108 legacy retention applications was:

- For 59 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 13 cases, the recommendation was that the department be granted a lesser retention period than requested
- In the remaining cases, the Council was content to recommend to the Secretary of State that permission be given to the relevant organisation to retain its legacy records for the period requested, but asked for written updates to be provided, to ensure that departmental records management projects remained on track.

#### Freedom of Information panels

The Council acts on behalf of the Secretary of State to consider the balance of the public interest in the release or non-disclosure of information contained in transferred historical records that engage qualified exemptions under the FOIA, 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 2022-23, 34 panels were convened, with 624 cases being considered. Panels substantively challenged 82 of these, or 13% of the total. This compared to 523 cases in 2021-22, where 37 cases were substantively challenged, again equivalent to 7% of the total. This is part of a wider trend, which was interrupted and slightly reversed by the COVID-19 pandemic, but sees a year on year increase in FOI panel cases.

Having been provided with more detail, in most cases the panels were able to accept departments' arguments for continuing to apply

public interest-based exemptions. In three cases the panels provided advice, but after balancing the arguments the decision-making body did not agree with the panel's advice. In one case, the FOI panel's queries resulted in the file being open in full.

- Overall, sections 27 (international relations), 31 (law enforcement) and 38 of FOIA (health and safety) were both the most challenged exemptions, and the most frequently applied for.
- As noted in last year's annual report, Council continued to display an interest on the passage of time in relation to section 31 (law

enforcement) cases and also how to balance the public interest test in section 38 cases.

#### Process

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

## Part Three – The Council's 'Administration and Governance

#### Membership

The Council is chaired by the Master of the Rolls, Sir Geoffrey Vos. Mr David Rossington acts as Deputy Chair, having been appointed in October 2022 following the departure of the previous Deputy Chair, Mr Trevor Woolley. Following successful reappointment submissions, two members were reappointed in October 2022: Dr Phillip Johnson and Mr Martin Uden. One member of the Council retired in September 2022, Mr Trevor Woolley; one new member joined the Council in January 2022: Ms Kate Grimley-Evans. The total membership of the Council remains at 18, including the Chair.

#### 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 Culture, Media and Sport. Members are remunerated at a rate of £386 per day to a maximum of £9,264 per year. The Council remuneration for 2022-23 totalled £102,097.

#### Freedom of Information requests

As a public body the Council is itself subject to the Freedom of Information Act. This year the Council has received 14 Freedom of Information requests.

#### Sustainability

The Council as a body is reliant on larger bodies to provide most of its support services but seeks to increase its sustainability wherever possible. The COVID-19 pandemic demonstrated that the Council was capable of functioning with a paperless system for its work and now deals with all information digitally. The transition to hybrid meetings also has sustainability implications, as fewer overall journeys are required as part of the Council's work, as well as facilitating easier attendance from government departments.

## Part Four – 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.

### Key focuses

The Forum's key focuses this year have been on the strategic priorities identified in last year's annual report. These were set to facilitate the Forums being more targeted in its work, and to better serve the needs of the wider archival sector. The priorities were threats to the sector; digital technology; manorial documents; the Forum's profile in the archive sector; cross-cutting issues; and academic research. More detail on how these items were covered can be found below in the meetings' summary.

### Membership

The Forum is chaired by the Master of the Rolls, with Professor Leon Litvack as the Deputy Chair.

Three other members of the Council, all of whom have expertise in academic research and experience of private archives, and two independent members currently serve on the Forum. The Forum currently has one vacancy for an independent member, for which a recruitment process will be undertaken at the beginning of 2023-24.

### Meetings

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

The Forum met three times during the period covered by this report: in June and September 2022 and in January 2023. It expects to hold at least three further meetings during 2023-24.

