

**For the Record.  
For Good.**

**Our Business Plan for  
2011-2015**



# Contents

Our role and responsibilities 2011-15	3
Strategic priorities 2011-15	4
Business priorities 2014-15	7
Departmental expenditure	15
Common areas of spend	16
Information strategy and transparency	17



# Our role and responsibilities 2011-15

As the official archive and publisher for the UK government, and for England and Wales, we are the guardians of some of our most iconic national documents dating back over 1,000 years.

Our 21st-century role is to collect and secure the future of the record, both digital and physical, to preserve it for generations to come, and to make it as accessible and available as possible. We deal with millions of customers both in person and online every year – making us one of the largest and most successful archives in the world.

The National Archives is here for the government record, to ensure its past, and future, its use and re-use, keeping it authentic, available and accessible to all.

We have now completed three years of our four-year business plan. We knew three years ago that because of new challenges and our responsibilities to the wider archive sector, our business plan needed to transform the kind of organisation we were. We have always been clear that the cut in our funding would not mean a cut in service quality. While this has been a very real challenge, we remain confident that we will be able to sustain our commitment to the record even in tough times.

As we enter the final year of the business plan much has already been achieved. The transition to the new 20-year rule is now under way. During 2013-14 we saw a doubling of the number of records we accession and make available to the public and this level of transfer will continue until the ten-year transition is complete. Departments have unprecedented transparency regarding government's record holdings and this is now firmly established as business as usual. During 2014-15 we will provide guidance and support for local archives and other places of deposit concerned with records of local interest, ahead of their anticipated transition to the 20-year rule.

The completion of this business plan will equip us with the fundamental infrastructure that a modern national archive needs. First, digital infrastructure that can accession, preserve and manage records at huge volume, but with ease. Second, physical infrastructure that is environmentally sustainable and works well to preserve records, and serve the public. The completion of the Digital Records project and the replacement of the cooling towers at our Kew site will mark the point where The National Archives can say that it has the right infrastructure for the future.

This document sets out the continuation of our long-term business plan for 2011-15. In addition, from page seven we include our specific business priorities for 2014-15. This part of the document has been updated annually to ensure that we are open and transparent in our plans, our progress, and most importantly how we are spending public money.

The focus of all of our work for 2011-15, from collection and preservation through to access, can be summed up very simply.

**It is for the record. For good.**

# Strategic priorities 2011-15

## We will redefine and collect the future record, transparently and seamlessly

### Goals:

- A revised collection strategy setting out the historical record of the future – the records we keep
- Clear standards for record holdings and transfer for the 20-year transition period, efficiently and sustainably
- Identified personal datasets of significant research value but which will remain closed and protected for the right period
- A sustainable model to capture and present more comprehensive updated legislation, and statutory notice publishing

For over 200 years, we have sustained the value of the record of government, allowing those who follow to learn from those who came before. Ensuring the creation, capture and survival of vital public records is the ultimate guarantee of transparency for governments. Without good information management there is no transparency; no records for public scrutiny and use.

Our role is to define clearly what government departments need to keep in the digital era, and to enable government to do it efficiently and effectively even in tough times. This role reinforces us as an enabler for the record across government. It will benefit the public record by helping to ensure information is available and survives for scrutiny both now and in the future. This not only helps to guarantee the survival of the public record, but helps provide transparency which benefits the wider public service and citizen alike.

We will work with archives across the public sector to help ensure that this potential is realised at both local and national levels.

## We will innovate to ensure optimal physical and digital preservation

### Goals:

- The capacity to capture the main sources of the official record seamlessly, including websites, intranets, email and collaboration and records management systems
- A formal approach to digital records transfer agreed with departments
- Standard business and technical architecture to gain economies of scale, and provide best practice for the wider sector
- Accredited best practice at public and private archives for both physical and digital collections
- A more sustainable balance between preservation, carbon reduction, and space utilisation
- Clear approach to managing the Kew site and offsite storage facilities
- Advice and support for the wider sector on cost-effective preservation in tandem with an accreditation and skills programme

Our collections will always combine paper and digital records – and preservation of both is an obligation we accept willingly.

