



the national archives

Race Equality Scheme

2005-2008

Forward by the Chief Executive of The National Archives

Since the publication of our first Race Equality Scheme in 2002 as the Public Record Office we have become The National Archives (TNA) and promoting race equality, diversity and social inclusion is now integral in all aspects of our work.

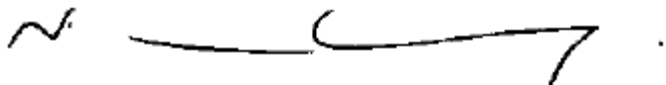
Following the announcement in Parliament in July 2002, the Public Record Office and the Royal Commission on Historical Manuscripts came together in April 2003 to form a new organisation – The National Archives. The expanded role of The National Archives includes records management and archival advice to government, public bodies and private individuals.

The online environment is key to our delivery of digital images of our records to a wide audience, both by TNA, and in partnership with other organisations for example Moving Here, Documentsonline, and Licensed Internet Associates. This has opened up the records to all communities and enables people for the first time to search for information on millions of individuals, revealing much more about the historical presence of Black and minority ethnic people in the UK.

I am pleased to present this Race Equality Scheme for The National Archives, which sets out the action we will take to meet the statutory duties, and our commitments to *Delivering a Diverse Civil Service: A 10-Point Plan*. The Scheme builds on what we have achieved and identifies what more we need to do in order to turn our commitment to equality and diversity into tangible benefits for our users and staff.

The Scheme should be seen as a working document as we will learn as we go and will review and update it regularly. We will be pleased to take comments through the channels set out at the end of the Scheme.

We will report annually on progress against our Race Equality Scheme. As always I will take a close personal interest in the progress we make towards delivering race equality across The National Archives.



Natalie Ceeney
Chief Executive

1 The National Archives

The National Archives for England, Wales and the United Kingdom (TNA) exists to both promote awareness of the nation's official and private archives and the many uses which researchers and the general public can make of them, and to develop professional standards, guidance and support which help the records and archive sectors to safeguard, preserve and manage the records and information of national significance with which it is entrusted.

We also act as the custodian of the national memory as revealed in the records of central government and the courts. We administer the public records system of the United Kingdom under the Public Records Acts of 1958 and 1967 and within the context of the Freedom of Information Act 2000, and exercise the powers accorded to the Historical Manuscripts Commission in the Royal Warrant of 2003. Our work covers the United Kingdom as a whole, without prejudice to matters covered by records and archives legislation of the devolved administrations.

We focus on overseeing the creation and management of active records in government departments, the selection and permanent preservation of public records of enduring historical value in whatever format, and making those records available online and onsite to an increasing number of people worldwide in the ways which are most convenient to them. We offer comprehensive advisory services to private and other public sector archives and take a leading role in developing policies, professional standards and guidance across the records and archives sector. We aim to develop innovative and high quality online services and to support and encourage other archive services to work in partnership with us in creating web based services that allow all members of the public access to the nation's archival heritage. We are strongly committed to encouraging new users to appreciate and understand history and the value of archives and to remove the barriers that still stand in the way of attracting audiences from a wide range of social backgrounds.

2. Introduction to the Race Equality Scheme

2.1 *Legislative background*

The Government first legislated against race discrimination in the 1960s. The legislation was extended in the Race Relations Acts of 1968 and 1976. The 1976 Act outlawed race discrimination in employment, training, education, housing, the supply of goods, facilities and services and some other specified activities, including public appointments made by ministers and government departments. The Commission for Racial Equality (CRE) was created with a statutory duty to work towards the elimination of discrimination, to promote equality of opportunity and good relations between persons of different racial groups generally, and to keep under review the working of the Act. The CRE also has strategic powers of enforcement.

2.2 *The Race Relations (Amendment) Act 2000*

The Act outlaws race discrimination in public authority functions not covered by the 1976 Act; places a **general statutory duty** on specified public authorities to **promote race equality**; empowers the Home Secretary to impose **specific duties** on public bodies subject to the general duty, to ensure their better performance of the general duty; and gives the CRE powers to enforce the specific duties and to issue Codes of Practice to provide practical guidance to public bodies on how to fulfil their general and specific duties to promote race equality. The general statutory duty came into effect on 1 April 2001 for those bodies listed in Schedule 1A to the 1976 Act (as amended). The specific duties imposed by order of the Home Secretary came into effect on 3rd December 2001; on the same date additional bodies were added to Schedule 1A and thereby made subject to the general duty.

As a government department, the Race Relations Act applies to TNA. This Race Equality Scheme sets out how the duties apply to TNA and the action we will take to fulfil those duties. It complies with the CRE's statutory Code of Practice on the Duty to Promote Race Equality.

