



Race Equality Scheme

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Foreword by George MacKenzie, Keeper of the Records for Scotland

I am pleased to present this revised Race Equality Scheme for the National Archives of Scotland (NAS). This document sets out how my Department continues to meet its statutory duties under the Race Relations (Amendment) Act 2000.

The fundamental aim of the NAS is to work with Scottish Ministers to improve the well-being of Scotland and its people by preserving, protecting and promoting the nation's records; to provide the best possible inclusive and accessible archive that educates, informs and engages the people of Scotland and the world.

It is essential that NAS promotes race equality for our staff who work in the Department and for the delivery of all the services we provide to the public. We also need to ensure that there is no discrimination to anyone who accesses our services. We want to ensure that we carry out our functions with the utmost integrity in terms of race equality.

This Race Equality Scheme continues to provide us with a useful mechanism to consider what more we need to do to reinforce our commitment to equality for all the people of Scotland.

George MacKenzie
Keeper of the Records of Scotland

1. Introduction

1.1 In 2001 the Race Relations (Amendment) Act first introduced a positive duty on the public sector to work to achieve race equality. The NAS Race Equality Scheme was published 30 November 2002.

1.2 NAS is required to review and update the Race Equality Scheme on 30 November 2008. This scheme sets out how we in NAS will achieve our objectives for race equality as defined in the Race Relations Act (Statutory Duties)(Scotland) 1976.

2. Background

2.1 Section 71(1) of the Act requires public authorities to have due regard to the general statutory duty in carrying out our functions. This means:

- eliminating unlawful discrimination
- promoting equality of opportunity and
- promoting good race relations.

Sections 6-8 relate to this general duty.

2.2 The Race Relations Act also requires us to identify functions which are relevant to race equality and assess their significance. Section 5 outlines the specific duty in this respect.

3. About the National Archives of Scotland

3.1 The National Archives of Scotland (NAS) is an agency of the Scottish Government (SG) and its chief executive, the Keeper of the Records of Scotland, is a non ministerial office holder in the Scottish Administration. The national archives play an important role in Scotland's economic and cultural life. The property market in Scotland is dependent on the services provided by the NAS to legal searchers, while its historical records are much used in lifelong learning and are a major attraction for genealogists, which helps promote tourism. In addition to advising Scottish Ministers on records and information policy, the NAS advises Scottish public authorities about the creation and management of their records, it advises public and private owners about their historical records and it provides a reference service to the public on all aspects of the national archives.

3.2 The mission of the NAS is:

To preserve, protect and promote the nation's records; to provide the best possible inclusive and accessible archive that educates, informs and engages the people of Scotland and the world.

3.3 Our functions, based on our mission, are:

- to select public records regarded as worthy of permanent preservation; acquire other historical records of national importance, or which otherwise merit preservation; divert, devolve or transfer records to other appropriate repositories; and make suitable arrangements for the disposal of other material;
- to preserve to archival standards all records selected for permanent preservation in the NAS;
- to promote public access to the information in the records; and increase access to the records through electronic means, the use of copies, and by producing catalogues, exhibitions and publications;
- to provide advice, guidance and support to owners and custodians of records held outwith the NAS, especially local authorities and other Scottish public authorities; and disseminate information on and facilitate access to such records;
- to take the lead in the development of archival and records management practice in Scotland; and
- to deploy the resources available to the NAS in the most effective and efficient manner.

3.4 Our **vision** for NAS over the next decade is that we:

- work to the best international practice in quality, customer orientation and cost-effectiveness;
- provide information which is accessible, helpful and accurate, surpassing the expectations of all our customers;
- ensure that our information is widely used, for the benefit of individuals and to improve the administration of Scotland and the UK;
- in partnership with other public bodies, provide a world-class service to family historians in Scotland and around the world;
- minimise the call on taxpayers and customers by income generation and the achievement of good value for money; and
- are highly-motivated and well-informed people who find our work satisfying, treat everyone with respect, and are committed to innovation and improvement.

3.5 As civil servants we have common **VALUES** which are:-

- integrity and honesty;
- objectivity;
- political impartiality; and
- fairness.

3.6 To enable us to help meet our aim, NAS is organised into two Divisions, Records and Corporate Services. The core functions of these Divisions are as follows:

Records Services:

- To administer all aspects of NAS responsibilities for Government records, including those of the Scottish Parliament, and for court and legal records in Scotland.
- To administer corporate and private records held by NAS, and to take responsibility for developing and managing relations with both public and private organisations which do not deposit records, providing a source of expertise and advice to them on record keeping.

