



Appraisal report from Department of Energy and Climate Change (“DECC”) relating to records of the former National Coal Board (“NCB”) (latterly British Coal Corporation (“BCC”)) – a statutory corporation created in 1947 and wound up in 2004

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Executive Summary

The National Coal Board (latterly the British Coal Corporation) ("BCC") existed from 1947. It ceased trading in December 1994 and was dissolved in 2004. At its peak, it operated close to 1,000 deep mines and employed around 850,000 people. It had a duty to work coal, to secure the efficient development of the mining industry and to supply coal to suit the public interest.

In 1995, the then Department of Trade & Industry ("DTI") assumed responsibility for BCC's document holdings that had not otherwise by then been disposed of or passed on to third parties. Following machinery of Government changes in 2008 the Department of Energy & Climate Change ("DECC") currently has responsibility. The Coal Liabilities Unit ("CLU") within DECC has particular responsibility for BCC legacy issues including dealing with claims for compensation from former BCC employees, the administration of certain employee related benefits and custodianship of BCC records (including records created since privatisation primarily associated with compensation claims handling and employee benefits).

This document explains the responsibilities, work, objectives and records of BCC such that records of historical value can be identified and preserved.

BCC was a major conduit of fuel and power policy (at home and abroad), encountered significant industrial disputes, and drove forward health and safety issues and strategies relevant to coal production. Whilst BCC largely implemented prevailing energy policy, its operational capacity did influence government policy in a number of areas, as did its industrial relations experience. BCC played an important role in UK social and political history in the second half of the 20th century.

DECC will select records from the BCC collection which meet The National Archives' Records Collection Policy, in particular: records of the interpretation and implementation of policy and the law; records relating to individuals or national events of significant contemporary interest or controversy; and records detailing the impact of government proposals or policies relating to the natural environment. This will include:

- Records of key policies formulated at national board level, including evidence of their interpretation and implementation at regional level throughout BCC;
- Records of key BCC internal committees which provide an overview of high-level governance;
- Records which detail BCC involvement in, or response to, significant events such as industrial action, mining accidents, or key internal appointments;
- Records which document the changing responsibilities of BCC, including the interpretation of coal related legislation, evidence of its core functions, and effects of nationalisation and privatisation;
- Records which can help further research into the effects of coal mining and its closure on local communities who worked for the BCC, or the wider environment.

BCC operated a defined document filing and retention system, however this was not always applied consistently. As colliery closures and plans for privatisation progressed, it was applied and enforced with less rigour, leading to a "patchwork" of document holdings. BCC's hard copy archive, however, is significant, totalling around four million records.

BACKGROUND INFORMATION

1.1 Name of Agency / NDPB/ Department / Division

Department of Energy and Climate Change ("DECC") for the former National Coal Board ("NCB") (latterly British Coal Corporation ("BCC")) – a statutory corporation created in 1947 and wound up in 2004.

1.2 Type of agency

Executive Agency	Non-Departmental Public Body	Trading Fund	Next Steps Agency	Non-Ministerial bodies	Libraries, Museums, Galleries	Research Councils
	✓					

1.3 Annual budget

N/A

1.4 Number of employees

The number of employees ranged from around 850,000 at nationalisation (1947) to 13,100 at privatisation (1994). As the workforce fluctuated overtime it is estimated that NCB/BCC employed in excess of one million employees over the period of its existence

1.5 History of organisation

The size of the undertaking

The NCB was a statutory corporation which came into existence on 15 July 1946 (under the Coal Industry Nationalisation Act 1946) and from 1 January 1947 ("vesting day") the NCB became responsible for managing close to 1000 collieries, 850,000 employees, 85 coke ovens and other plants (including brickworks), 250,000 acres of farmland, 140,000 houses and other miscellaneous practices. The NCB was renamed BCC in 1987. Its assets were privatised with the passing of the Coal Industry Act 1994 by which time the number of deep mine collieries had reduced to 16.

As well as deep mines, the NCB took on responsibility for open cast mining and also a series of non mining ancillary activities, including coal products, smokeless fuels, engineering workshops, computer technology, scientific research and various retail interests. Over time these operations were gradually privatised prior to 1995.

Pre-nationalisation UK coal mining

Coal has been known in Britain since Roman times, although with the departure of the Romans, the use of coal as a fuel ceased and the first certain records of the digging of coal arose in Scotland around 1200.

Coal grew in importance and as early as 1325 coal was being exported from Newcastle to France. However, most coal was obtained by open cast working. To obtain coal at greater depth, extraction was effected by what were known as "bell-pits" or "beehive pits", mainly in South Staffordshire and Yorkshire.

Over the next several hundred years little progress was made in mining methods. Towards the middle and the end of the 17th century, advances quickened but problems occurred in relation to ventilation, lighting, drainage and winding. Gas and dust remained a problem such that it was not until the early 19th century that a safety lamp was introduced.

As steam winding engines became introduced, output increased. In 1800 the total output of coal in Great Britain was about 10 million tons per annum. This increased to around 60 million tons per annum in 1850 and 287,430,000 tons in 1913. Output decreased due to war, shortage of manpower and industrial strife, reaching a lower figure of 183 million tons in 1945. By 1955 it had increased to 210,232,000 tons of deep-mined coal with a further 10 million tons of open cast coal. By the year 1993/94 the total from all UK sources was around 66 million tons.

The mining industry was often at the forefront of technological advancement by adapting new technologies to its specific needs. By the year 1882, the first electric motor was installed underground

and by 1891, electric motors were used for winding. Significant developments were made in mechanical coal cutting and the movement of coal, including locomotives and conveyors.

However, even after the introduction of the safety lamp as early as 1815, in the first half of the 19th century conditions in the mines were far from satisfactory and explosions of fire damp were frequent occurrences.

The Coal Mines Act was passed in 1842 incorporating provisions for the improvement of conditions in the mines and prohibiting the employment below ground of women and girls and of boys less than ten years of age. It also made provision for the appointment of Inspectors of Mines. By successive Mines and Regulations Acts passed in 1850, 1855, 1860, 1862, 1865, 1872, 1887 and 1911 and various other Acts dealing with special problems in the industry, the principle of inspection and specific mining legislation was extended and it began the growth of an extensive code of mining law designed to ensure the safety and welfare of persons employed in the mining industry.

The Coal Mines Act 1911 was a consolidation and amendment to the law relating to coal mines and certain other mines. The wide scope of the Act was indicated by its division into eight parts dealing respectively with: 1) management, 2) safety, 3) health, 4) accidents, 5) regulations, 6) employment, 7) inspection and 8) legal proceedings. This provision was such that it rendered unnecessary the passing of a further general mines Act for 43 years, when the Mines and Quarries Act 1954 was passed.

Between the two world wars a considerable body of legislation was directed to improving the safety and efficiency of mining and the welfare and standard of living of the mineworkers. However, much of it came too late to avert a general stoppage in the industry in May 1926. The main advancement was made in the Coal Mines Act 1930 which provided for a central and district schemes (in six designated regions) regulating the production, supply and sale of coal which were to be approved or made by the Board of Trade. It also provided for a reorganisation of the coal mining industry and the constitution of a Coal Mines Reorganisation Commission, composed of five members, all of whom were unconnected with the industry: for amendment of hours of labour and the constitution of Coal Mines National Industrial Board to consider agreements as to wages and labour conditions with a view to avoiding disputes or the settlement of disputes.

Opposition to the scheme by colliery owners resulted in its modification and in 1936 the Coal Mines Reorganisation Commission was dissolved. Under the Coal Act 1938 coal deposits were nationalised and a Coal Commission was established to administer them, inheriting the powers and functions of the Coal Mines Reorganisation Commission. The outbreak of war in 1939, however, prevented the scheme from being implemented.

During the Second World War the Minister of Mines took control of all coal undertakings in Great Britain and coal mining was classed as "essential work". The Government of Clement Atlee took the decision to nationalise the coal industry and did so from 1947.

Nationalisation and expansion

The Coal Industry Nationalisation Act 1946 provided for the complete nationalisation of the coal industry and on 12 July 1946 established the NCB. It was made solely responsible for managing the industry and running it on business lines, except that the Minister of Fuel and Power, after consulting with the board, might give it directions of a general character.

The minister appointed the members of the board, numbering nine in 1946, raised to a maximum of eleven of which eight should be full-time in 1949 and to a maximum of fourteen in 1973, and he presented the NCB's reports to Parliament. In October 1969 these general powers passed to the Ministry of Technology, in October 1970 to the Department of Trade and Industry, in January 1974 to the Department of Energy and back to the Department of Trade and Industry in 1992.

Subsequently the board acquired other responsibilities, notably that for the coal survey from the Department of Scientific and Industrial Research in August 1947, and that for miners' hostels from the Ministry of Labour and National Service in the same year.

In 1951 it took over some of the functions of the Miners' Welfare Commission, and in April 1952 it acquired responsibility for opencast coal mining from the Ministry of Fuel and Power. In 1973 it formed two holding companies, NCB (Coal Products) Ltd. and NCB (Ancillaries) Ltd. to handle two major aspects of its work not directly related to deep and opencast mining. The Coal Industry Act 1977 gave the board new powers in respect of the acquisition, treatment and sale of petroleum and of working minerals other than coal or petroleum which were discovered in the course of prospecting for or working coal and petroleum.

In one way or another, the NCB and its employees played a pivotal role in most industrial disputes throughout the second half of the 20th century, influencing government policy and highlighting competing influences between a nationalised industry, advances in technology and the necessity to be profitable, leading in turn to privatisation.

British Coal Corporation and privatisation

On 1 January 1987, NCB became BCC. Its mining assets were privatised with the passing of the Coal Industry Act 1994. BCC was dissolved in 2004.

When the industry was privatised, the liabilities of BCC passed to the Department of Trade and Industry, subsequently to BERR and most recently in 2008 to DECC. The Coal Liabilities Unit (“CLU”) within DECC has the responsibility for the majority of the former Board records, which it has used in defending the Secretary of State in various litigations for industrial disease. Litigation is ongoing in a number of areas and a summary of the main litigation undertaken by former employees of the NCB/BCC against the Secretary of State is as follows:

- Pneumoconiosis litigation.
- Chronic obstructive pulmonary disease group litigation (now concluded).
- Bronchitis claims.
- Vibration White Finger group litigation (now concluded).
- Noise Induced Hearing Loss claims.
- Knee injury group litigation (now concluded).
- Asbestos related claims including occupational cancers.
- Post traumatic stress disorder.
- Group litigation relating to the Phurnacite Plant in South Wales.

Further litigation involving coke workers is anticipated later in 2013.

Safety and welfare

Coal mining had always been regarded as amongst the most dangerous of all industrial occupations, with a high death rate and a high accident rate. By voluntary action and under the compulsion of legislation, careful study of the underlying causes of accidents and introduction of preventative measure reduced the number of accidents and deaths and major injuries.

The Mines and Quarries Act 1954 was "an Act to make fresh provision in respect of the management and control of Mines and Quarries and for securing the health and welfare of persons employed thereat", which came into force on 1 January 1956. Further Regulations relating to specific operations and activities were also enacted. The regulatory framework gave rise to a system of inspection, record taking, committees and reporting requirements for health & safety in mining and associated operations for the remainder of the lifetime of NCB/BCC and gave rise to a raft of documents in all areas of colliery work. The various "form-type" documents created by the regulatory framework are listed at Appendix 1 along with typical colliery documents.

In the last quarter of the 19th century the average number of persons killed per annum was about 1,060. During the 25 years 1931-1955 the death toll fell to 683 per annum but particularly during the 10 years

1946-1955 (after nationalisation) the figure was 468 per annum. The figure continued to reduce with greater study and as the NCB introduced greater safety measures in mines and as it conducted further mining, scientific and occupational health research. By 1971 there were 92 fatalities per annum and by the year of privatisation there were two fatalities. Accidents in relation to gas explosions, falls and explosives largely reduced consistently but particular disasters and accidents often gained notoriety because of their extreme effect on local communities.

