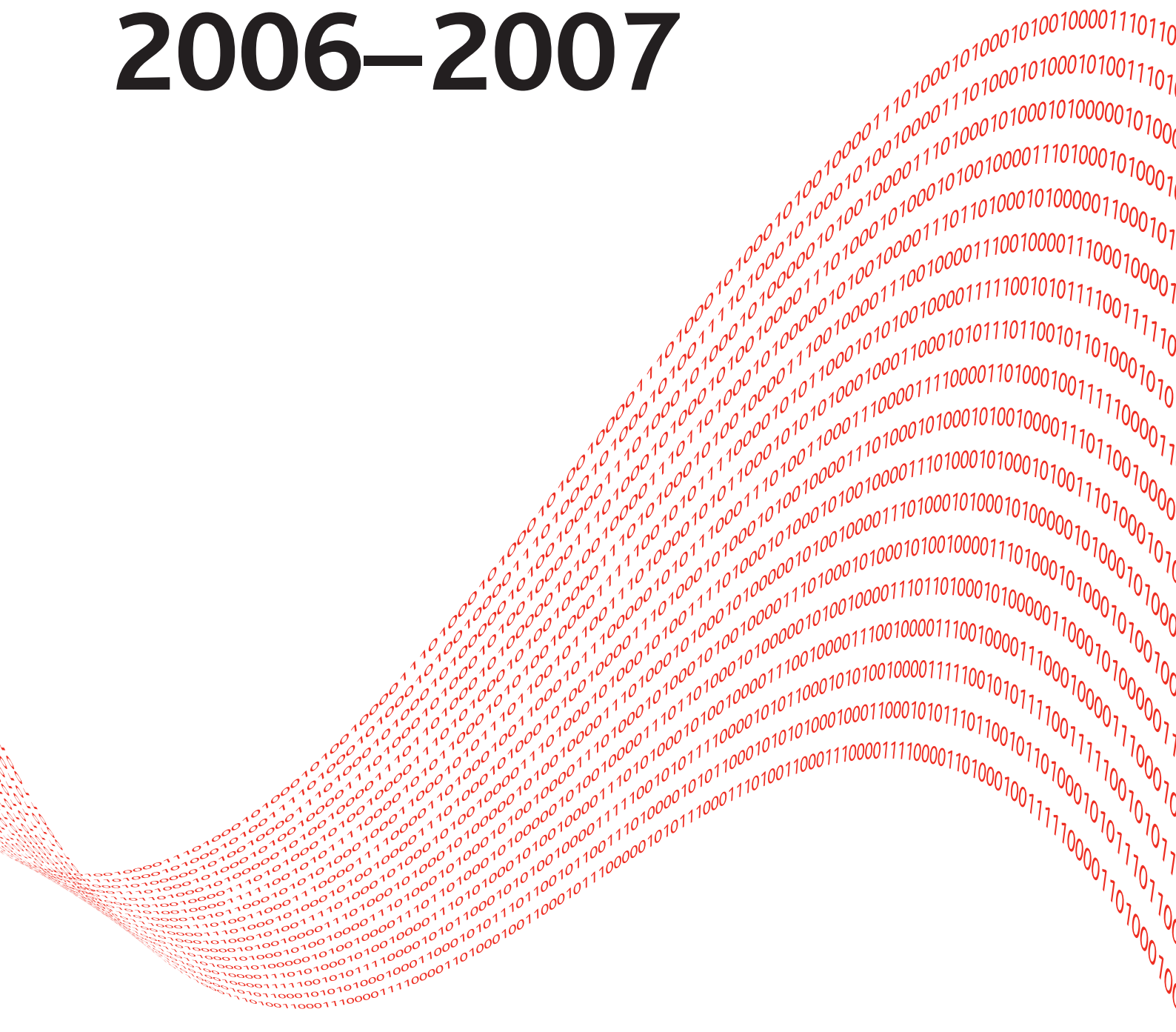




the national archives

Annual Report and Resource Accounts 2006–2007





the national archives

**The Fourth Annual Report and
Resource Accounts on the work of**

The National Archives

**and the Fourth Report of the Advisory
Council on National Records and Archives**

2006-2007

*Annual Report and Resource Accounts presented to Parliament by
HM Treasury on behalf of the Lord Chancellor pursuant to section 1(3) of the Public Records Act 1958
and section 6(4) of the Government Resources and Accounts Act 2000*

Ordered by The House of Commons to be printed on 24 July 2007

About us

The National Archives is a non-ministerial government department and an executive agency of the Secretary of State for Justice. It brings together the Public Record Office, Historical Manuscripts Commission, the Office of Public Sector Information and Her Majesty's Stationery Office.

Visit us at

The National Archives
Ruskin Avenue
Kew, Surrey
TW9 4DU

Tel: 020 8876 3444
Fax: 020 8878 8905

Family Records Centre
1 Myddelton Street
Islington, London
EC1R 1UW

Tel: 020 8392 5300
Fax: 020 8392 5307

Visit us online at

nationalarchives.gov.uk



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Chief Executive's foreword

To the Right Honourable Jack Straw,
Lord Chancellor, Secretary of State
for Justice.

I am delighted to present The National
Archives' Annual Report and Accounts
for the financial year 2006-2007.



This has been an incredibly busy but successful year for The National Archives, in which we have not only performed well against demanding targets, but made significant steps towards meeting the challenges of a rapidly changing information environment, launching our new Vision and merging with the Office of Public Sector Information (OPSI).

Meeting the needs of today

Once again exceeding our service targets for customer satisfaction and availability of records, we continue to be recognised as an organisation that offers high-quality and inclusive services to all our customers, providing excellent public access facilities at Kew, reflected by the retention of our Charter Mark accreditation.

Over the course of the year, we have also made huge strides in delivering our ambitious, digitisation programme, the most large-scale example of this being the launch in August 2006, of **Domesday Online**, the digital version of the Domesday Book. Other significant launches this year have included the provision of outward-bound online passenger lists, an advanced Latin online tutorial, the digitisation of WW1 soldiers' records and the launch of the online exhibition *Caribbean Histories Revealed*. Future major projects include the delivery of the **1911 online census service** and the launch of *British Governance in the Twentieth Century*, an online project being funded by the Joint Information Systems Committee (JISC), involving the digitisation of a significant number of Cabinet Office papers dating back to 1916.

The launch of our ground-breaking **Global Search facility** in March 2006 has also played a crucial role in helping to improve the overall experience of our website users. This invaluable resource, which recently won the **Best User Experience** at the International Industry Awards, now provides a unified enterprise platform simultaneously querying over 30 million documents, returning hits with Google-like speeds. This will be of immense value to family historians, academics and other

users worldwide, who are now able to access the wealth of our websites from one single entry point at the click of a button.

Not surprisingly, our website is more popular than ever. Recently ranked in the **top five central Government websites** (source: Hitwise), attracting over 22 million unique visits per year and with over 60 million documents downloaded, last year we more than doubled our target for online visits. The incredible success of our award-winning digitisation programme is reflected in the fact that for every document delivered in person in our reading rooms, we now deliver over 100 documents online. Demand for online access is continuing to rise dramatically year on year and, over time, we expect to become a predominantly online service delivery organisation.

Electronic records are of enormous concern to us but The National Archives also continues, through preservation and conservation, to care for the government's archive of paper-based documents, all 176km of it! This year, in addition to playing an important role in establishing procedures to ensure best preservation practices to deliver our successful digitisation programme, our **Collection Care** department continued its extensive programme of conserving and making available a number of important historical records of high public interest, including amongst others a signed letter from Horatio Nelson.

Expertise is central to the success of The National Archives. Archives are not always easy to use and to realise their potential they need cataloguing and interpretation. This year we have continued to offer expert staff help, support and advice to make it easier for the public to use our collections in addition to extending and developing our range of research guides. This included the production of six new research guides, in collaboration with key experts and interested community leaders, to commemorate the **Bicentenary of the Abolition of the Slave Trade Act**, introducing new researchers to the material on slavery held in The National Archives, as well as other archives.

We also continued to play a key role in **supporting government through Freedom of Information (FOI)**, across all of our records, which span virtually

all departments, and this year received the second highest number of enquires across government. Responding to a **Decision Notice by the Information Commissioner** we have recently implemented a service to supply some information from the 1911 census, to meet our FOI obligations, which has proved popular.

Through our merger with the Office of Public Sector Information (OPSI), a key policy area, which we have been leading on, is **improving standards in information re-use**. Our **Click-Use Licences** are allowing anyone, or any organisation, to license government information easily and cost-effectively. Some of our recent success stories include freeing up HM Land Registry data for re-use, standard terms and conditions introduced by the Met Office and the Home Office's online licensing system. Future plans to enable and encourage better information re-use include introducing economic expertise to strengthen the financial aspects of the Information Fair Trader Scheme, working alongside other audit bodies and discussing Public Sector Information Holders' performance with their customers.

Bringing history to life has significance not only for our own holdings but also for the archival sector as a whole. For the UK's archives, from local record offices to private and specialist archives, the importance of preserving our history for future generations has never been more significant. Our role in supporting the archival community has been further strengthened by developing a **self-assessment approach to measuring service quality** in local authority archives and encouraging improved accessibility to services across the sector. A recent initiative to achieve this is our work with the MLA and other national institutions to develop the 21st Century Archive as a replacement government policy on archives. This archives policy will show how they can make a difference to people's lives through initiatives such as Birmingham City Archives "Connecting Histories" project supporting personal and community identity and social justice.

Responding to the opportunity to share information and work together, this year we also introduced a new initiative to assess how information is being managed in Government

departments. Our **Information Management Assessment** programme assesses the level of risk central government bodies face through poor information management and non-compliance with the FOI Act's Code of Practice on records management. Our ultimate aim with these assessments is that information and knowledge management is widely recognised as a core activity across government.

Meeting the challenges of tomorrow

The digital revolution is creating new and exciting challenges and changes to how we live and work. Our Vision sets out a framework for how we propose to meet these challenges, both in the public service and in the wider information and record management community.

An integral part of realising our Vision has been the **merger in October 2006 with OPSI**. Our combined, bigger National Archives is already working successfully as a joined-up organisation and we are extremely fortunate to have joined forces with OPSI's dedicated and professional team of staff, who bring with them such a diverse range of skills and expertise.

This year, reinforced by our Vision and commitment to help raise awareness of the importance of strong information management, we have spearheaded a number of cross-government initiatives to highlight its critical role in underpinning so many aspects of government accountability, adding even more value to both the information management community and its users.

Recently we have taken a lead role in the development of a Vision and Strategy for the Government's **Knowledge Council**, which will make a significant difference in identifying opportunities for further shared-service innovation and cost savings within Government. Our role in formulating an implementation plan for the Knowledge Council will be critical in scoping its role and taking it forward over the next few months.

Additionally our role in supporting government departments to help them manage their

information effectively is increasingly proactive. As part of the Government's "*Transformational Government*" strategy to make important information more readily accessible for Internet users, we have been collaborating closely with Government departments to ensure proper processes are put in place to **archive Government websites** before they close down.

Over the course of the year, we also continued to make huge strides in responding to the challenges of **digital preservation** and we are working across Government to set standards and ensure appropriate solutions are developed. Over the next five years, we aim to further support the preservation of those central government records required for current business use. Our own digital preservation solution, the **Seamless Flow Programme**, allowing digital records to be securely transferred online, is currently being piloted in selected Government departments and due to become fully operational later in the year.

Responding to the ever-increasing demand and interest in family history, our **Kew 2008 programme**, announced as part of our Vision and involving the transfer of the Family Records Centre (FRC) services and staff in Islington to Kew, will provide our customers with a world-class integrated reader experience on one site, offering access to both online resources and personal staff expertise, including importantly a strong family history service and help for specialist researchers. As the move is likely to result in a substantial increase in daily visitors to Kew, we are currently reviewing and redesigning our on-site customer facilities to accommodate this increase in visitor numbers.

The National Archives is passionate about making Britain's national heritage as accessible as possible, so one of the central components of our Vision has been our pledge to help **bring history to life for everyone** by developing **outstanding online services**. The scale of our award-winning digitisation programme is immense – with the aim of digitising over 100 million pages within 5 years, it is certainly one of the biggest in the world. However, we are well on our way to meeting our target of making over 90% of our most popular

documents available online by 2012, and through our innovative commercial partnerships, achieving this at a minimal cost to the taxpayer.

In developing better catalogues and online resources, we also want to harness the expertise of our customers, and create virtual communities, reflecting current trends in how online researchers shape and use information. The recent launch of our ground-breaking and innovative **new wiki service, "Your Archives"**, is enabling our users to share their knowledge of archival sources held by The National Archives and by other archives throughout the UK, providing information-sharing on a scale unheard of beforehand.

Partnerships

Close collaboration and good partnership working have been a recurring theme throughout the year. Successful cooperation with our commercial partners has continued. Recently we awarded the **1911 census digitisation contract** to Scotland Online and are confident they will deliver a market-leading online service in 2009. We have also continued to publish the successful and popular family history magazine *Ancestors* in conjunction with our partners Wharncliffe Publishing.

Our piloting of the self-assessment of Local Authority archive services and our work on the preparation of a new Government policy on archives has further strengthened our support of the archive sector. Within the UK, we have also agreed a new programme of work with the **National Council on Archives**, which we hope will deliver wider appreciation of the value of archives to society.

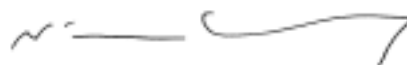
Recently, our Public Sector Information team has worked with Advanced Knowledge Technologies (AKT) and the University of Southampton on an inter-disciplinary research project called **AKTive PSI** which aims to raise awareness about and disseminate the capabilities of semantic web technologies amongst government departments, agencies and local authorities.

We continue to collaborate and develop new relationships in the **academic community** and we

are actively engaged in research projects across a number of disciplines working closely with EU partners, University of Southampton, University College London, Cardiff University Biophysics Group and Kings College London, to name just a few. In addition to the launch of a number of successful projects with key stakeholders from across Government and the public and private sectors, we have also strengthened strategic partnerships with our **international archival partners**. In November 2006 we hosted a successful meeting involving **senior international archivists** from the United States, Switzerland, Canada, France and Scotland at which a number of areas of mutual concern and interest were explored, particularly the challenges we face in raising the profile of information and records management on our respective Governments' agendas.

My first 18 months as Chief Executive have been challenging and exciting. As always, the success we have enjoyed in the past year would not have been possible without the expertise, dedication and hard work of our staff, who continue to make the difference in what we do and what we achieve. It is thanks to their hard work, creativity and innovation that we are meeting or exceeding all our targets and going forward so successfully.

There are exciting times ahead for the National Archives, and not least in displaying a spirit of innovation, leadership and creative partnerships with others. It has been a real privilege leading the organisation over the last year and a half, and I look forward to us enjoying even greater successes in the coming months and years ahead.



Natalie Ceeney

Chief Executive
The National Archives

16 July 2007

A new Vision for The National Archives

The digital revolution is fundamentally changing how we live and work. The business of government is no longer driven by paper, but by email and electronic documents. Increasingly citizens access government services online, want information provided electronically, and want to interact with the services they use. And we have the new challenge of preserving the integrity of digital objects in their own right.

The Vision is our response to this rapidly changing information world and constant technological innovation. It seeks to reposition The National Archives so that we can meet the challenges of the twenty-first century and maintain our position as both a leading information policy maker and a key provider of archival information, both nationally and internationally. The key theme within our Vision is recognition of the importance of information – information for use, for business accountability, and for the nation's memory. Success in this arena is essential for both us, and the United Kingdom as a whole – and only by achieving this can we safeguard the national archival record for the future.

A major enabler of this vision was our merger in October 2006 with the Office of Public Sector Information, under the joint name of The National Archives, which is bringing together government policy leadership across the whole information management spectrum into one body. The merger has created one unified organisation with a strong information management and regulation role across government and the wider public sector, in addition to our role supporting the wider archival sector.

