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# 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 two years of our four-year business plan. We knew two 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 funding – of which we will deliver 17.4% through 2013-14 – 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.

The year ahead represents the culmination of some significant projects. The transition to the new 20-year rule change is now under way and during 2013-14 we will see a doubling of the number of records we accession and make available to the public. Departments are already demonstrating unprecedented transparency regarding government's record holdings and next year this will be firmly established as business as usual.

Our intent is to deliver on 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. We have already made great progress on both of these areas, but 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.

Working closely with the archive sector, we have developed and piloted a new accreditation scheme for archives, and are now ready to launch it more widely. The prospect of a robust, tested, scheme that makes the case for archives more generally is one that we hope the sector will welcome; their contributions have been essential.

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 2013-14. This part of the document will be 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

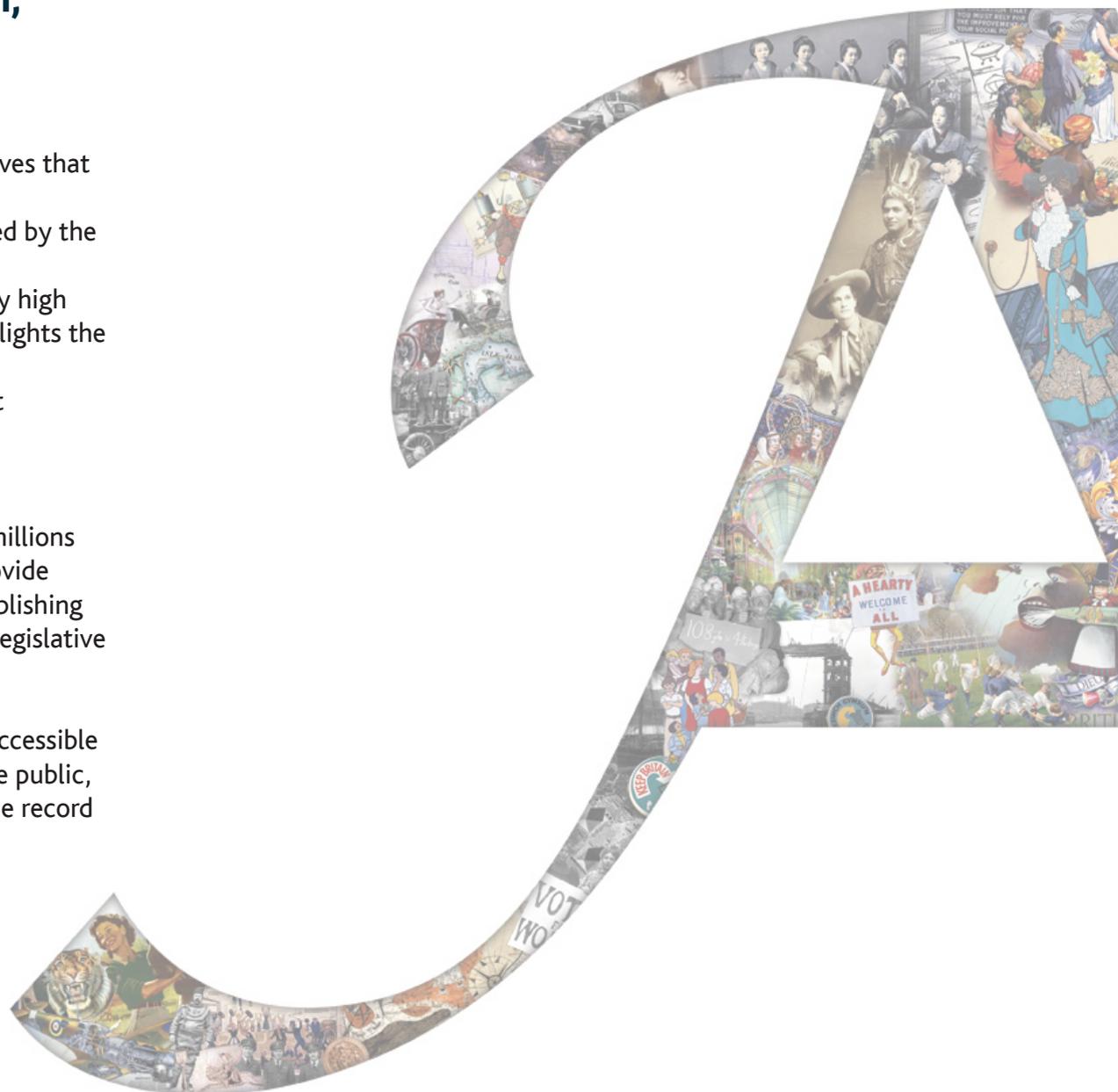
### Goals:

- 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 2013-14

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

| Our aim                        | How we will achieve this   | 2013-14 due date   | 2011-15 milestone   |
|--------------------------------|--|--|---|
| Archiving government           | 1. Develop a project plan to support local archives in taking up the UK Web Archive option   | 30 September 2013  | Web archiving is adopted by a significant proportion of local archives by 31 March 2015 |
| 20-year rule response          | 2. Year 2 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 2013 and January 2014   |   |
|                                | 3. Consult and survey wider archives sector to gather evidence on the impact of the 20-year rule and agree an implementation approach  | Impact assessment and options identified by 31 December 2013<br><br>Consultation completed by 31 March 2014  | Transition by 2015  |
| How we collect digital records | 4. Commission the digitisation 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 | Digitisation contract awarded by 31 August 2013  | Online records available to users by 31 January 2015                                    |
|                                |  | Records scanned and ready for sale and LIA (Licensed Internet Associateship) licensing by 31 January 2014<br><br>LIA partner to begin transcription and publication by 31 March 2014 |   |
|                                | 5. Completion of the development of the Digital Records Infrastructure (DRI) system to enable the automated transfer of all born-digital and digitised records   | 28 February 2014   |   |

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

| Our aim                               | How we will achieve this   | 2013-14 due date  | 2011-15 milestone   |
|---------------------------------------|--|---|---|
| Accreditation for the archives sector | 6. Launch archives accreditation scheme  | 31 July 2013  | 40% of eligible archives to have been invited to submit applications by 31 March 2015 |
|                                       | 7. Invite first 20% of applications  | 31 March 2014   |   |
| Archiving the arts                    | 8. Commence survey of the archives of arts organisations and practitioners to identify collections worthy of preservation and online discovery, and provision of advice to owners and custodians about preservation and digitisation of material | Survey launched by 31 July 2013   | Survey and advisory work completed by 31 March 2015                                   |
| Cloud storage for digital archives    | 9. Establish standards and requirements for cloud based management and preservation of digital records held in places of deposit and other public sector archives  | Deliver guidance for use across the archives sector and by commercial developers by 30 September 2013 |   |
|                                       | 10. Investigate current government procurement vehicles to identify a framework contract by which to provide cloud storage services  | Framework launched by 31 March 2014   | Promote adoption of framework contract to public sector archives by 31 December 2014  |
| How we preserve digital records       | 11. Descriptions of London Organising Committee of the Olympic and Paralympic Games (LOCOG) archival records from the London 2012 Olympic and Paralympic Games available to the public via Discovery   | Records descriptions available to users on Discovery by 31 March 2014                                 |   |
|                                       | 12. Descriptions of key inquiry records available to the public via Discovery  | Record descriptions available to users on Discovery by 31 March 2014                                  |   |

| Our aim                | How we will achieve this   | 2013-14 due date   | 2011-15 milestone  |
|------------------------|--|--|--|
| A more sustainable Kew | 13. Continue to reduce carbon emissions at Kew from 2009-10 baseline levels, balancing the needs of records preservation with environmental concerns | Ongoing, with monthly monitoring and review  | Mandatory 25% carbon reduction by April 2015   |
|                        | 14. Implement the Greening Government commitments and ensure that sustainable development informs our policy-making                                  | Ongoing, with regular monitoring and review of water consumption, recycling/waste and procurement carbon footprint                                 | Achieve mandatory Greening Government commitments by April 2015<br><br>Reduce water consumption by 20% |
|                        | 15. Replace cooling towers at Kew site, delivering this capital project in two phases to timetable and within budget                                 | Works formally commissioned by 30 June 2013<br><br>Project phasing agreed by 30 November 2013<br><br>First phase completed by 31 March 2014        | Second phase completed by 30 September 2014  |
|                        | 16. Replace desktop PCs with thin client technology to reduce our environmental impact and simplify our ICT estate                                   | Replace a minimum of 320 corporate desktop PCs with thin client technology by 30 September 2013, achieving energy savings of £8.40 per PC per year | 60% of desktop PCs to be replaced by thin client technology by 31 March 2015                           |