The organisation of NCB

NCB was the subject of several structural and operational reorganisations during its existence. Those reorganisations impacted upon how records were kept and stored often transferring responsibilities between internal departments and operating divisions. What follows is a high level summary only and does not descend into the detail of the structure of the organisation as it changed over time.

The main Board committees (which are set out in the technical report) were largely replicated through the tier structure of the Board down through Division, Area, Group and Colliery levels.

It was common practice for group tasks within NCB/BCC to be undertaken by committee, whether for individual projects at colliery level or for the national direction of policy. It is impossible to provide a definitive list of them all. This report deals only with the high-level committees that direct policy at a national level and that were often replicated at lower tiers levels in the NCB/BCC structure.

The functions of the committees at national board ("the Board") level were to:

- a) Advise the Board on the formulation of policy;
- b) Execute policies on behalf of the Board;
- c) Advise the Board on the setting of objectives to Areas and other formations;
- d) Assist the Board to hold Areas to account;
- e) Provide Areas with technical leadership and innovation;
- f) Provide Areas with services which may help them to improve results which they cannot economically provide themselves; and
- g) Exercise functional control over Area activities.

The Board formed the top tier of a four tier system. At the lowest level were the individual collieries (each colliery had its own manager) which were divided into geographical "Areas" under the control of an Area manager. The number of Areas and collieries within them varied over time. The Areas were grouped into geographical Divisions under a divisional board which reported to the Board. The number of Divisions and the nature and extent of their responsibilities varied over time. This system continually evolved but

changed most notably in 1967 when the geographical divisions were dispensed with. A representation of this evolving picture is in the diagram at Appendix 2.

NCB was headed by a chairman and deputy chairman; each of the other members took charge of an executive department or research establishment.

The number of departments at the NCB/BCC headquarters (which advised the Board committees) varied over time and changed their names. The majority (but not all) of the departments were also represented at different tier levels within the organisation of NCB/BCC. At its peak, in the early 1980s, there were around 21 departments which had a "footprint" at different tiers within the NCB as follows:

Department	Tier / Level
Audit	Headquarters and "Coalfield Centres". Department was based on the formal Internal Audit branch of the Finance Department with a wider remit taking in development of "Operational Auditing".
Central Planning Unit	Headquarters only. Concerned with medium and long term planning and energy policy matters.
Estates	Headquarters and Area.
European Community Unit	Headquarters only. Concerned with European community matters
Finance	Headquarters, Regional service and Area.
Industrial Relations	Headquarters and Area.
International Relations	Headquarters only. Concerned with development throughout the world.
Legal	Headquarters and coalfield areas/regional service.
Marketing	Headquarters and sales regional organisation at coalfield Areas/Regional service plus sales districts.
Medical Service	Headquarters, Regional radiological centres and Area.
Mining	Headquarters, Regional service and Area. The Department's name was changed from Production to Mining in July 1971.
Overseas Mining	Headquarters
Public Relations	Headquarters and coalfield Areas/Regional service.
Purchasing and Stores	Headquarters, Regional service and Area.

Department	Tier / Level
Transport Service	Headquarters and Area.
Scientific Control	Headquarters, Regional service and Area.
Secretary's	Headquarters, Regional service and Area. Includes "General Services" – accommodation, registry and typing services etc. – as well as secretariat functions.
Special Project Branch	Headquarters only.
Staff ("HR")	Headquarters, Regional service and Area.
Statistics	Headquarters and Area.
Superannuation Investments Branch	Headquarters only. The two branches shared a Director and were concerned with the investment of the Staff Superannuation and the Mine Workers Pension Scheme Funds.

A National, Regional, Area and Colliery departmental chart is at Appendix 3, which also deals with Coal Products and other ancillary activities. This represents the organisation of NCB in the early 1980s. Generally, there is less available information about the NCB's ancillary activities. However, charts are attached at Appendix 4 to show the organisation of the NCB (including how the ancillary activities sat within that structure), the Opencast Executive and some larger Departments. In addition, at Appendix 5 there is attached a plan of a coalfield Area and a typical "line and staff" organisation chart, highlighting the hierarchical nature of the NCB's organisation (typical of the early 1950s). All of these documents are necessarily representative of the position at the date they were created and but are indicative of the complexity of structures that NCB/BCC had.

1.6 Functions, activities, and recordkeeping

The role of NCB was set out in the Coal Industry Nationalisation Act 1946, which evolved with amendments over time. However, the core role can be summarised as comprising duties, functions and policies.

The NCB's duties

- a) The safety, health and welfare of the persons in their employment;

- b) The benefit of the practical knowledge and experience of such persons in the organisation and conduct of the operations in which they are employed;
- c) That the revenues of the Board should not be less than sufficient for meeting all their outgoings properly, chargeable to revenue account on an average of good and bad years.

The NCB was granted the power to do anything and to enter into any transaction which was calculated to facilitate the proper discharge of their above-mentioned duties.

The NCB's functions

In relation to its duties, they were as follows:

- a) Searching and boring for coal in Great Britain;
- b) Treating, rendering saleable, supplying and selling coal;
- c) Producing, manufacturing, treating, rendering saleable, supplying and selling products of coal;
- d) Producing or manufacturing any goods or utilities which are of a kind required by the Board for or in connection with the working and getting of coal or any other of their activities, or which can advantageously be produced or manufactured by the Board by reason of their having materials or facilities for the production or manufacture thereof in connection with the working and getting of coal or any other of their activities, and supplying or selling goods or utilities so produced or manufactured;
- e) Any activities which can advantageously be carried on by the Board with a view to making best use of their assets;
- f) Activities conducive to advancing the skill of persons employed or to be employed for the purposes of any of the activities aforesaid, or the efficiency of equipment and methods to be used therefore, including the provision by the Board themselves, and their assisting the provisions by others, or facilities for training, education and research.

The main functions of the board as a whole were to decide and set objectives for the industry, to lay down policy directives and the limits within which management must work, to hold management to account and to provide for the future by means of research and development, and the recruitment and training of staff. It was also responsible for promoting the safety, health and welfare of employees.

Many of these functions were exercised at the Area and Colliery level, a chain of command which replaced the previous five-tier system in 1967. The Board itself continued to settle national policy,

conduct national negotiations, obtain capital and provide common services such as scientific research. Before 1967 the divisional boards also exercised wide discretion in the forming of policy and applying it at Area and Colliery level. The headquarters departments advised the Board on general policy and objectives, provided information and executed policy, and they also operated certain national services, including central workshops and the rescue service; and Regional services in non-coalfield areas.

The Board had substantial financial powers, including the power to borrow, the obligation to set up a reserve fund, to make provisions for superannuation, to make provision for the miners' welfare fund and to consult with outside organisations concerning terms and conditions of employment. It was also under an obligation to provide annual reports, a full copy of which, throughout the lifetime of the nationalised coal industry, are due to be deposited with the British Library.

In complying with its statutory obligations to comply with health and safety of the employees, NCB/BCC had to comply with the Mines & Quarries Act 1954 and because of such legislation NCB/BCC developed a number of formulaic record-keeping mechanisms to ensure compliance by inspection, although colliery accident books and other such types of document had already been in place.

When the industry was privatised, the liabilities of NCB/BCC passed to the Department of Trade and Industry, subsequently to BERR and most recently to DECC in 2008.

Records

Filing was generally organised on a departmental level across each tier. Unfortunately, filing was not consistent, particularly in the period of build up to privatisation. A large number of files were either misfiled or mislaid, such that it is now the case that hard copy records are stored in a series of generic groups, some of which relate to particular departments. Some files at Colliery level were destroyed when individual collieries were closed. In addition to the records currently held by the Department via Iron Mountain there are a large number of records already at TNA which have been progressively transferred and some records on mining matters were transferred to the Coal Authority.

There are also separate generic groupings for ancillary functions, including the Mining Research and Development Establishment, The Minestone Executive, National Concessionary Fuel Office, The Institute of Occupational Medicine, and National Smokeless Fuels.

The generic groups can be further sorted into a number of classifications. The aim is to provide a sub-level of document classification that relates to some common themes within NCB/BCC that cut across generic groups e.g. maintenance, finance, meeting minutes, accident reports etc. Not all classifications feature in each generic group and some generic groups will feature very few of these classifications.

Large generic groups, particularly at a colliery level or relating to mining at an operational level will involve a greater number of classifications.

The full list of generic groups is set out below. All such records are held by Iron Mountain on behalf of DECC CLU.

Group records description	Approximate number of files	Records contents	Percentage of hard copy holding ¹
GG01 Colliery Operational Records	230,226	BCC Records that originated were updated or held for the purpose of the day-to-day operational needs of the colliery which include medical centre accident and injury books, Mines and Quarries form based records, Managers files, Health and Safety records and some training related records.	5.9% of holding
GG02 Privatisation Records	1,940	Records related to the privatisation, disposal and transfer arrangements	0.05% of holding
GG03 Chairman's/Directors' Administration Records	665	Records that originated from the Chairman's/Directors' Office	0.02% of holding
GG04 Finance and Audit Records	1,816	NCB/BCC, claims handler and pension administrator financial records, including but not limited to: bank statements, reconciliations, giro forms, petty cash requests, small contractual payment records, authorities for data entry. Largely form based and of no relevance to ongoing litigation or archival relevance. Recently the subject of a disposal exercise; the number of files are those for further review or business use.	N/A
GG05 Pensions Records	20,448	Pension administration records and some old members scheme	0.52% of holding

¹ The percentage was calculated prior to the recent disposal exercises for GG04 and GG31 and will not be recalculated until the process has concluded and may vary while legacy file description detail is updated. The percentage is a practical guide that relates to the number of boxes of files per generic group out of total holding.

Group records description	Approximate number of files	Records contents	Percentage of hard copy holding ¹
		files	
GG06 Mining Operations Records	22,834	Very varied and relevant to ongoing litigation. By way of example, it contains files relating to noise, dust measurements, pneumoconiosis and third party contractual issues around the time of privatisation.	0.58 of holding
GG07 Geological Records	215	Geological records	0.00005% of holding
GG08 Planned Maintenance Records	8,933	Large numbers of routine maintenance records and occasional laboratory testing and audits of equipment.	0.22% of holding
GG09 Litigation Series Records	40,484	Records collected at disposal review or lead case discovery deemed as useful litigation reference material	1.03% of holding
GG10 Coal Products Records	2,732	Records relating to coal by-products	0.06% of holding
GG11 Subsidence Records	Nil	Subsidence records land and property	Currently Nil
GG12 Copyhold Coal Claim Records	112	Copyhold Claim Records	0.002% of holding
GG13 Minestone Executive Records	624	Records relating to mineral (largely waste products) sales excavated during the mining processes	0.02% of holding
GG14 Mining Stability Records	1,667	Mining stability Reports	0.04% of holding
GG15 NSF/BFL Records	27	National Smokeless Fuel sales and deliveries, thereafter British Fuels Ltd	0.0007% of holding
GG16 Opencast Mining Records	41,740	All areas Site, Regions and HQ functions records. Opencast was a business within a company and looked after it own affairs	1.06% of holding

Group records description	Approximate number of files	Records contents	Percentage of hard copy holding ¹
GG17 Coal Commission Records	25	Coal Commission Records	0.0006% of holding
GG18 Licence Working Records	260	Licenses for the working of coal extraction from Private Mines granted by BCC	0.006% of holding
GG19 Survey Planning Records	11,291	Plans, drawing and sections	0.28% of holding
GG20 Personnel Records	1,556	White Collar Staff personal files	0.04% of holding
GG21 Personal Medical Records	1,358,992	Medical Records of BCC whilst engaging in work activities	34% of holdings
GG22 Personal Training/Employment Records	13,673	Blue Collar staff industrial graded training and employment records	0.3% of holding
GG23 Property and Estate Records	74,806	Property and land matters including maintenance and sales of the former BCC estate	1.9% of holdings
GG24 Photographic Records	67	Various photographs, negatives, films and slides	0.0016% of holding
GG25 Public Relations Records	253	Records created by the former Public Relations Department of BCC	0.006% of holding
GG26 Common Law Claim Records	23,498	Claim administration records for industrial diseases and accidents	0.6% of holdings
GG27 Concessionary Fuel Office Records	12,172	Administrative records from the NCFO	0.3% of holding
GG28 Medical X Ray Records	734,193	Medical X Ray records covering the periodic lung assessment programme	18.75% of holdings
GG29 Information Technology Records	Nil	Records created by BCC Technology Department and Compower a wholly owned subsidiary of BCC	Nil