### June focus

- Manorial documents
- The Forum's sector visibility
- The National Archives' sector leadership offer

At its June meeting, the Forum focused its work on two of its identified priorities, as well as one additional item which had arisen in the course of the year. The first consisted of its manorial Documents work, including consideration of the centenary celebrations which were held at the end of June; smaller supporting participatory events running throughout the summer; and the conference, which was held in September. Members also discussed the future of the Manorial Documents Panel beyond the conclusion of these centenary celebrations and the requirements around manorial documents. The second priority considered was the Forum's profile in the wider archive sector. Forum members discussed ways to improve their profile so that they could better act as a conduit between the wider sector and the Historical Manuscripts Commissioner and Secretary of State. Finally, members discussed The National Archives' refresh of its archive sector leadership offer.

At its September meeting, and as part of its new ways of working, the Forum discussed its upcoming strategic priorities for 2023. The Forum reconsidered strategic priorities it had not been able to cover in the previous year, as well as new themes which had arisen and may be relevant to its work. The Forum agreed on six strategic priorities and identified four of these as core priorities:

- Cross-Cutting Issues, particularly diversity and inclusivity across the sector and wider cultural sector
- Academic research, including how private archives are utilising research to promote themselves or to advance the archival field

- The refresh of The National Archives' Grants and Awards offer
- The refresh of The National Archives' Archive Sector Leadership offer
- Threats to the sector, in light of the challenges posed by the rising cost of living and the long-term impact of the COVID-19 pandemic on organisations
- Access to archives and collections, particularly focusing on The National Archives' role in engaging with private archives.

Two of these priorities were carried forward from the Forum's 2022 strategic priorities; these were Cross-Cutting Issues and Research. Two of the priorities, relating to new offers by The National Archives, were brought forward because of the Forum's remit to advise the Historical Manuscripts Commissioner in his work. Two were suggested by members due to the wider landscape within which private archives are currently operating. The Forum then agreed to consider at least one item at each meeting with a secondary item if possible. As part of the work plan, it was also agreed that the Forum would invite external guest speakers to meetings on a more regular basis, as appropriate. Additionally, following discussions at previous meetings, the Forum confirmed it wished to host one meeting in a private archive, drawn from a selection across the country.

### September focus

- Strategic priority
- Manorial documents
- Grants and funding

At its September meeting, members also received an update on the manorial documents events which had been held and considered the draft terms of reference for the new Manorial and Tithe Documents Panel. In line with their agreed priorities for 2023, members received an introductory briefing on archives and research grants and funding from The National Archives.

### January focus

- Archive and research funding
- Funding case studies
- Archive insolvency team

The Forum's January 2023 meeting focused on the Archive and Research Grants funding at The National Archives, as well as on threats to the sector. Members discussed The National Archives' current offer and its plans for the future, and also invited a recipient of funding from the Alfred Gillett Trust to speak with them and share experience of working with The National Archives. Finally, members spoke with The National Archives officials who work with insolvency practitioners, to seek to secure archives where businesses have folded. As well as these items, members also completed a refresh of the member skills audit, to note where the current strengths and weaknesses of the Forum lay.

### Other business

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

## Part Five – Looking Ahead

Looking ahead to 2023-24, one of the Council's key priorities will be to continue to seek closer relationships and understanding with departments. This will ensure that wherever possible all parties agree on the correct justifications and applications of various FOIA exemptions, as well as the Council being able to better challenge and support departments who are still holding legacy records which require transfer.

An additional key focus for next year will be considering the response received from DCMS on sections 23, 24, 65 and 66 of the Freedom of Information Act on 3 May 2023, outside the period of this report. The Council will be considering this response as part of its work and this will be covered in next year's report.

Finally, as noted in the introduction to this report, this year marked the final year of the ten year transition to a 20-year rule. Whilst great progress has been made in departments' compliance levels, many departments have not fully completed the transition. The Council stands prepared to provide further assistance on this matter however it can. Additionally, the Council will wish to keep sight of any potential impact that the increasing number of digital records may have on departments' work and its own work.

All of this leads to a new phase of work for the Council, which as ever, will adapt and respond as necessary.