3 Statutory Duties under the Race Relations Act 1976 (as amended)

3.1 The General Statutory Duty

Section 71(1) of the 1976 Act (as amended) imposes a general statutory duty on specified public bodies to promote race equality. This duty means that, in carrying out their functions, these authorities should **have due regard to the need to:**

- a) eliminate unlawful racial discrimination;**
- b) promote equality of opportunity; and**
- c) promote good race relations between people of different racial groups.**

This **general statutory duty** has applied to all public bodies listed in Schedule 1A to the 1976 Act (as amended) since 1 April 2001, and to those added to Schedule 1A by the Race Relations Act 1976 (General Statutory Duty) Order 2001 since 3 December 2001. Nearly all Government departments and their agencies are subject to the general statutory duty, including TNA.

3.2 Specific Duties

The general statutory duty is supported by a number of specific duties that are set out in the Race Relations Act 1976 (Statutory Duties) Order 2001 (the Statutory Duties Order). The specific duties apply to bodies listed in the Schedules to the Statutory Duties Order, and are intended to ensure the better performance of the general statutory duty. The CRE Statutory Code of Practice states *“Public authorities that introduce effective arrangements, as required under the specific duties, should be able to demonstrate that they are meeting the general duty to promote race equality”*.

The specific duties came into effect on 3 December 2001. Public bodies subject to these duties are required to have properly timetabled and realistic plans for meeting these duties in place by 31 May 2002. In general terms, **two of the specific duties apply to TNA.**

- 1. to publish a Race Equality Scheme;**
- 2. to monitor our employment procedures and practice.**

3.3 Race Equality Scheme

The first specific duty requires us to prepare and publish a Race Equality Scheme showing how we plan to meet the general statutory duty. Our Race Equality Scheme must show:

- Which of our functions and policies we have assessed as relevant to meeting the general statutory duty.**
- How we will assess and consult on the likely impact of our proposed policies on the promotion of race equality.**
- How we will monitor our policies for any adverse impact on the promotion of race equality.**
- How we will publish the results of our assessments, consultation and monitoring.**
- How we will ensure public access to information and the services we provide.**
- How we will train staff on the general statutory duty and the specific duties.**

Every three years from 31 May 2002 we are required to review our assessment of which of our functions and policies are relevant to meeting the general statutory duty.

3.4 Employment

The second specific duty requires us to monitor our employment procedures and practice, including monitoring staff by reference to their racial groups, the numbers of:

- **Staff in post**
- **Applicants for employment, training and promotion**
- **Staff who receive training**
- **Staff who benefit or suffer detriment from our performance assessment procedures**
- **Staff involved in grievance procedures**
- **Staff who are the subject of disciplinary procedures**
- **Staff who cease employment**

The results of our monitoring are published annually in our Annual Report¹. Arrangements for meeting the specific duty on employment are included in this Race Equality Scheme.

3.5 Liability and Enforcement

Public authorities are responsible for meeting their general and specific duties. Within each public authority, this responsibility rests with the groups or individuals who are legally responsible for the authority's acts or omissions.

The CRE has the following enforcement powers:

- If a public body does not meet the general duty, its actions, or failure to act, can be challenged by way of judicial review. An application for judicial review can be made by a person or group of people with an interest in the matter or by the CRE.
- If a public body fails to meet any of its specific duties, the CRE can serve a **compliance notice** on the public body requiring the public body to meet its duties and notify the CRE within 28 days what it has done, or is doing, to meet its duties.
- If the public body has not met the specific duties within 3 months from the service of the compliance notice, the CRE can apply to the county court for an order to obey the notice.
- If the court makes an order and the public body does not obey, the public body may be found in contempt of court.

¹ The Annual Report is available on our website at: www.nationalarchives.gov.uk/about/operate/reports.htm

4 Meeting the General and Specific Statutory Duties

This section sets out the general approach we will adopt to meet the general and specific statutory duties.

4.1 General Principles

The CRE Code of Practice states that four principles should govern public bodies' efforts to meet the general statutory duty:

1. The general statutory duty is **obligatory**. Public bodies must make race equality an integral part of planning, policy-making, service delivery and employment. This is sometimes referred to as **mainstreaming** race equality. If race equality is relevant to its functions, a public body should do all it can to meet the general statutory duty.
2. Public bodies must meet the general statutory duty in all **relevant** functions. Race equality will be relevant to some public functions more than others. Public bodies should therefore assess whether, and how, race equality is relevant to each of their functions, and may decide that the general duty does not apply to some of its functions.
3. In order to meet the general statutory duty, we must have **due regard** to the need to achieve each of the objectives set out in section 71(1) of the Act. This means that the weight given to race equality should be proportionate to its relevance. In practice, a proportionate approach may mean giving greater consideration and resources to those functions which could have most effect, and which could affect racial groups in different ways.
4. The objectives of the general statutory duty are **complementary**, which means that all must be addressed in order to meet the whole general statutory duty. There are three objectives within the general statutory duty:
 - Eliminating unlawful racial discrimination;
 - Promoting equality of opportunity between people of different racial groups; and
 - Promoting good race relations between people of different racial groups.