- To promote and market NAS collections and services to increase access to its records and facilities by users.

Corporate Services:

- To provide financial, procurement, accommodation, IT, records conservation, learning and other support services for NAS.
- To make the records held by NAS available to customers both at our buildings in Edinburgh and remotely over the world wide web.

4. NAS's Priorities and Key Policy Areas 2007-2010

4.1 The ScotlandsPeople service, on the Internet, in the new centre and at local level, will remain the major access project for NAS over the next 5 years. We will work with GROS, the Office of the Lord Lyon and others to create a world class family history service on line, on site and across Scotland.

4.2 We will make more of our records (particularly those of family and local history interest) available as digital images, seeking customers' views to inform our decisions.

4.3 We will continue to work with Registers of Scotland on the Registers Archive Conversion project, with the aim of satisfying 75% of access and copy requests for legal documents electronically. From about 2009 our legal service will be progressively taken over by Registers Direct, allowing us to concentrate on historical customers.

4.4 We will promote our education services, working with teaching professionals to develop new content, based on our rich holdings to support the schools curriculum. We will do this both on our own and increasingly in partnership with the national collections and with other heritage bodies.

4.5 We will play a major role in managing the transition from paper to electronic public records. We aim to be a centre of excellence in electronic records, and to provide a secure and trusted digital repository for the records of government in Scotland that are created in electronic form. We will use our expertise to advise government bodies and other public agencies on e-records.

4.6 We will provide secure accommodation to safeguard records of long term value, whether paper or electronic. We will do so by managing the increase in records coming to us, through better appraisal and selection, by looking at

alternative storage options, and by increasing our storage capacity either through new building or renting additional accommodation.

4.7 We will promote better record keeping by public bodies in Scotland, in order to support compliance with Freedom of Information and other legislation. We will work with local authorities and others to improve the standard of archive services across Scotland and give citizens access to information about themselves, their families and their communities.

Cross-cutting

4.8 The Agency also wants to ensure that we operate in an efficient, effective and professional manner; demonstrate compliance with legislation and published good practice; provide an environment where staff can develop their knowledge and skills for the benefit of the business and the individual; and deliver services which meet customers' needs and are publicised appropriately.

4.9 We therefore:

- Apply sound corporate governance to our business;
- Play a full part in seeking opportunities for sharing services;
- Demonstrate the characteristics of a Best Value organisation by adapting to change and achieving continuous improvement;
- Make best use of ICT in an appropriately secure manner;
- Prepare accurate Annual Accounts for timely presentation to the Scottish Parliament and publish an Annual Report which is made available for public viewing;
- Ensure that staff have proper development opportunities and are well-managed;
- Meet our obligations under the SG's Performance Management System and complete all appraisals, in line with the guidance, by the due dates;
- Involve our staff in the development of our objectives and foster first-rate leadership within the organisation.

5. NAS Functions relevant to Race Equality

5.1 The functions which the NAS Race Equality Scheme 2002 identified as being relevant to race equality are:

Prime function	Significance
To promote public access to the information in the records and their use	Low

for lifelong learning and social inclusion	
To acquire historical records, which are not public records but are of national importance or which otherwise merit preservation	Low
To provide advice, guidance and support to owners and custodians of records held outwith NAS	Low
To take the lead in the development of archival and records management practice in Scotland	Low
To deploy the resources available to the NAS in the most effective and efficient manner	Low
Supporting function	
Purchasing goods and services	Low
Training and development	Low

5.2 We have assessed the significance of each function by looking at the processes we have in place. Annex A contains a summary of our functions (this now includes more on outreach activities such as exhibitions and education), and Annex B lists the processes, together with the actions that we currently take and those we plan to take to meet our duties.

6. The National Archives of Scotland as an Employer

6.1 NAS is an Agency of the SG. This means that all staff in the NAS enjoy the same terms and conditions of employment as SG staff and we adopt all of the SG's HR policies and procedures. The SG also have overall responsibility for our staff recruitment. All staff are recruited into posts based on their competencies.

Equal opportunities and diversity policies

6.2 The SG's employee policy on equal opportunities is that all staff should be treated equally irrespective of their sex, marital or civil partnership status, age, race, ethnic origin, sexual orientation, disability, religion or belief, working pattern, employment status, gender identity, caring responsibility, or trade union membership.