The different records bring different challenges. Preserving digital records is a complex field, shifting as new formats and technologies emerge. Paper records demand specific environmental conditions and preservation techniques. We will need to balance these demands with requirements to reduce our carbon footprint. And as the balance of accessioned government records shifts from paper to digital, we will more clearly define and provide resources for a digital preservation approach to our collections.

## **We will widen our funding base to generate more support in tough times**

### Goals:

- Wider access to charitable funding, in partnership with collaborators
- Sustainable, profitable new revenue streams that fit with our public responsibilities, and use our expertise
- Continued free provision of archive services to the public at Kew
- Value for money for government from official publishing work

The National Archives' commercial innovation has resulted, since 2006-07, in a doubling of revenues to almost £10m in 2009-10. We are committed to similar successes for 2011-15. While the family history market has grown significantly in this time and continues to grow, for the future we will also look to provide value-added services that fit with our responsibility to the wider government record too.

Our approach has always fully respected the wider government agenda, and our own role as regulator of public sector information, which we continue to drive strongly, with the new Open Government Licence.

## **We will be agile and confident, trusted and efficient**

### Goals:

- A clear set of values guiding our behaviour in all that we do
- Talent and leadership developed at all levels and continued robust performance management

In this climate, the values we work by will be even more important to us. In a world of improving efficiency, and fewer staff, we will need to work together in new ways, but we are confident that we will be able to continue to deliver the very best customer service to both government and public alike. We will retain the trusted and objective way in which we make the record available, but will become more agile and flexible in the way we deliver it. And we will be even more transparent about the way we work and how we perform.

The expertise and enthusiasm of our staff are genuinely our biggest assets, and each and every one of us takes pride in the role we play at The National Archives. This commitment is reflected in the value and the quality of what we do.

## We will provide a record that is more open, inclusive and used than ever before

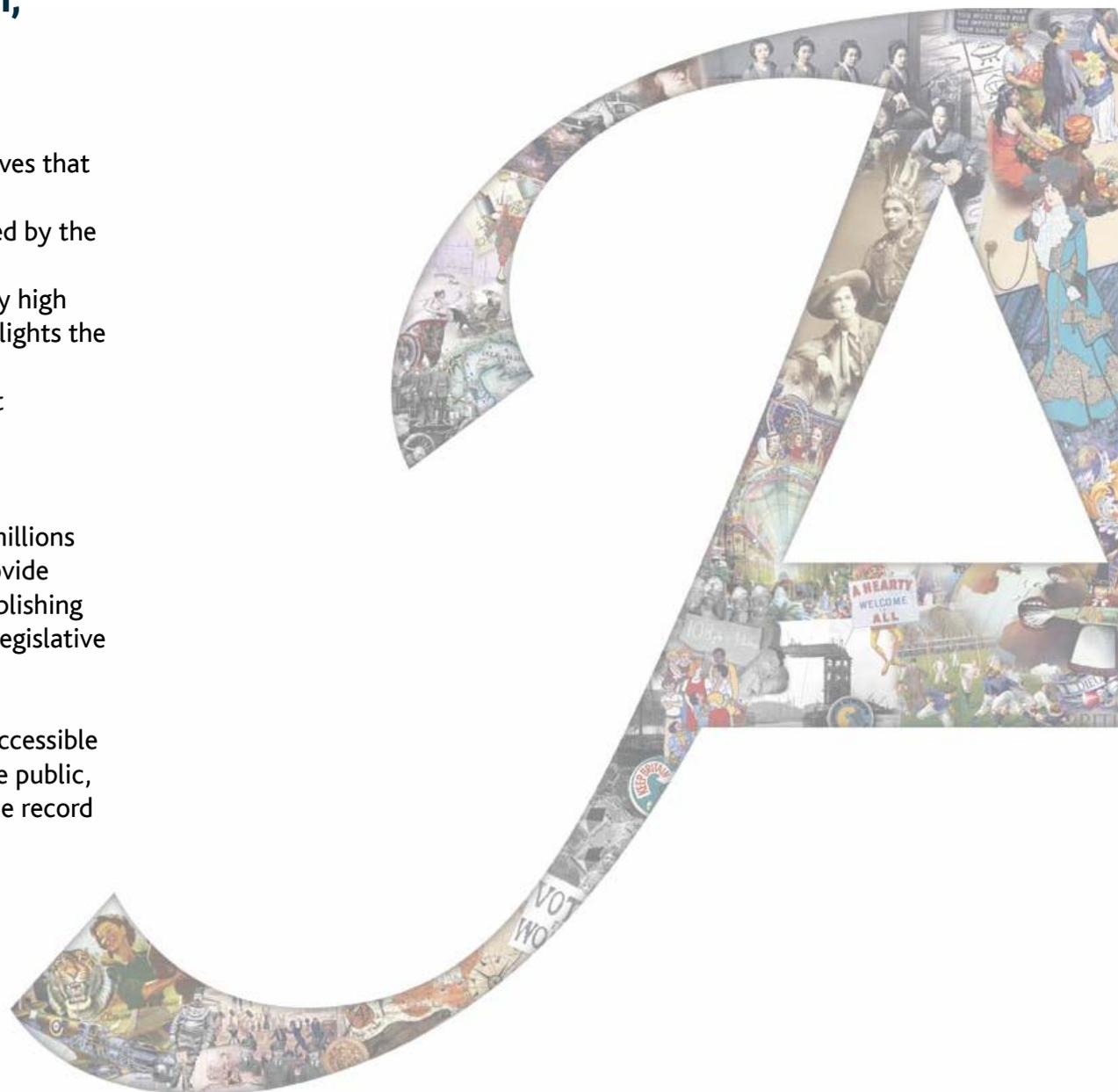
### Goals:

- Effective new communities and partnerships supporting archives that shape, enrich and help deliver our public services
- 'Best practice' approaches and technologies, which can be used by the wider sector to build cost effective new services
- Better access to our public services; delivering complementary high quality on site, online and remote content and advice that delights the researcher
- Continued support and robust regulation of open government licensing for public sector information

We provide public access to millions of documents every year for millions of people worldwide, either online or in person at Kew. We also provide access to all UK legislation via [legislation.gov.uk](http://legislation.gov.uk). Our legislation publishing services are a cornerstone of how people engage with the nation's legislative framework on a day-to-day basis.

But we also want to grow the breadth and coverage of the record accessible online. We will do this by transforming the way we engage with the public, our private and public sector partners, and volunteers to develop the record together, for all.

This will require investment in new business models to support it, and new ways of working for us. The experience we gain from this innovation will be transferable to the wider archive sector.



# Business priorities 2014-15

**We will redefine and collect the future record, transparently and seamlessly**

<b>Our aim</b>	<b>How we will achieve this</b>	<b>2014-15 due date</b>
20-year rule response	1. Make recommendations to ministers on the application of the 20-year rule to records of local interest and implement guidance and support to minimise impact of transfers on places of deposit and transferring bodies	Guidance and support in place ahead of implementation date
	2. Year 3 of the 20-year programme: continue to collect and publish data on records held by government departments, and on the rate of transfer to us	Reports to be published online in July 2014 and January 2015
How we collect digital records	3. We will provide an efficient, scalable and sustainable process for the transfer of digital records to the Digital Records Infrastructure	Digital records will have been transferred using the proven transfer method developed by Phase 1 of the Digital Transfer Project by 31 March 2015

## We will innovate to ensure optimal physical and digital preservation

Our aim	How we will achieve this	2014-15 due date
A more sustainable Kew	4. Continue to reduce carbon emissions at Kew from 2009-10 baseline levels, balancing the needs of records preservation with environmental concerns	Mandatory 25% carbon reduction by 31 March 2015
	5. Replace desktop PCs with thin client technology to reduce our environmental impact and simplify our ICT estate	60% of desktop PCs to be replaced by thin client technology by 31 March 2015
	6. Implement the Greening Government commitments and ensure that sustainable development informs our policy-making	Achieve mandatory Greening Government commitments by 31 March 2015  Reduce water consumption by 20%
	7. Replace cooling towers at Kew site, delivering this capital project in two phases to timetable and within budget	Second phase completed by 30 September 2014