This will enable us to have a direct influence on the principles and processes of information management, from the first stages of information creation through to preservation through to re-use of current information, and access to history for generations to come.

A key goal for us over the next year is to strengthen our role within government so that departments and policy-makers recognise the benefits of good information management, and are supported with the right tools and systems to improve their own approaches. We also need to continue and intensify our work in managing digital information, both through preservation and online delivery so that we meet the needs of our customers wherever they are, both now and in the future. For this reason, digitisation of records, improved search mechanisms and redesign of our services so that we become a predominantly online organisation continue to figure strongly in our overall plans.

Within its Vision, The National Archives is seeking to:

- **Lead and transform information management.** Government and the wider public sector need better information management in order to deliver effective services, to strengthen accountability and to release the potential of their assets. We will shape future policy on information from its creation to re-use and show leadership across the public sector, helping to create a common infrastructure of services and guidance that enables others to realise the benefits of good information management.
- **Guarantee the survival of today's information for tomorrow.** As well as preserving the nation's existing paper records, we need to rise to the challenge of ensuring the survival of digital information for future generations. We will work across government and the wider public sector so that digital information can continue to be accessed for both today's business and tomorrow's history.
- **Bring history to life for everyone.** Archives can make a positive difference to people's future by connecting them to the past. Increasingly people

expect to find, use and learn from information online. Our Vision recognises our commitment to provide access to information wherever it sits but also to help everyone use it to excite and enrich their lives.

Leading and transforming information management

Keeping pace with the transient nature of information is critical to government, as well as to society as a whole. *"Transformational Government"* (2005) acknowledges that, "modern government – both in policy-making and service delivery – relies on accurate and timely information". User expectations are increasing exponentially in this information age, and opportunities to develop new and improved user services rely heavily upon information assets.

Most commentators recognise that we are at the birth of an online transformation that is far from mature. Technology is changing rapidly and information comes in varying and constantly evolving formats. At the same time, the patterns of creation and use of information are changing radically, requiring very different approaches. In this context, joined-up leadership is essential. The merger of The National Archives and the Office of Public Sector Information has created an organisation that is uniquely well positioned as a policy leader and facilitator in this field, with a wider remit to support good information management. Building on our existing policy and advisory role, we aim to join up approaches across different strands of information management, lead new thinking in the field and support government and the wider public sector.

The National Archives has encouraged the creation of a new **Knowledge Council** for Government, and is providing its secretariat. The Council will provide a strategic focus for all aspects of information management. Working with the Knowledge Council we will develop tools and guidance to deal with digital information, including approaches to **managing, storing and accessing electronic records**. We will be encouraging wider re-use of public sector information through the **Information**

Fair Trader Scheme and providing practical support through tools such as the **Click-Use Licence** for easy online licensing.

We will also play a **stronger assessment and regulation role**. We will support and develop departments' capability in information management through **Information Management Assessments** (which will assess departmental performance) and regulate as required under the Government's re-use regulations.

Guaranteeing the survival of today's information for tomorrow

In addition to preserving the nation's existing paper records, we need to rise to the new challenge of ensuring the survival of digital information for future generations. Paper is no longer the dominant medium for record-keeping – the future is firmly electronic.

Unlike paper and parchment records, which have lifespans of centuries, electronic records are inherently ephemeral and vulnerable. Many e-documents such as web pages can disappear within days of their creation; without active preservation those e-documents which do survive become obsolete, on average, within seven years. Data stored on floppy disks can often no longer be read; databases operate on old and obsolete platforms which can stop functioning; and constant migration of platforms jeopardises essential data on a daily basis.

Our Vision recognises the real danger, faced not only by governments internationally but the whole information and archive sector, of losing critical knowledge vital for both today's business and tomorrow's history.

The National Archives has proved to be a responsible guardian for paper government records and we are already responding to the challenge that digital preservation presents. Our priority remains unchanged – we are here to preserve significant information of historical importance, just as we have done with paper, parchment and vellum for hundreds of years. We are working to seamlessly transfer e-information into our **digital**

archive to ensure that it survives for hundreds of years alongside the paper legacy.

Developing methods of preserving the nation's memory for tomorrow is not limited to providing a historical resource. Government departments need to keep key records for business use and continue to have access to them beyond the average lifespan of an e-document. The National Archives is working across government to set standards and ensure appropriate solutions are developed to respond to the **challenge of digital preservation**.

Over the next five years, we aim to **support the preservation of those central government records** required for current business use by developing a digital preservation service, which we hope will be shared across Government.

Electronic records are of enormous concern to us but The National Archives also continues, through preservation and conservation, to care for the Government's legacy of paper-based documents. Our collection currently totals over 175 kilometres in length – and there are another 30 years' worth of paper files yet to be transferred to The National Archives from Government departments!

Our Vision also recognises our **guardianship role for public records** distributed throughout the UK, as well as our responsibilities for ensuring private records are effectively monitored. We will continue to work proactively across both Government and the wider archive sector to most effectively manage Britain's paper heritage.

Bringing history to life for everyone

Increasingly people expect to find, use and learn from information online. They expect it to be personalised, connected to their wider life and accessible immediately. This means that we now have to deliver, present and interpret our information ever more quickly and intelligently.

The National Archives has built up a strong reputation for delivering services which are highly responsive to customer needs. Since our website was first launched we have seen steadily rising demand for electronic services. We now have over 20 million

visits to our website annually and can offer fully electronic delivery services for finding, ordering and receiving a copy of a document in digital format.

It is clear that customers want to search across as many resources as possible and to this end we have implemented a search function. Online delivery is offering opportunities for us to bring history to life in new and exciting ways. Interactive learning, interpreting our collections of photographic images and making historic public information films easily accessible are just some examples.

For every document delivered in person in our reading rooms, we now deliver over 100 online. Demand for online access is continuing to rise dramatically year on year and, over time, we expect to become a predominantly online service delivery organisation. However, we will continue to provide an onsite service – bringing all our services together at Kew – for those who need to consult original records or would benefit from specific expertise.

Expertise is central to the success of our Vision. Archives are not always easy to use and to realise their potential, they need appropriate cataloguing and interpretation. We will continue to offer expert help and advice to make it easier for the public to use our collections and will be extending what we offer to customers online.

In developing better catalogues and online resources, we also want to harness the expertise of our customers, and create virtual communities, reflecting current trends in how online researchers shape and use information. The new 'Wiki' pages on our website – **Your Archives** – will create a growing repository of information about the content and interpretation of our records, created and improved by researchers outside the National Archives.

Bringing history to life has significance not only for our own holdings but also for the archival sector as a whole. For the UK's archives, from local record offices to private and specialist archives, the importance of **preserving our history for future generations** has never been greater. We will continue to provide support, engage and link with other archives to promote the best possible continuing access to the nation's memory.

Supporting our staff

We appreciate and value our staff highly. It is their continued commitment, dedication and hard work, which will ensure the fulfilment of our Vision and long-term strategy.

We aim to support our Vision by becoming a capable, flexible organisation, equipping our staff with new knowledge and skills and developing specialist expertise. We will ensure that we understand and contribute to emerging technologies and innovation in information provision as well as remaining strong in professional archival developments and knowledge of our holdings.

As part of our extended staff development programme, we recently offered staff the opportunity to participate in a '**Study Tour**' spending a week at the National Archives in either Canada or the US with the objective of building good working relations with relevant stakeholders. Five National Archives teams will be visiting these countries over the next 12 months.

Within this culture of supporting and maximising staff development, we have also recently offered our staff secondment opportunities with the Ministry of Justice and over the next year we will be expanding this secondment programme, working with other Government departments as well as offering '**job swaps**' with **public and private sector organisations**.

Additionally, the launch of our **new Performance Management System** will ensure that we are underpinning a robust and proactive approach to the identification of training needs for all staff and the provision of development opportunities linked to knowledge, skills and competencies.

Our merger with the Office of Public Sector Information

In October 2006, the Office of Public Sector Information (OPSI), merged with The National Archives, under the joint name of The National Archives.

OPSI, which was formerly part of the Cabinet Office, leads the management of Crown copyright, facilitates the re-use of public sector information and, through its Her Majesty's Stationery Office (HMSO) function, has responsibility for official publications.

The merger transferred all OPSI and Her Majesty's Stationery Office (HMSO) functions from the Minister for the Civil Service to the Secretary of State for Justice and Lord Chancellor, with these legal and statutory responsibilities continuing to be delivered as part of The National Archives. The National Archives continues to operate as a non-ministerial government department and as an executive agency of the Ministry of Justice.

The merger between our two organisations presented exciting opportunities to reinforce the growing links between our respective strands of information policy and advisory functions, whilst building on our specialist skills and expertise. It also created a stronger National Archives with a leading role in shaping information management across government and the wider archival sector. This has provided a platform for a more joined-up approach to information management, enabling a more responsive approach to the challenges of new technology and therefore benefiting everyone who works in the information field.

Our joint Vision is for our combined organisation to work closely together to lead on shaping future information management policy, from public sector information creation through to re-use. This will ensure that information, whether on paper or digital, will be accessible by everyone for today's business and tomorrow's history. Together we will be well positioned to lead information management across

government, the public sector and the wider archive sector, in advocacy, policy and delivery.

The merger is the first step in formally taking forward **The National Archives' Vision**, outlined in more detail on pages 8-11. Together we now have the skills and expertise to shape future Government information policy and raise awareness of the value of information on a national and global scale. With our two organisations, we bring together a huge archive of valuable records and official publishing and information and the ability to influence the re-use of these information resources.

The National Archives houses one of the largest archive collections in the world and has a critical role in ensuring that government records are effectively captured, preserved and managed. The Office of Public Sector Information is at the heart of information policy – setting standards and providing a practical framework of best practice for opening up and encouraging the re-use of public sector information.

The wealth of legislative materials and Gazette records combined with the existing National Archives information creates a vast resource and we will actively encourage other government departments to share their content for wider use. As a single merged, more powerful organisation, we can broaden our reach and bring history to life for even more people.

The merger is enabling us to combine our strengths to show leadership in helping the public sector understand the importance of good information management and creating a common system of services and guidance to support this aim. We will do this on issues ranging from re-use and digital preservation through to archival best practice and the preservation of records of all kinds.

Our People

The National Archives is proud of the achievements, hard work and dedication of all its staff. Here are just a few examples of some of our teams' successes throughout the year.

Collection Care Team



The Collection Care department is responsible for the long-term preservation of The National Archives' collection for continued access and future use. We aim to establish a preservation ethos throughout the organisation, whilst also developing a national role for The National Archives as a leader in collection care.

"The report from Lt. Chard on the Defence of 'Rorke's Drift Mission Station' (WO 32/7737) and a letter entitled 'Battle of the Nile' signed by Horatio Nelson (ADM 1/398) are just two of the many unique records made available to the public during the year as a result of Collection Care's continuing programme of conserving records of public interest."

Mario Aleppo, Head of Collection Care Department

Family Records Centre team



The Family Records Centre provides a family history service to visitors, advising them on how to use our wealth of genealogical records and advises on matters relating to the registration of births, adoptions, marriages and deaths. The team will be relocating to Kew in March 2008. This exciting development will provide our customers with an even stronger family history service and world-class integrated reader experience on one site.

"The Family Records Centre hosted two one-day conferences this year. The first focussed on British Ancestors in India, while the second was dedicated to Irish family history. Both events were sold out and received excellent feedback from the public. I was particularly proud of the way that the whole FRC team worked together on these events – ensuring everything ran smoothly on the day – and at the same time, keeping the day-to-day activities of the FRC's running in the usual efficient way."

Dave Annal, Development Manager, Family Records Centre

Office of Public Sector Information



"Bringing the OPSI remit within The National Archives this year strengthens the reach and impact that a co-ordinated information management policy across government can deliver."

Carol Tullo, Director of Public Sector Information Directorate

The Office of Public Sector directorate is at the heart of information policy, setting standards, providing a framework of best practice for opening up and encouraging the re-use of public sector information. They deliver a wide range of services to the public, information industry, government and the wider public sector relating to finding, using, sharing and trading information.

The Positive Action Team



"Overall I think that the group has brought social inclusion issues to the forefront of The National Archives discussions and debates and has taken them forward to produce visible results. Examples include positive feedback from the Prisoner 4099 project and work experience initiatives, both which were championed by the Positive Action Workgroup."

The Positive Action Group consists of members of staff from across the organisation who devote extra time to identifying and developing initiatives to make us a more diverse and accessible organisation.

"I feel proud that we have engaged the views and opinions of people that are directly involved with social inclusion issues."

Yasar El-Borgi, Member of the Positive Action Team

The Client Management Unit



"We are really pleased that the Information Management Assessments have had such a positive reception across government. The assessments are a great way to let senior staff in other government departments understand how vital good information management is."

Rose Ashley,
Programme Manager

The Client Management Unit looks at where poor information management practices pose risks to government departments and makes recommendations on how to tackle risks as well as highlighting best practice. Part of The National Archives' vision to transform information management, the Information Management Assessments programme is designed to raise the standard of information management across government, ensuring it can cope with the challenges and opportunities of digital working.

The Seamless Flow Project Team



"This year we have made substantial progress with software developments for e-record transfer, active preservation, secure storage and presentation to the public. A highlight has been piloting the transfer of e-records with selected government departments and agencies."

Derek Breeden, Seamless Flow
Project Team Leader

The Seamless Flow Programme Team is charged with day-to-day responsibility for ensuring a successful delivery of an automated, seamless solution to the archiving, preservation and online presentation of electronic records. The team provides the essential coordination of the eight individual projects that make up the Programme.

The Education Team



"With record numbers accessing our range of workshops, videoconferences and online resources, the Education team really do bring history to life for students and teachers everywhere."

Andrew Payne, Education Manager

The Education team makes the unique collection of The National Archives accessible to learners from primary school age through to undergraduate level by delivering onsite workshops, videoconferences and online resources through the Learning Curve website. The innovative use of new technology and creative excellence is widely recognised both nationally and internationally, with the result that the Education Service at The National Archives has become a reference point for other archives, libraries, galleries and museums seeking to deliver resources into the classroom.

Document Services Department



"The highlight of our year was the successful merger of the departments. We have managed to streamline our resource while continuing to maintain a level of customer service widely regarded as the best in the archival world. DSD's motivated and supportive staff delivered in excess of 600,000 documents to our customers with the vast majority produced within 20 minutes of request. A new team has been created within the reprographic section to bring in new project and contract orders. This will further enhance our reputation in the wider arena of record copying."

Tom Gregan, Head of Document Services

Document Services Department (DSD) was established in May 2006 from the merger of Archive Production Services (APS) and Record Copying Department (RCD). This new Department is responsible for the storage, delivery, copying and in-house digitisation of The National Archives' original records.

Performance against key Ministerial targets and Milestones

Customers and stakeholders

Reach

Indicator	Status	2006/07	2006/07 Target	2005/06
Documents supplied	Exceeded	66,750,000 ¹	43,071,000	35,374,277
Schools Visits	Exceeded	2,366,300 ²	1,808,500	2,158,114
Onsite/Online visits	Exceeded	23,245,000 ³	16,120,000	22,164,027
Workshops to Schools – Free meals	Exceeded	2,650 ⁴	1,500	N/A
Workshops to Schools – Ethnic Minorities	Exceeded	4,100 ⁵	2,000	N/A
Growth in Retained website users	Exceeded	1,124,500 ⁶	1,000,000	869,565

All indicators in this section exceeded the target, most by a significant amount.