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

| Our aim   | How we will achieve this   | 2013-14 due date  | 2011-15 milestone                            |
|---|--|---|--|
| Better online capabilities                              | 17. Develop improved search capability for website and records and achieve a position where we can make 50% saving on costs of public facing search services from March 2014   | 31 March 2014   |  |
|   | 18. Provide and promote a more effective document download service for institutions including remote access for approved users where appropriate; add new content and develop new products which will enable us to sustain our income from document downloads          | Launch new service for institutions by 1 July 2013 and update agreements with all existing institutional users on a rolling basis<br><br>New business plan to be approved and development under way by 1 October 2013 | Launch new content/ product by 31 March 2015 |
| Improving our IT infrastructure and management          | 19. Successfully complete the upgrade of our corporate IT infrastructure to a Windows 7 environment, migrating the majority of corporate users to a Thin Client desktop device   | 31 December 2013  |  |
|   | 20. Develop a clear roadmap and implementation plan for the upgrade of our IT network  | 31 March 2014   | Upgrade completed by 31 March 2015           |
| Building research and funding capability and investment | 21. Build and develop skills and capacity across the organisation to deliver a greater number of higher quality bids to funding and research councils. Secure funding to enable research and results to support delivery across the breadth of the business priorities | The National Archives' share of successful bids awarded during 2013-14 to exceed grant income for 2012-13 by 31 March 2014  |  |

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

| Our aim    | How we will achieve this  | 2013-14 due date   | 2011-15 milestone  |
|------------|---|--|--|
| Our people | 22. Embed our values and use them to guide our behaviour in all that we do  | Tracked by monthly staff poll  | Continue to be classed as a high performer in terms of Civil Service engagement scores |
|            | 23. Manage our headcount flexibly and effectively to meet our organisational priorities   | Targets and plans tracked against monthly forecast                             | Core headcount target for 2014-15 met by year end                                      |
|            | 24. Make financial and commercial thinking a greater part of our culture, setting savings challenges for all and sharing learning and success across the organisation | Contracts renegotiated at an average of 10% saving as they come up for renewal | Savings on costs of contracts of 10% against baseline                                  |

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

| Our aim  | How we will achieve this  | 2013-14 due date  | 2011-15 milestone   |
|--|---|---|---|
| Improve archives sector online resources to further support the sector and improve user experience | 25. Integrated resources live within Discovery and new opportunities for hosting and presenting data communicated to sector                                     | 31 March 2014   | Legacy systems retired by 31 March 2015   |
| Best-practice digitisation   | 26. Let a service concession contract for digitisation of the NHS1939 Register  | Contract let by 31 March 2014   |   |
| Meeting the needs of users of legislation.gov.uk   | 27. Improve access to legislation by bringing the revised versions of legislation on legislation.gov.uk up to date through expert participation                 | All outstanding legislative effects researched and reviewed by 30 June 2013 | Continue to increase number of expert participants and rate of database updating through to 2015<br><br>Outstanding effects down to zero by 31 May 2015 |
|  | 28. Enrich and refine the presentation of statutes and extend the supporting material on legislation.gov.uk   | Website improvements by 31 March 2014                                       |   |
|  | 29. Improve drafting of legislation by working with partners in government and the parliaments to develop a new drafting tool                                   | Memorandum of Understanding in place with partners by 30 September 2013     | New drafting tool in use by 31 December 2014  |
| Deliver effective solutions for re-use of public sector information                                | 30. Lead and coordinate negotiations on revised Directive and deliver UK implementation and requirements  | Directive adopted in line with EU and UK legislative timetable              | UK Regulations made in line with EU and UK legislative timetable  |
|  | 31. Reinforce regulatory model as part of the PSI negotiations and implementation, ensuring it is aligned to open data, transparency and Freedom of Information | To legislative timetable  | Structure, governance and tools effective December 2014   |

| Our aim  | How we will achieve this   | 2013-14 due date  | 2011-15 milestone |
|--|--|---|-------------------|
| <p>Deliver access to official publications ensuring that the needs of Parliament and users are met</p> | <p>32. Develop new publishing model drawing on existing cross-government efficiency strategies, aligning official publishing models and delivering consistent and robust choices for users</p> | <p>Migrate official documents to new online solution by 31 October 2013</p> <p>New contract arrangements in place by 1 October 2013</p> <p>Web and PDF solutions in place by 1 October 2013</p> |                   |
| <p>Improve access to the UK Government Web Archive</p>   | <p>33. Introduce enhanced search facilities through delivery of an application programming interface (API)</p>   | <p>31 March 2014</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 2014–15

| £m   | 2010–11<br>Baseline | 2011–12<br>Outturn | 2012–13<br>Supplementary<br>Estimate | 2013–14<br>SR settlement <sup>2</sup> | 2014–15<br>SR settlement <sup>2</sup> |
|--|---------------------|--------------------|--------------------------------------|---------------------------------------|---------------------------------------|
| Administration budget allocation <sup>1</sup>        | 11.9                | 7.7                | 7.6                                  | 8.4                                   | 8.8                                   |
| Programme budget allocation <sup>1</sup>             | 25.1                | 24.2               | 22.6                                 | 22.2                                  | 20.9                                  |
| Capital budget allocation                            | 2.1                 | 3.8                | 4.5                                  | 1.7                                   | 1.2                                   |
| <b>Total departmental<br/>expenditure allocation</b> | <b>39.1</b>         | <b>35.7</b>        | <b>34.7</b>                          | <b>32.3</b>                           | <b>30.9</b>                           |