6.3 NAS therefore are committed to increasing the diversity of, and development opportunities for, all staff within the organisation.

6.4 Although the current NAS staff turnover rate is very small, we are committed to the retention of all of our staff. We will monitor the reasons for staff leaving the organisation and use evidence from this to address any areas of inequality or unfair treatment in our policies and processes. We will consider the results of our employee survey to identify any areas where our policies may be impacting unequally on different groups; where staff may feel undervalued or feel that they have not been treated fairly by the organisation and take remedial action as appropriate.

Development

6.5 We record information on staff progress through the organisation in our HR database and some of this is evidenced in the progress towards our diversity targets. Although each member of staff completes a Personal Learning Plan as part of the Performance Management process, this information cannot easily be disaggregated by gender, race or disability.

6.6 We will monitor our training provision, in particular our management development courses, as far as we are able to ensure that all employees are afforded an equal opportunity to progress through the organisation. We will also encourage applications from any groups who may be under-represented in any particular area of training or development to ensure there is equality of opportunity across the organisation and we will make available flexible training opportunities for staff who work a non-standard pattern.

Performance management

6.7 The effective operation of the Performance Management System makes an important contribution to meeting our commitment to race equality by ensuring all staff are valued for their individual contribution and their performance is assessed fairly. All staff have a responsibility to ensure that their participation in the Performance Management process supports the SG's diversity agenda. We review all markings given under Performance Management System to ensure that the system is free from bias. We encourage all staff to have a personal diversity objective as part of their performance appraisal.

Involving our staff

6.8 NAS is keen to work closely with all staff to ensure that their needs are met and to continue to make improvements within the workplace. We will work, through HR, with the SG staff networks to ensure that we include all views and perspectives in developing our policies and practices.

7. Procurement

7.1 NAS follows the SG's rules on procurement. The procurement activities of public bodies are highly regulated (EU Treaty, specific EU Directives on procurement and jurisprudence from the European Court of Justice and the national courts) which means that such bodies are obliged to ensure that they act in a transparent and proportionate manner ensuring equal treatment and non discrimination in all their activities. In essence, this means that good procurement practice is fundamentally about treating potential suppliers equally and awarding contracts on the basis of merit following fair and open competition wherever possible. In this respect, good procurement practice is therefore consistent with equality policies.

7.2 NAS accepts that as a procurer of goods and services it has to ensure that those who are contracted by us do not compromise our duty to promote equality between women and men when carrying out services to the public on our behalf.

7.3 NAS will ensure that our standard terms and conditions follow those of the SG and include a clause stating that contractors shall not unlawfully discriminate with regard to disability, age, gender, sexual orientation, race or religion.

7.4 We require potential contractors for significant contracts to disclose any adverse judgements/rulings and have published guidance for suppliers on our procurement website that warns that failure to comply with legislation may result in them being excluded from bidding.

7.5 In 2007 - 2008 our operating expenditure was around £2 million (excluding wage costs and capital charges) and most of this expenditure was on accommodation-related matters. Our expenditure ranged from £400k on major items such as gas, electricity and water, to small contracts awarded to local businesses for things such as grounds maintenance and window cleaning.

Procurement Action Plan

Policy	Action	By whom	By when	Outcome
Procurement	We will review standard contract conditions to ensure that they commit our suppliers to comply with all relevant equality legislation.	NAS Finance & Admin Branch and Scottish Procurement Directorate	Ongoing	All contract conditions compliant with equality legislation.

8. Assessing the Impact of our Policies and Practices

NAS Staff

8.1 NAS staff take part in an annual Employee Survey run by the Scottish Government. However, we consider our own results separately and create our own action plan based on our staffs' opinions. This is our key tool for staff consultation.

8.2 In addition we will continue to consult our staff by email, intranet and other means on equality issues, and take account of their comments.

8.3 We regularly seek feedback on the services we provide to customers, which enable members of the public to access open public records both in our search rooms and remotely online. We do this face-to-face, by means of comment sheets and through customer surveys.

9. Reviewing the Scheme & Annual Reporting

9.1 We will review our scheme every three years to ensure that we continue to meet our responsibilities under the Race Equality Act 1976. This will require us to work with staff and the users of our services on an ongoing basis to identify any barriers which may exist. The NAS Management Board will consider evidence and actions on equality annually.