Quality

Indicator	Status	2006/07	2006/07 Target	2005/06
Customer Satisfaction – Onsite services	Exceeded	95%	90%	94.7%
Customer Satisfaction – Online services	Exceeded	81%	80%	81%
Digital Express – Delivery	Exceeded	99.9%	98.5%	N/A
Digital Express – Customer Satisfaction	See note	N/A ⁷	90%	N/A
Records availability	Exceeded	19 mins	35 mins	14 mins
Online services availability	Exceeded	99.8%	99%	99.68%
Internal business systems availability	Exceeded	99.9%	99%	N/A ⁸
FOI queries	On target	98.2% ⁹	95%	98.6%

Growth and Development to support future

Indicator	Status
Seamless Flow project on target	Achieved
Electronic Preservation of digital records	Achieved
Global Search project delivered successfully	Achieved
Implement new TNA vision and strategy	Achieved
Human Resources and organisational strategy developed	Achieved
90% business plan targets on track	Achieved

Value for Money

Indicator	Status	2006/07	2006/07 Target	2005/06
Preservation (per metre stored)	Exceeded	£77.89	£90	£92.45
Visits (cost per visit) ¹⁰	Exceeded	£0.96	£1.61	£2.66
Cash Flow management league	Not achieved	9th ¹¹	Better than 8th	1st

Staff

Effective Management

Indicator	Status	2006/07	2006/07 Target	2005/06
Sickness per member of staff	Under target	10 days ¹²	9 days	11 days

Diversity

Indicator	Status	2006/07	2006/07 Target	2005/06
Women	Exceeded	48%	37%	46%
Top Management women	Exceeded	48%	30%	33%
Ethnic minorities	Exceeded	18%	4%	19.2%
Disabled	Exceeded	5.6%	3.2%	6.1%

Notes:

- 1 **Documents supplied:** Rounded to nearest thousand.
- 2 **Schools Visits:** Rounded to nearest hundred.
- 3 **Onsite/Online visits:** Rounded to nearest thousand.
- 4 **Workshops to Schools – Free meals:** Rounded to nearest fifty.
- 5 **Workshops to Schools – Ethnic Minorities:** Rounded to nearest fifty.
- 6 **Growth in Retained website users:** Rounded to nearest five hundred.
- 7 **Digital Express:** The size of the sample that responded to the survey was statistically insignificant and no result is being published.
- 8 **Internal business systems availability:** not measured in 2005/06.
- 9 **FOI queries:** At 98%, the statutory FOI target was not achieved, as it specifies 100% of FOI requests to be answered within the statutory deadline. However The National Archives' internal target of 95% was exceeded at year-end, which compares very favourably with government departments overall. As at December 2006, The National Archives was receiving the second highest number of enquiries across government. The 2005/06 figure covers the period January – December 2005. The 2006/07 figure is for the period April 06 – March 07.
- 10 Includes both online and onsite visits.
- 11 **Cash Flow management league:** This was the result of a single receipt of £587k, the largest single receipt of the reporting year, in January 2007, which distorted our January performance against forecast by 20%. Despite good performance in February and March, we were unable to recover from the distorting effect on our position within the league. However, it should be noted that we remained in the top third of small departments in this league, which is a notable achievement.
- 12 **Sickness per member of staff:** Neither the KPI or The National Archives internal target for average sick absence was met. This was the result of a higher level of sickness than anticipated, especially in long-term sick levels. Long-term sick absence accounted for 3.4 of the average 10.26 days at year-end. We have developed plans to reduce this sickness rate and are confident we can reduce levels in 2007/2008.

Key Performance Indicators 2007-2008

Customers and stakeholders

- 1) 66, 275,000 documents supplied (online and onsite)
- 2) 1, 808, 500 schools visits (online and onsite)
- 3) 40, 655, 000 onsite and web visits which includes OPSI
- 4) Maintain customer satisfaction of 90%+ in our onsite services and 80% in our online services
- 5) Increase take up of PSI Click-Use Licence holders to 14,000
- 6) 70% of the UK population recognise The National Archives, shown by annual MORI poll

Growth and Development to support the future

- 7) Creation of integrated reading room services at Kew, including the transfer of the Family Records Centre ('Kew 2008 Programme')
- 8) Completion of our Seamless Flow project for transfer of electronic records
- 9) Establish a Knowledge Council within government, producing a clear strategy for knowledge and information management policy
- 10) 90% business plan targets on track

Value for money

- 11) Delivery of Vision programme for 2007-2008 within budget and in accordance with Treasury rules on End Year Flexibility

Staff

Effective Management:

- 12) Maximum of 9 days' sickness per member of staff (average)

Diversity:

- 13) Achieve diversity for The National Archives staff population as a whole:
 - 50% women
 - 50% top management women
 - 20% ethnic minorities
 - 7% disabled

Resource accounts

2006-2007

The National Archives

A non-ministerial government department and executive agency

Management commentary

for the year ended 31 March 2007

1. About The National Archives

The National Archives is at the heart of information policy - setting standards and supporting innovation in information and records management across the UK, and providing a practical framework of best practice for opening up and encouraging the re-use of public sector information. This work helps inform today's decisions and ensure that they become tomorrow's permanent record. The National Archives is also the UK government's official archive, containing 900 years of history from Domesday Book to the present, with records ranging from parchment and paper scrolls through to recently created digital files and archived websites. Increasingly, these records are being made available online.

The National Archives is a non-ministerial government department and an executive agency under the Secretary of State for Justice. We give detailed guidance to government departments and the public sector on information management, in order to ensure the survival of records in whichever form they are created, be it paper or digital. We also advise custodians throughout the public and private sectors about the care of historical archives.

In October 2006, The National Archives merged with The Office of Public Sector Information, bringing together policy leadership across the whole information management spectrum. Through the merger, The National Archives gained expertise in finding, using, sharing and trading information throughout government and the wider public sector, consolidating its resources in best practice and guidance in preserving information for the future.

Vision and objectives

During 2006-7 the National Archives developed its Vision for 2007 – 2012, which is to:

- Lead and transform information management
- Guarantee the survival of today's information for tomorrow
- Bring history to life for everyone

Through this Vision we aim to safeguard the 21st Century archive by ensuring that digital information is managed as soon as it is created, that it survives for future generations to use, and that information can be delivered to researchers in the best possible way to meet their needs.

During the year, The National Archives worked to achieve the following high-level objectives:

- Seamless information services from document creation to delivery on the web
- Excellence in records management practice throughout the public sector
- Preservation of the nation's archival heritage
- Services available and relevant to all
- Raising our profile and that of archives as a whole
- A leadership role in the archives and records management community

Management and structure

During the year under review, the functions and duties of The National Archives were carried out by five directorates:

Public Services and Marketing was responsible for making our records available to the public, both onsite and online, and for developing and promoting high-quality public services. It provided expert advice and other services to readers and remote users, and expert knowledge about the records through the creation and refinement of traditional and electronic finding aids. It provided the means for researchers to obtain a copy of a record, either onsite or online. It was also responsible for the storage of public records and for making them available to the public and government users.

The Directorate was responsible for making catalogues, records and advice available to the public electronically on the Internet. It managed The National Archives' web site, digitisation programme and e-learning initiatives, and provided various services promoting the archives to readers and remote users. It organised publicity and marketing activities designed to raise awareness of The National Archives and was responsible for promoting good internal communications. It arranged a programme of activities including school visits, events and exhibitions, and engaged in publishing, retailing, licensing and other income-generating activities.

Collections and Technology was responsible for overseeing the management of current records in government, both paper and electronic. It guided and supervised government departments and other public record bodies in the selection and transfer of records to The National Archives, or to other suitable archives. It then preserved those records by ensuring that they were maintained and stored in good order. It developed special provisions for selecting and preserving electronic records and deals with relevant aspects of government information policy. It also advised the Lord Chancellor on the records system in general and on the implementation of the Freedom of Information (FOI) Act in this respect.

The Directorate also liaised with other record offices designated as places of deposit for public records. It made enquiries about the existence and location of records relating to British history outside the public records, and recorded details of those records in The National Register of Archives (NRA). It provided advice to private owners, the V&A Purchase Grant Fund, the Heritage Lottery Fund, the Manuscripts Conservation Trust and other bodies on grant applications from archive institutions. It also advised the relevant government bodies on the Acceptance of Manuscripts in Lieu of tax.

Collections and Technology was also responsible for the maintenance and development of The National Archives' ICT infrastructure, including operational ICT and more specialised development, including long-term digital preservation.

Finance and Corporate Services ensured the efficient, effective and proper use of The National

Archives' financial, staff and other resources. It was responsible for essential support services. These included finance, procurement, internal audit, the monitoring of project controls and risk management. It also managed security and the general management of the estate and its facilities. All of these functions supported The National Archives in meeting its business and corporate objectives.

The Public Sector Information Directorate, was created from the merger of OPSI with The National Archives in October 2006. This Directorate is at the heart of information policy, setting standards, delivering access and encouraging the re-use of public sector information. OPSI provided a wide range of services to the public, information industry, government and the wider public sector relating to finding, using, sharing and trading information.

Human Resources handled all aspects of recruitment and selection, pay, learning and development, employee relations and health and welfare. This included policy development and advice to managers and staff as well as day-to-day personnel administration.

2. How we work

Employment policy

The National Archives is committed to equality of opportunity for all. Policies are in place to guard against discrimination and to ensure that there are no unfair or illegal barriers to employment or advancement within The National Archives. Suitability for employment is based on qualifications and eligibility of individuals irrespective of race, age, gender, marital status, disability or sexual orientation. The National Archives follows the Civil Service Code of Practice on the Employment of Disabled People, which aims to ensure that there is no discrimination on the grounds of disability.

At the end of 2006-07 The National Archives had 608 employees (569.32 full time equivalents). These were made up of 589 permanent staff and 19 casual staff. 293 staff (48.2 %) were women. Of the 589 permanent staff, 34 (5.8 %) would be recognised as having a disability in the context of the Disability Discrimination Act 1995. Of the 561 staff who have

declared their ethnic origin, 102 (18.18 %) were from ethnic minorities.

The National Archives, through its senior managers, meets regularly with staff and Trades Union representatives in a number of forums, including Whitley Council, Health and Safety Committees and link groups. The National Archives provides a welfare service for its employees.

Values

The National Archives has a set of common values for the organisation, which ensure that all staff are able to identify what behaviour is expected of all staff members. These values are:

- Putting customers first
- Being responsible guardians
- Setting open information free
- Trusted to deliver
- Working together

Customers

The National Archives is committed to involving its customers in the development of its services. It operates a number of consultation groups, including a Regular Readers Forum (for Kew) and the User Group (for the Family Records Centre), Online User Advisory Panel, and Cataloguing User Advisory Group. Online service development is tested from scratch with real users.

Users of The National Archives have an extraordinary wealth of knowledge about its collections. The National Archives is keen to harness this knowledge for the benefit of other users, and to facilitate this, has introduced a Wiki to its website. This enables researchers to contribute directly and share their expertise. This forms an important part of The National Archives' future plans to work closely with its users to improve the services it offers.

Social, Community and Environmental Issues

The National Archives is an integral part of the Kew landscape, and is committed to being a positive and responsible neighbour. The public is free to use

our award-winning grounds and we help to fund local improvements in signage. We advertise staff vacancies in local newspapers to ensure that employment opportunities are available to local residents. We host meetings for local organisations and work with them to enhance our mutual objectives. We also consult with them when making significant changes to our buildings.

We are committed to reducing our use of energy. Our energy review has continued during 2006-07 and we have established a Green Group to identify energy-saving opportunities. During 2007-08 we aim to reduce our energy consumption by 2%.

Departmental Report

The National Archives' departmental report was presented to Parliament as part of The Department for Constitutional Affairs' Departmental Report. This outlined progress against objectives for the performance year and was published in May 2007.

3. Our financial and performance management, and risk management approach

Statement of payment practice

The National Archives operates a policy of paying within 30 days of receipt of goods or services, or receipt of the invoice (whichever is later). During 2006-07, 99% were paid within agreed credit periods.

Preparation of the accounts

The accounts are prepared in accordance with the direction given by the Treasury in pursuance of section 5(2) of the Government Resources and Accounts Act 2000.

Financial Control

The National Archives is funded through the Supply Estimates. These are the means by which government seeks authority from Parliament for its own spending each year. The National Archives' net total resources outturn for which authority was sought and approved through the Supply Estimates was £44.3m. The actual outturn for the

financial year was £38.3m, a saving of £6.0m. The cash requirement of The National Archives is projected on a monthly basis. We liaise with Her Majesty's Treasury to enable these funds to be made available through the Office of HM Paymaster General (OPG), which is The National Archives' main banking facility. We also maintain facilities with the National Westminster Bank to clear retail transactions through to the OPG and also arrange for electronic transactions (debit and credit cards) to be collected on The National Archives' behalf. Management information is reported to the Executive Team monthly and all budget holders are subjected to at least a quarterly review of all of their costs and revenue. This review enables us to respond quickly to variances, identify where action is required and ensure that the best use is made of public money.

Financial Position

In 2006-07, The National Archives' net outturn of £38.3m was £6m under the amount allocated in the Spending Review 2004 (£44.3m after taking into account the amount allocated to PSI). Savings were identified to ensure that The National Archives could continue to meet its statutory obligations over the next spending review period by taking early measures. This is the result of close financial control of the discretionary elements of expenditure and investments made to reduce the ongoing running costs of the organisation. Significant savings were made in agency staff, consultancy, maintenance and telecoms spend. This was achieved by reviewing all headcount and major contracts as they were renewed, this work is ongoing. The carry forward to 2007-08 in £6.0m; this is required to fund 'Kew 2008' (the move of the Families Record Centre to Kew including upgrading the Reading Rooms), significant investment on repository climate control to protect our documents in the light of climate change, and an agreed transfer back to the Ministry of Justice. In 2007/8, other major areas of expenditure will be website re-design to meet the needs of our offsite customers and continuing the work on the electronic records programme.

The net unspent amount of £6.0m is made up of an underspend on both cash & non cash. The Net Cash

Requirement was under the voted estimate by £7.9m, but the majority of this was not drawn. The National Archives was 9th of 32 in the cash flow management league for small departments compared to 1st last year; this fall was largely due to the effects immediately post-merger with OPSI in 2006/07.

Capital expenditure was £2.7m, resulting in an underspend on capital of £0.5m. Capital spend increased from the previous year, due to expenditure on Seamless Flow and investments to reduce ongoing running costs. This underspend will be used in 2007-08 for the capital elements of the Kew 2008 programme and other investments. The non-cash elements of expenditure were also underspent against the estimate and last year; this was due to a reduced level of impairment provision required in 2006/07.

Over the coming years we will face increasing financial pressure. The National Archives has a challenging new Vision to realise as well as managing the ongoing pressure of dealing with digital and paper information. We are looking at all expenditure critically to limit increases and we are reviewing all income lines and our income strategy in order to grow income at ten percent per annum to help fund future expenditure.

Audit

The financial statements have been audited by the National Audit Office on behalf on the Comptroller and Auditor General. The audit fee was £65,000 (see note 20). The National Audit Office did not provide any non-audit services during the year.

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

Key Performance Targets

The National Archives' performance against its key performance indicators continues to be extremely strong, meeting 19 of its 21 targets. This is shown in detail earlier in this report.

Risks and Uncertainties

The National Archives' major strategic risks are set out in a Corporate Risk Register. The top three risks identified during 2006-07 were as follows:

- Core funding from government is reduced or does not increase with inflation
- 1911 Census Project (a) failure of project to deliver (b) The National Archives is required to release 1911 Census information early
- Inadequate management of relations with key external stakeholders/partners

All of these risks were managed well in-year. Our SR07 finishing settlement has given us financial certainty through to 2011, and our position on the 1911 census is now clear and the immediate consequences manageable, following the Information Commissioner's decision notice this year. We believe that we managed the risks of poor stakeholder communication well by communicating our new Vision, the OPSI merger and the FRC relocation very effectively.

All Programme, Project Boards and departments maintain risk registers, which are evaluated regularly.