Our aim	How we will achieve this	2014-15 due date
Archiving the arts	8. Survey the archives of arts organisations and practitioners to identify collections worthy of preservation and online discovery with provision of advice to owners and custodians	Survey and advisory work completed by 31 March 2015
Archives Sector Sustainability	9. Operate a challenge fund to stimulate and support initiatives designed to enhance the sustainability of key archive collecting institutions	Minimum 100% matched funding obtained across all projects
How we preserve digital records	10. Transfer all surrogate digitised document images held on varied media such as linear tape-open (LTO) tapes and hard drives to the Digital Records Infrastructure in order to prevent loss or degradation of surrogate images and enable fast, efficient duplication of images	No complete record series digital surrogates will remain solely on free-standing physical media such as hard drives discs or tapes by 31 March 2015
Transforming The National Archives' Data Centre Infrastructure	11. Transform the efficiency and supportability of The National Archives' Data Centre Infrastructure by migrating services to modern new platforms, increase capacity based on business need, enhance resilience to ensure Business Continuity, capitalise on existing investments by virtualising services, replacing hardware which is beyond its serviceable life, decommissioning services which no longer create business value and introduce new tools to make managing our environment more effective	<p>ICT services will be delivered using 25% fewer physical servers by 31 March 2015</p> <p>Physical servers purchased before 2006 and/or beyond manufacturers' recommended lifespan will be decommissioned by 31 March 2015</p>
Ensuring the open digital record remains accessible	12. Manage a contractual process for delivery of web archiving services required by government following an open competition	A preservation copy of data made accessible through the UK Government Web Archive will be secured within a suitable preservation system operated by The National Archives by 31 October 2014

## We will widen our funding base to guarantee support in tough times

Our aim	How we will achieve this	2014-15 due date
Better online capabilities	13. Provide and promote a more effective document download service, including remote access for approved institutional users where appropriate; add new content and develop new products which will enable us to sustain our income from document downloads	Launch new content/product by 31 March 2015
Historical design service	14. Launch an online service allowing members of the design community (designers / design school students) to access historical designs from the 'Board of Trade' Registers	Launch service by 31 December 2014
Building research and funding capability and investment	15. Build and develop skills and capacity across the organisation to deliver a greater number of higher quality bids to funding and research councils. Maintain funding and investment at sustainable levels	Proactively develop priority bids to sustain funding to support delivery of The National Archives' business objectives

## We will be agile and confident, trusted and efficient

Our aim	How we will achieve this	2014-15 due date
Develop our people and culture	16. Embed our values and use them to guide our behaviour in all that we do	Continue to be classed as a high performer in terms of Civil Service engagement scores
	17. Manage our headcount and cost of payroll flexibly and effectively to meet our organisational priorities	Manage headcount in order to meet headcount target for 2014-15 by 31 March 2015
	18. Further develop our learning and development offering	Embed Civil Service Learning and realise its value  Develop an up to date corporate training plan to include provision for in-house training where appropriate, as well as informal learning by 30 June 2014

## We will provide a record that is more open, inclusive and used than ever before

Our aim	How we will achieve this	2014-15 due date
Making more records available online	19. Complete the digitisation and publication of a complete set of Naval Records cards comprising approximately 60,000 naval service records, testing the accession process on a whole series, identifying and processing closed records through the Fol system	Online records available to users by 31 January 2015
	20. Digitise a second tranche of Unit War Diaries (WO 95) ready for publication in 2015	Volunteer recruitment completed and sorting exercise commenced by 31 May 2014  Scanning contract awarded by 31 May 2014  Imaging completed by 31 March 2015
Improve archives sector online resources to further support the sector and improve user experience	21. Create and test tools to enable editing and semi-automated uploading of archive catalogues and related resources to Discovery system across the archives sector and support archives in adopting new tools	New tools at beta-testing stage of development by 31 March 2015
Meeting the needs of users of legislation.gov.uk	22. Improve access to legislation by bringing the revised versions of legislation on legislation.gov.uk up to date through expert participation	Participants from government (Department for Work and Pensions and Welsh Government) using new editorial tools to revise their legislation by 30 June 2014
	23. Increase the rate of in-house team productivity by applying amendments directly also indirectly by training and supporting participants	Continue to increase the number of expert participants and rate of database updating through to 31 March 2015