Group records description	Approximate number of files	Records contents	Percentage of hard copy holding ¹
GG30 BC Enterprise Records	22,293	Personal Records created to cover training and support of individuals business enterprises at the point of redundancy	0.5% of holding
GG31 Supply and Contract Records	2645	NCB/BCC, claims handler and pension administrator orders and requisitions. Also significant tenders and third party contractual arrangements. Some small repetitive arrangements. Some proforma information. Recently the subject of a disposal exercise; the number of files are those for further review or business use.	N/A
GG32 Industrial Employee Relations Records	10,622	Administrative records of the former Industrial/Employee Relations Department which could contain some personal records	0.2% of holding
GG33 Scientific Records	16,279	Research and Development records also contains dust analysis and test data	0.4% of holding
GG34 Legal Department Records	65,532	Legal Department records which also contain land and property related files. Legal Department was the former Estates manager prior to the establishment of the BCC Estates Department	1.7% of holdings
GG35 Marketing Department Records	969	Marketing Department Files which would include correspondence with the national power companies	0.02% of holding
GG36 Secretary's Department Records	7,385	Staff and Secretary's functions files	0.18% of holding
GG37 Institute of Occupational Medicine Records	65,440	Research and policy of medical related subjects	1.6% of holding
GG38 Minute Series Records	3,457	Various minutes not previously deposited with the Public Records Office	0.088% of holding

Group records description	Approximate number of files	Records contents	Percentage of hard copy holding ¹
GG39 Divisional HQ Records	72	Former NCB Divisional Records	0.0018% of holding
GG40 Registration of Asset Records	224	Registration of Asset records at Nationalisation 1947	0.5% of holding
GG43 Overseas Statements of Claim	261	Overseas statements of best endeavours in the location of training records from private mines claimants	0.006% of holding
GG45 Record Packs (disclosed)	361,069	Mineworkers Records Packs disclosed to Capita and Claimant Solicitors for the purpose of processing industrial disease claims	9.2% of holding
GG70 Record Packs (none disclosed)	644,013	Mineworkers Records Packs assembled under the back scanning project 2007/8 to facilitate the claims processes	16.44% of holding
GG98 Nabarro Master Set Records	584	Nabarro Papers Research material for lead case disclosure	0.01% of holding

Generic groups with a "nil" file holding (see GG11 and GG29) have already been disposed of in the late 1990s. The generic group remains "live" for audit purposes only.

CLU has the current responsibility for the majority of the NCB/BCC records, which it has used primarily in defending the Secretary of State in various litigations for industrial disease. Litigation is ongoing and some of these records remain central to DECC's ability to defend itself in legal proceedings and to its duties of disclosure in extant and anticipated litigation.

As a result of this DECC has already benefited from a retention instrument signed by the Lord Chancellor (LCI 105, signed 2011), to approve the retention of certain generic groups of files required for litigation purposes. This retention instrument referred to specific group titles and numbers such that it covers personnel records (GG20), medical records (GG21), training/employment records (GG22), common law files (GG26) and medical x-ray sets (GG28).

CLU has now identified other generic file groups and parts of generic file groups (that were not subject to an existing derogation under LCI 105) which continue to be relevant to ongoing litigation and/or anticipated litigation. In November 2013 DECC submitted applications to the Lord Chancellor's Advisory Council on National Records and Archives for a further derogation to retain records for two reasons:

1. it requires further time to review the records to make disposal recommendations (including preservation) given the volume of records involved; and
2. it needs to retain the files to either disclose in legal proceedings or to enable DECC to defend itself in legal proceedings.

Legal authorisation to retain records in these categories was agreed by the Lord Chancellor (LCI 114, signed 2013), with the business need for retention set for review in 2023. The BCC related litigation landscape will continue to change, and therefore retention will be reviewed on a rolling ten year basis, with further applications to renew the authorisation made as necessary. The categories now also authorised for retention by the department include:

- Colliery Operational Records (GG01);
- Finance/Audit Records (GG04);
- Pensions Records (GG05);
- Mining Operations Records (GG06);
- Planned Preventative Maintenance Records (GG08);
- Litigation Series Records (GG09);
- Coal Products Records (GG10);
- Supply & Contracts Records (GG31);
- Industrial/Employee Relations Records (GG32);
- Scientific Records (GG33);
- Legal Department Records (GG34); and

- Minutes Series Records (GG38).

These files assist with investigating claims, claimants and locating witnesses and/or corroborating evidence. They have a significant probative value to CLU. Large group litigations have recently been successfully defended but there is a potential for other such actions on the horizon. "Record Pack" generic groups (GG45 and GG70) are replicated digitally. It is planned that these hard copy files will be destroyed to avoid the current duplication.

In addition, (GG27) Concessionary Fuel Office Records are regularly accessed by the National Concessionary Fuel Office for the purposes of verifying entitlements under the concessionary fuel scheme. This requirement for access will continue for as long as there remains any entitlement to concessionary fuel payments. These records will be treated as outside of this review as they are current, operational records of the scheme and subject to the normal arrangements and decisions that a Government Department would apply to active records.

Some of the files needed for legal proceedings may be suitable for preservation at the end of the derogation but no definitive numbers or types can be specified as a review process will be required for them in the same way that a review of the remainder will also be required. It is more likely, however, that a large number can be destroyed (e.g. x-rays, medical records and personnel records) subject to the status of any ongoing litigation involving DECC. Because these records relate to individuals, a destruction policy relating to claim history will be considered based on the length of time since the last claim made by an individual.

This report deals only with paper records. The digital versions of mineworkers' record packs will be considered by TNA's Records Decision Panel for the purpose of family history, although even if selection was agreed it could be several decades before such records could be made available due to ongoing requirements and the personal data contained within them.

1.7 Name of the parent or sponsoring department (if an Agency).

DECC.

1.8 Relationship with parent department (if an Agency)

Within DECC under the terms of the 1994 Coal Industry Act and subsequent restructuring Schemes, CLU has particular responsibility for BCC legacy issues including dealing with claims for compensation from former BCC employees and custodianship of all BCC records extant at privatisation and records created

since privatisation, dealing with claims for compensation and administering compensation, the administration of certain BCC employee benefits, and some pension scheme interests.

1.9 Relationship with other organisations (agencies / NDPBs / departments / other statutory bodies)

At the time of nationalisation, NCB held a great degree of autonomy in relation to its operation. The Coal Act 1938 provided ministerial powers to direct the Board in matters that affected the 'national interest', but in practice during the 1950s no such formal directions were made. The NCB reported directly to the Minister of their sponsoring department, which over the lifespan of the organisation included the Ministry of Power, Ministry of Technology, Department of Trade and Industry, and Department for Energy. Whilst in the early years on nationalisation this relationship was informal, from 1960 the weakened economic position of the coal industry made the Board more vulnerable to political pressure. In the late sixties the Ministry of Power developed the national fuel policy, which NCB had no influence over. From then on it is evident that although the Government succeeded in keeping NCB subject to overriding energy policy, the concentration of expertise on coal mining within the Board meant that operated and developed national approach to coal mining without significant input from a sponsoring department.

The history of departmental responsibility for NCB/BCC within national government is as follows:

- Ministry of Fuel and Power 1942-1957
- Ministry of Power 1957-1969
- Ministry of Technology 1969-1970
- Department of Trade and Industry, 1970-1974
- Department of Energy 1974-1992
- Department of Trade and Industry/Department for Business, Enterprise and Regulatory Reform 1992 to 2008
- Department of Energy & Climate Change 2008 – to date

The Coal Authority – a Non Departmental Public Body created under the 1994 Coal Industry Act - exists to provide mining reports and property search services; to inspect mine entries; to issue licences; to protect the public and the environment in coal mining areas; to respond to planning consultations; and to administer coal mining subsidence claims. It has an archive of its own records (at its headquarters and with Iron Mountain) but occasionally requires access to the wider holding. The Coal Authority has carried out a number of reviews of the CLU hard copy record holding. It is very unlikely any mine plans are held by CLU that are not already held by the Coal Authority.

The Institute of Occupational Medicine in Edinburgh holds relevant records but most are accessible over the internet.

TNA already holds records from NCB/BCC and also other agencies e.g. the Technical and Scientific Research Executive, the Mining Research and Development Establishment, The Operational Research Executive and Coal Industry Social Welfare Organisation (CISWO).

The British Film Institute also already holds many NCB/BCC training and publicity films.

Various regional archives, museums and local places of deposit hold records from the NCB. Mining trade unions also hold related material.

Some records were also passed to successor mining companies at privatisation.

SELECTION DECISIONS

DECC will be applying appraisal principles to a historical records collection. The process has been discussed with TNA and a pilot exercise has been carried out previously. DECC has been assisted in the process by the knowledge of Iron Mountain and Nabarro LLP and has arrived at the conclusions set out in this document as the best approach to deal with the paper records holding.

2.1 Areas of Policy Work undertaken in the Agency

In carrying out its statutory duties and functions NCB/BCC was active in creating policy at a national and regional level. In doing so it was bound by statute to secure:

- The safety, health and welfare of persons in NCB/BCC's employment;
- The benefit of the practical knowledge and experience of such persons in the organisation and the conduct of the operations in which they are employed; and
- The revenues of NCB/BCC should not be less than sufficient for meeting all its outgoings properly chargeable to revenue accounts on an average of good and bad years.

It took policy decisions in line with its primary functions (described in section 1.6). Key policy decisions, or the interpretation of existing policy, which will be selected for preservation include the following:

- Primary and secondary legislation (including the Mines and Quarries Act 1954 and secondary mining safety legislation made under the Act e.g. Coal and Other Mines (Support) Regulations 1966 (now repealed));
- Interaction with the European Community and the European Coal and Steel Community in relation to coal mining at a high operational level; (also had operational relations with other coal producing nations such as US, USSR, Poland, China etc which influenced its interpretation of UK policy in its own functions);
- The legal bases of claims for industrial accidents and industrial disease;
- Technological advances in mining and in related industries;
- The physical and social welfare of its employees and mining community's citizens;
- The effects of coal mining on the environment;
- Industrial relations within the UK mining industry;
- Government policy for the nationalisation and privatisation of the coal industry;

- The extent of UK mining and ancillary operations;
- Productivity and efficiency of mining methods;
- Methods of distribution and transportation of coal to users; and
- The importation of coal to the UK.

It is anticipated that these will be records of discussion at national or regional level which helped to develop an organisational approach to coal mining. These will include correspondence, committee papers and operational work which develops, interprets or implements such policy.

2.2 Areas of High-level Operational Work undertaken in the Agency

Areas of operational work will be selected where they add value to public understanding of the National Coal Board in respect to its core duties. Records of day to day colliery operation and internal administration will not be selected. Selection will be made where operational work relates to individuals or national events of significant contemporary interest, as listed in section 3.6. This will likely include:

- Significant mining accidents
- Significant industrial action (involving disruption to coal production on a national basis)
- Landmark court cases
- Developments in health & safety practice and law in the mining industry
- Research into the effects of coal mining on the environment
- Notable appointments to positions within the NCB.

2.3 Hybrid or Electronic Datasets / Business System

Not applicable.

TECHNICAL REPORT: ANALYSIS OF RECORDS PRODUCED

3.1 Committee structure within the NCB/BCC , including statutory committees directing the work of the organisation

The committee structure within the NCB was extensive and changed over time. It was common to National, Area and Colliery levels within NCB as well as for ancillary operations.