These three objectives support each other and may overlap. For example, promoting equality of opportunity may also eliminate or prevent unlawful racial discrimination and promote good race relations. However, it is important to consider and deal with all three objectives within the general statutory duty separately.

4.2 Our Approach to Equality and Diversity

TNA is committed to equality and diversity. We have published an Equal Opportunities Procedural Document, a Managing Diversity Strategy, and a Social Inclusion Action Plan. These documents are being revised.

Since the 2002 Race Equality Scheme we expanded the role of the staff Equal Opportunities Group to include Diversity, and developed the User Advisory Group to provide public consultation on the social inclusion programme in our public services and outreach activities:

- Appointed a project manager for the social inclusion action plan, who contributes to corporate strategic planning, co-ordinates social inclusion activities in TNA, liaises with external organizations and acts as a focal point for advice and guidance on social inclusion activities.
- Established the Social Inclusion Forum with staff representatives from across TNA, which monitors the implementation of corporate and departmental Social Inclusion targets and encourages cross-departmental working to deliver and promote TNA services to the broadest possible audience.
- Established a User Advisory Group, which brings together TNA staff and invited external advisors with expertise in documenting the history of a range of minority groups. The group advises TNA on cataloguing priorities, the user-friendliness of the online Catalogue, and all those services TNA provides to support and promote access to users.

4.2.1 The National Archives' Diversity Statement:

TNA aims to be an inclusive organisation where everyone is treated with respect and dignity, and where there is equal opportunity for all. TNA respects and values the diversity of its staff and users.

This means that all TNA's staff and users should understand and respect that there is a diverse work force and user community and that everyone has the right to be treated with dignity and equality. This includes the legal and ethical requirement for TNA to provide public services and conditions of employment that are appropriate to the needs of a diverse society.

Valuing diversity means that we recognise that we all have complex identities made up of many strands. These can include, but are not limited to, ethnicity, gender, sexual orientation, age, physical and mental aptitudes, nationality, socio-economic status, and religious, political or other beliefs. This means we embrace and celebrate our differences in a positive environment, and are committed to engage with the needs of our diverse staff and users to enable us, both individually and corporately, to achieve our aims.

TNA will tackle barriers to participation and create a culture in which equal opportunities and equal treatment are a priority for all staff and users. In the recruitment, training, pay and management of staff, and in all our day-to-day work with both colleagues and users, we seek to create an environment where attitudes and biases that hinder the progress of individuals and groups are dismantled and where we work together in mutual respect and tolerance.

4.2.2 Commitment to our users

We want to achieve the widest possible access to our holdings, to reflect the cultural and social diversity of the UK and to reinforce individual and community sense of identity. Our aim is to alter our reader profile so that groups that are currently under-represented (for example, the ethnic minorities) account for a larger share of our total readership, both onsite and online. Our programme includes the following elements: -

- **To ensure that our policies for records selection are socially inclusive**
- **To raise an awareness of our holdings and services among under-represented groups in our user profile by means of a rigorous social inclusion programme**

The Social Inclusion Forum and User Advisory Group will monitor progress on our programme. The User Advisory Group includes members of different ethnic origins, several of who have researched and published on aspects of Black and minority ethnic histories. The User Advisory Group has a role in advising TNA on how effective our programme is in reaching under-represented target groups and how we can improve our public services to reflect Britain's ethnic diversity.

The following are examples of recent activities TNA has carried out which demonstrate our commitment to race equality, social inclusion and diversity:

- **Conferences and lectures**

- Caribbean genealogical conferences and workshops in partnership with Every Generation Media (www.everygeneration.co.uk)
- Conference: 'From Aliens to Citizens 1905-2005'
- Lecture by James Walvin: 'Workers, wenches, wives. From cane fields to the chamber'
- Across the Black Waters. Indian Voices from the West Front: performance by the Man Mela Theatre Company
- Reading by Paul Crooks on his novel *Ancestors*
- Lecture by S I Martin: 'Black tars: Britain's forgotten Black mariners'
- The Caribbean: exploring the region's identities
- Conference: 'Passengers, settlers, citizens: travelling to Britain, deciding to stay and becoming citizens'

- **Cataloguing enhancement projects:**

- Index of soldiers service records who discharged between 1760 and 1854 revealing the names, ages, regiments and place of birth for soldiers born in the Caribbean, Africa and Asia
- Naturalisation papers for people who applied for citizenship between 1844 and 1934 which includes Jews who fled from eastern Europe
- The records of the African companies who traded with Africa for goods including slaves who were transported to the American 'colonies'
- 'Your Caribbean Heritage' which is cataloguing correspondence and reports relating to the administration of the former British Caribbean colonies. Most of this is official correspondence but there are many letters and petitions from individuals.
- Colonial Office general correspondence series (CO 323) which contains correspondence on all aspects of Britain's administration of her overseas territories, excluding those countries and territories administered by the India Office and predecessors.