**The Right Honourable Sir Geoffrey Vos**  
The Master of the Rolls  
6 June 2023

**This year marked the final year of the ten year transition to a 20-year rule. Whilst great progress has been made in departments' compliance levels, many departments have not fully completed the transition. The Council stands prepared to provide further assistance on this matter however it can.**

## Appendix A

### The Remit of the Council and the Forum

#### Part One – The Council

##### Background

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

##### The role of the Council

The Council is to consider and advise on matters including:

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

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

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

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

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

- make the final decision as to:
  - whether records are transferred to The National Archives closed (i.e. not available for public access); nor
  - when a closed record is reviewed after transfer, whether 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 Culture, Media and Sport;
- advise on departments' retention of records under the Security and Retention Instrument 2011; nor
- review departments' decisions on the selection of their records for permanent preservation.

This falls under the remit of the Keeper of Public Records.

## Part Two – The Forum

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

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

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

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

## Appendix B

### Membership

#### Part One – The Council

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

The current members of the Council are:

**Mr David Rossington CB**, former senior civil servant; Vice Chair and Treasurer of Stoll, a charity for veterans, Treasurer of Arts at the Old Fire Station in Oxford; Board member of the Gambling Commission; occasional independent reviewer of public sector bodies.

**Lady Moira Andrews**, Director, ADS Group Ltd and Digi2al Ltd; Visiting Professor, King's College London; former Government Legal Adviser, Member of the Lord Chancellor's Advisory Committee on Justices of the Peace for London

**Ms Liz Copper**, BBC Senior Broadcast Journalist

**Dr Nigel Fletcher**, Teaching Fellow in the Department of Political Economy at King's College London; and Co-Founder and Research Director at the Centre for Opposition Studies

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

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

**Ms Kate Grimley-Evans**, a solicitor specialising in Data Protection and Freedom of Information and Managing Director of her own company, specialising in information law training and compliance audit

**Mr Stephen Hawker**, a former senior security and intelligence official; Member of the Security Vetting Appeals Panel; Senior Associate, Cityforum Limited

**Mr Martin Howard CB**, retired senior security official specialising in cyber and intelligence security policy and operations; Appointed Companion of the Bath; Member of the Senior Leadership Team for Universal Defence Security Solutions

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

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

**Sir David Natzler**, A retired Clerk of the House of Commons

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

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

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

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

**Mr John Wood**, solicitor; formerly Advisory Committee on Business Appointments (ACOBA) Independent Member; formerly Charity Commission for England and Wales Legal Board Member and Board Consultant

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

## Part Two – The Forum

The Master of the Rolls chairs the Forum.

Council members Professor Leon Litvack (the current Deputy Chair), Dr Nigel Fletcher, Dr Helen Forde and Dr Jeannette Strickland 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 previous years, the percentage of records closed have been listed as a total figure. However, at the beginning of the reporting year April 2022 to March 2023, The National Archives began to accession large quantities of historic service personnel records from the Ministry of Defence. These have greatly impacted the percentage of records closed, due to these records containing large quantities of personal information. As a result, this year statistics relating to closure are provided both inclusive of Ministry of Defence service personnel records and, in brackets, without these records, in order to assist comparison against previous years' figures.

- In 2022-23, 305,654 (56,891) government records were accessioned at The National Archives.
- 106,590 or 34.8% (38,404 or 67.5%) 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.

- 195,292 or 63.8% (14,725 or 25.8%) of these records were transferred closed, after departmental applications to do so had been scrutinised by the Council.
- 3,360 or 1% (3,360 or 5.9%) of these records were retained in full by the relevant department.
- The remaining 412 (402) 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 qualified closure applications submitted to the Council this year was 4,592, a decreased compared to last year's statistics which included both absolute and qualified applications. Of these, the most common exemptions claimed concern of damage to international relations.
- This year, the Council considered 1,314 retention applications.

## Appendix D

### The Council's FOI panel process

The Council is responsible for advising the Secretary of State on the application of the 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; or
- relating to law enforcement.