Pension Liabilities

Present and past employees are covered by the provisions of the Civil Service pension arrangements. These are explained in detail in the Remuneration Report and note 3 to the accounts. Benefit expenditure for Civil Service pensions is borne on the Civil Superannuation Vote. Where The National Archives bears the cost of pension provision for staff, it is by the payment of an annual accruing superannuation charge. The charge is shown under "other pension costs" in note 3 to the accounts.

4. Review of activities

During 2006-7 The National Archives saw a rapid increase in the content accessed via its website, with delivery of documents onsite and online reaching 67 million at year-end against a target of 43 million. The National Archives' website received 22.5 million web visits (over 25% higher than target) from a global audience.

The National Archives carried out five major development projects during the year to ensure that it continues to meet the needs of future researchers. All of these projects were completed successfully, and included:

- Continuation of the Seamless Flow programme, which will introduce effective processes for the transfer, storage and management of electronic documents. This will ensure that The National Archives is ready to manage the increasing numbers of digital records that are being created by departments and agencies.
- Introduction of the 'global search' facility across all the online resources on The National Archives' website, enabling researchers to find information quickly and easily. Global Search won the Best User Experience category at the 2006 International Information Industry Awards.
- Drafting, communicating and beginning to implement a new five-year Vision and strategy. In late 2006 The National Archives merged with the Office of Public Sector Information, broadening the organisation's remit and reinforcing its role at the heart of information management.
- Producing a new human resources and organisational development strategy to support The National Archives' Vision.
- Devising and embedding sound complaints processes and reporting as an alternative to litigation; an integral part of the maturing implementation of regulatory standards for information re-use across the public sector. The UK has been acknowledged as an exemplar in this area within the EU.

The National Archives continues to perform well against statutory timescales under the Freedom of Information Act, with 98.7% of the 1,940 FOI enquiries it received during the first half of the year answered within target. The organisation continues to receive one of the highest volumes of FOI enquiries across government.

The National Archives' public services continue to deliver efficient and high quality services.

Customer satisfaction with onsite services was high; a survey in June 2006 showed a 95.15% rating. There has been notable growth in online usage, and The National Archives' website was the fifth most popular government site during the year. A 'digital express' service was launched successfully, which delivers electronic copies directly and quickly to the researcher. This new service achieved over 99% efficiency in its delivery targets during the first half of the year. The National Archives' online services are underpinned by a robust infrastructure, with 99% of web services available during the year.

The National Archives continues to perform above target in its educational activities, including workshops provided to schoolchildren and usage of online teaching resources.

The National Archives' Governance

Following the comprehensive governance review undertaken during 2005-06, The National Archives Management Board now consists of 6 Executive Directors and 5 Non-Executive Directors.

At the end of 2006-07, the members of the Management Board were:

Natalie Ceeney

Chief Executive (Keeper of Public Records and Historical Manuscripts Commissioner)

Mark Lamb

Director – Human Resources

Erika Stoddart

Director – Finance & Corporate Services

James Strachan

Director – Public Services & Marketing

David Thomas

Director – Collections & Technology

Carol Tullo

Director – Public Sector Information, (Controller, Queen's Printer of Acts of Parliament, Queen's Printer for Scotland and Government Printer for Northern Ireland)

Mark Addison

Non-Executive Director

Bronwen Curtis

Non-Executive Director

Barry Glassberg

Non-Executive Director

Meyrick Vevers

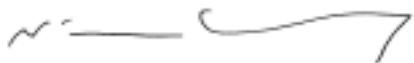
Non-Executive Director

Baroness Lola Young

Non-Executive Director

Details of the remuneration for the Chief Executive and other Senior Civil Servants are shown in the Remuneration Report.

There were no company directorships nor other significant interests held by Management Board members that conflicted with their management responsibilities.



Natalie Ceeney

Accounting Officer

16 July 2007

Remuneration Report

Senior Civil Service Grades

The remuneration of senior civil servants is set by the Prime Minister following independent advice from the Review Body on Senior Salaries. The Review Body also advises the Prime Minister from time to time on the pay and pensions of Members of Parliament and their allowances; on Peers' allowances; and on the pay, pensions and allowances of Ministers and others whose pay is determined by the Ministerial and Other Salaries Act 1975.

In reaching its recommendations, the Review Body has regard to the following considerations:

- the need to recruit, retain and motivate suitably able and qualified people to exercise their different responsibilities;
- regional/local variations in labour markets and their effects on the recruitment and retention of staff;
- Government policies for improving the public services including the requirement on departments to meet the output targets for the delivery of departmental services;
- the funds available to departments as set out in the Government's departmental expenditure limits;
- the Government's inflation target.

The Review Body takes account of the evidence it receives about wider economic considerations and the affordability of its recommendations. Further information about the work of the Review Body can be found at www.ome.uk.com.

Service Contracts

Civil service appointments are made in accordance with the Civil Service Commissioners' Recruitment Code, which requires appointment to be on merit on the basis of fair and open competition but also includes the circumstances when appointments may otherwise be made.

Unless otherwise stated below, the officials covered by this report hold appointments which are open-ended until they reach the normal retiring age. Early termination, other than for misconduct,

would result in the individual receiving compensation as set out in the Civil Service Compensation Scheme. Natalie Ceeney was appointed on a five-year contract commencing on 17 October 2005. Her contract expires on 16 October 2010, but may be extended. Erika Stoddart was appointed on a three-year contract commencing on 15 May 2006. Her contract expires on 14 May 2009. James Strachan was appointed on a four-year contract commencing on 3 April 2006. His contract expires on 2 April 2010. All contracts can also be terminated under the standard procedures of the Civil Service Management Code.

Further information about the work of the Civil Service Commissioners can be found at www.civilservicecommissioners.gov.uk.

Salary and pension entitlements

The following sections provide details of the remuneration and pension interests of the most senior officials of the department.

The Remuneration Committee consists of three Non-Executive Directors: Barry Glassberg, Bronwen Curtis and Meyrick Vevers, advised by the Human Resources Manager Mary Jewkes.

The policy on remuneration of senior civil servants at The National Archives was revised and updated this year. The policy, and the deliberations of the Remuneration Committee, follow the guidance and recommendations of the Senior Salaries Review Body.

Senior staff have written objectives agreed with the Chief Executive, and these form the basis of formal appraisal and subsequent pay and bonus recommendations. Their appraisals are assessed by the Remuneration Committee who determine their pay awards according to the Senior Salaries Review Body's recommendations. The Chief Executive's pay and bonus are dealt with by the separate Remuneration Committee of the Ministry of Justice.

Percentage salary increases, and performance bonuses, are agreed by the Remuneration Committee in accordance with strict guidance and parameters set each year by the Cabinet Office.

The salary and pension entitlements and the value of any taxable benefits in kind of the Chief Executive and Directors of The National Archives were as follows (audited):

Name	Salary including performance pay 06/07	Salary including performance pay 05/06	Real increase in pension and related lump sum at age 60	Total accrued pension at age 60 at 31/3/06 and related lump sum	CETV at 31/3/06	CETV at 31/3/07	Employee contributions and transfer in	Real increase in CETV
	£000 in bands of £5000	£000 in bands of £5000	£000 in bands of £5000	£000 in bands of £5000	Nearest £000	Nearest £000		Nearest £000
Natalie Ceeney – Chief Executive	115-120	(from Oct 05 – March 06) 45-50	0 – 2.5	10 – 15	98	115	4	13
Mark Lamb – Director (from 10/4/06)	60-65	N/A	0 – 2.5	0 – 5	N/A	19	2	17
Erika Stoddart – Director (from 15/5/06)	80-85	N/A	0 – 2.5	0 – 5	N/A	16	3	14
James Strachan – Director (from 1/4/06)	70-75	N/A	0 – 2.5	0 – 5	19	36	3	14
David Thomas – Director	75-80	75-80	0 – 2.5 plus 0 – 2.5 lump sum	30 – 35 plus 80 – 85 lump sum	632	700	3	41
Carol Tullo – Director	80-85	80-85	0 – 2.5 plus 5 – 7.5 lump sum	10 – 15 plus 30 – 35 lump sum	157	195	1	33

Natalie Ceeney, Mark Lamb, James Strachan, Carol Tullo, Erika Stoddart and David Thomas did not receive any benefits in kind. There were no employer contributions to partnership pension accounts in respect of any of the above.

Pension

Pension benefits are provided through the Civil Service Pension (CSP) arrangements. From 1 October 2002, civil servants may be in one of three statutory based 'final salary' defined benefit schemes (classic, premium, and classic plus). The Schemes are unfunded with the cost of benefits met by monies voted by Parliament each year. Pensions payable under classic, premium, and classic plus are increased annually in line with

changes in the Retail Prices Index. New entrants after 1 October 2002 may choose between membership of premium or joining a good quality 'money purchase' stakeholder arrangement with a significant employer contribution (partnership pension account).

Employee contributions are set at the rate of 1.5% of pensionable earnings for classic and 3.5% for premium and classic plus. Benefits in classic accrue at the rate of 1/80th of pensionable salary for each year of service. In addition, a lump sum equivalent to three years' pension is payable on retirement. For premium, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no automatic lump sum but members may give up (commute) some of

their pension to provide a lump sum. Classic plus is essentially a variation of premium, but with benefits in respect of service before 1 October 2002 calculated broadly as per classic.

The partnership pension account is a stakeholder pension arrangement. The employer makes a basic contribution of between 3% and 12.5% (depending on the age of the member) into a stakeholder pension product chosen by the employee. The employee does not have to contribute but where they do make contributions, the employer will match these up to a limit of 3% of pensionable salary (in addition to the employer's basic contribution). Employers also contribute a further 0.8% of pensionable salary to cover the cost of centrally-provided risk benefit cover (death in service and ill health retirement). Further details about the CSP arrangements can be found at the website www.civilservice-pensions.gov.uk.

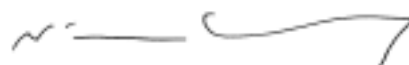
The Cash Equivalent Transfer Value (CETV)

This is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies. The CETV

figures, and from 2003-04 the other pension details, include the value of any pension benefit in another scheme or arrangement which the individual has transferred to the CSP arrangements and for which the CS Vote has received a transfer payment commensurate with the additional pension liabilities being assumed. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years of pension service in the scheme at their own cost. CETVs are calculated within the guidelines and framework prescribed by the Institute and Faculty of Actuaries. Columns 5 & 6 of the above table show the employee's cash equivalent transfer value (CETV) accrued at the beginning and the end of the reporting period. Column 7 reflects the increase in CETV effectively funded by the employer. It takes account of the increase in accrued pension due to inflation, contributions paid by the employee (including the value of any benefits transferred from another pension scheme or arrangement) and uses common market valuation factors for the start and end of the period.

Benefits in kind

The monetary value of benefits in kind covers any benefits provided by the employer and treated by the Inland Revenue as a taxable emolument. See Note 3 to the Accounts for information on all staff costs of The National Archives.



Natalie Ceeney
Accounting Officer
16 July 2007

Statement of Accounting Officer's Responsibilities

Under the Government Resources and Accounts Act 2000, The National Archives is required to prepare resource accounts for each financial year, in conformity with a Treasury direction, detailing the resources acquired, held, or disposed of during the year and the use of resources by The National Archives during the year.

The resource accounts are prepared on an accruals basis and must give a true and fair view of the state of affairs of The National Archives, the net resource outturn, resources applied to objectives, recognised gains and losses and cash flows for the financial year.

The Treasury has appointed the Keeper of Public Records and sole Historical Manuscripts Commissioner as Accounting Officer of The National Archives with responsibility for preparing The National Archives' accounts and for transmitting them to the Comptroller and Auditor General.

In preparing the accounts the Accounting Officer is required to:

- observe the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis;
- make judgments and estimates on a reasonable basis;
- state whether applicable accounting standards, as set out in the *Government Financial Reporting Manual*, have been followed, and disclose and explain any material departures in the accounts;
- prepare the accounts on the going-concern basis.

The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of the public finances for which an Accounting Officer is answerable, for keeping proper records and for safeguarding the Department's assets, are set out in the Accounting Officers' Memorandum, issued by the Treasury and published in *Government Accounting*.

Statement on Internal Control

Scope of Responsibility

As Accounting Officer, I have responsibility for maintaining a sound system of internal control that supports the achievement of The National Archives' policies, aims and objectives, whilst safeguarding the public funds and assets for which I am personally responsible, in accordance with the responsibilities assigned to me in Government Accounting.

The purpose of the system of internal control

The system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of The National Archives' policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impacts should they be realised, and to manage them efficiently, effectively and economically. The system of internal control has been in place in The National Archives for the year ended 31 March 2007 and up to the date of approval of the annual report and accounts, and accords with Treasury guidance.

Capacity to handle risk

As part of a review of risk management in 2006-07 The National Archives revised its risk management framework to ensure that it takes account of the following:

- The National Archives' role, vision, values, strategic plan and business priorities;
- Our consultative approach to decision-making;
- The National Archives' governance arrangements, in particular links with stewardship reports, internal review arrangements, and associated roles and responsibilities.

I have personal statutory authority for investigations carried out by The National Archives,

and as its Accounting Officer have ultimate responsibility for managing risk, and responsibility for approving major decisions, taking into account The National Archives' risk profile or exposure.

Senior members of The National Archives are personally responsible for the management of key risks. In June 2006, a workshop was held with the Executive Team to review and agree the strategic risks facing the organisation. Individual responsibility for each strategic risk is assigned to a Director, as risk owner, who reports quarterly to the Management Board. The National Archives also ran workshops to identify the risk appetite of the organisation and agree an amended uniform risk register template for the whole organisation. In February 2007 a workshop was held with some of our key sub-risk owners to complete the Risk Management Assessment Framework to score where the organisation is and where it wants to be in twelve months' time. It is hoped to have embedded risk management into five key areas over the next eighteen months: IT, Estates, Collection Care, Finance and Document Services.

The National Archives wishes to be innovative in a number of areas and is consequently prepared to accept higher levels of risk than in the past. However, by continually reviewing and monitoring the status of its risks, we will proactively manage them.

The risk and control framework

To support me in ensuring the effective governance of The National Archives, I have recently brought in three new Non-Executive Directors onto the Management Board who will also serve on the Audit Committee with the two existing Non-Executive Directors. This replaces the three members of the Audit Committee who were not members of the Management Board. This ensures that the Audit Committee has a greater knowledge of the work of The National Archives. The Chair of the Audit Committee is a qualified CCAB accountant with Finance Director experience in the Private Sector. We have also comprehensively updated the Audit Committee's Terms of Reference. The Non-Executive Directors on the Management Board are also ensuring that governance is at the heart of any Management Board decision.

The Management Board provides specific advice and support to me on:

- purpose, vision and values;
- strategic direction, planning and risk management;
- accountability to stakeholders, including stewardship of public funds;
- internal control arrangements.

All Management Board members also meet formally and informally with other senior managers and are members of specific high-profile programme boards.

Although not in place by year-end, a new risk management framework is now being implemented. This sets out our risk policy, risk appetite and management approach. The framework is based around simple, non-bureaucratic processes reflecting best practice. The key aim is to encourage staff at all levels in a positive way, which supports effective delivery, innovation and improvement – within a systematic framework of analysis, evaluation and review. The framework will be periodically updated and made available to all staff via our intranet.

The strategic risk register has been closely tied to the strategic plan and business plan objectives.

Current strategic risks are in the areas of:

- Delivering the vision – ensuring that we deliver the programmes that will realise our plan;
- 1911 Census – we must ensure that the 1911 partner delivers a quality product on time;
- Stakeholder management-positioning and communication with stakeholders – we need to ensure that stakeholders are clear about our role and purpose to enable us to be effective in influencing;
- Talent Management – we must ensure we can keep, motivate and develop our workforce for the future to be adaptable, diverse and well motivated;
- Stewardship of resources – we need to ensure value for money in all that we do;
- Knowledge and information management – we need to ensure that we are sharing knowledge and using it effectively;
- Kew 2008 – we must ensure that we have a

Reading Room that delivers what our customers want in a cost-effective manner;

- Business continuity management – we need to have contingency arrangements in place to allow The National Archives to deliver its services.