1. Excludes depreciation

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



# 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 16)
- 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

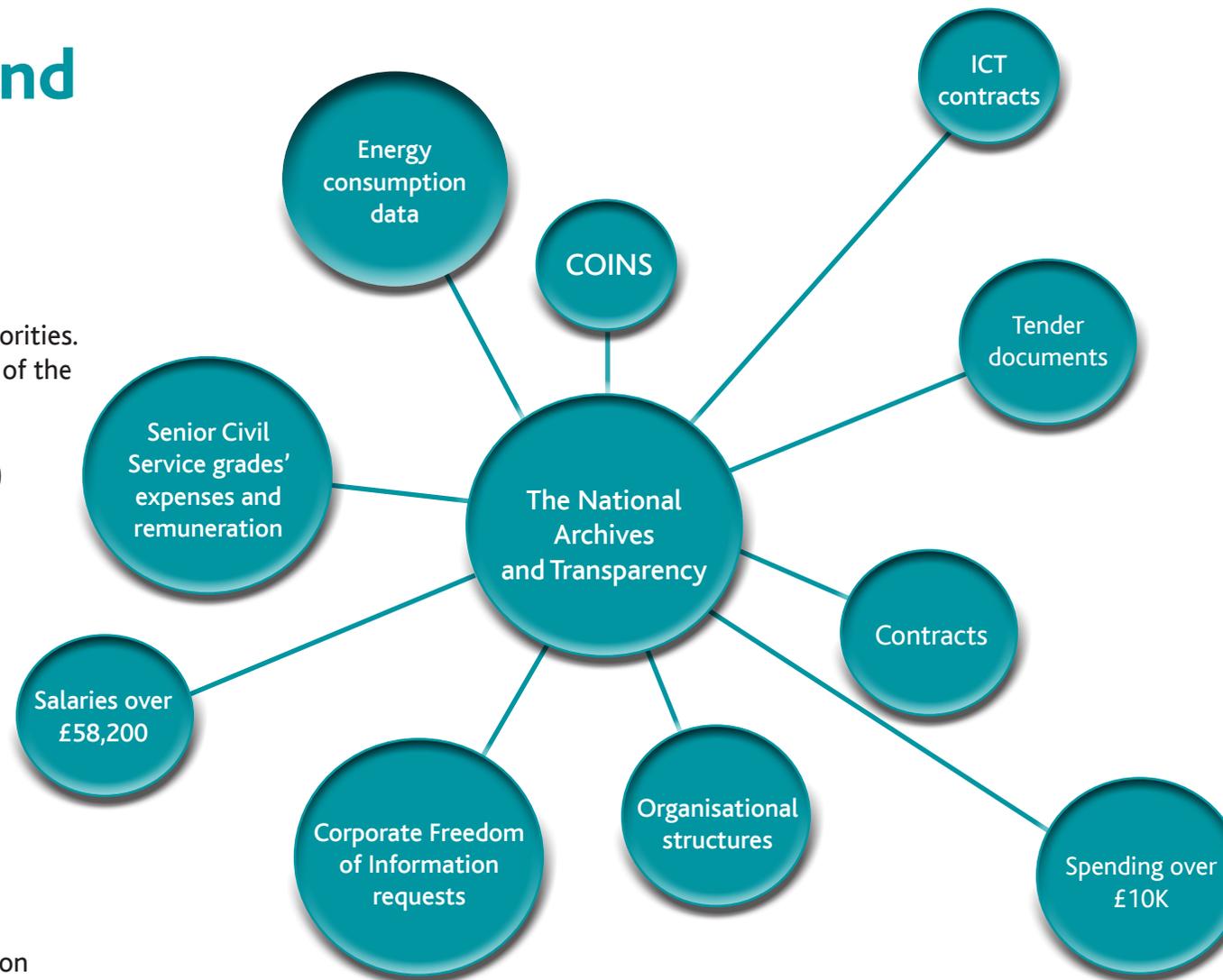
# Information strategy and transparency

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:

| Input 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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