Our aim	How we will achieve this	2014-15 due date
Meeting the needs of users of legislation.gov.uk	24. Improve drafting of legislation by working with partners in government and the parliaments to develop a new drafting tool	Beta version of the tool completed by 31 December 2014  Options for hosting the tool and support for users agreed by partners by 31 March 2015
	25. Devise strategy for future shape of legislation services to ensure value for money and to maximise benefits of co-operation with partners	Evaluation and appraisal of options for contract service agreed by 31 December 2014
Future public services	26. Review our current public services offering with a view to further developing and enhancing services to meet our customers' needs	Develop the key principles that will underpin the future public services offering by 30 April 2014  Deliver pilot projects by 31 March 2015 that (1) will enable the best use of technology in the reading rooms at Kew, particularly use of users' own devices and (2) contribute to The National Archives becoming a pre-eminent learning organisation with closer collaboration with the academic community  Develop revised business processes and a new technological solution to support the record copying service, and to encourage the service to become more digital by default by 31 March 2015

Our aim	How we will achieve this	2014-15 due date
<p>Deliver effective solutions for re-use of public sector information</p>	<p>27. The amended European Directive will be transposed to meet Commission deadlines and UK open government commitments</p> <p>Working with officials in Scotland, Wales and Northern Ireland we will deliver an effective UK-wide solution</p> <p>Develop communication and guidance to ensure that public sector bodies are well placed to meet their responsibilities under the new UK legislation</p>	<p>We will have delivered against the National Action Plan for the Open Government Partnership commitment 20 by 31 March 2015</p>
	<p>28. Reinforce regulatory model under PSI transposition programme, ensuring it is aligned to open data, transparency and access to information initiatives</p>	<p>To legislative timetable</p>
<p>Deliver access to official publications ensuring that the needs of Parliament and users are met</p>	<p>29. Ensure solutions to reinforce official publishing responsibilities are embedded across government and deliver efficiencies and overall cost savings</p>	<p>Assess new publishing model to reflect the transition to online access and delivery and working with strategic partners to meet user needs by 31 March 2015</p>

# Departmental expenditure

This section sets out how The National Archives is spending taxpayers' money as transparently as possible.

We have included a table to show The National Archives' outturn and planned expenditure over the current Spending Review (SR) period, as agreed with HM Treasury. It is split into money spent on administration (including the cost of running The National Archives), programmes (including the frontline), and capital (for instance, on buildings or new equipment).

## Table of spending for 2011–12 to 2015–16

£m	2010–11 Baseline	2011–12 Outturn	2012–13 Outturn	2013–14 Supplementary Estimate <sup>2+3</sup>	2014–15 Main Estimate <sup>2+3</sup>	2015–16 Main Estimate <sup>2</sup>
Administration budget allocation <sup>1</sup>	11.9	7.7	7.5	7.7	8.1	8.5
Programme budget allocation <sup>1</sup>	25.1	24.2	22.3	21.4	21.4	19.9
Capital budget allocation	2.1	3.8	4.5	2.3	2.0	1.2
<b>Total departmental expenditure allocation</b>	<b>39.1</b>	<b>35.7</b>	<b>34.3</b>	<b>31.4</b>	<b>31.5</b>	<b>29.6</b>

1. Excludes depreciation

2. Includes subsequent adjustments as per the 2011-12, 2012-13 and 2013-14 Autumn statements, the 2013 Budget statement and the transfer of MLA activities to The National Archives

3. Includes £0.95m agreed budget exchange between 2013-14 + 2014-15



**Total departmental  
expenditure allocation**

# Common areas of spend

The indicators below will help the public judge whether The National Archives is being run efficiently, and how it can be compared to other government departments. We will publish this information on our website.