During the year we also reviewed our approach to internal audit and assurance work. This has resulted in agreement of new arrangements implemented in 2006-07 including:

- Appointing a new Risk Improvement Manager who will manage all risk work, and ensuring that Internal Audit recommendations and comments are followed up; and
- Commencement of new internal audit service providers – the core of these services will in future be provided by The Land Registry.

Review of effectiveness

As Accounting Officer, I have responsibility for reviewing the effectiveness of the system of internal control. My review of the effectiveness of the system of internal control is informed by the work of the internal auditors and the Executive Directors and senior managers within The National Archives who have responsibility for the development and maintenance of the internal control framework, and comments made by the external auditors in their management letter and other reports. I have been advised on the implications of the result of my review of the effectiveness of the system of internal control by the Management Board, the Audit Committee, and a plan is in place to address any weaknesses and ensure continuous improvement of the system.

The Audit Committee is responsible for providing advice and assurance on the adequacy and effectiveness of internal control and risk management. It also oversees internal and external audit arrangements, which cover all areas of The National Archives' work, including both financial and non-financial systems.

During the year, The Land Registry completed a full programme of internal audit work around the strategic risks. All reports are being acted upon and improvements have been made during the year. Where areas have limited assurance this has

concerned the embedding of risk management and getting to the root cause and effect of the risk.

There have been no material internal control issues.

A handwritten signature in black ink, appearing to read 'Natalie Ceeney', with a stylized flourish at the end.

Natalie Ceeney
Chief Executive

16 July 2007

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

I certify that I have audited the financial statements of The National Archives for the year ended 31 March 2007 under the Government Resources and Accounts Act 2000. These comprise the Statement of Parliamentary Supply, the Operating Cost Statement and Statement of Recognised Gains and Losses, the Balance Sheet, the Cashflow Statement and the Statement of Operating Costs by Departmental Aim and Objectives and the related notes. These financial statements have been prepared under the accounting policies set out within them. I have also audited the information in the Remuneration Report that is described in that report as having been audited.

Respective responsibilities of the Accounting Officer and auditor

The Accounting Officer is responsible for preparing the Annual Report, which includes the Remuneration Report, and the financial statements in accordance with the Government Resources and Accounts Act 2000 and HM Treasury directions made thereunder and for ensuring the regularity of financial transactions. These responsibilities are set out in the Statement of Accounting Officer's Responsibilities.

My responsibility is to audit the financial statements and the part of the remuneration report to be audited in accordance with relevant legal and regulatory requirements, and with International Standards on Auditing (UK and Ireland).

I report to you my opinion as to whether the financial statements give a true and fair view and

whether the financial statements and the part of the Remuneration Report to be audited have been properly prepared in accordance with HM Treasury directions issued under the Government Resources and Accounts Act 2000. I report to you whether, in my opinion, certain information given in the Annual Report, which comprises the Management Commentary, is consistent with the financial statements. I also report whether in all material respects the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

In addition, I report to you if the Department has not kept proper accounting records, if I have not received all the information and explanations I require for my audit, or if information specified by HM Treasury regarding remuneration and other transactions is not disclosed.

I review whether the Statement on Internal Control reflects the Department's compliance with HM Treasury's guidance, and I report if it does not. I am not required to consider whether this statement covers all risks and controls, or to form an opinion on the effectiveness of the Department's corporate governance procedures or its risk and control procedures.

I read the other information contained in the Annual Report and consider whether it is consistent with the audited financial statements. I consider the implications for my certificate if I become aware of any apparent misstatements or material inconsistencies with the financial statements. My responsibilities do not extend to any other information.

Basis of audit opinions

I conducted my audit in accordance with International Standards on Auditing (UK and Ireland) issued by the Auditing Practices Board. My audit includes examination, on a test basis, of evidence

relevant to the amounts, disclosures and regularity of financial transactions included in the financial statements and the part of the Remuneration Report to be audited. It also includes an assessment of the significant estimates and judgments made by the Accounting Officer in the preparation of the financial statements, and of whether the accounting policies are most appropriate to the Department's circumstances, consistently applied and adequately disclosed.

I planned and performed my audit so as to obtain all the information and explanations which I considered necessary in order to provide me with sufficient evidence to give reasonable assurance that the financial statements and the part of the Remuneration Report to be audited are free from material misstatement, whether caused by fraud or error, and that in all material respects the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them. In forming my opinion I also evaluated the overall adequacy of the presentation of information in the financial statements and the part of the Remuneration Report to be audited.

Opinions

Audit Opinion

In my opinion:

- the financial statements give a true and fair view, in accordance with the Government Resources and Accounts Act 2000 and directions made thereunder by HM Treasury, of the state of the Department's affairs as at 31 March 2007, and the net cash requirement, net resource outturn, net operating cost, operating costs applied to objectives, recognised gains and losses and cashflows for the year then ended;
- the financial statements and the part of the Remuneration Report to be audited have been properly prepared in accordance with HM Treasury directions issued under the Government Resources and Accounts Act 2000; and

- information given within the Annual Report, which comprises the Management Commentary, is consistent with the financial statements.

Audit Opinion on Regularity

In my opinion, in all material respects, the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

Report

I have no observations to make on these financial statements.

John Bourn

Comptroller and Auditor General

18 July 2007

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

Statement of Parliamentary Supply
SUMMARY OF RESOURCE OUTTURN 2006-07

	Note	2006-07						2005-06 (Restated)	
		Estimate			Outturn			Net total outturn compared with Estimate saving/ (excess)	Outturn
		Gross expenditure 1 £000	A in A 2 £000	NET TOTAL 3 £000	Gross expenditure 4 £000	A in A 5 £000	NET TOTAL 6 £000	7 £000	8 £000
Request for Resources 1	2	49,227	(4,894)	44,333	43,237	(4,894)	38,343	5,990	42,292
Total Resources		49,227	(4,894)	44,333	43,237	(4,894)	38,343	5,990	42,292
Non-Operating-Cost A in A		-	-	-	-	-	-	-	-
Net Cash Requirement				39,862			31,991	7,871	34,204

	Note	Estimate £000	Outturn £000	2006-07 Net total outturn compared with Estimate saving/ (excess) £000	2005-06 Outturn £000
Net Cash Requirement	8	39,862	31,991	7,871	34,204

Summary of income payable to the consolidated fund (In addition to the appropriations in aid, the following income relates to the department and is payable to the consolidated fund)					
	Note	2006-07 Forecast		2005-06 Outturn	
		Income £	Receipts £	Income £000	Receipts £000
Total	5	-	-	197	-

Short term cash savings made by reducing agency cost, slowing recruitment and stopping all discretionary expenditure to enable hypothecated spending in 2007/8 on transfer to Ministry of Justice, Kew 2008, upgrade to the repositories, resilience and web re-design to meet future requirements.

Explanations of variances between Estimate and outturn are given in Note 2 and in the Management Commentary.

The notes on pages 41 to 58 form part of these accounts.

OPERATING COST STATEMENT

for the year ended 31 March 2007

		2006-07			2005-06 (Restated)		
	Note	Staff Costs £000	Other Costs £000	Income £000	Staff Costs £000	Other Costs £000	Income £000
Administration Costs:							
Staff costs	3	20,769			21,117		
Other administration costs	4		21,310			24,575	
Operating income	5			(5,091)			(4,604)
Totals		20,769	21,310	(5,091)	21,117	24,575	(4,604)
Programme Costs							
Request for resources 1							
Staff Costs		–			–		
Other administration costs	4a		1,158			1,204	
Operating income				–			–
Totals		–	1,158	–	–	1,204	–
Net Operating Cost	7			38,146			42,292

STATEMENT OF RECOGNISED GAINS AND LOSSES

for the year ended 31 March 2007

	Note	2006-07 £000	2005-06 £000
Net gain on revaluation of tangible fixed assets	21	7,907	4,757
Recognised gains and losses for the financial year		7,907	4,757

The notes on pages 41 to 58 form part of these accounts.

BALANCE SHEET
as at 31 March 2007

	Note	31 March 2007		31 March 2006 (Restated)	
		£000	£000	£000	£000
Fixed Assets					
Tangible assets	11	111,933		106,332	
Intangible assets	12	533		355	
			112,466		106,687
Debtors falling due after more than one year	16		73		36
Current Assets					
Stocks	15	302		226	
Debtors	16	3,577		2,941	
Cash at bank and in hand	17	1,661		539	
		5,540		3,706	
Creditors (amounts falling due within one year)	18	(6,995)		(4,285)	
Net Current Liabilities			(1,455)		(579)
Total Assets less Current Liabilities			110,084		106,144
Provisions for Liabilities and Charges	19		(570)		(510)
			110,514		105,634
Taxpayers' Equity					
General fund	20		70,455		72,576
Revaluation reserve	21		40,059		33,058
			110,514		105,634

The notes on pages 41 to 58 form part of these accounts.



Natalie Ceeney
Accounting Officer

16 July 2007

CONSOLIDATED CASH FLOW STATEMENT

for the year ended 31 March 2007

	Note	2006-07 £000	2005-06 (Restated) £000
Net cash outflow from operating activities (<i>Note 20a</i>)	23a	(29,244)	(32,294)
Capital expenditure and financial investment (<i>Note 20b</i>)	23b	(2,747)	(1,910)
Payments of amounts due to the Consolidated Fund		–	–
Financing	23c	33,113	33,166
Increase/Decrease in cash in the period	23d	1,122	(1,038)

The notes on pages 41 to 58 form part of these accounts.

NET OPERATING COSTS BY DEPARTMENTAL AIMS AND OBJECTIVES for the year ended 31 March 2007

Aims:

- to assist and promote the study of the past through the public records and other archives in order to inform the present and the future
- to advise government on records management, archive policy and related information policy matters
- to advise record custodians in the public and private sectors on best practice in records and archives management

Objectives:	2006-07			2005-06 (Restated)		
	Gross £000	Income £000	Net £000	Gross £000	Income £000	Net £000
Selection Overseeing records management in government and selecting the public records to provide an information resource for our generation and for future generations.	4,398	(115)	4,283	4,086	(110)	3,976
Preservation Preserving the public records	12,674	(19)	12,655	12,496	(15)	12,481
Access Providing access to the public records and promoting their value and use as a national information and educational resource.	26,165	(4,957)	21,208	30,314	(4,479)	25,835
Net Operating Cost	<u>43,237</u>	<u>(5,091)</u>	<u>38,146</u>	<u>46,896</u>	<u>(4,604)</u>	<u>42,292</u>
see note 22						

Key Ministerial targets	2006-07		2005-06	
	Outturn	Target	Outturn	Target
Unit cost of selecting and preserving the public records per metre	£77.89	£97.00	£93.83	£97.00
Unit cost per information transaction with customers onsite and online	£0.96	£2.66	£2.77	£4.04

Information transactions are all types of service interactions with users. These range from onsite reader visits and delivery of documents to telephone and email enquiries and documents delivered over the Internet.

The notes on pages 41 to 58 form part of these accounts.

Notes to the accounts

1 Statement of Accounting Policies

The financial statements have been prepared in accordance with the 2006-07 Financial Reporting Manual issued by HM Treasury. The particular accounting policies adopted by The National Archives are described below. They have been applied consistently in dealing with items considered material in relation to the accounts.

In addition to the primary statements prepared under UK GAAP, the *FReM* also requires the department to prepare two additional primary statements. The *Statement of Parliamentary Supply* and supporting notes show outturn against Estimate in terms of the net resource requirement and the net cash requirement. The *Statement of Net Operating Costs by Departmental Aim and Objectives* and supporting notes analyse the department's income and expenditure by the objectives agreed with Ministers.

Where the Financial Reporting Manual permits a choice of accounting policy, the accounting policy which has been judged to be most appropriate to the particular circumstances of the department for the purpose of giving a true and fair view has been selected. This department's accounting policies have been applied consistently in dealing with items considered material in relation to the accounts.

1.1 Accounting convention

These accounts have been prepared under the historical cost convention modified to account for the revaluation of fixed assets at their value to the business by reference to their current costs.

1.2 Tangible fixed assets

Tangible fixed assets other than land and buildings consist of computer hardware and software and office equipment. Computer software includes the capitalisation of costs relating to the development of databases such as Documents Online. Public Records and other heritage assets held by The National

Archives are not valued and capitalised. The records held by The National Archives span one thousand years and fill about 176 kilometres of shelving. They are held in many formats from medieval vellum and parchment to modern computer disks. They are made up of a variety of items ranging from traditional paper records to seals, maps, costumes, paintings, films, items of court evidence etc. Most of the records are unique and irreplaceable and have been preserved for their historical, legal and administrative value.

The National Archives is the beneficial owner of the freehold land and buildings at Kew.

Freehold land and buildings are stated at current cost using professional valuations every five years and appropriate indices in intervening years. Other tangible fixed assets have been stated at current cost using appropriate indices.

The minimum level for capitalisation of an individual tangible fixed asset is £1,000.

1.3 Intangible fixed assets

Intangible fixed assets comprise software licences purchased from third parties. They are amortised over their estimated useful life of 5 years.

1.4 Depreciation

Freehold land is not depreciated.

Depreciation is provided at rates calculated to write off the valuation of freehold buildings and other tangible fixed assets by equal installments over their estimated useful lives. Lives are normally in the following ranges:

Freehold buildings	40 years
Computers and software	up to 5 years
Office equipment	up to 10 years
Conservation equipment	up to 25 years
Electric trucks	up to 10 years

1.5 Stocks and work in progress

Stocks and work in progress are valued at the lower of cost and net realisable value.

1.6 Operating income

Operating income is income which relates directly to the operating activities of The National Archives. It principally comprises fees and charges for services provided to external customers, but it also includes grants from the Heritage Lottery Fund.

1.7 Deferred income

This comprises payments in advance for work, which has not been undertaken at the balance sheet date.

1.8 Administration expenditure

Administration costs reflected the costs of running The National Archives as defined under the administration cost-control regime, together with associated operating income.

1.9 Programme expenditure

The National Archive's expenditure has been classified as 100% programme from 1 April 2007. For 2006/07 accounts, our programme expenditure was for public access to legislation in public libraries. The expenditure for 2006/07 was £1.2m against an estimate of £1.6m.

1.10 Capital charge

A non-cash capital charge, reflecting the cost of capital utilised by the department, is included in operating costs. The charge is calculated at the Government's standard rate of 3.5 per cent in real terms on the average of opening and closing net assets employed except amounts to be surrendered to the Consolidated Fund and cash holdings with the Office of the Paymaster General, where the charge is nil.

1.11 Pensions

Past and present employees are covered by the provisions of the Civil Service Pension Schemes which are described in the Remuneration Report. The defined benefit elements of the schemes are unfunded and are non-contributory except in respect of dependents' benefits. The department recognises the expected cost of these elements on a systematic and rational basis over the period during which it benefits from

employees' services by payment to the Principal Civil Service Pension Schemes (PCSPS) of amounts calculated on an accruing basis. Liability for payment of future benefits is a charge on the PCSPS. In respect of the defined contribution elements of the schemes, the department recognises the contributions payable for the year.

1.12 Early departure costs

The National Archives is required to meet the additional cost of benefits beyond the normal PCSPS benefits in respect of employees who retire early. The National Archives provides in full for this cost when the early retirement programme has been announced and is binding on the department. Prior to 2005-06, the National Archives has settled some of its liabilities in advance by making payments to the Paymaster General's account at the Bank of England for the credit of the Civil Superannuation Vote. The amount provided is shown gross of any such payments.

1.13 Operating leases

Operating lease rentals are charged to the operating cost statement in equal amounts over the lease term.