The main national committees are set out in the table below with preservation decisions. Although, the list should not be considered definitive due to passage of time and due to the untraceable and transitory nature of some committees.

The records of the committees that will be preserved deal with high-level governance and the setting of NCB/BCC policy. Where mirrored at Area or Colliery level the records should also be selected for regional preservation, if also related to one of the significant events listed in section 3.6. These committee records will only be located by records review.

Likely records for preservation will consist of agendas, minutes and papers presented at the meetings.

Because the committee structure was not uniform across departments there is a presumption that high level committees (equivalent to steering or executive committees) from the following departments and/or establishments will also be preserved plus specific committees feeding back to central Government concerning the introduction of statutes, where information has not already been fed into the Board:

- Marketing Department
- Legal Department
- Public Relations Department
- Production/Mining Department
- Medical Service
- Industrial Relations Department
- Superannuation Department

- Estates Department
- Finance Department
- Coal Industry Social Welfare Organisation
- Mining Research and Development Establishment
- Operational Research Executive
- Minestone Executive
- Coal Research Establishment
- Institute of Occupational Medicine
- NCB (Ancillaries) Limited

Name of committee	Terms of reference	Selected for preservation?
The Board	Governance of the NCB and its ancillaries. Reporting to appropriate Government department of the time.	Yes
General Purposes Committee	NCB governance not covered by other committees.	Yes
Executive Committee	Implementation of policy decided by the Board.	Yes
Senior Liaison Committee	Ensure communication between senior heads of departments.	No - operational committee designed to facilitate internal discussion.

Name of committee	Terms of reference	Selected for preservation?
Audit Committee	1. Help management to achieve improved results; 2. Search out cost-saving opportunities; 3. Help to ensure that maximum revenue is obtained; 4. Help to ensure there are no surprises for management; 5. Report on compliance with Board policy, the proper performance of standing instructions and statutory regulations; and 6. Assist in the spread of best practices.	Yes
Coal Industry National Consultative Council Safety and Health Committee	To assist in setting health and safety policy within BCC, to liaise with outside bodies (other operators e.g. in relation to Coke works) to consult and assess best practice.	Yes
Joint National Conciliation Committee	Employee relations issues, including setting HR policies and procedures, setting terms and conditions agreeing wage agreements with the unions and agreeing employment best practice. Also involved in pensions and benefits arrangements for employees (staff and industrial).	Yes
National Safety Committee	To set health and safety policy at a national level in consultation with the regulator and the unions.	Yes
National Consultative Committee	Meetings between national level management and national officers of the mining unions to aid industrial relations	Yes
HQ Accountability Committee	Top of the chain of financial accountability and control from Area then colliery and outstation levels	Yes
Staff Policy Steering Committee	To determine policies on terms and conditions for management and clerical staff grades	No - operational committee on internal working conditions

Name of committee	Terms of reference	Selected for preservation?
Business Planning Committee	Business planning.	No - important records of NCB structure or decision making captured in Executive committee
Senior Engineers Committee	Meetings of National and Area level senior Electrical and Mechanical engineers	No - operational committee affecting day-to-day engineering activity
Capital Expenditure Committee	To consider then approve or reject applications for capital financing of major development projects e.g. colliery surface reorganisations or underground modernisation schemes	Yes
Co-ordinating Committee on Training	To review and implement appropriate training in relation to operations, health and safety and environment.	No - operational training committee
Manpower Control Committee	To monitor and control levels of manpower (mineworkers and industrial staff) to best provide for production requirements – and to deal with manpower transfers due to colliery closures	No
Manpower Savings Schemes Committee	To ensure the most economic, and effective use of manpower by avoiding over-manning especially at colliery level. Method Study Department were involved and all management levels were encouraged to contribute towards reduction of inefficient uses of the workforce.	No
Noise Committee	To assess the exposure of the workforce to noise and implement appropriate responses by way of reducing noise, eliminating the sources of noise or offering protection and advice to the workforce	Yes - if useful for the research into effects of coal mining on workers

Name of committee	Terms of reference	Selected for preservation?
Dust Suppression Committee	To assess the exposure of the workforce to dust and implement a appropriate responses by way of reducing dust, eliminating the sources of dust or offering protection and advice to the workforce	Yes - if useful for the research into effects of coal mining on workers
Coal Production Environment Committee	To develop and implement improvements in underground working conditions e.g. means of reducing dust, noise and heat levels	Yes - if useful for the research into effects of coal mining on environment
National Consultative Council Plan for Coal and Price Policy Committee	A committee set up for a specific purpose to guide the "Plan for Coal".	Yes
HQ ECSC Coal Committee	To set the policy for the interaction of BCC with the European Coal and Steel Community and its successors.	Yes
Opencast Executive Committee	Governance of the Opencast Executive	Unclear how important although potentially important for opencast mining in the same way as Board records for deep mining.
Coal Products Executive Committee	Governance of the Coal Products division	Unclear how important although records of an early privatisation
National Joint Environmental Policy Advisory Committee	Discussion of Environmental issues with other industries external to NCB	No - unless useful for the research into effects of coal mining on environment

Name of committee	Terms of reference	Selected for preservation?
Major Development Committee	To consider, determine and implement major planning of large scale projects such as the Selby Coalfield	Yes

Due to the passage of time, the terms of reference above are a broad outline only and certain assumptions have been made in relation to each by virtue of their title and archived minutes.

In addition, "Central Channel Letters" should be preserved, which communicated policy decisions made by the Board to senior management levels by the Secretary to the Board to enable policy to be cascaded down to all relevant levels within the industry.

3.2 2. Core / statutory functions and activities performed and records created

Table: Core / statutory functions and activities performed and records created

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy)
Working and getting coal	Planning and Production / Mining Department records. Colliery records.	DECC	Statutory and policy	GG01 Colliery Operational records (230,226 files); GG06 Mining Operations Records (22,834 files); GG08 Planned Maintenance Records (8,933 files); GG16 Opencast Mining Records (41,740 files)	Some	Records of this function likely to cover both policy behind method of mining for coal and operational reports. Selection likely to be made at lower level.

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non- selection (refer to criteria within Records Collection Policy)
Developing the coal mining industry	Planning Department records	DECC	Statutory and policy	GG02 Privatisation records (1,940 files)	Yes	Records which illustrate reasons behind, and process of, coal industry privatisation.
Pricing coal as appropriate to the public interest	Marketing Department records	DECC	Statutory and policy		Subject to review.	
Searching and boring for coal	Planning Department (Survey records)	DECC	Statutory and policy	GG07 Geological Records (215 files); GG14 Mining stability Records (1,667 files);	No	Likely to be operational records of coal mining process.

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non- selection (refer to criteria within Records Collection Policy)
Treating, rendering saleable, supplying and selling coal	Marketing	DECC	Statutory and policy	GG35 Marketing Department Records (7,385 files)	No	Operational correspondence and case files relating to sale of coal.
Treating, rendering saleable, supplying and selling products of coal	Coal Products records	DECC	Statutory and policy	GG10 Coal Products Records (2,732 files) GG13 Minestone Executive Records (624 files)	No	Operational records relating to sale of coal by-products
Producing or manufacturing any goods or utilities which are required by the	Engineering records	DECC	Statutory and policy		Subject to review.	

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non- selection (refer to criteria within Records Collection Policy)
NCB in connection with the working and getting of coal						
Advancing the skills of its employees and the efficiency of equipment and methods, including facilities for training, education and research	Training records	DECC	Statutory and policy	GG22 Personal training/Employment Records (13,673 files); GG33 Scientific Records (16,279 files);	Some	Training and employment records unlikely to be of value. Selection will be made where scientific records illustrate development of significant new coal mining techniques, or data which shows the effects of coal mining

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non- selection (refer to criteria within Records Collection Policy)
						on the environment.
Securing the safety, health and welfare of its employees	Mines & Quarries Act inspection forms; environmental measurements; safety committees; consultative committees. Superannuation records.	DECC	Statutory and policy	GG20 Personnel Records (1,556 files); GG21 Personal Medical Records (1,358,992 files); GG37 Institute of Occupational Medicine Records (65,440 files)	Few	Personnel records and personal medical records will not be selected in paper format. GG37 indicates some policy around medical provision within NCB, which may be of value.
Securing the benefit of the practical knowledge and experience of its	Training records. Scientific and engineering research and analysis.	DECC	Statutory and policy	GG30 BC Enterprise Records (22,293 files)	Unclear	Further analysis of series content needed.

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non- selection (refer to criteria within Records Collection Policy)
employees						
Revenue must not be less than average yearly expenditure	Annual Reports, audit records and finance records.	DECC. Annual Reports already stored at British Library	Statutory and policy	GG04 Finance and Audit Records (1,816 files);	Few	Finance and audit records selected from appropriate committees (listed in section 3.1). Series to be reviewed to identify other records which may be of value in illustrating how NCB operated under financial rules described in legislation.
Administration of the NCB, and its	Admin records, legal records, litigation	DECC	Statutory and policy	GG03 Chairman's/Directors;	Some.	Committee papers as outlined in section

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non- selection (refer to criteria within Records Collection Policy)
interaction with industrial relations and litigation	series, industrial relations			Administration Records (665 files); GG09 Litigation Series Records (40,484 files); GG26 Common Law Claim Records (23,498 files); GG31 Supply and Contract Records (2645 files); GG32 Industrial Employee Relations Records (10,662 files); GG38 Minute Series		3.1 to be selected. Specific instances of claims, or routine correspondence covered by industrial relations not for selection. Selection of records should primarily cover the NCB approach to the claims process. Also claims which set a precedent or were significant at the time.

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes/No	7. Reasons for selection / non- selection (refer to criteria within Records Collection Policy)
				Records (3,457 files); GG39 Divisional HQ Records (72 files); GG43 Overseas Statements of Claim (261 files)		Records which detail the NCB approach to industrial relations, particularly during periods of industrial action, to be selected.

3.3 Information in special formats and systems

Table: Special formats

1. Description	2. Owner / Creator of series	3. Format of record (include how record / series is being managed)	4. Volume of series (current size and volume generated)	5. Selection Yes/ No	6. Reasons for selection / non- selection

			each year)		(refer to criteria within Records Collection Policy)
X-rays (GG28)	NCB/BCC and stored with Iron Mountain	Hard copy and finite. Subject to a derogation allowing retention until 2021.	734,193 files / x-rays	No	Personal, medical information that is irrelevant to the RCP.
Mine plans and surveys etc (GG19)	NCB/BCC and stored with Iron Mountain	Hard copy and finite. Subject to a derogation allowing retention until 2023. Mainly A3 or A2 size plans on paper or blueprints.	11,291 files	Unknown	May be sent to regional places of deposit. Likely to be destroyed as largely irrelevant to the RCP. Unlikely that there are plans that are not already held by the Coal Authority.
Photographic Records (GG24)	NCB/BCC and stored with Iron Mountain	Hard copy and finite. Subject to a derogation allowing retention until 2023. Photographs and negatives.	67 files	Unknown	Unknown – subject to review.

Dust samples (GG – various)	NCB/BCC and stored with Iron Mountain	Hard copy and finite. Subject to a derogation allowing retention until 2023. Glass plates.	Unknown	No	Should be disposed of appropriately once located.
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3.4 Publications

NCB/BCC was also responsible for several publications, for example, Coal News; Inbye; and Management News. It also contributed to external publications such as Coal and Energy Quarterly. These examples are all held at the British Library.

3.5 Scientific records

- Environmental measurements (e.g. dust, noise and gas) reports and analyses.
- Trials of new mining equipment and methods; and
- Health and safety related research.

Environmental measurements are largely formulaic, colliery/operational unit specific and not suitable for preservation under TNA's RCP. They are, however, relevant to ongoing and anticipated litigation. High-level analysis and policy arising out of the measurement is more likely to be recommended for preservation but is potentially already in the public domain.