- **Publications:**

- *Immigrants and Aliens: A guide to sources on UK immigration and citizenship* (TNA, 2004)
- *Tracing your West Indian ancestors* (PRO, 2002)
- *Handbook and Select Calendar of Sources for Medieval Ireland in the National Archives of the United Kingdom* (TNA, 2004), in partnership with Bristol University

- **Online services:**

- Moving Here: celebrating 200 years of immigration to UK comprising community stories, essays and digital resources for studying Caribbean,

Asian, Irish and Jewish migration. This site was developed in partnership with 30 archives, museums and libraries in the England

- Learning Curve – online resources for schools – including British empire, slavery, post-war immigration
 - Black Presence: Asian and Black History in Britain, 1500-1850. Online exhibition in partnership with the Black and Asian Studies Association
 - Citizenship. Online exhibition in partnership with the Parliamentary Archives
 - Case study on Isaac Rosenberg, First World War poet
 - Documentsonline – making available digital copies of documents. Collections include: wills, First World War army campaign medal rolls, Royal Navy service records (1872-1923), and Second World War merchant marine medal rolls. These online collections reveal the roles different ethnic groups have played in Britain's history – all of these can be searched by name but some such as the wills and naval service records can be searched by country of birth or death.
- **Exhibitions:**
 - Memories from the Islands – a community led exhibition of memories inspired from TNA photographs of Caribbean life in the 1950s and 1960s
 - From Strangers to Citizens
 - An Indian Album
 - Barbot, based on the journal and illustrations of Jean Barbot a commercial agent in African in the 17th century
 - Indian Independence
 - Our Man in India: Cecil Beaton's propaganda photographs, 1944
 - The Family Records Centre has mounted small onsite exhibitions on notable Black and Asian people: Walter Tull in 2004 and Mary Seacole in 2005
 - **Other activities:**
 - Community Access to Archives Project to develop models and toolkits for community involvement in the UK Archives Network.
 - Educational workshops programme has a target to reach schools with above average proportion of pupils from ethnic minority backgrounds. Take-up of 52% in 2004/05.

Most of these are still live activities increasing in their scope and coverage but also planned are:

- Research Guides on slavery, the slave trade, their abolition and suppression, bonded and indentured labour
- *Moving Here* project 'Routes to the future' which will capture and record experiences of first and second generation settlers in Britain and produce online history and citizenship National Curriculum materials using records of migration.
- To implement the Operational Selection Policy 30: *Government and the People: the interaction of the state with the citizen as documented in electronic case files and data sets* in records selection work in government departments
- Online tutorial on the Caribbean slave registers, which are censuses of all slave owners and slaves living on the British Caribbean islands between about 1813 and 1834 when slavery was abolished
- Make use of the Caribbean Studies and Black and Asian History (CASBAH) collections survey tool and indexing methodology (www.casbah.ac.uk) as a national standard for providing access to archives of relevant to Black and Asian history.

The methodology will be included in an annex to TNA Framework of Standards by the National Advisory Service in early 2006. The methodology has been successfully promoted to the Museums, Libraries and Archives Council and the Heritage Lottery Fund.

4.2.3 Commitment to our staff

TNA recognises that achieving a more diverse user-base crucially depends on recruiting staff from a wide variety of ethnic backgrounds. We are, therefore, also seeking to engage a diverse workforce, reflecting the social and cultural diversity of the UK population in line with our Diversity Strategy and the *Delivering a Diverse Civil Service: A 10-Point Plan*². For example, we have recruited a trainee graduate archival student under a pilot Positive Action Traineeship in partnership with University College London Archives School to address the lack of representation of BME groups in the archives profession.

We have a Diversity and Equal Opportunities Review Group with representatives from HR, departmental representations from across the office, the welfare officer, and the Departmental Trade Union side. This group meets quarterly to discuss and review diversity, equal opportunities and related policies.

4.3 Assessing Our Functions for Relevance to the General Statutory Duty

We have consulted within TNA with regard to our key functions and the relevance to the **general statutory duty**. These were then assessed against four levels of relevance:

High

- a) the function has a significant impact on the target group; and
- b) the function has significant potential to impact differently on people from different racial groups.

Medium

- a) the function has some impact on the target group; or
- b) the function has some potential to impact differently on people from different racial groups.

Low

- a) the function has a little impact on the target group; or
- b) the function has little potential to impact differently on people from different racial groups.

None

The function has no potential to impact differently on people from different racial groups.

Annex A sets out the assessment for each of the areas identified.

4.4 Assessing and Consulting on the Likely Impact of Proposed Policies, and Monitoring for Adverse Impact

The business imperative within TNA for impact assessment of all proposed development is recognised. The likely impact of policy/service delivery changes on people of different racial groups will be assessed during development of those changes. In assessing the

² *Delivering a Diverse Civil Service: A 10-Point Plan* can be downloaded from www.diversity-whatworks.gov.uk/10_point_plan/index.asp

effect of a likely policy, how a function is carried out, or a service delivered, the following questions will be asked:

- Could the policy, function, service delivery charge have an adverse impact on equality of opportunity for some racial groups?
- Could the policy, function, service delivery charge have an adverse impact on relations between different racial groups?
- Is the adverse (if any) impact unavoidable
- Could it be unlawful
- Can it be justified
- Can it be reduced/avoided by taking alternative steps

4.5 *Monitoring our policies for any adverse impact on the promotion of race equality*

We will implement monitoring procedures across functions and policies which have been assessed as relevant to the Statutory Duty.