1.14 Value Added Tax

Most of the activities of the department are outside the scope of VAT and, in general output tax does not apply and input tax on purchases is not recoverable. Irrecoverable VAT is charged to the relevant expenditure category or included in the capitalised purchase cost of fixed assets. Where output tax is charged or input VAT is recoverable, the amounts are stated net of VAT.

1.15 Merger with Office of Public Sector Information

With effect from 1st October 2006 The National Archives merged with the Office of Public Sector Information (OPSI). In accordance with HM Treasury guidance in the Financial Reporting Manual this has been accounted for as a merger. As a consequence the FY 05/06 comparative figures have been restated to include OPSI operating costs and balances. The restated figures for FY 05/06 primary statements are as follows:

	Pre merger		
	05-06	05-06	05-06
	(Restated) £000s	TNA £000s	OPSI £000s
Net Operating Cost:	42,292	40,420	1,872
Recognised Gains and Losses:	4,757	4,757	0
Net Assets:	105,634	105,740	(106)
Net Cash Inflow from Financing:	33,166	31,400	1,766

Average number of employees during 2005/6 were 559 for The National Archives and 29 for OPSI.

All figures for FY 06/07 are inclusive of both organisations.

2 Analysis of net resource outturn by section

	Outturn						2006-07 Estimate	2005-06 (Restated)	
	Admin. £000	Other Current £000	Grants £000	Gross resource expenditure £000	A in A £000	Net total £000	Net total £000	Net Total Outturn compared with Estimate £000	Prior-year outturn £000
Request for Resources 1									
Promoting the study of the past in order to inform the present and the future by selecting, preserving and making publicly available public records of historical value and by encouraging high standards of care and public access for archives of historical value outside the public records									
Section A									
Public Record Office	39,033		–	39,033	(3,889)	35,144	40,752	5,608	39,272
Section B									
Historical Manuscripts Commission	1,147	–	–	1,147	(5)	1,142	1,142	–	1,147
Section C									
Office of Public Sector Information	1,899	1,158	–	3,057	(1,000)	2,057	2,439	382	1,873
Resource outturn	42,079	1,158	–	43,237	(4,894)	38,343	44,333	5,990	42,292

Short term cash savings made by reducing agency cost, slowing recruitment and stopping all discretionary expenditure to enable hypothecated spending in 2007/8 on transfer to Ministry of Justice, Kew 2008, upgrade to the repositories, resilience and web re-design to meet future requirements.

The variance between resources and outturn relates to ongoing commitments on electronic records development which remains on target.

Detailed explanations of the variances are given in the Management Commentary.

3 Staff numbers and costs

A. Staff costs consist of:

	2006-07		2005-06 (Restated)	
	£000	£000	£000	£000
	Total	Permanently Employed Staff	Others	Total
Wages and salaries	16,853	15,475	1,378	17,279
Social Security costs	1,220	1,220	–	1,258
Other pension costs	2,837	2,837	–	2,582
Sub Total	20,910	19,532	1,378	21,119
Less recoveries in respect of outward secondments	(141)	(141)	–	(2)
Total net costs	20,769	19,391	1,378	21,117

Details of Senior Civil Service staff costs are set out in the Remuneration Report.

B. The PCSPS is an unfunded multi-employer defined benefit scheme but The National Archives is unable to identify its share of the underlying assets and liabilities. A full actuarial valuation was carried out as at 31 March 2007. Details can be found in the resource accounts of the Cabinet Office: Civil Superannuation (www.civilservice-pensions.gov.uk).

C. For 2006-07, employers' contributions of £2,778,439 were payable to the PCSPS (2005-06 £2,557,260) at one of four rates in the range 12 to 18.5 per cent of pensionable pay, based on salary bands. Rates will increase from 2007-08, subject to revalorisation of the salary bands. Employer contributions are to be reviewed every four years following a full scheme valuation by the Government Actuary. The contribution rates reflect benefits as they are accrued, not when the costs are actually incurred, and include past experience of the scheme.

D. Employees joining after 1 October 2002 could opt to open a partnership pension account, a stakeholder pension with an employer contribution. During 2005-06 employers' contributions of £25,680 were paid to one or more of a panel of four appointed stakeholder pension providers. Employer contributions are

age-related and range from 3 to 12.5 per cent of pensionable pay. Employers also match employee contributions up to 3 per cent of pensionable pay. In addition, employer contributions of £2,212, 0.8 per cent of pensionable pay, were payable to the PCSPS to cover the cost of the future provision of lump sum benefits on death in service and ill health retirement of these employees.

Contributions due to the partnership pension providers at the balance sheet date were actually £3741. Contributions prepaid at that date were £nil.

E. The average number of whole-time equivalent persons employed, including senior management, during the year was as follows:

	2006-07	2005-06 (Restated)
	No.	No.
Selection	77	69
Preservation	62	77
Access	439	442
	578	588

F. Agency and consultancy costs were reduced from £3.3m in 2005/06 to £1.5m in 2006/07.

4 Other administration costs

	2006-07		2005-06 (Restated)
	£000	£000	£000
Rentals under operating leases:			
Hire of plant and machinery	333		419
Other operating leases	691		685
		1,024	1,104
Non-cash items:			
Depreciation			
Civil Estate	2,671		2,519
Other fixed assets	1,595		1,627
downward revaluation of fixed assets	588		415
impairments	0		703
loss on disposal of fixed assets	21		204
Cost of capital charge			
Civil Estate	3,260		3,396
Other Items	0		295
auditor's remuneration – audit work	65		65
Provisions:			
Provided in year	362		375
		8,562	9,599
Other expenditure			
Accommodation	6,041		6,054
Consultancy	117		1,142
University of London	691		823
Travel, subsistence and hospitality	294		362
Recruitment & Training	405		670
Digitisation	45		487
IT maintenance	641		794
Shop stores	184		229
Conferences	160		187
Minor software & Hardware	183		506
Advertising	20		303
Record copying material	158		205
Legal expenses	101		181
Telecommunications	69		200
Other expenditure	2,615		3,392
Less VAT recovery on contracted out services	0		(1,663)
		11,724	13,872
		21,310	24,575

4 a. Programme Costs

	2006-07		2005-06 (Restated)
	£000	£000	£000
Other expenditure	1,158		1,204
		1,158	1,204
		1,158	1,204

4 a. Programme Costs (continued)

Note a – the total of non-cash items included in the Reconciliation of Resources to the Net Cash Requirement comprises:		
	2006-07 £000	2005-06 £000
Total non-cash transactions as above	8,562	9,599
Adjustment for loss on disposal of tangible fixed assets	(21)	(204)
Non-cash items per reconciliation of resources to net cash requirement	8,541	9,395

5 Operating income

Analysis of income payable to the Consolidated Fund

In addition to appropriations in aid the following income relates to the department and is payable to the Consolidated Fund (cash receipts being shown in italics):

Note	2006-07 Forecast		2006-07 Outturn	
	Income £000	Receipts £000	Income £000	Receipts £000
Operating income and receipts – excess A in A	–	–	197	–
Operating income not classified as Appropriations in Aid	–	–	–	–
Non-operating income not classified as Appropriations in Aid	–	–	–	–
Other amounts collectable on behalf of the Consolidated Fund	–	–	–	–
Excess cash receipts to be surrendered to the Consolidated Fund	–	–	–	–

5 Operating income (continued)

Operating income not appropriated-in-aid (transferred to the Consolidated Fund) is analysed for resource budget purposes between that which

is included in public expenditure and that which is not (see note 7). In 2006-07, there was no income classified as non A in A.

2006-07 a)	Resource Outturn		Operating Cost Statement
	Appropriated in aid	Payable to Consolidated Fund	Income
	£000	£000	£000
Operating income analysed by classification and activity, is as follows:			
Administration income:			
Fees and charges to external customers	4,778	197	4,975
Fees and charges to other government departments	116	–	116
	4,894	197	5,091

2005-06 (Restated)	Resource Outturn		Operating Cost Statement
	Appropriated in aid	Payable to Consolidated Fund	Income included in Operating Cost Statement
	£000	£000	£000
Operating income analysed by classification and activity, is as follows:			
Administration income:			
Fees and charges to external customers	4,507	–	4,507
Fees and charges to other departments	97	–	97
	4,604	0	4,604

5 Operating income (continued)

b) An analysis of operating income from services provided is as follows:

	2006-07 Income £000	2006-07 Full cost £000	2006-07 Surplus/Deficit £000
Record Copying services	1,070	1,220	(150)
Information and Publishing	2,717	2,115	602
Other	1,304	1,304	–
	5,091	4,639	452

	2005-06 (Restated) Income £000	2005-06 (Restated) Full cost £000	2005-06 (Restated) Deficit £000
Record Copying services	1,299	1,716	(417)
Information and Publishing	2,160	2,233	(73)
Other	1,145	1,145	–
	4,604	5,094	(490)

c) The National Archives is required, in accordance with the Treasury's Fees and Charges Guide, to disclose performance results for its areas of activity. The segmental analysis is not intended to meet the requirements of Statement of Standard Accounting Practice 25: Segmental Reporting.

d) As a matter of policy, the full cost of services should normally be recovered. Some of our services are value-added services and so seek to make an additional margin to contribute to the overheads of The National Archives.

6 Outturn against final Administration Budget

	Budget £000	2006-07 Outturn £000	2005-06 (Restated) Outturn £000
Gross Administration Budget	47,999	42,079	45,692
Income allowable against the Administration Budget	(4,894)	(4,894)	(4,604)
Net outturn against final Administration Budget	43,105	37,185	41,088

7 Reconciliation of net operating cost to control total and net resource outturn

	2006-07 £000	2005-06 (Restated) £000
Net operating cost (Note a):	38,146	42,292
Consolidated Fund Extra Receipts (CFERs)	197	–
Net resource outturn (Note a)	38,343	42,292

Note:

- a) Net operating cost is the total of expenditure and income appearing in the Operating Cost Statement (Schedule 2). Net resource outturn is the total of those elements of expenditure and income which are subject to parliamentary approval and included in the department's Supply Estimate. The outturn against the Estimate is shown in the Summary of Resource Outturn (Schedule 1).

8 Reconciliation of Resources to Cash Requirement

	Note	Estimate £000	Outturn £000	Net total outturn compared with Estimate saving/ (excess) £000
Net total resources		44,333	38,343	5,990
Capital:				
Cash purchase of fixed assets	13	3,235	2,747	488
Cash purchase of investments		–	–	–
Non-Operating-Cost A in A		–	–	–
Loss on fixed asset disposals	4	–	(21)	21
Accrual adjustments				
Non-cash items	4	(9,006)	(8,541)	(465)
Changes in working capital other than cash	14	–	(839)	839
Use of provision	19	–	302	(302)
Excess Cash to be CFERed		1,300		1,300
Net Cash Requirement		39,862	31,991	7,871

9 Analysis of net resource outturn by function and reconciliation to Operating Cost Statement

2006-07	Admin. £000	Other Current £000	Grants £000	Gross resource expenditure £000	A in A £000	Net total £000	Estimate £000	Net Total Outturn compared with Estimate £000
Request for Resources 1	42,079	1,158	–	43,237	(4,894)	38,343	44,333	5,990
Total	42,079	1,158	–	43,237	(4,894)	38,343	44,333	5,990
Resource outturn	42,079	1,158	–	43,237	(4,894)	38,343	44,333	5,990
Reconciliation to Operating Cost Statement								
Non A-in-A operating income					(197)	(197)		
Gross operating expenditure				43,237				
Operating income					(5,091)			
Net operating cost						38,146		

2005-06 (Restated)	Admin. £000	Other Current £000	Grants £000	Gross resource expenditure £000	A in A £000	Net total £000	Estimate £000	Net Total Outturn compared with Estimate £000
Request for Resources 1	45,692	1,204	–	46,896	(4,604)	42,292	44,883	2,591
Total	45,692	1,204	–	46,896	(4,604)	42,292	44,883	2,591
Resource outturn	45,692	1,204	–	46,896	(4,604)	42,292	44,883	2,591
Reconciliation to Operating Cost Statement								
Non A-in-A operating income					–	–		
Gross operating expenditure				46,896				
Operating income					(4,604)			
Net operating cost						42,292		

10 Analysis of capital expenditure, financial investment and associated A in A

2006-07					Estimate £000	Outturn Compared with Estimate £000
	Capital expenditure £000	Loans, etc. £000	A in A £000	Net total £000		
Request for Resources 1	2,747	–	–	2,747	3,235	488
Total	2,747	–	–	2,747	3,235	488

2005-06					Estimate £000	Outturn Compared with Estimate £000
	Capital expenditure £000	Loans, etc. £000	A in A £000	Net total £000		
Request for Resources 1	1,910	–	–	1,910	4,037	2,127
Total	1,910	–	–	1,910	4,037	2,127

11 Tangible fixed assets

	Freehold land and buildings £000	Equipment £000	IT including databases £000	Total £000
Cost or valuation				
At 1 April 2006 (Restated)	119,992	7,771	6,356	134,119
Additions	52	445	1,927	2,424
Disposals	–	(35)	(212)	(247)
Revaluation	9,051	162	(557)	8,656
At 31 March 2007	129,095	8,343	7,514	144,952
Depreciation				
At 1 April 2006 (Restated)	21,814	2,173	3,800	27,787
Charged in year	2,671	299	1,151	4,121
Disposals	–	(30)	(196)	(226)
Revaluation	1,309	28	0	1,337
At 31 March 2007	25,794	2,470	4,755	33,019
Net Book value at 31 March 2007	103,301	5,873	2,759	111,933
Net Book value at 31 March 2006 (Restated)	98,178	5,598	2,556	106,332

a) Freehold land and buildings were valued on 31st March 2007 at £103.3m on the basis of depreciated replacement cost by an external firm of Chartered Surveyors, Atis Real

Weatheralls Limited. Their valuation was carried out in accordance with the Appraisal and Valuation Manual issued by the Royal Institution of Chartered Surveyors.