## Cost of operating The National Archives

- over time against projected cost as outlined in the table of spending
- for 2011–12 to 2014–15 (see page 15)
- how many people we are employing compared to Comprehensive Spending Review headcount targets

## Cost of corporate services: Information and Communications Technology (ICT)

- cost in £, and as a percentage of total organisational running costs, of the ICT function
  - » run and maintain resource, which includes depreciation costs
  - » run and maintain capital
  - » total project costs

## Cost of corporate services: Human Resources (HR)

- cost in £, and as a percentage of total organisational running costs, of the HR function
- number of HR staff

## Cost of corporate services: Procurement

- cost of procurement function

## Cost of corporate services: Finance

- cost in £, and as a percentage of total organisational running costs, of the Finance function
- number of Finance staff

## Third party spend

- property cost per square metre and per employee
- total third party spend

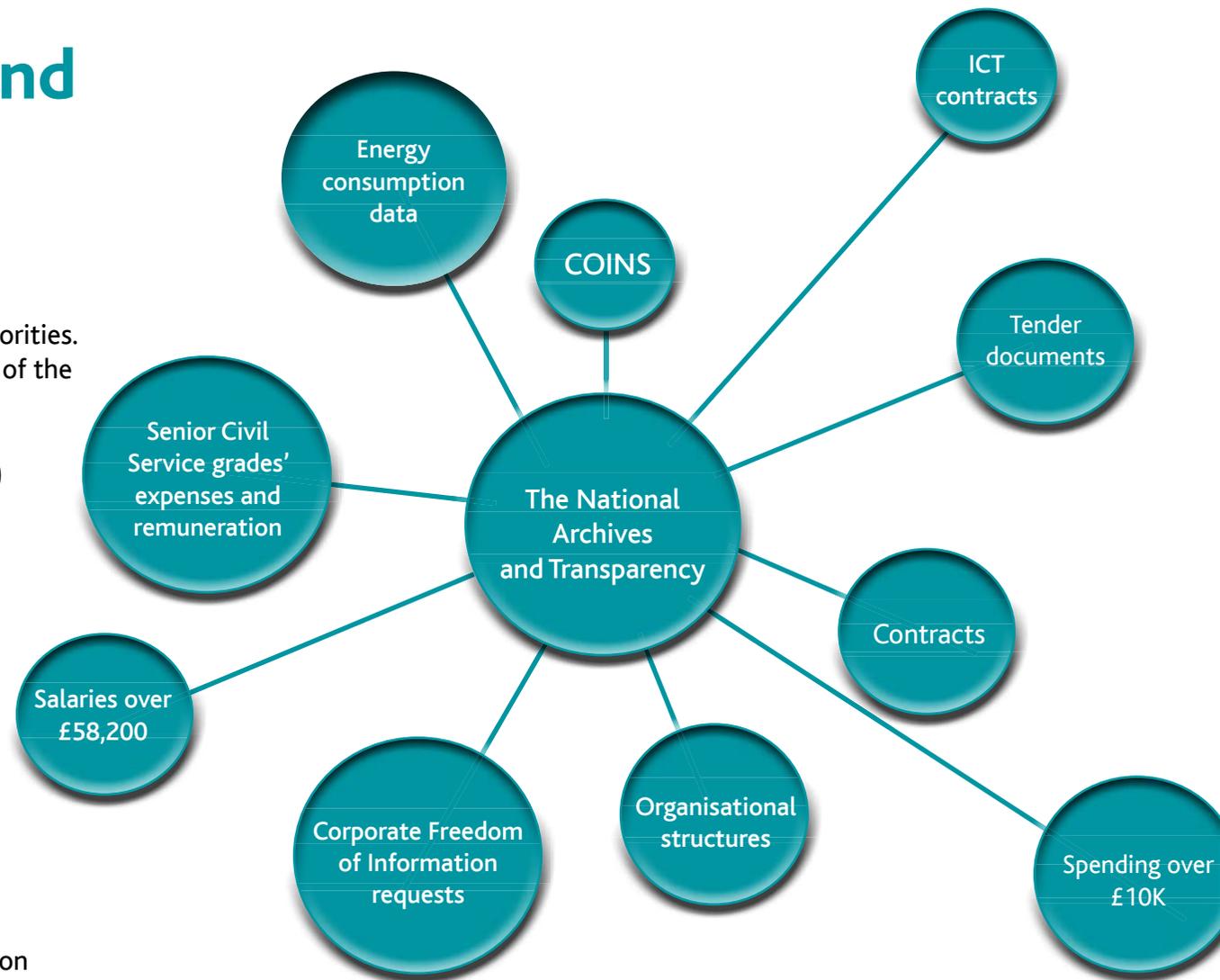
# Information strategy and transparency

We want to ensure that The National Archives can be held accountable as it moves forward in delivering its strategic priorities. We publish the following information on our website as part of the government's transparency agenda:

- Historic Combined Online Information System (COINS) spending data<sup>1</sup>
- ICT Contracts (via Contracts Finder – [contractsfinder.businesslink.gov.uk](http://contractsfinder.businesslink.gov.uk))
- tender documents (via Contracts Finder)
- items of spend over £10K
- contracts (via Contracts Finder)
- organisational structures
- corporate Freedom of Information requests
- salaries over £58,200
- Senior Civil Service grades' expenses and remuneration
- energy consumption data

We will additionally publish details of the input and impact indicators outlined below and additional statistical information used by The National Archives' senior management.

We will continue to explore ways to make this information even easier to access and understand.



1. With effect from 2012-13, COINS has been replaced by OSCAR (Online System for Central Accounting and Reporting).

## Input indicators

The indicators set out in this section are just a subset of the data gathered by The National Archives which will be made transparently available as outlined in the Information Strategy. The National Archives will adopt the following input indicators:

<b>Input indicator</b>	<b>When will publication start?</b>	<b>How often will it be published?</b>	<b>How will this be broken down?</b>
Original documents delivered to on site users	Already started	Monthly	Total number delivered
Electronic records delivered to online users	Already started	Monthly	Total number delivered