4.6 *Publishing the Results of Assessments, Consultations and Monitoring*

In line with the Government's *Code of Practice on Written Consultation*³, we will publish summaries of responses to consultation papers on our website (www.nationalarchives.gov.uk) and provide copies on request.

We will also publish a summary of the results of assessments, consultation exercises and monitoring undertaken to identify potential adverse effects of our functions and policies on race equality in our Annual Report and other publications as appropriate.

4.7 *Public Access to Information and Services*

We recognise the importance of providing the public with information about TNA. Our website provides a range of information on the services we provide. TNA also publishes a number of key documents each year which are publicly available. The draft Publication Scheme (under Freedom of Information) also makes freely available information on our work and processes.

TNA Race Equality Scheme is available to the public on our website and hard copy (if requested).

4.8 *Training for Staff*

We run a Diversity and Equal Opportunities Training Programme that is mandatory for all staff. The overall aim of the training programme is to raise awareness amongst staff of diversity and equality issues and the way that they impact upon the work of TNA.

Diversity and Equal Opportunities training has been delivered to all existing staff. As part of the Managing Diversity Strategy, this training has been reviewed and revised to reflect changes in approach. The revised programme will include information about the statutory and general duties and how they affect TNA. A two-day workshop on Diversity was held for all senior managers in 2005. The feedback from this workshop and the new requirements under the *10-Point Plan* will inform the further revision of staff diversity

³ The Code of Practice can be seen at www.cabinetoffice.gov.uk/regulation/consultation/code/index.asp

training for managers and public facing staff, and the mandatory Diversity and Equal Opportunities training for all new entrants.

4.9 The Employment Duty

We record information on the ethnic origin of individual members of staff on our computerised personnel records system (PROMISE). Information on ethnicity is provided by staff voluntarily in two ways:

- Ethnic monitoring forms completed by applicants joining the organisation.
- Personal data statements, which include ethnic monitoring questions, are sent every year to all staff to update. HR follows up unanswered statements.

Our general approach to ethnic monitoring is to use ethnic classification systems based on, or compatible with, that used in the 2001 Census. A new questionnaire, which complies with the Cabinet Office ethnic classification system introduced following the 2001 Census, was distributed to all staff in September 2001. Future surveys will be carried out using the same ethnic classification system.

The Cabinet Office has set Civil Service-wide targets to increase the number of Senior Civil Servants from an ethnic minority background. In April 2002, targets were set for the proportion of ethnic minority staff the Department aims to have across pay bands by April 2005. The targets, with our current workforce composition, are set out below. Future progress reports will be published on a regular basis.

Band	Current (as at 1/4/02)	2005 Target	As of 31/03/05
1-2	2.0%	11%	2.5%
3-4	11.2%	18%	14%
5-6	21.1%	27%	37.9%
Total Workforce	13.3%	20%	19.1%

4.9.1 Employment Monitoring

In relation to the specific statutory duty on employment, TNA publishes the monitoring information in our Annual Report. The report for 2004/05 is:

Between April 2004 and March 2005, we ran 107 recruitment campaigns and appointed 101 staff. Of these appointments 17 were from ethnic minority groups.

Bands	Total Appointments	Women	Ethnic Minorities	Disabled
1-2	9	5 (55.6%)	0	0
3-4	52	32 (61.5%)	6 (11.5%)	0
5-6	40	21 (52.5%)	11 (27.5%)	1 (2.5%)
TOTAL	101	58 (57.4%)	17 (16.8%)	1 (1.0%)

Ethnic origin	Staff in Post	Staff Trained	Staff suffering detriment under performance	Staff involved in grievance procedures	Staff subject to disciplinary procedures	Staff who ceased employment

			assessment procedures			
Asian	39	31		2	1	2
Black	36	20	1		3	5
Chinese	3	3				
Mixed	7	6				1
Other Ethnic Minorities	14	8			1	1
Total Ethnic Minorities	99	68	1	2	5	9
Unknown	38	32			1	16
White	420	322	1	4	8	68
TOTAL	557	422	2	6	14	93

4.10 Monitoring Compliance with the Race Equality Scheme

The Race Equality Scheme is a working document and will be reviewed on a regular basis to take account of any changes in law, policy or our functions. A full review of the Scheme will be conducted by April 2008 with the aim of publishing an updated Race Equality Scheme at that time. Annual progress reports will be made through the Annual Report and other publications as appropriate.