12 Intangible fixed assets

	Software Licences £000
Cost or valuation	
At 1 April 2006	631
Additions	323
At 31 March 2007	954
Depreciation	
At 1 April 2006	276
Charged in year	145
At 31 March 2007	421
Net Book value at 31 March 2007	533
Net Book value at 31 March 2006	355

13 Reconciliation of cash flows to fixed asset additions

	£000
Cash flows for tangible fixed assets	2,424
Intangible fixed asset additions	323
Cash flows for total fixed assets	2,747

14 Movements in working capital other than cash

		2006-07 £000	2005-06 (Restated) £000
	Notes		
(Decrease)/Increase in stocks	15	76	(135)
Increase/(Decrease) in debtors	16	673	1,117
Less pre payments and accrued income relating to CFERs		(197)	0
(Increase) in creditors	18	(1,391)	(1,415)
Decrease in Supply working capital		(839)	(433)

15 Stocks

	2006-07 £000	2005-06 £000
Reprographic materials	35	28
Work in progress	0	15
Publishing and shop stocks	267	183
	302	226

16 Debtors

	2006-07 £000	2005-06 (Restated) £000
Amounts falling due within one year:		
VAT	434	1,225
Trade debtors	401	319
Other debtors	0	0
Deposits and advances	21	38
Prepayments and accrued income	2,721	1,352
Prepayments – early retirement	0	7
	3,577	2,941
Amounts falling due after one year:		
Prepayments and accrued income	73	36
Prepayments – early retirement	0	0
	73	36
	3,650	2,977

	2006-07 £000	2005-06 (Restated) £000
Debtors within 1 year		
Balances with other central government bodies	478	1,347
Balances with local authorities	1,643	29
Balances with NHS Trusts	0	0
Balances with public corporations and trading funds	0	21
Balances with bodies external to government	1,456	1,544
	3,577	2,941

	2006-07 £000	2005-06 £000
Debtors after 1 year		
Balances with other central government bodies	–	–
Balances with local authorities	–	–
Balances with NHS Trusts	–	–
Balances with public corporations and trading funds	–	–
Balances with bodies external to government	73	36
	73	36

17 Cash at bank and in hand

	2006-07 £000	2005-06 £000
Balance at 1 April	539	1,577
Net cash inflow/(outflow)	1,122	(1,038)
Balance at 31 March	1,661	539
The following balances at 31 March are held at:		
Office of HM Paymaster General	1,659	535
Commercial banks and cash in hand	2	4
	1,661	539
The balance at 31 March comprises:		
Cash due to be paid to the Consolidated Fund:		
Amounts issued from the Consolidated Fund for Supply but not spent at year end	1,661	539
	1,661	539

18 Creditors

	2006-07 £000	2005-06 (Restated) £000
Amounts falling due within one year		
Trade creditors	417	837
Accruals and deferred income	4,020	2,287
Tax, Social security and pensions	700	622
Amounts issued from the Consolidated Fund for supply but not spent at year end	1,661	539
Consolidated Fund extra receipts received and receivable and other amounts due to be paid to the Consolidated Fund	197	-
	6,995	4,285

	2006-07 £000	2005-06 (Restated) £000
Creditors within 1 year		
Balances with other central government bodies	2,989	545
Balances with local authorities	1,643	10
Balances with NHS Trusts	-	-
Balances with public corporations and trading funds	61	0
Balances with bodies external to government	2,302	3,730
	6,995	4,285

19 Provisions for liabilities and charges

	Early departure costs £000	Other £000	Total £000
Balance at 1 April 2006 (Restated)	437	73	510
Charge for the year	(13)	375	362
Provisions utilised during the year	(302)	–	(302)
Balance at 31 March 2007	122	448	570

Early departure costs

The National Archives meets the additional costs of benefits beyond the normal PCSPS benefits in respect of employees who retire early by paying the required amounts annually to the PCSPS over the period between early departure and normal retirement date. The National Archives provides for this in full when the early retirement programme becomes binding on the department by establishing a provision for the estimated

payments discounted by the Treasury discount rate of 2.8 percent in real terms. In past years The National Archives paid in advance some of its liability for early retirement by making a payment to the Paymaster General's Account at the Bank of England for the credit of the Civil Service Superannuation Vote. The balance remaining is treated as a prepayment.

20 Reconciliation of Net Operating Cost to changes in General Fund

	Note	2006-07 £000	£000	2005-06 £000	£000
Net Operating Cost	7	(38,146)		(42,292)	
Surrender of excess appropriations in aid and CFERs	7	(197)		–	
			(38,343)		(42,292)
Net Parliamentary funding			33,113		33,166
Transferred to general fund in respect of realised element of revaluation reserve on depreciation	21		906		800
Consolidated Fund creditor for unspent cash	18		(1,661)		(539)
Settlement of previous year creditor for unspent cash	18		539		1,577
Notional charges:	4				
cost of capital charge		3,260		3,691	
auditor's remuneration (notional)		65		65	
			3,325		3,756
Decrease in General Fund			(2,121)		(3,532)
General Fund at 1 April 2006			72,576		76,108
General Fund at 31 March 2007			70,455		72,576

21 Reserves

	Revaluation reserve £000
At 1 April 2006	33,058
Arising on revaluation during the year	9,244
Transfer in respect of realised depreciation	(1,337)
Transferred to general fund in respect of realised element of revaluation reserve	(906)
Balance at 31 March 2007	44,059

The revaluation reserve reflects the unrealised element of the cumulative balance of indexation and revaluation adjustments (excluding donated assets). There were no donated assets in 2006-07

22 Notes to Net Operating Costs by Departmental Aims and Objectives

The National Archives' capital is employed exclusively for administration purposes. Its distribution amongst objectives is therefore not markedly different from the proportion of the related gross administration cost.

Administration costs and income have been attributed to objectives in accordance with the department's normal management accounting practices.

23 a. Reconciliation of operating cost to operating cash flows

	Notes	2006-07 £000	2005-06 (Restated) £000
Net operating cost		38,146	42,292
Adjustments for non-cash transactions	4	(8,562)	(9,599)
(Decrease)/Increase in stocks	15	76	(135)
Increase/(Decrease) in debtors	16	673	1,117
(Increase) in creditors	18	(1,391)	(1,415)
Use of provisions	19	302	34
Net cash outflow from operating activities		29,244	32,294

23 b. Analysis of capital expenditure and financial investment

	Notes	2006-07 £000	2005-06 £000
Tangible fixed asset additions	13	2,424	1,686
Intangible fixed asset additions	13	323	224
Proceeds of disposal of fixed assets		-	-
Net cash outflow for investing activities		2,747	1,910

23 c. Analysis of financing

	2006-07 £000	2005-06 (Restated) £000
From Consolidated Fund (Supply): current year	33,113	33,166
Advances from the Contingencies Fund	–	–
Repayments to the Contingencies Fund	–	–
Net financing	33,113	33,166

23 d. Reconciliation of Net Cash Requirement to decrease in cash

	Notes	2006-07 £000	2005-06 (Restated) £000
Net cash requirement (Schedule 1)	8	31,991	34,204
From Consolidated Fund (Supply): current year		(33,113)	(33,166)
Amounts due to the Consolidated Fund – received in a prior year and paid over	18	–	–
Amounts due to the Consolidated Fund – received and not paid over	18	–	–
(Increase)/Decrease in cash in the period	17	(1,122)	1,038

24 Capital commitments

Capital commitments totalling £394,000 exist at 31 March 2007. These relate to software supply for the seamless flow project.

25 Commitments under operating leases

Operating leases

Commitments under operating leases to pay rentals during the year following the year of these accounts are given in the table below, analysed according to the period in which the lease expires.	2006-07 £000	2005-06 £000
Obligations under operating leases comprise:		
Land and buildings		
Expiry after more than 5 years	691	642
	691	642
Other		
Expiry within one year	16	111
Expiry between two and five years	89	90
	796	843

26 Other commitments

The National Archives has a service contract ending on 31 March 2008 with the University of London for the preservation of government datasets (UK National Data Archive for Datasets). The service

charge for 2007-08 will be £0.7m. The National Archives has not entered into any other non-cancellable contracts other than the one disclosed above.

27 Contingencies

There were no contingent assets or liabilities at 31 March 2007.

28 Related party transactions

The National Archives is a non-ministerial government department.

The Chief Executive reports to the Lord Chancellor.

None of the Management Board members, key managerial staff or other related parties has undertaken any material transactions with The National Archives during the year.

29 Financial Instruments

FRS 13, *Derivatives and Other Financial Instruments*, requires disclosure of the role which financial instruments have had during the period in creating or changing the risks an entity faces in undertaking its activities. Because of the largely non-trading nature of its activities and the way in which it is financed, The National Archives is not exposed to the degree of financial risk faced by business entities. Moreover, financial instruments play a much more limited role in creating or changing risk than would be typical of the listed companies to which FRS 13 mainly applies. The National Archives has very limited powers to borrow or invest funds and except for relatively insignificant forward purchases of foreign currency, financial assets and liabilities are generated by day-to-day operational activities and are not held to change the risks facing the department in undertaking its activities.

Liquidity Risk

The National Archives' net revenue resource requirements are financed by resources voted annually by Parliament, as is its capital expenditure. The National Archives is not therefore exposed to significant liquidity risks.

Interest Rate Risk

The National Archives is not exposed to any interest rate risk.

Foreign Currency Risk

The National Archive's exposure to foreign currency risk is not currently significant.

30 Accountability

No exceptional kinds of expenditure such as losses and special payments that required separate

disclosure because of their nature or amount were incurred.

31 Post Balance Sheet Event

The National Archives' financial statements are laid before the Houses of Parliament by HM Treasury. FRS 21 requires The National Archives to disclose the date on which the accounts are authorised for issue. This is the date on which the certified accounts are

despatched by The National Archives' management to HM Treasury.

The authorised date for issue is 24 July 2007.

Appendix 1: Independent Complaints Reviewer

Jodi Berg was appointed as the Independent Complaints Reviewer (ICR) for The National Archives in 2000. The ICR is not part of the management of The National Archives and the service is free to its customers. Mrs Berg, whose role relates to dealing with public complaints, also acts as the ICR for other public bodies. She is a solicitor with management experience in both the private and public sectors and is a Fellow of the Chartered Institute of Arbitrators. The Office of Public Sector Information has its own complaints procedure, given its role as a regulator.

Foreword

I am pleased to present my Annual Report for 2006–2007 as Independent Complaints Reviewer for The National Archives.

It is rare for my office to receive complaint referrals from people dissatisfied with the service they have received from The National Archives. This year I have reported on one complaint, and considered four other referrals that have not proceeded to full review. I commend The National Archives once again for its success in settling complaints internally.

As ICR, I focus my attention on the way in which The National Archives responds to complaints and the lessons that can be learned from them. People rely on a public body to acknowledge their dissatisfaction, try to resolve matters and facilitate access to independent review should the need arise. I am able to report that The National Archives continued to do this last year.

I am also pleased to report that The National Archives takes a positive attitude to learning from customer complaints and, as a result, some changes have been implemented for the benefit of future customers. This demonstrates the added value that independent review can offer.

I would like to thank both my office team and staff in the Public Services Development Unit at The National Archives for supporting the constructive relationship between us.

1. The ICR Service

1.1 The role of ICR

The ICR office provides a free, impartial complaints review and resolution service, which aims to settle complaints for The National Archives customers and to make a positive difference for the future. The office is entirely independent from The National Archives.

I can look into complaints about whether The National Archives has provided a satisfactory service or whether there have been shortcomings such as mistakes, delays, unfairness or discourtesy. I take an unbiased view of the merits of each complaint issue.

There are certain complaints I cannot examine. These are complaints that:

- The National Archives itself has not fully considered;
- we receive more than six months after The National Archives final response;
- concern the law or Government policy;
- are subject to legal proceedings; or have been investigated by the Parliamentary Ombudsman. However, the Ombudsman expects complaints to be referred to the ICR office first.

1.2 Access to the ICR

Our leaflet '*Seeking a fair resolution*' explains more about our service, and includes a complaint referral form. It is available from The National Archives or from our website www.icrev.org.uk. The leaflet can be provided in a number of other languages on request. Complaints can also be referred by telephone, fax and e-mail.

Initially we try to resolve complaints by agreement. We ask complainants what they would like The National Archives to do to put matters right and ascertain if this can be achieved. If further investigation is required, we keep complainants informed about progress and issue a written report once all the evidence has been fully considered. If a complaint is upheld the report may recommend:

- an apology;
- an explanation;

- specific action to put matters right;
- limited compensation; and
- process review to prevent similar problems recurring.

If complainants are dissatisfied with the outcome of my investigation, they may ask their MP to refer the matter to the Parliamentary Ombudsman. (The Ombudsman will usually expect complaints to be referred to the ICR first.)

The ICR office has associate corporate membership of the British and Irish Ombudsman Association (BIOA). We are committed to BIOA Principles of Good Complaint Handling. Information about other Ombudsman and complaint handling schemes can be obtained by visiting BIOA's website at www.bioa.org.uk.

1.3 Accountability

Service Standards: We set challenging targets for responding to customers and dealing with their complaints.

We aim to respond to correspondence within 48 hours and to complete the review of all complaints within 36 weeks. The investigation completed during the reporting period was concluded in 20 weeks from agreement of the issues.

Comebacks and complaints: Where I do not uphold part or all of a client's complaint, it is not uncommon for people to challenge my decision. I respond personally to every contact of this kind. Complaints can provide valuable information about people's experience of this office, and our success in meeting their expectations. Last year we received no complaints from The National Archives customers.

1.4 Making a difference

In addition to raising systemic issues arising from individual cases, I encourage general good customer service practice. We have regular contact with The National Archives at management and Board levels, in order to discuss problem areas that have come to my attention and to share best practice from other areas of our work.

In the last year, for example, we offered advice on The National Archives complaints procedure leaflet, in the interests of making it more accessible for complainants.

2.1 Customer contact

Last year 238,277 people visited The National Archives, and 24,033 written enquiries were received, a reduction in both for the second year in a row. The number of telephone enquiries also reduced to 93,674, a decrease from last year but broadly in line with previous years. Website use averaged 37,215 visits per day.

Against this background, the numbers of complaints received by TNA are remarkably low. Last year saw a slight increase in referrals to 77, only nine more than the previous year.

During the reporting period, the ICR office received four complaint referrals and completed one review. As always, we also responded to general enquiries by providing advice and assistance to help people take concerns forward. Although The National Archives could answer many of the questions raised itself, there are people who prefer to have things explained by an independent observer.

In cases where complainants had not exhausted TNA's own complaints procedure, we referred complaints back. These complaints have not subsequently been referred to me.

2.2 What the ICR found

Managing customer expectations

Mr A was researching naval records to try to locate details of a former colleague. He contacted The National Archives about this and was given contradictory advice. The National Archives apologised and a free search was made, but without a satisfactory result.

Another search was carried out, again without finding the information required, and it was revealed that The National Archives only held around 10% of the available records. Mr A was told that he would have to contact the other organisations where the material was held and pay further fees to search the records.

As a result of Mr A's further representations another organisation's archives were searched free of charge, again without finding the required information. Mr. A was then informed that a further search would incur a fee.

Mr A complained to the ICR that he had received incorrect and confusing information, that The National Archives failed to consult all the information available and wrongly asked for further fees to search for the information held in different locations.

The ICR noted that the fact that four different officers dealt with Mr A's complaint meant that he did not receive a co-ordinated response, although she recognised that staff tried to be helpful. Nevertheless, it would have been better to tell him early on that The National Archives was unlikely to hold the records he was seeking, and that he could approach other organisations but would incur their search fees.

The ICR concluded that Mr. A's complaint in this respect was justified. However, she was satisfied that TNA had tried to provide him with redress, including carrying out two free searches. Apologies had also been given. The ICR found that the redress given was proportionate to the problems encountered by Mr A and, for this reason, his complaint was not upheld.

The ICR noted that fees paid to one archive could not cover a search at another, as these organisations were independent. She commented that this should be made clear to users, so that similar confusion could not arise. In response, an amendment will be made to the Research Guide on Merchant Navy Crew Lists to advise researchers that information is held by a number of organisations which charge a search fee.

I do not uphold a complaint if, at the time it is accepted for investigation, The National Archives has already fully addressed matters and appropriate redress has been provided, offered or instigated. In the above complaint, none of the three allegations

of maladministration were upheld, although the complaint about communication was initially justified. This demonstrates the good complaint response offered, even in difficult circumstances.

2.3 Improved recording

I am pleased to report that in response to my recommendation in my last report The National Archives has introduced a system to record the compliments it receives. They are filed electronically, and are available for staff to see. Selected compliments are also posted on the The National Archives Intranet site. This is a significant step, which encourages staff to strive for customer satisfaction.

I note that during 2006–2007, The National Archives received 223 compliments, as well as up to 100 letters of thanks a month in response to written replies to enquiries.

3. Contacting the ICR

If you would like to complain to the ICR, or if you would like a full version of this Annual Report, please contact:

The Office of the ICR
New Premier House
150 Southampton Row
London
WC1B 5AL

Tel: 020 7278 6251
Fax: 020 7278 9675
E-mail: enquiries@icr.gsi.gov.uk
Website: www.icrev.org.uk

Appendix 2: Advisory Council on National Records and Archives

Fourth Annual Report 2006-2007

To the Right Honourable Jack Straw,
Lord Chancellor, Secretary of State
for Justice.

Access and preservation

The Council has continued to be actively involved in the process of deciding whether public records should be made available to the public, both in our formal meetings and through panels of members. We have queried numerous applications by government departments for the closure of historical records (those over 30 years old) under the Freedom of Information Act. In most cases we have accepted the departments' arguments after they have given more detail but in some the departments have themselves concluded that the public interest lay in disclosure.