Staff diversity	Already started	Monthly	Percentage of those self-declaring ethnicity and disability status; women and top management women based on full-time equivalent headcount
Staff engagement	Already started	Annually	Results from the Civil Service Staff Engagement Survey
Time taken to deliver original records to on site users	Already started	Quarterly	An average delivery time for documents delivered on a year-to-date basis
Time taken to respond to Freedom of Information, Data Protection and Environmental Information Regulation requests	Already started	Quarterly	An average based on numbers responded to within statutory targets on a year-to-date basis
Spend compared with prior-year spend	Already started (this information is published in The National Archives' Annual Report and Resource Accounts)	Quarterly	Financial results compared to previous year
Staff sick absence	Already started	Annually	The average number of days lost through sickness per full-time equivalent member of staff

## Impact indicators

Our impact indicators are designed to help the public to judge whether our policies are having the effect they want. The National Archives will adopt the following impact indicators:

Impact indicator	When will publication start?	How often will it be published?	How will this be broken down?
Web Continuity	Already started	Monthly	Monthly redirection traffic statistics from broken links in UK Government Web Archive; year-to-date redirects
Sustainable development	Already started (energy consumption statistics published on the transparency pages of The National Archives' website)	Quarterly (achievement of individual components of indicator may be published more frequently when data is available)	Carbon reduction performance; sustainable development; Projects Register (SDPR) status; procurement; travel; waste and water
Organisational running costs	Already started (COINS spending data is published on the transparency pages of The National Archives' website)	Quarterly	Actuals to date plus year-end forecast
Customer satisfaction: on site users	Already started	Annually (as a minimum)	Percentage satisfied
Customer satisfaction: online users	Already started	Annually (as a minimum)	Percentage satisfied
Customer satisfaction: legislation.gov.uk users	Already started	Annually (as a minimum)	Percentage satisfied
Records and information management services used across government	Annually from 2011–12	Annually	Assessments of departmental progress in their ability to meet required standards and demonstrate best practice in the management of their records, evidenced and supported by data

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FTR 2014/01

First published April 2011

Updated March 2014

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