The second and third categories are also more likely to be suitable for preservation but decisions will not be taken until relevant documents are reviewed.

3.6 Significant issues and events

Year	Description	Selection Criteria
1946/47	Nationalisation	Illustrative of the process of developing government policy and legislation and the government's role in the management of the economy.
1947	Whitehaven colliery explosion	Records relating to national events of significant contemporary interest
1949	Edwards -v- NCB – establishing the legal concept of reasonable	Implementation of policy and the law.

	practicability	
1950	Creswell colliery fire	Records relating to national events of significant contemporary interest
1951	Easington colliery explosion	Records relating to national events of significant contemporary interest
1954	Mines & Quarries Act	Illustrative of the process of developing government policy and legislation and implementation of policy and the law.
1959	Auchengeich colliery fire	Records relating to national events of significant contemporary interest
1960	Six Bells colliery explosion	Records relating to national events of significant contemporary interest
1961	Factories Act	Illustrative of the process of developing government policy and legislation and implementation of policy and the law.
1966	Aberfan disaster	Records relating to national events of significant contemporary interest
1969	Asbestos Regulations	Illustrative of the process of developing government policy and legislation and implementation of policy and the law.
1972	McGhee -v- NCB	Implementation of policy and the law.
1972	Miners' Strike	Records relating to individuals or national and international events of significant contemporary interest or controversy.
1974	Miners' Strike	Records relating to individuals or national and international events of significant contemporary interest or controversy.
1974	Health & Safety at Work Act	Illustrative of the process of developing government

		policy and legislation and implementation of policy and the law and implementation of policy and the law.
1974	Launch of "The Plan for Coal"	The government's role in the management of the economy.
1981	Arthur Scargill appointed NUM President	Records relating to individuals or national and international events of significant contemporary interest or controversy.
1983	Ian MacGregor appointed NCB Chairman	The government's role in the management of the economy and records relating to individuals or national and international events of significant contemporary interest or controversy.
1984 – 1985	Miners' Strike	Records relating to individuals or national and international events of significant contemporary interest or controversy.
1987	Change of name to BCC	The government's role in the management of the economy and reform of the state's organisational structure.
1992	Various Health & Safety Regulations (including PPE).	Illustrative of the process of developing government policy and legislation and implementation of policy and the law.
1994	Privatisation	Illustrative of the process of developing government policy and legislation, the government's role in the management of the economy and of the reform of the state's organisational structure.
1996	Armstrong & others -v- BCC (VWF)	Implementation of policy and the law.
	Griffiths & others -v- BCC (COPD)	Implementation of policy and the law.
2004	Benyo & Others -v- BCC (CMC contribution)	Implementation of policy and the law.

2012	Davies & others –v- BCC (MKL)	Implementation of policy and the law.
2012	Phurnacite Group Litigation	Implementation of policy and the law.

3.7 Internal Administration

Several Operational Selection Policies are potentially relevant as follows:

- OSP 35 – Board and Committee Records (GG01, GG09, GG13, GG16, GG38);
- OSP 38 – Records for Internal Administration (GG03, GG05, GG36);
- OSP 42 – Records of Departmental Legal Branches (GG26, GG34); and
- OSP 48 – Case Files (GG11, GG26, GG32, GG34).

In addition the TNA has guidelines for dealing with employee personnel records.

4. Additional information and follow-up

4.1 Additional Checks

CLU will carry out further checks for duplication with digital record holding (c.f. Record Packs) to avoid future duplication and to ensure archiving efficiency.

A significant volume of records relating to mining (the majority of which relate to the NCB/BCC) are already held at TNA (the "COAL" series) and are divided into 11 divisions and comprise 9,130 records. These can be searched at:

<http://discovery.nationalarchives.gov.uk/SearchUI/details?Uri=C58>

4.2 Implications of this report for the selection of records held in related departments / agencies

The holdings of records originated by the NCB and BCC are separate from those created and maintained by the relevant Government Department's responsible for energy policy issues during the lifetime of the nationalised industry. There are no direct implications for the records held by those Departments which are subject to the standard TNA review processes.

4.3 Implications of the report for the review and selection of paper records relating to the functions covered here

This report deals only with paper records. As outlined above, because the way in which the paper records are stored does not easily fit with NCB/BCC departmental filing or committee structure, a MACRO review process will be necessary.

The appraisal process will cover the generic groups of files that are not subject to Lord Chancellor approvals for continued usage. It will take place on a rolling basis five to six times a year for a six to seven year period (ie to 2020). There will be checkpoint discussions between CLU and TNA to discuss review process outputs as a quality assurance process.

Due to the volume of records to be reviewed, CLU will first begin with an analysis of the functions that created the records within each generic group. The output of this analysis work will be a Series Level Appraisal Questionnaire, submitted to The National Archives outlining the broad scope/content of the group, the responsible business area and the likely value against the Records Collections Policy. The Series Level Appraisal Questionnaire may reference classification groups of files within each generic group where appropriate, with reference to a classification's broad/scope content.

Following this top level work, a decision will be made on the most appropriate way of judging the value of the records. The final selection decision will be to: 1) select all of the series; 2) select none of the series, or 3) to select some (potentially at a classification level). If the value of the series is unclear at a top level, and further analysis needs to be done in order to separate files of historical value from more transactional papers:

1. Mixed Series: If a series is a mixture of policy and case files, then case files will be separated out and reviewed in line with Operational Selection Policy 48, with decisions in reference to the table in section 3.6 where appropriate. Policy files will be appraised as a whole using the series-level approach with reference to those noted in section 3.1.

2. Selection Criteria and File Title: Where file titles allow, selection criteria from The National Archives' Best Practice Guide on Appraisal and Selection will be applied, and selection decisions made without calling up or reviewing individual files.

3. File by file review: Where possible, and using the methods described above, reviewing individual files is kept to a minimum. When groups have been 'sifted' to the point where files of clear historical interest have been selected, and those of obvious short term value have been removed, then it may still be appropriate to review individual files.

Nabarro LLP, CLU's third party legal services provider, will recall files for review based on content, age, form and relevance to the appraisal criteria (see below). Where possible, commonalities across files will be identified to reduce the number of file-by-file reviews.

Records selected for preservation will undergo a sensitivity review. This process will enable series level review forms to be completed for submission to TNA. Iron Mountain as CLU's record management contractors will then assist in with the destruction or transfer processes to TNA.

Appraisal criteria

The criteria are based upon TNA's criteria for selection and examples are more specifically set out by reference to the RCP in relation to specific events.

Further examples are: the policy and administrative processes of BCC; formulation of policy and its execution; management of revenues and expenditure; regulation and support of BCC economic activity by government (including industry, energy and employment); interaction of the government and BCC with its citizens; the interaction of BCC upon the physical environment; and the economic, social and demographic condition of the UK, which is often represented in BCC papers.

It is conceivable that certain documents selected for permanent preservation would be best preserved in a local or specialist place of deposit. This will be discussed with TNA.

Choice of file groups

We propose commencing the review in year one (2013/14):

- Public Relations records;
- Secretary's Department records;
- Photographic records;
- Coal Commission records
- Marketing records; and
- Opencast Executive records.

This provides a total of approximately 50,439 files for appraisal and has the benefit of making a significant volume reduction while also dealing with some smaller record groups which are of potentially significant cultural/historical significance.

4.4 Follow-up

This Report will be implemented over a period of several years. Governance will be initially by quarterly review meetings between TNA and CLU and their contractors to ensure the process is progressing on the principles set out above and in a timely fashion and to act as an issue resolution forum if required. The aim of these meetings is to ensure the delivery of the expected outcomes in concert with TNA.

5. Appendices

Appendix 1 to Appendix 5 follow this page.



Department
of Energy &
Climate Change

APPRAISAL REPORT

APPENDIX 1

Form No.	Description of Document
M & Q 206	Notice to HMI of an injury or dangerous occurrence
M & Q 209	Notice of results of legal proceedings
M & Q 210	Withdrawal of persons employed in cases of danger
M & Q 212	Notification of beginning and ending of certain mining operations
M & Q 215	Tests of electric lighting units
M & Q 216	Report of inspection made by Workmen's Inspectors under Sec. 123 of M & Q Act
M & Q 223	Certificate of training for employment below ground (other than at coal face)
M & Q 224	Certificate of training for employment at the coal face
M & Q 225	Nomination of instructor or supervising workman
M & Q 231	Deputy's pre-shift report
M & Q 232	Deputy's general shift report
M & Q 234	Inspection of places (U/G) outside of a deputy's district
M & Q 235	Weekly inspections of airways
M & Q 267	Report of defective mechanical equipment
M & Q 268	Report of defective electrical equipment
M & Q 269	Inspection of locomotive roads
M & Q 311	Register of women and young persons employed at mines
M & Q 312	Medical examinations of young persons book
M & Q 313	Certificate of examination recorded in M & Q 312
M & Q 316	Certificate of service of employment to qualify for appointment as a Craftsman
M & Q 317	Certificate of standard of competence for employment as a Craftsman
M & Q 318	Certificate of training for employment in operating a coal getting machine
59A	Certificate of authorisation to act as Overman / Deputy / Shotfirer
	Section 10 Book
AR.1	Individual accident report
AR.2	Individual accident report sketch - to accompany AR.1
AR.5	Late reported accident
D.214	Accident treatment book (Medical Centre "Accident Treatment Book")
B.1. 510	Accident record book ("Accident Register")
Med. 204	Record book of cases sent to hospital ("Hospital Book")
B.90B (Part 2)	Certificate of medical fitness for employment
M.E. 4/5/6	Inspection sheets of mechanical / electrical equipment
PDI / (No.)	Production Department Instructions (PDIs)
TI / (No.)	Technical Instructions (TIs) superceded the above under British Coal