We were particularly grateful to the Foreign and Commonwealth Office for accepting our view that records relating to the Suez crisis should no longer be considered to be sensitive. We were very pleased that this resulted in the release of the bulk of the remaining files in government departments on this episode.

We have previously expressed the view that the 100-year closure of the census should not apply to future censuses but that a duty of confidence applied to the records of past censuses. Although we had no part in the decision that most of the information in the 1911 census should be available to applicants immediately, we approved the decision of the Information Commissioner that some information should be confidential for the full term. We were impressed by the preparations made by The National Archives to deal with applications.

We have convened nearly thirty panels of members to consider the public interest in the release of closed information held in The National Archives.

Most of these have involved information relating to individuals who were the victims of or who were related to the victims of crime, the release of which information would damage international relations and information relating to law enforcement (such as unsolved serious crimes and the identity of police informers).

In the main, panels have readily agreed with departments that the public interest lay in non-disclosure, but in a few cases they felt it necessary to gather more information before agreeing. We were glad to learn that the Information Commissioner has himself said that, in appropriate circumstances, information which it is not in the public interest to release generally should nevertheless be made available to individuals, such as the victims of crime, outside the terms of the Freedom of Information Act.

We have considered several significant problems in relation to the retention of records by departments. We reported last year on the discovery of asbestos contamination of some Ministry of Defence records. It has become clear that the only safe course is to digitise the files, for transfer to The National Archives electronically or as paper copies. We are grateful to the Ministry of Defence for tackling this problem so vigorously. We also discussed the inadvertent release of sensitive Ministry of Defence papers relating to Saudi Arabia.

It has become clear that the Home Office is in some difficulty in coping with the quantity of records for which it is responsible, in numerous agencies. We therefore approved a request for a short moratorium on the reviewing of records for transfer so that records staff could be given training and could gain knowledge and control of the records. We shall be closely watching progress against the timetable.

Private papers

During the course of the year we have been impressed by the number of collections of papers which have come into public ownership having been accepted by the State in lieu of tax. In each case we have advised the Chief Executive of The National Archives in her capacity as Commissioner of

Historical Manuscripts on her draft advice on the proper place for the preservation of such collections. They have included:

- the papers of the Stuart Wortley Mackenzie family, Earls of Wharncliffe, conditionally allocated to Dundee City Archives on condition that storage conditions there are improved;
- Battle Abbey estate papers, conditionally allocated to the East Sussex Record Office on condition that conditions of storage are improved;
- the private papers of Helen Anrep and Roger Fry, who were members of the Bloomsbury Group, allocated to the Tate Gallery;
- the papers of the North family, Earls of Guilford, the family and estate material being allocated to Kent Libraries and Archives Service and the papers of the 5th Earl on Greek affairs being allocated to the British Library;
- the papers of the Coventry family, Earls of Coventry, allocated in their entirety to the Worcestershire Record Office with copies of local material made available to the Somerset and Warwickshire Record Offices and Birmingham City Archives;
- two copies of the Scottish National Covenant, allocated to the National Library of Scotland; and
- Peter of Poitier's Book and the Kerdeston hunting manuscripts, allocated to the British Library.

We reported last year on the development by The National Archives of a scheme for self-assessment by local authorities of their archive services. We received a report on the pilot of this scheme which, once it has been fully introduced in all local authorities in England and Wales will allow better targeting of inspections and the comparing of the services provided by different authorities. Already, it seems, lessons can be learned from the pilot data. We look forward to seeing this information used in the assessment by auditors of local authority services generally.

Several other developments were of interest. The National Archives has been working on a strategy for the preservation of business records, often seriously at risk when companies are taken over, move or go into liquidation, and will also be preparing strategies for other categories of records including those of

charities. We were also pleased to learn of an initiative by the Foreign and Commonwealth Office which has led to the release in the Swiss Federal Archives of the 'British Archive' of papers relating to Switzerland's activities as Protecting Power during the Second World War, looking after the interests in enemy territory of British people.

Role of the Council

During the last few years, the Council has received many appeals for access to records in response to an invitation issued over 10 years ago to historians and others. Latterly the majority of these appeals have concerned retained records of the Security Service. It became clear to us that the Council's role was unclear following the coming into force of the Freedom of Information Act, so we asked you for guidance.

We now understand that we have no role in considering:

- the public interest in the release of information which is exempt under ss23 and 24 of the Freedom of Information Act, since another government body is responsible;
- appeals for access to records which are retained on grounds other than security and intelligence, since the proper course is to appeal to the Information Commissioner; and
- appeals for access to security and intelligence records retained under a blanket retention instrument, since such material is excluded from the scope of the Freedom of Information Act and the Council has no knowledge as to its very existence.

We continue to have a role in considering:

- appeals for access to material in files only partly retained under a blanket retention instrument; and
- the retention of documents under a standard retention instrument, and appeals for access to such documents thereafter.

Changes at The National Archives

We had several opportunities to discuss with the Chief Executive the new Vision for The National Archives, which is to guide its activities during the next few years. We have also been interested to

learn about plans for the closure of the Family Records Centre and the transfer of its services to Kew, and for the merger of The National Archives with the Office of Public Sector Information, which occurred during the year.

The Council's members and meetings

Five members of the Council retired at the end of 2006: Sir Charles Chadwyck-Healey, Mr Peter Fox, Lord Rowlands, Dr Elizabeth Shepherd and Mr Andreas Whittam Smith. We are most grateful to all of them for their contributions to the Council's work. You appointed four new members with effect from 1 January, Dr Clive Field, Dr Jennifer Haynes, Mr Graeme Herd and Professor Michael Moss. The Council currently has no representative of the Labour Party. Members during the year were:

- Sir Rodric Braithwaite GCMG, retired, formerly British Ambassador to Moscow and chairman of the Joint Intelligence Committee
- Sir Charles Chadwyck-Healey Bt DL, retired, formerly academic publisher (*retired December 2006*)
- Ms Else Churchill, Genealogy Officer of the Society of Genealogists
- Dr Jeevan Deol, lecturer in the South Asia Department of the School of Oriental and African Studies, University of London
- Professor Harry Dickinson, Richard Lodge Professor of British History, University of Edinburgh
- Rt Hon the Viscount De L'Isle MBE DL, owner of the De L'Isle and Sidney family papers
- Sir David Durie KCMG, retired, formerly Governor and Commander in Chief, Gibraltar and a Director General in the Department of Trade and Industry
- Dr Clive Field, Honorary Research Fellow, University of Birmingham, formerly Director of Scholarship and Collections at the British Library (*appointed January 2007*)
- Mr Peter Fox, Librarian, Cambridge University Library (*retired December 2006*)
- Dr Jennifer Haynes, archivist and records manager at the Royal College of Obstetricians and Gynaecologists (*appointed January 2007*)
- Mr Graeme Herd, head of Information Technology at Slough Borough Council (*appointed January 2007*)

- Dr Dorothy Johnston, Keeper of Manuscripts and Special Collections, Hallward Library, University of Nottingham
- Professor Arthur Lucas CBE, Emeritus Professor of Science Curriculum Studies at, and formerly Principal of, Kings College London
- Professor Heidi Mirza, Professor of Equality Studies in Education, University of London
- Professor Michael Moss, Professor of Archival Studies at the University of Glasgow (*appointed January 2007*)
- Dr Michael Riley, senior lecturer in history, Bath Spa University College
- Rt Hon the Lord Roper, formerly Chief Whip for the Liberal Democrats in the House of Lords
- Lord Rowlands CBE, formerly Labour MP for Merthyr Tydfil (*retired December 2006*)
- Dr Elizabeth Shepherd, senior lecturer in archives and records management, University College London (*retired December 2006*)
- Mr Keith Simpson MP, Conservative MP for Mid Norfolk
- Mr Andreas Whittam Smith CBE, journalist, First Church Estates Commissioner (*retired December 2006*)
- Ms Janet Smith, County Archivist of Hampshire
- Ms Catherine Maxwell Stuart, owner of the private family and estate archive at Traquair House, Innerleithen, Peeblesshire
- Ms Stephanie Williams, author, journalist and user of archives

The secretary of the Council was Mr Tim Padfield.

Ms Natalie Ceeney, Chief Executive of The National Archives, attended all our meetings, accompanied variously by Dr David Thomas, Director of Collections and Technology, Mr Nick Kingsley, Head of National Advisory Services, Ms Meg Sweet, Head of Records Management and Cataloguing and Dr Norman James, Director of Advisory Services. At our meeting in February we welcomed Mr Richard Thompson and Mr David Wray, the Departmental Records Officers of the Home Office and Ministry of Defence respectively.

We were most grateful to Mr Wray for inviting us to visit the Ministry of Defence for our meeting in July. We took the opportunity to discuss with him and with his colleagues from the Home Office and the Foreign and Commonwealth Office their procedures for the review of records and our approaches to the public interest test for the release of information under the Freedom of Information Act.

On behalf of the members

Sir Anthony Clarke
Master of the Rolls
Chairman

Appendix 3: Background to the Office of Public Sector Information

Introduction

The Office of Public Sector Information (OPSI) brings together a portfolio of information policy and management responsibilities that embrace official, legal and statutory roles across publishing, UK legislation, licensing, Crown copyright and database policy and regulation of the re-use of public sector information (PSI). OPSI is the regulator of information trading activities by public sector information holders (PSIHs). The Information Fair Trader Scheme (IFTS), based on the principles of openness, transparency, fairness, compliance and challenge, provides assurance to re-users of PSI that they will be treated reasonably and fairly. This is underpinned by the legal framework set out in the Re-use of Public Sector Information Regulations 2005. A complaints and mediation service underpins the role of the regulator. With the implementation of the Regulations in July 2005, the existing government remit operated by Her Majesty's Stationery Office (HMSO) was extended to the wider public sector. The merger with The National Archives on 31 October 2006 created an integrated centre of information policy expertise to lead across government and the wider public sector.

Statutory and Legal Titles

The Director of the Public Sector Information Directorate holds the positions of Director of the Office of Public Sector Information and Controller of Her Majesty's Stationery Office. She is appointed by Royal Letters Patent as the Queen's Printer of Acts of Parliament and Government Printer for Northern Ireland. Under the terms of the Scotland Act 1998, she also holds the position of Queen's Printer for Scotland for which she has a direct reporting line to the Cabinet Secretary for Finance and Sustainable

Growth in the Scottish Executive. In that capacity, she heads up The Office of The Queen's Printer for Scotland (OQPS).

Role and responsibilities

OPSI was established as the dedicated body and principal focal point for the operation of public sector information re-use through the UK implementation of the EU Directive on Public Sector Information on 1 July 2005. In operational terms, OPSI was created from, and now includes, Her Majesty's Stationery Office. OPSI operates across the UK delivering a unified policy lead.

The merger of OPSI with the National Archives enables the combined organisation to provide strong and coherent leadership for the development of information policy across government and the wider public sector.

OPSI and HMSO are the regulators of public sector information holders for their information-trading activities. The Information Fair Trader Scheme provides reassurance to re-users of public sector information that they will be treated fairly and that there are standards for dealing with PSI. OPSI also investigates complaints against public sector information holders made under the PSI Regulations.

OPSI provides the Click-Use Licensing system for obtaining permission to re-use Crown copyright, Parliamentary and public sector material through an online licensing process and is responsible for the Government Information Asset Register (IAR) that lists information assets held by the UK Government with a focus on unpublished material. OPSI also provides a secretariat to the Advisory

Panel on Public Sector Information (APPSI), which advises Ministers and the Director of OPSI on how best to encourage the re-use of public sector information. APPSI also has a statutory role in the complaints process under the Regulations.

Her Majesty's Stationery Office

Operating from within OPSI, Her Majesty's Stationery Office (HMSO) is a separate legal entity and its core activities include:

- responsibility for the publication of:
 - all United Kingdom legislation;
 - the official newspapers of record, *the London, Belfast and Edinburgh Gazettes*
 - all Command and Departmental House of Commons Papers;
- the management of Crown copyright; and
- providing advice and guidance to government departments on legislation and official publishing.

The OPSI website meets the aim to make information easy to find, use, share and trade through the provision of expert advice and guidance, setting standards in official publishing and licensing through a unique range of online services direct to the public at www.opsi.gov.uk. It is one of the most visited websites in government with over 1 million unique users per month. The website is the key platform for delivering UK legislation online; the provision of advice and guidance; the Government's Information Asset Register; the Information Fair Trader Scheme (IFTS); and the Click-Use system covering the re-use of a range of public sector information, including Crown and Parliamentary copyright.

OPSI also manages a number of service level agreements with the Westminster and Scottish Parliaments, ensuring a consistent UK approach to the re-use of official materials.

Statutory Obligations of The Office Of Public Sector Information, Her Majesty's Stationery Office and The Queen's Printer/Government Printer

Obligation	Source
<ul style="list-style-type: none"> The Queen's Printer holds and exercises all rights and privileges in connection with Crown copyright and Crown database rights 	<i>Letters Patent</i>
<ul style="list-style-type: none"> Office of Public Sector Information investigates complaints in relation to the re-use of public sector information 	<i>Re-use of Public Sector Information Regulations 2005</i>
<ul style="list-style-type: none"> The Queen's Printer prints all Acts of Parliament (including Measures of the National Assembly of Wales) 	<i>Letters Patent</i>
<ul style="list-style-type: none"> All Statutory Instruments registered and numbered by the Queen's Printer All Statutory Instruments shall as soon as possible be printed and sold by or under the authority of the Queen's Printer HMSO to produce lists showing the date upon which every statutory instrument printed and sold was first issued by HMSO <p>HMSO is also responsible for advising the Lord Chancellor¹ in respect of his responsibilities in relation to:</p> <ul style="list-style-type: none"> The making of regulations under the Statutory Instruments Act 	<i>Statutory Instruments Act 1946 as amended by the Statutory Instruments (Production and Sale) Act 1996</i>
<ul style="list-style-type: none"> Production of an Annual Edition of Statutory Instruments with an Annual Numerical and Issue List, a classified list and tables showing the effects of legislation on previous instruments (on behalf of the Lord Chancellor)² Annual Edition to be printed and published by the Queen's Printer and published by HMSO 	<i>Statutory Instruments Regulations 1948</i>
<ul style="list-style-type: none"> The Government Printer for Northern Ireland, the officer appointed to print Acts of the NI Assembly, for publication of Statutory Rules by Her Majesty's Stationery Office 	<i>Statutory Rules (N.I.) Order 1979</i>

¹ The functions transferred from the Minister for the Civil Service on 31 October 2006 under a Transfer of Functions Order

² The responsibility transferred from the Minister for the Civil Service on 31 October 2006 under a Transfer of Functions Order

Statutory Obligation	Source
<ul style="list-style-type: none"> • Copies of legislation, the Official Gazettes (i.e. the London, Belfast and Edinburgh Gazettes) and other documents (e.g. copies of Treaties, Command Papers) admitted into evidence if printed by or under the authority of the Queen's Printer or Government Printer 	<i>Documentary Evidence Acts 1868 and 1882</i>
<ul style="list-style-type: none"> • Respond to requests for information • Provide advice and guidance to those who have made or might make a request for information • Maintain a Publication Scheme 	<i>Freedom of Information Act 2000 and Environmental Information Regulations 2004</i>
<ul style="list-style-type: none"> • Respond to requests for personal data • Comply with Data Protection Principles 	<i>Data Protection Act 1998</i>
<ul style="list-style-type: none"> • Respond to enquiries and assist the Parliamentary Commissioner for Administration in relation to complaints against HMSO 	<i>Parliamentary Commissioner Act 1967</i>

It should be noted that there are many hundreds of other references in legislation to HMSO and/or the Queen's Printer in relation to the printing and publication of official documents.

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on behalf of the Controller of Her Majesty's Stationery Office
ID5597180 07/07

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