4.11 Complaints procedure

If you feel that you have been affected by a failure by TNA to comply with its Race Equality Scheme, staff should in the first instance use the existing grievance procedure in the staff handbook on the staff intranet. Members of the public will follow the established complaints procedure described in the “*Putting it right*” leaflet available in the reading rooms and online⁴.

A substantive reply to the complaint will be provided in due course, together with information on how to pursue it further, if necessary.

We will maintain a register of complaints and will regularly review our complaints procedure to ensure that it is clear, open and fair.

⁴ The complaints procedure is available at www.nationalarchives.gov.uk/contact/complaints.htm

Annex A: Revised Race Equality Scheme and Action Plan 2005-2008

We have consulted within The National Archives with regard to our key functions and the relevance to the **general statutory duty**. These were then assessed against four levels of relevance:

- High: significant potential to impact differently on people from different racial groups.
- Medium: some potential to impact differently on people from different racial groups.
- Low: little potential to impact differently on people from different racial groups.
- None: no potential to impact differently on people from different racial groups.

Key functions of TNA:

Records Management and Selection:

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet general statutory duty
Promoting records management in government to support business operations	Promoting records management in government	Low	Offer professional development to all records managers across government who have not had opportunities for formal training, via an enhanced RM3 (records management) programme, which includes current developments in electronic records management.
Establishing and implementing criteria for selecting public records of historical value	Appraisal Policy	High	Implement our appraisal policy, which ensures that records selected for permanent preservation in all formats reflects the government's interaction with the UK's diverse communities, and monitor its use and effectiveness across government. The appraisal policy will be reviewed and will address diversity and community needs.

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet general statutory duty
	Operational Selection Policies	High	Continue our programme for production and use of operational selection policies for records across government departments, by publishing 45 quality standards for records selection by March 2008 and guiding departments in their use. OSP's undergo a period of public consultation with research communities and other interested parties. Summaries of the consultations are published on our website.
Supervising the selection of those worthy of preservation	Supervising the selection of records worthy of preservation	High	Ensure that our recently published selection criteria (OSP) on Government and People: the interaction of the state with the citizen informs our future selection of records by implementing it in 2005-06 and monitoring its use during 2007-08
	Acquisition Policy	High	The acquisition policy will be reviewed and will address diversity and community needs.
Supervising the allocation of public records to other places of deposit	Disposition Policy	High	The disposition policy will be reviewed and will address diversity and community needs.

Preservation:

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
Supervising the safekeeping of public records by their originating bodies and their successors		High	Ensuring the provision of advice promotes race equality by advocating Best Practice models such as CASBAH and CAAP through the website. Provision of advice to archivists, non-professionals and volunteers including community archive projects
Agreeing, monitoring and implementing security and preservation standards and procedures for storing and making available the records in the National Archives; and agreeing and monitoring similar standards for public records in places of deposit and other approved repositories	TNA Standards for Record Repositories	Medium	<p>Advocating and promoting published standards by the Public Services Quality Group on access to archives through TNA's Framework of Standards. Incorporating the CAAP and CASBAH methodologies into the Framework by February 2006.</p> <p>Promotion of CASBAH methodology as part of the Annex to the TNA Framework of Standards to enable other public archives to meet their public duty under the RRA 2000. Ensuring the provision of advice is socially inclusive i.e advocating and promoting Best Practice models such as CASBAH and CAAP through the website.</p> <p>Advice to archivists, non- professionals and volunteers including community archive projects.</p>
	TNA Framework of Standards	Medium	

Access:

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
Providing reading rooms and related facilities in TNA and delivering records from the repositories to the reading rooms and to originating bodies for consultation; and monitoring similar facilities for public records in places of deposit	Provision of reading rooms at Kew and the Family Records Centre	Low	Undertake annual survey of onsite users.
Providing advice and information about the records in TNA	Research Guides	High	Research Guides aim to highlight sources which may be relevant to the history of, or of interest to, ethnic minorities and other groups at risk of social exclusion. Social inclusion is one of the criteria for deciding new research guides. TNA has commissioned the writing of a series of research guides for the study of the slave trade and slavery and their abolition and suppression, and a research guide to Indian indentured labour for 2006-07.

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
Producing catalogues of the records	Improving catalogue descriptions on the Catalogue	High	<p>Cataloguing projects proposals are prioritised using predefined criteria including a category of Social Inclusion to identify and promote records relating to, or of interest to, Black and minority ethnic groups and other groups at risk of social exclusion. The User Advisory Group gives external advice on the prioritisation of projects that reflect the histories of minority ethnic groups.</p> <p>Current cataloguing projects include Colonial Office records relating to the Caribbean and to the history of former British colonies in general.</p>
Providing Internet access to the records and their catalogues	Documentsonline	High	Following a user survey of the DocumentsOnline service, which included a question on ethnicity, a benchmark will be identified from which growth in the BME user-base can be measured on a yearly basis.
Developing knowledge and awareness of the records	Marketing Strategy	High	To aim to achieve awareness of TNA and basic understanding of its role, in 25% of the UK population, as measured by quarterly MORI surveys by 2008.
	Developing knowledge and awareness of the records	High	Assess our existing online and onsite services as part of our continued service development to identify opportunities for improving accessibility for socially excluded groups, and deliver an annual programme of initiatives and improvements.