9.2 We will publish a revised scheme by 30 November 2011.

Annex A

Summary of relevant functions

To promote public access to the information in the records and their use for lifelong learning and social inclusion

In 2007/08 nearly 12,000 people visited the Historical and West Search Rooms in General Register House and West Register House, to consult and undertake research using our records. It is anticipated that the new Scotlandspeople Centre will attract more than 25,000 visitors each year.

During 2007/08, nearly 5,000 letters and e-mails were written in response to enquiries; around 33,000 records were produced for customers and over 30,000 copies of records made.

Improvements to the catalogues and indexes are ongoing, while more use is being made of the on-line version.

Our programme of exhibitions and publications helps to stimulate and inform the public on NAS holdings.

We continue to develop Scottish Archives for Schools (SAfS), our education service supporting the Curriculum for Excellence in Scotland. The SAfS website provides information on our resources and news of our latest developments. We deliver workshops for P4 to S6 pupils in our central Edinburgh office and we are piloting videoconferencing (VC) to give schools across Scotland access to our services.

Annex B

Action Plan

1. To promote public access to the information in the records and their use for lifelong learning and social inclusion (Low significance to Race Equality)

Process	Background and how we measure race equality outcomes	Planned improvements	Timing
To give access to records held by the Keeper of the Records of Scotland	Access is given to records for legal purposes on payment of a fee and is given free of charge to bona fide historical researchers	Information is sought on the age, gender and race of users in each user survey. Our surveys have not raised any specific issues regarding race equality but we will continue to monitor them closely. We shall monitor demand for information in minority languages	Continuing
To produce educational materials for lifelong learning	Educational materials are produced on the sources held by NAS	In partnership with Learning and Teaching Scotland (LTS), GLOW (Scotland's national schools' intranet) and National Qualifications Online, we aim to make our resources available to teachers and pupils through the secure environment of GLOW. Following evaluation of our pilot videoconferencing project, we will consider developing this service and	Continuing

		making it available through GLOW	
To produce detailed online guide to records in NAS concerning slave trade	Learning and information materials are produced on the sources held by NAS, but there is no specific measurement of race equality outcomes	The guide will be updated	Continuing
To produce exhibitions	Access to our exhibitions is free of charge	There is no specific measurement of race equality outcomes in evaluations of exhibitions	Bi-annual

2. To acquire historical records, which are not public records but are of national importance or which otherwise merit preservation (Low significance to Race Equality)

Process	Background and how we measure race equality outcomes	Planned improvements	Timing
To select records for permanent preservation based on historical significance	NAS is very selective in the non-public records it chooses to receive out of those offered to us	NAS continues to be selective in the records it selects and strives to select records of relevance. There is no discrimination on race in the records selected	Continuing

Annex B

3. To provide advice, guidance and support to owners and custodians of records held outwith NAS (Low significance to Race Equality)

Process	Background and how we measure race equality outcomes	Planned improvements	Timing
To provide advice, guidance and support to owners and custodians of records	Advice is provided to all who ask for it. There is no monitoring of the user group	Recent financial constraints have meant that the help provided to external organisations has been reduced. The NAS will however always give consideration to any organisation or individual who needs help	Continuing

4. To take the lead in the development of archival and records management practice in Scotland (Low significance to Race Equality)

Process	Background and how we measure race equality outcomes	Planned improvements	Timing
To take the lead in the development of archival and records management practice in Scotland	NAS seeks to disseminate information on best practice in archives through publications and meetings with other archival bodies. There is no monitoring of race equality in this	As at 3 above	Continuing

5. Purchasing goods and services (Low significance to Race Equality)

We follow the SG's procurement policy and the general UK Government purchasing rules. While the policy does not specifically address race equality it nevertheless is founded on the fundamental principle of fair and open processes across the board.

Process	Background and how we measure race equality outcomes	Planned improvements	Timing
To purchase all goods and services for the department	We follow Government procurement guidelines which ensure that all purchases are undertaken on a fair and value for money basis (therefore, by implication, there is no discrimination on racial grounds)	We will continue to follow Government procurement guidelines	Continuing

Annex B

6. Training and development (Low significance to Race Equality)

Process	Background and how we measure race equality outcomes	Planned improvements	Timing
Arrange learning opportunities for all staff	For every training opportunity we arrange or provide we seek feedback from those who attended	We will continue to ensure all our training material and in-house courses contains appropriate reference to equal opportunities	Ongoing
Arrange induction for all new staff	We seek feedback from all new staff on the induction programme	We will continue to ensure that our induction material contains appropriate reference to equal opportunities	Ongoing