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

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

## Annex C

### Annual Report of the Independent Complaints Reviewer 2022-23

In April 2018, The National Archives appointed ch&i associates to act as its Independent Complaints Reviewer (ICR). We are delighted to present our fifth 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 and the Fundraising Commission.

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

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

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

Over the course of the last year the number of complaints received by The National Archives has fallen dramatically. The 60 complaints received though (compared to 126 last year) is comparable to that seen before the COVID-19 pandemic. In addition, the release of census information in 2021 led to a sharp but seemingly temporary increase in complaints received.

The reduction in complaints over the last twelve months has also been reflected in the feedback received that while not a complaint, also highlighted a concern or criticism (372, down by nearly 40% against the previous year). We consider these number to be low, particularly when set in the context of The National Archives' relatively high level of transactions - in the last year, these included 428,907<sup>36</sup> document productions (an increase of over 60,000 against last year), over 23,000 written enquires and nearly 16,000 contacts via the online chat function.

While no doubt this is welcome, the trend has been matched by reductions in what might be considered the more positive types of customer feedback received by The National Archives. Suggestions and Comments totaled 413 (down by 171 on the previous year) and 66 compliments were received (a reduction 23%). We are sure that The National Archives will be looking to ensure that the levels of positive and/or constructive feedback they collect from customers increases over the coming year by actively encouraging it at all touchpoints.

The downturn in complaints has been most

<sup>36</sup> This figure was estimated at the time of reporting; the final figure is 474,643.

starkly seen in the number of complainants who asked us to independently review The National Archives' handling of their complaint. While these numbers have consistently remained remarkably low since our appointment, over the last year we have not been asked to review a single qualifying complaint. Further, there have been no complaints that have progress to the Ombudsman. In our view this demonstrates how well complaints are being addressed at the earlier stages of the process.

That said, we have experienced a significant increase in the number of people who have contacted us prematurely, often seeking to get a problem they are having with The National Archives resolved. Many of those we have spoken with have expressed their frustration at not being able to find contact details for The National Archives easily online, particularly those who wanted to make contact via telephone. This was reported back to The National Archives' Quality Manager, and we note that his telephone number is now easily available on their website. We would add that we have been consistently impressed by the way in which he has been on hand to deal with any queries we have passed to him and note that, to date, none of these individuals has seen the need to subsequently contact us again due to remaining dissatisfied with the service they have received.

### Contact the ICR

Details of the ICR service can be found at:

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

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## Appendix

### Local places of deposit awarded New Burdens Funding 2022-23

Archifau Sir Gaerfyrddin / Carmarthenshire Archives	Kent History and Library Centre
Archifau Ynys Mon / Anglesey Archives	Kresen Kernow (formerly Cornwall Record Office)
Archives: Wigan & Leigh	London Metropolitan Archives: City of London
Barnsley Archive and Local Studies Department	North East Wales Archives (NEWA), Ruthin (formerly Denbighshire Archives)
Bedfordshire Archives	North Yorkshire County Record Office
Berkshire Record Office	Northamptonshire Archives Service
Birmingham: Archives, Heritage and Photography Service	Nottinghamshire Archives
Bristol Archives	Oxfordshire History Centre
Bromley Historic Collections	Rotherham Archives and Local Studies
Buckinghamshire Archives	Sheffield City Archives
Conwy Archive Service	Staffordshire and Stoke-on-Trent Archive Service: Staffordshire County Record Office
Cumbria Archive Centre, Carlisle	Suffolk Archives – Ipswich
Durham County Record Office	Teesside Archives
East Riding of Yorkshire Archives and Local Studies Service	Tyne and Wear Archives
East Sussex and Brighton and Hove Record Office (ESBHRO)	West Glamorgan Archive Service
Glamorgan Archives	West Yorkshire Archive Service, Wakefield
Gloucestershire Archives	Worcestershire Archive and Archaeology Service
Hampshire Archives and Local Studies	