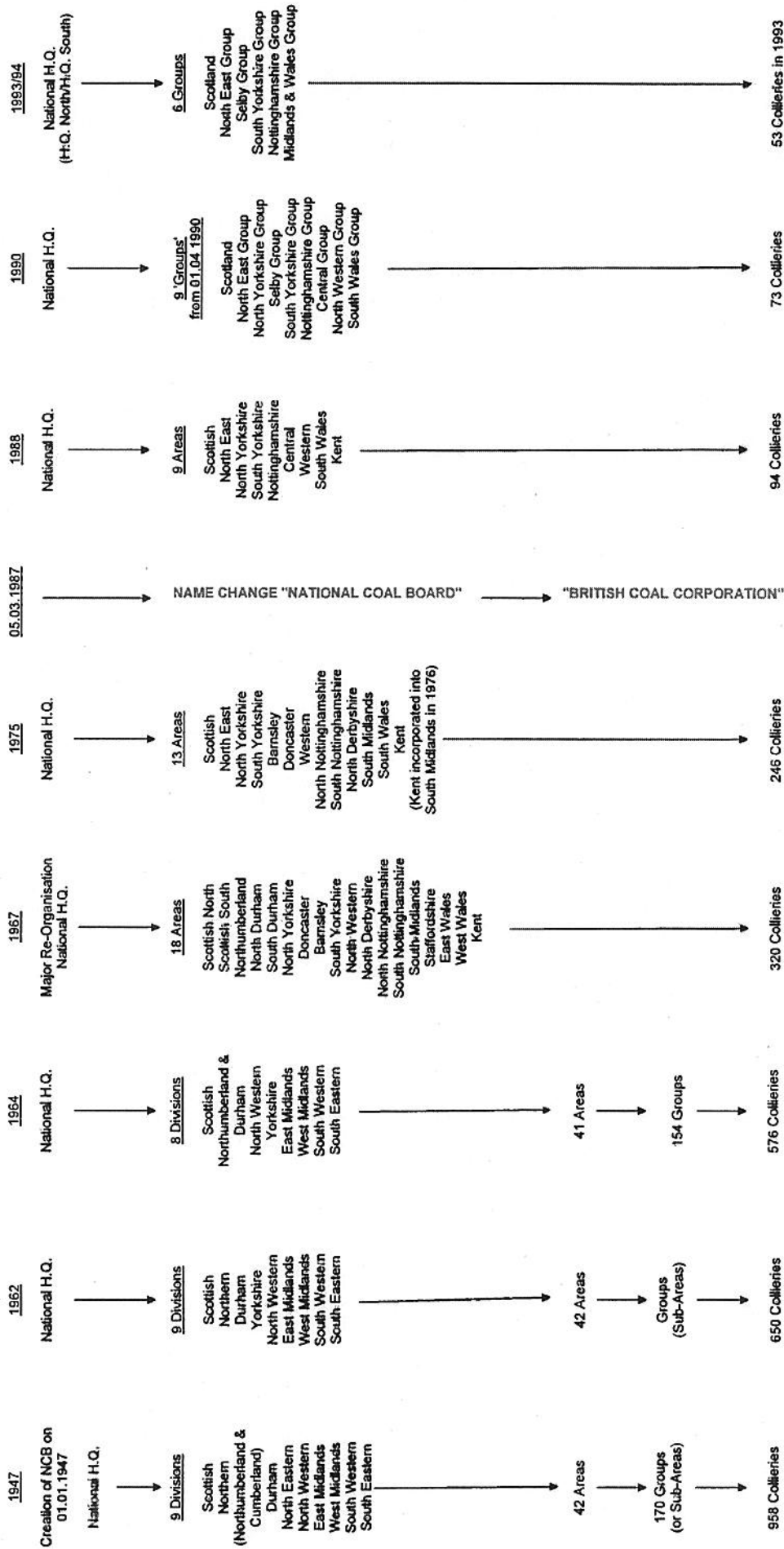


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APPENDIX 2

TIME LINE OF CHANGES IN NCB / BCC ORGANISATIONAL STRUCTURE (COLLIERIES)



NB - Operated as "British Coal" from c. May 1986 but name officially changed by statute on 05/03/1987
BRITISH COAL PRIVATISED: December 1994
BRITISH COAL DISSOLVED: 27.03.2004



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APPENDIX 3

National Coal Board / British Coal Organisation

Regional Services (1984)

|

Accounting Offices

Internal Audit

Pensions & Insurance

Superannuation

Public Relations (Regional Offices)

Solicitors (Regional Offices)

Staff Managers / Secretaries

Laboratories

Medical Service Radiological Centres

Geologists

Purchasing & Stores Outstations

Shipping Offices (Liverpool)

Marketing Offices

National Coal Board / British Coal Organisation

Establishments, Executives etc. (1984)

|

Coal Research Establishment

Stoke Orchard, Cheltenham

Mining Research & Development Establishment

Bretby, Burton-on-Trent

Operational Research Establishment

Harrow, Middlesex

Institute of Occupational Medicine

Edinburgh

Immingham Bulk Terminal

Minestone Executive

Whitburn, Sunderland

Opencast Executive

Berry Hill, Mansfield

Computer Centre

Cannock

Residential Training Establishments

The Vache, Chalfont St. Giles, Bucks.

Graham House, Newcastle upon Tyne

Solid Fuel Advisory Service

Hobart House, London

National Coal Board / British Coal Organisation

Areas Organisation (1984)

|

Area Director

Deputy Directors and Senior Production Managers

Staff Manager / Secretary

Departments

|

Estates

Finance

Industrial Relations

Legal

Marketing

Medical Service

Mining

Public Relations

Purchasing & Stores

Road Transport Service

Scientific Control

Administration Staff / Secretaries

Statistics

|

Central Rescue Stations

Central Stores

Central Workshops

Collieries

1984 (pre-strike) is taken as the most representational year



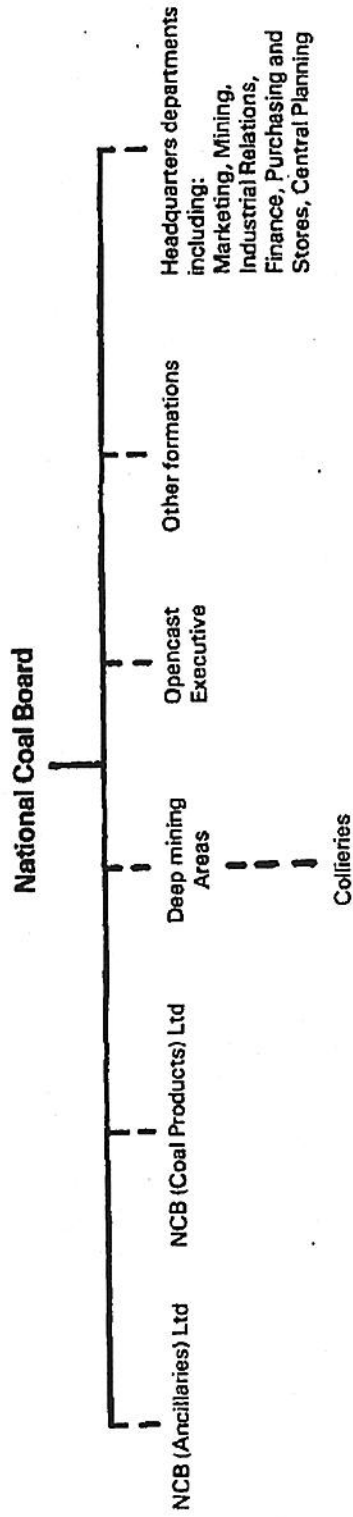
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APPENDIX 4

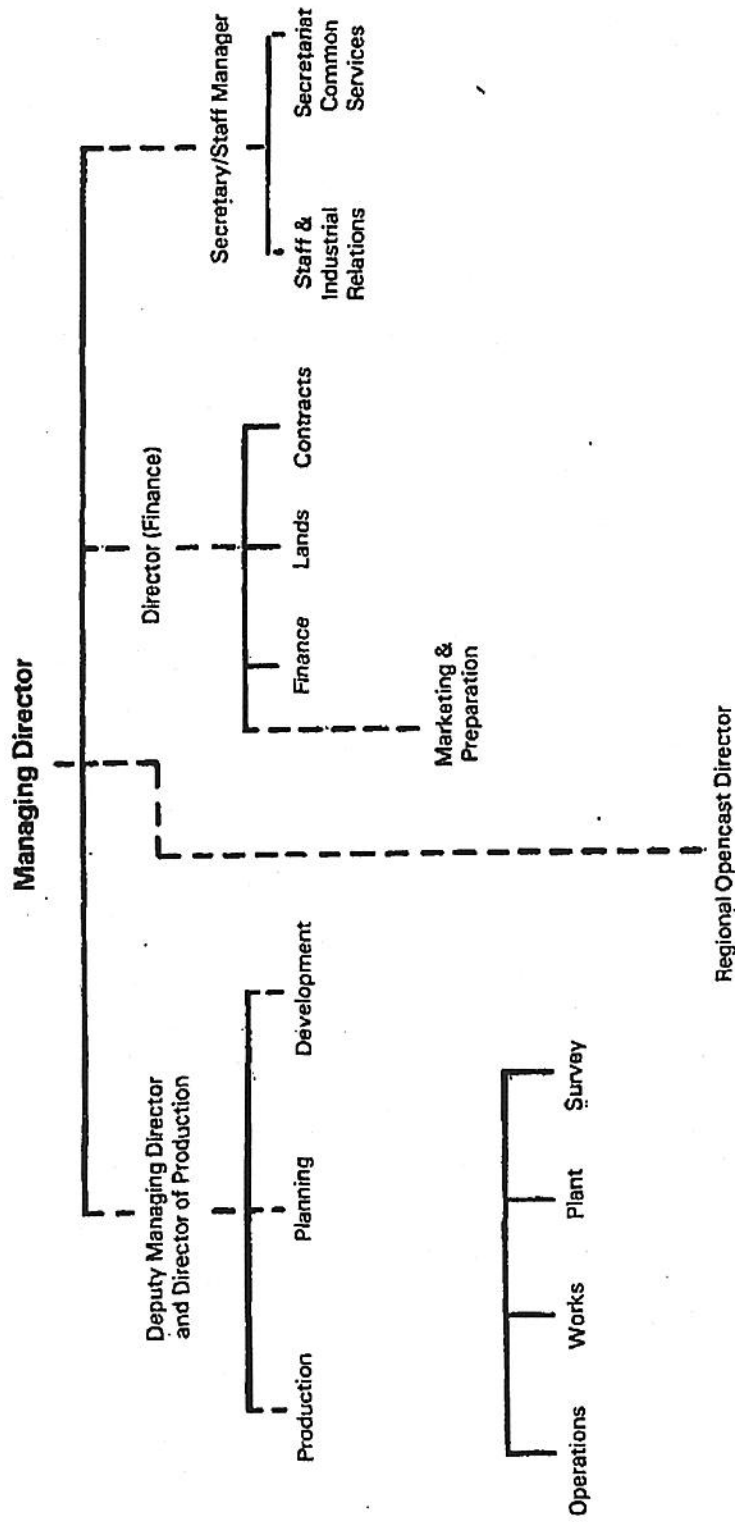
APPENDIX 2.5(a)
(referred to in paragraph 2.61)

Organisation of the National Coal Board



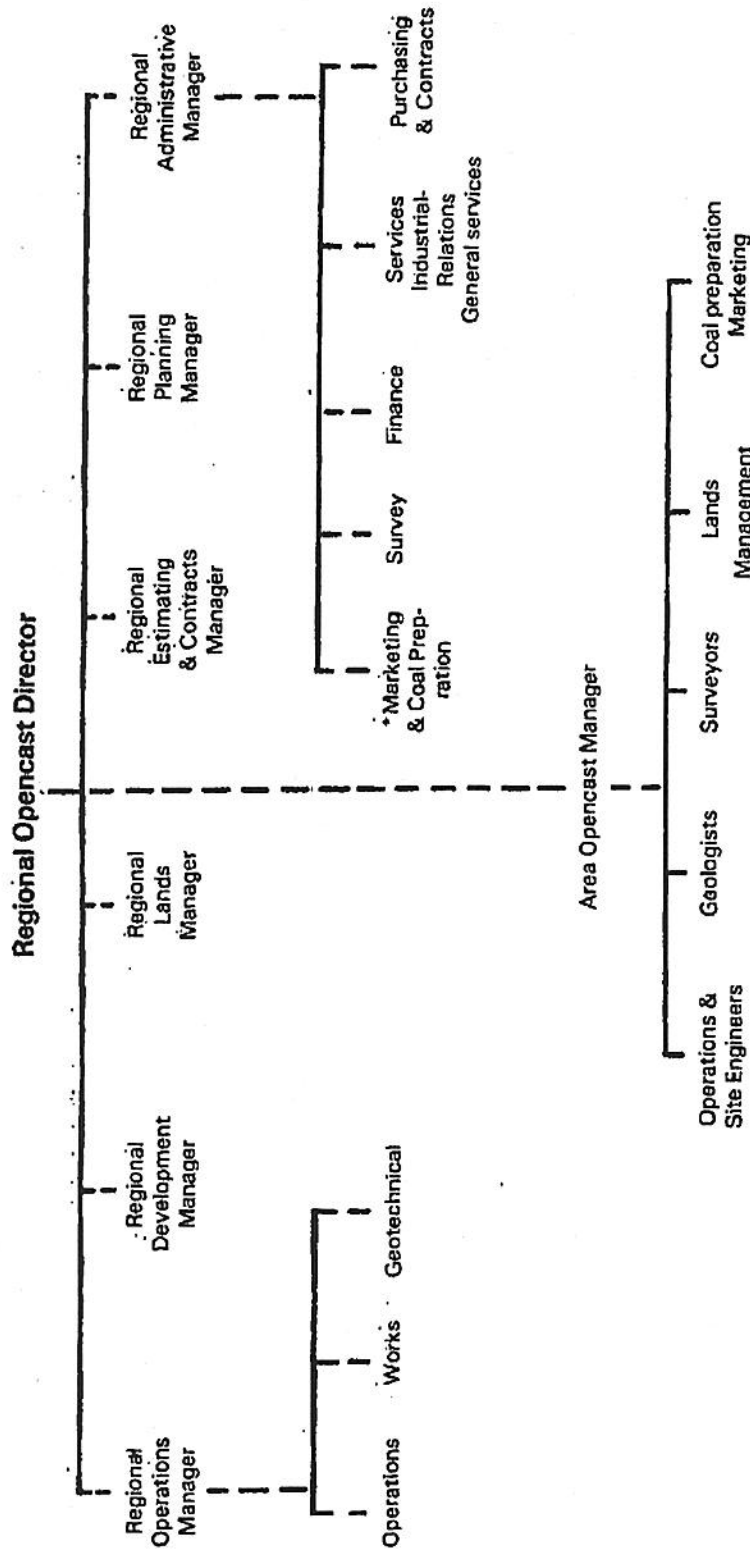
APPENDIX 2.5(b)
 (referred to in paragraph 2.61)

The Opencast Executive (I)



Source: The NCB.