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
Providing copies of records	Licensed Internet Associates	Medium	<p>To commence launching the second tranche of LIA licenses for the collection containing passenger lists from the UK. To assist with raising the profile of movement of minority groups</p> <p>TNA will only conclude Associateships with businesses whose values, practices and products do not conflict with TNA policy or ethics. TNA's ethical stance is to seek to ally itself only with those organisations that are compatible with TNA's mission, goals, objectives, priorities and values.</p>
Encouraging and promoting the use of the records as a means of understanding the past	Learning Curve	High	<p>Increase the number of page impressions requests for the Learning Curve website by 10% every year in the period 2005-08 to support the development historical understanding and awareness in schools. To produce an online resource for schools on the abolition of slavery</p>
	Education Service	High	<p>Deliver annual programmes of educational events, services and activities which include school, university and adult learners, with the aim of underpinning national educational policy and objectives at all levels of attainment.</p> <p>To organise 40% of educational workshops at TNA for schools with an above average proportion of pupils from ethnic minority backgrounds.</p>

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
	Moving Here website	High	<p>Continue to lead the development of online resources illustrating the experiences and history of the migrant communities settled in Britain by managing with our partners the 'Moving Here' website and adding at least 20 community contributions of content.</p> <p>Complete the implementation of 'Routes to the Future' project which will capture and record the experiences of first and second generation settlers of England.</p>
	TNA website	High	To evaluate the search terms used by web users, when using the global search engine, and evaluate how we can increase exposure to new products and services, including material of interest to ethnic minority groups
Conducting regular user surveys as the basis for future developments onsite and online	Online	High	Grow TNA website user base by a 15% increase annually in numbers of users visiting the website more than once, taken from respondents in at least 2 online surveys every year. The online surveys will ask questions on ethnicity based on the full 2001 census categories.

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
	Onsite	High	Carry out three onsite user surveys every year with the aim of achieving satisfaction ratings of 90% or above, using the information to develop and enhance our services as appropriate. One all reader survey will ask questions on ethnicity based on the top-level census categories.

Promoting the preservation and use of private archives:

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
Collecting and disseminating information about archival sources relating to British history outside the public records	Archives Portal	Medium	Promotion of cultural diversity projects that see to broaden access to catalogues, eg Commanet and Moving Here.
	Access to Archives (A2A)	Medium	Proving greater access to catalogues through online links from the NRA to A2A and other online catalogues. Evaluate and amend the NRA subject headings using the CASBAH methodology by December 2006. This will ensure material relating to Black and Asian history can be captured through an advanced search of the business and organisations indexes of the NRA.
	National Registers of Archives (NRA)	Medium	

Functions	Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
Giving advice to private owners and to grant-awarding bodies	Giving advice to private owners	Medium	Providing advice and guidance on caring for all archive collections, including community archives. This includes the proactive provision of advice and guidance on the National Advisory Services web pages. Encouraging partnerships between record offices and community archives where there is an interest and mutual benefit in doing so.
Carrying out surveys and publishing guides to promote the use of archival sources relating to British history outside the public records.	Involvement with PSQG Survey	High	Encouraging archivists to survey users and using information to look at ways to broaden userbase amongst, for example Black and minority ethnic communities.
	Record Keeping magazine	Medium	Advocating and promoting best practice models such as CAAP and CASBAH through articles.

Corporate and general functions:

Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
Grievance Procedure	High	This is monitored and undergoes equality proofing.
Vacancy Management	High	The vacancy management policy is being reviewed and will take into account commitments under the <i>10-Point Plan</i> .

Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
Training and Development	High	All new entrants receive Diversity and Equal Opportunities training. This training will be revised to provide guidance on meeting the statutory duty and to promote the <i>Delivering a Diverse Civil Service: A 10-Point Plan</i> . HR is looking at training needs to enable managers to undertake Race Equality Impact Assessment. Customer Care training for all front-line staff includes disability and ethnicity awareness matters.
Archival Traineeships	High	To provide pre-course experience in TNA to graduates seeking to apply for the postgraduate accredited course in archives and record management at University College, London. To lead in a project to acquire partners and funding for a positive action traineeship to individuals of African, African-Caribbean, Asian or Chinese descent, who are currently under-represented in the archive professional workforce.
Main Review Appeal Process	High	This is monitored and undergoes equality proofing.
Managing Diversity Strategy	High	The Managing Diversity Strategy is being revised and will take into account commitments under the <i>10-Point Plan</i> .
Equal Opportunities Procedural Document	High	The Equal Opportunities document is being revised.
Race Equality Scheme	High	The RES will undergo regular reviews with a view to revise and republish it in 2008