APPENDIX 2.5(c)
 (referred to in paragraph 2.61)
The Opencast Executive (II)

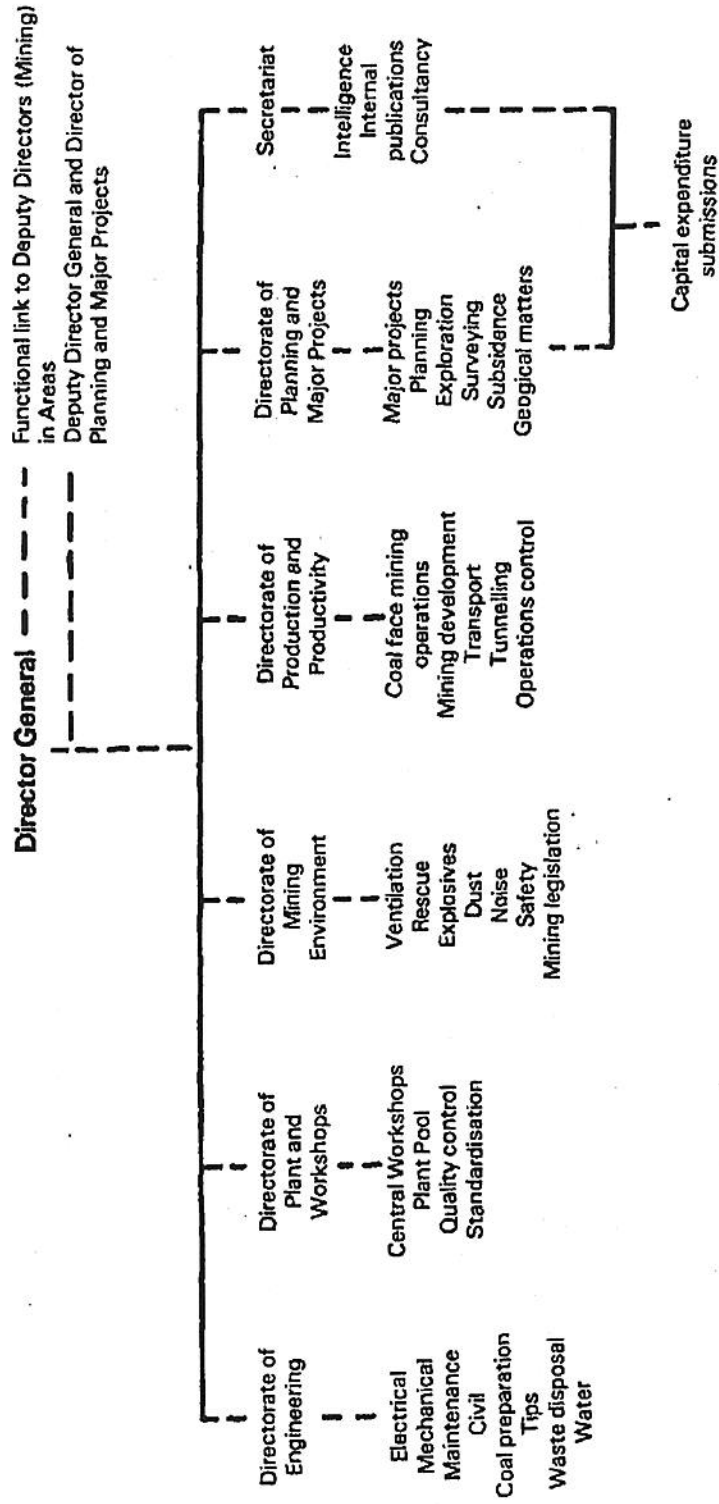


*In some regions, responsibility for the branch lies with the Regional Operations Manager.

Source: The NCB.

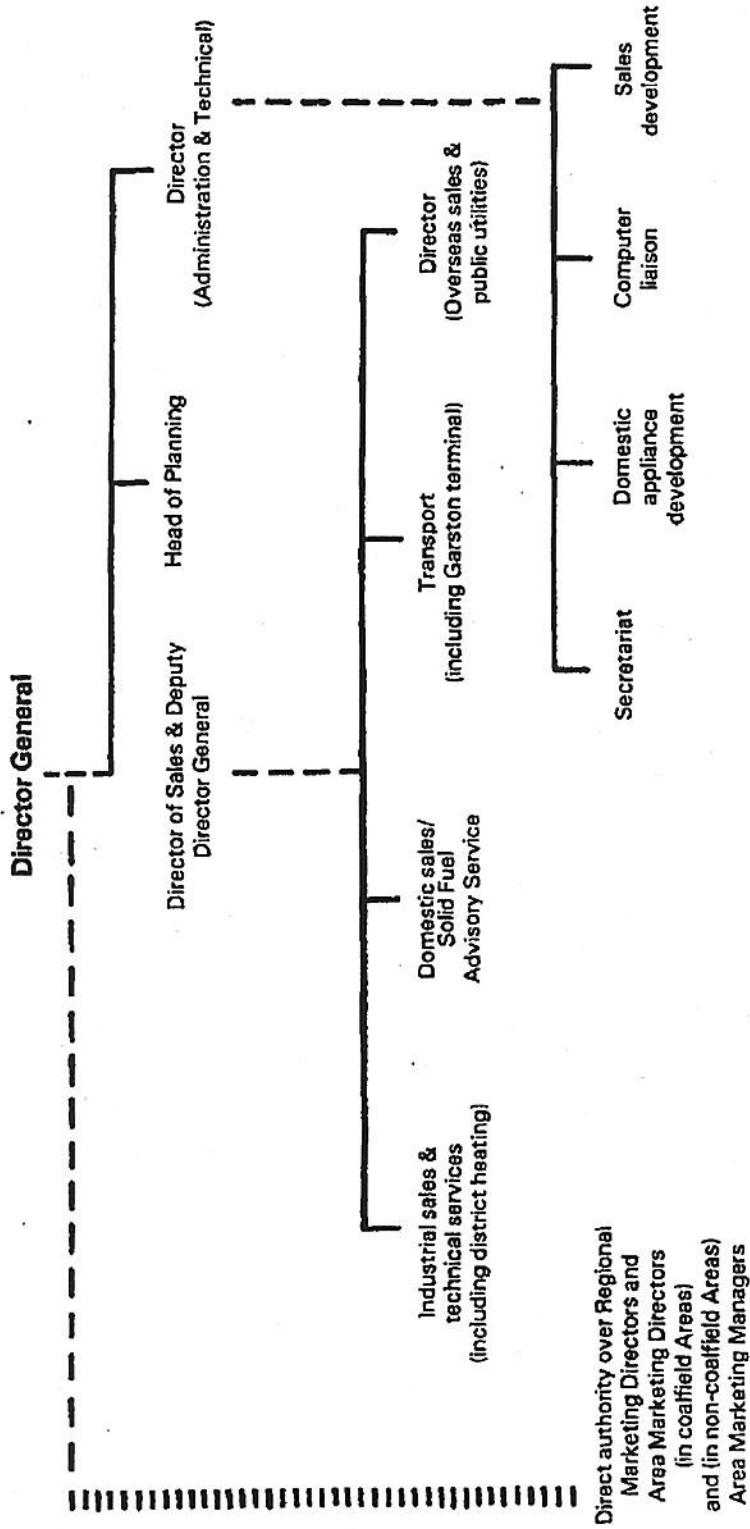
APPENDIX 2.5(d)
(referred to in paragraph 2.61)

Headquarters Mining Department



APPENDIX 2.5(e)
 (referred to in paragraph 2.61)

Marketing Department

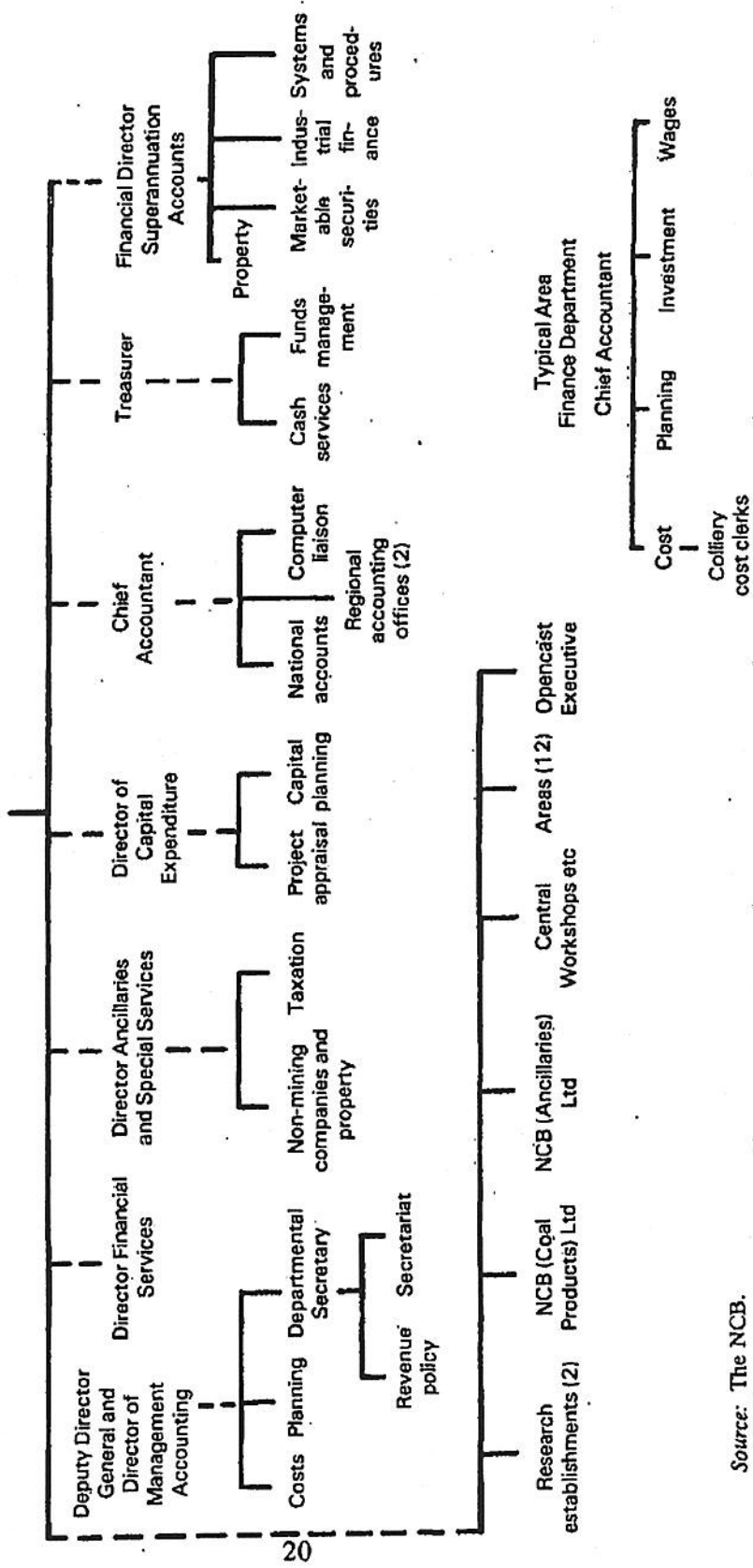


Source: The NCB.

APPENDIX 2.5(f)
(referred to in paragraph 2.61)

Finance Department

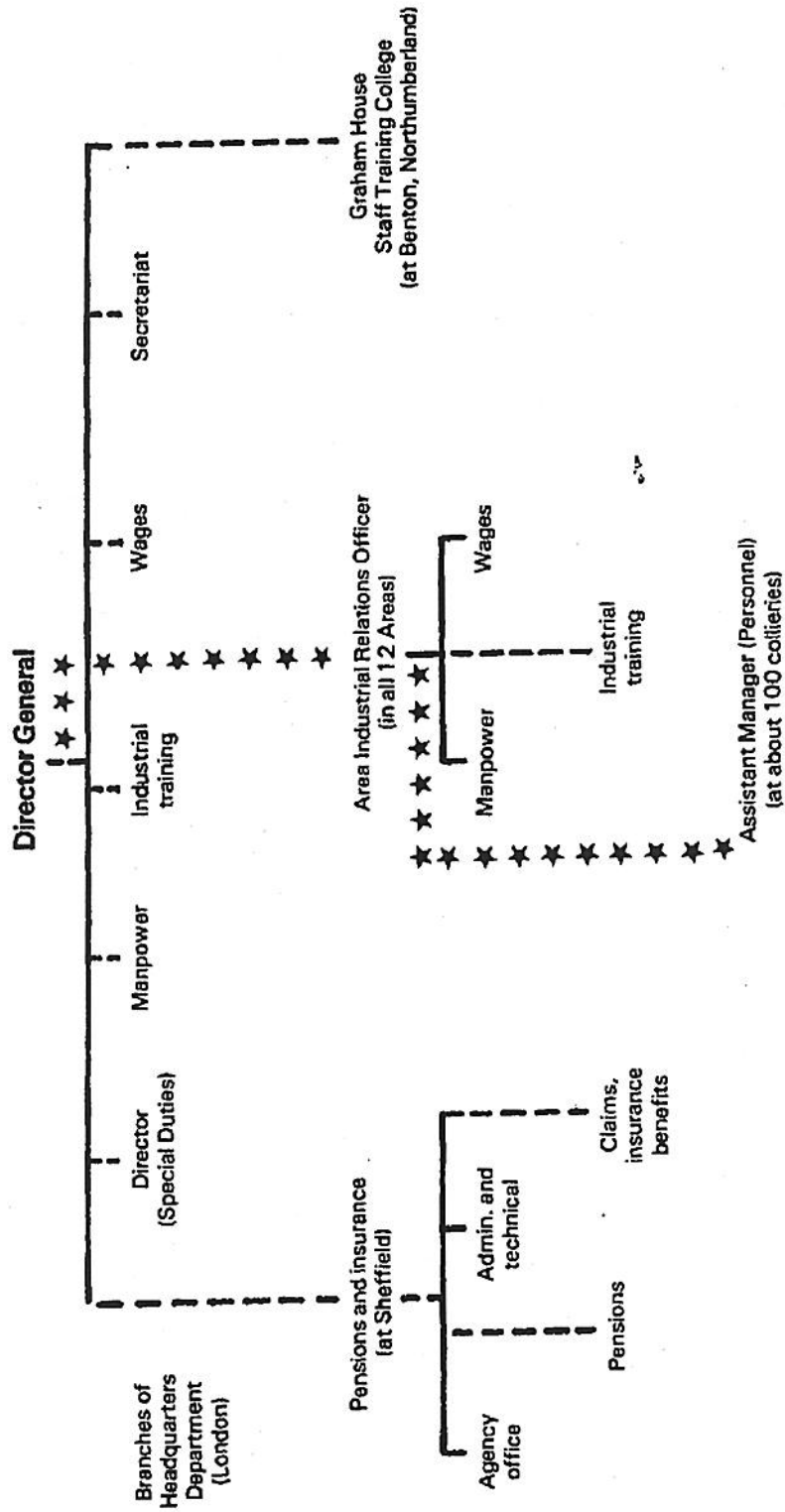
Director General of Finance



Source: The NCB.

APPENDIX 2.5(g)
 (referred to in paragraph 2.61)

National Coal Board Industrial Relations Department as at December 1981

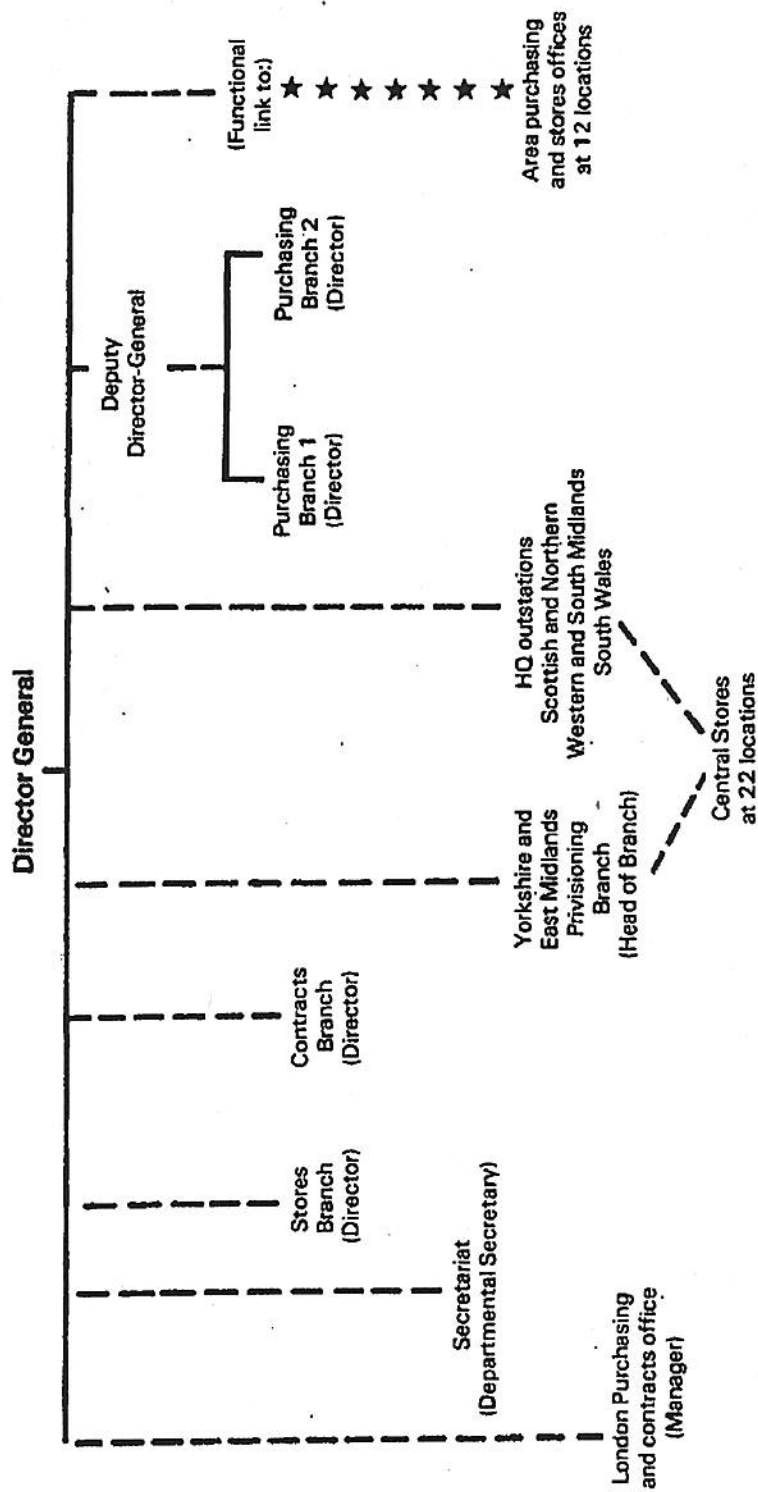


Source: The NCB.

*** functional link to

APPENDIX 16.1
(referred to in paragraph 16.1)

Headquarters Purchasing and Stores Department



Source: The NCB.

December 1981



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APPENDIX 5

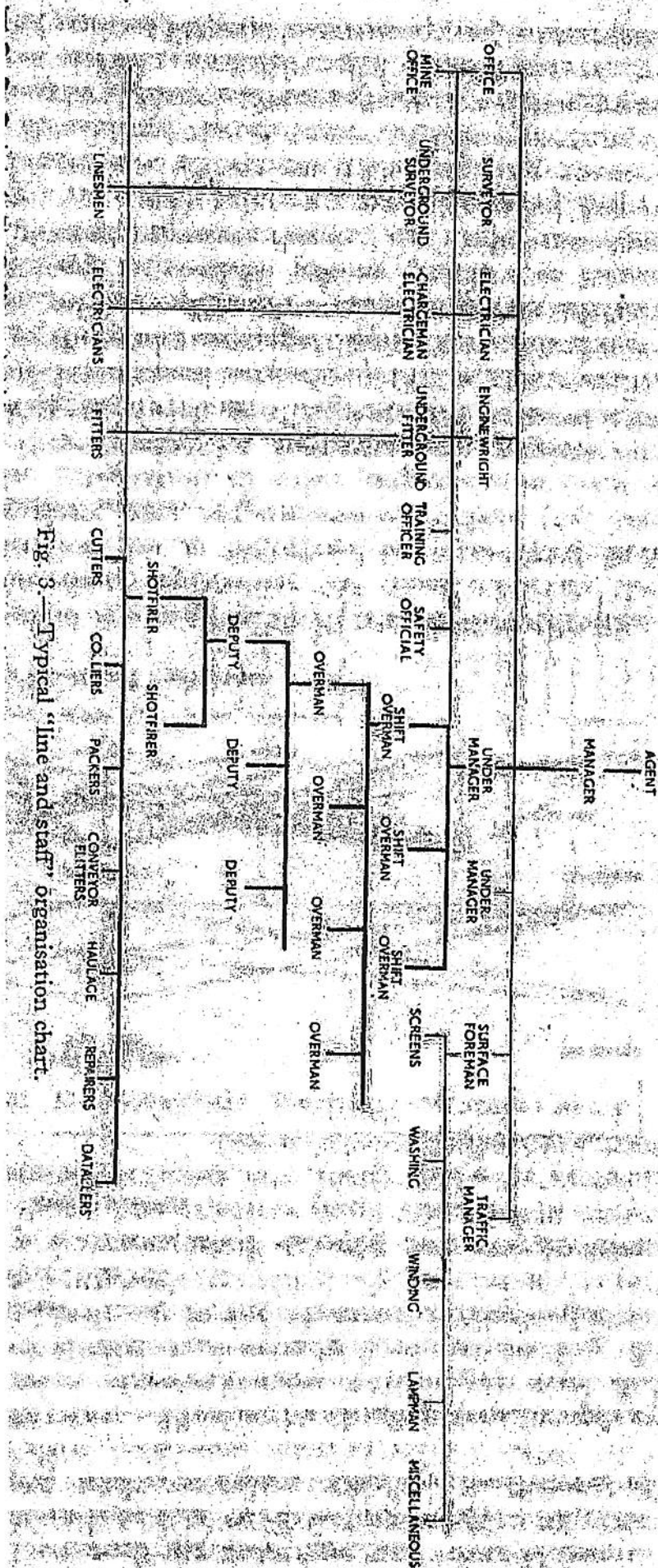


Fig. 3.—Typical "line and staff" organisation chart.

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Department of Energy & Climate Change
3 Whitehall Place
London SW1A 2AW
www.gov.uk/decc

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