Policies, strategies, activities and plans	Relevance to general statutory duty. Potential to impact racial groups differently: High, Medium, Low, None	Action to meet General Statutory Duty
Procurement Manual	Medium	<p>We use a standard clause in all our procurement and contractual services:</p> <p>D2 Discrimination</p> <p>D2.1 The Contractor shall not unlawfully discriminate within the meaning and scope of any law, enactment, order, or regulation relating to discrimination (whether in race, gender, religion, disability, sexual orientation or otherwise) in employment.</p> <p>D2.2 The Contractor shall take all reasonable steps to secure the observance of Clause D2.1 by all servants, employees or agents of the Contractor and all suppliers and sub-contractors employed in the execution of the Contract.</p>

Annex B: Progress report on the 2002 Race Equality Scheme

Function	Target Group	Action to meet General Statutory Duty	Lead Responsibility	Relevance to General Statutory Duty	Progress report on the 2003 RES
Overseeing the creation, management and selection of government records	Other Government Departments	To undertake a review of the selection of case files relating to socially excluded groups	RMD	Medium	Consulted on and published an Operational Selection Policy – Government and People: the interaction of the state with the citizen, which sets out the principles for selecting case files and datasets relating to individuals. Revised the policy on sampling records.
Preservation of national records	Internal staff	Oversee the security and physical care of records from their creation to permanent preservation.	Archive Services, Estates and Security Department	Nil	This is an ongoing function.
Availability of records onsite and online to users	Users onsite at TNA and online around the world	Use social inclusion as a criterion for assessing proposed new cataloguing projects. Organising public events/seminars aimed at ethnic minority and other under-represented groups	e-Access, Education and Interpretation, Reader Information Services, Research and Editorial Services	High	Social inclusion assessment used as a criterion prioritising cataloguing proposals, includes external assessment of the importance of projects to minority ethnic group histories by the User Advisory Group. TNA has aimed to mainstream social inclusion in our events, conferences and workshops (see 4.2.2 for examples on such activities). Social inclusion is also a criterion for digitisation proposals for publishing online on our documentsonline site (see 4.2.2 for examples of series we have published). These projects have, for the

					first time, opened up key genealogical sources revealing the historic diversity of Britain's multicultural people.
Ensuring a strategic approach to the delivery of the equality and diversity agenda across TNA	Internal – all staff External – service users	Established a Diversity and Equal Opportunities Working Group- representation from across the office. Developing policies in consultation with the TU Side	Corporate Services Group TU Side	High	We have established a Diversity and Equal Opportunities Working Group with representatives from across the office and from the trade union side. We have appointed a social inclusion project manager. Established a dedicated work programme of social inclusion activities in our annual corporate and business plans. Established a Social Inclusion Forum who report back on the work programme and discuss new activities relating to social inclusion. We have published a Managing Diversity Strategy and a Social Inclusion Action Plan.
Ensuring the department's compliance with legislation and embedding diversity into business planning	As above	Publication of first Race Equality Scheme. Review scheme annually Monitor progress and publish an annual report Regular Staff Attitude Surveys	Corporate Services Group Senior management and Heads of Depts TU Side	High	The first Race Equality Scheme was published in 2002. Monitoring results are published in the Annual Report. Undertake biannual staff attitudes survey and publish internally on our staff intranet a staff survey action plan with quarterly updates.
Improving level of diversity awareness	As above	Training and communication	Corporate Services Group, Senior Management	High	Continue to run Diversity and Equal Opportunities training which is also included in the induction training for all new entrants. In 2005 we held a two-day

across TNA			and Heads of Departments		Diversity workshop for senior managers.
Considering the equality and diversity aspects of new procedures, policies and services	As above	Diversity and Equal Opportunities Review Group to be consulted when new policies are under consideration	Senior management And Heads of Departments TU Side	High	The Diversity and Equal Opportunities Review Group and the Trade Union Side review new HR policies. The Social Inclusion Project Manager and the Social Inclusion Forum review public service policies and activities relating to social inclusion and race equality.
Recruitment of Staff	All potential applicants	To raise awareness of employment opportunities within TNA via targeted publications. Vacancy management policy to be reviewed this year.	Personnel Department and Heads of Departments TU Side	High	The vacancy management policy is reviewed on a regular basis. TNA undertook several recruitment campaigns targeting different ethnic groups by way of appropriate newspapers such as <i>The Voice</i> and some local Asian newspapers.
Temporary and permanent promotion	Internal- All potential candidates	Temporary promotion policy being drawn up in consultation with Diversity and Equal Opportunities Review Group and TUS.	Personnel Department TU Side	High	The Temporary promotion policy was published after consultation with the Diversity and Equal Opportunities Review Group and the Trade Union Side.
All internal personnel policies	Internal – all staff	Policies are reviewed on a rolling programme – Race Equality issues and/or results of on-going monitoring to be taken into consideration within this process	Personnel Department and Heads of Departments TU Side	High	The Diversity and Equal Opportunities Review Group and the Trade Union Side review new HR policies.