

To:-

16 August 2005

Dear Sir or Madam,

Thank you for your information request dated 21 July 2005.

The grant that the National Archives of Scotland provides to the Business Archives Council of Scotland is a maximum of £25,000 per year. The grant is normally given for 50% of the employment recharge cost of the surveying officer. As you will see from the table below, they do not necessarily claim the full amount each year. There is, however, no facility for any unclaimed money to be rolled over to the next financial year. The amounts claimed for the years 2000-2005 are:

Year to 31 March 2001	£24,721
Year to 31 March 2002	£25,000
Year to 31 March 2003	£16,791
Year to 31 March 2004	£22,972
Year to 31 March 2005	£25,000

The low amount claimed in 2002-2003 is attributed to the absence of a Surveying Officer for a number of months during that period.

The formal terms and conditions for the awarding of the grant are contained in the attached document *Business Archives Council Grant - Outline Conditions from NAS*. These were drawn up in 2001 and were officially signed by Dr Peter Anderson (for NAS) and Professor Michael Moss (for BACS) sometime before the BACS Executive Committee meeting of 17 April 2002, although there is no date given on the signed copy in our files.

The following, regarding the financial procedures relating to the grant, is taken from the *Minutes of the Executive Committee Meeting of the Business Archives Council of Scotland held on Wednesday 17 April 2002 in the Lord Clerk Register's Room, HM General Register House, 2 Princes Street, Edinburgh EH1 3YY\**:

“3. BACS Grant from National Archives of Scotland, draft remit of BACS surveying and reporting arrangements.

Jim Grady, NAS Finance Officer, outlined the procedures required by the NAS's auditors for the management of the grant, in order to demonstrate public accountability and value for money. Grant would be paid quarterly in arrears on submission by BACS of an invoice issued by Glasgow University. NAS and BACS financial year runs from 1 April to 31 March. Therefore BACS would need to submit the final claim for the 2001-2002 grant in April. NAS will not pay grant on submission of an estimate: the grant claim must take the form of an invoice for work already undertaken. BACS is dependent on the GU Finance office to issue the invoice, which is sometimes subject to delay. Therefore for the final grant claim of

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\* On NAS file A/453/2 *Business Archives Council of Scotland*

each year, it would be permissible to submit invoices for January and February, along with an estimate for March. It was agreed that this procedure would be followed.

Peter [Anderson] and Michael [Moss] had signed two copies of the NAS/BACS conditions of grant 2001-2004. NAS had filed one original. Ann [BACS honorary secretary] would send the other original to Michael and copies to Lesley [representative from Glasgow University Archives Service] and Ian [BACS honorary treasurer].

Peter and Michael still needed to sign the remit document agreed by the committee. Ann would send a copy for Michael to sign and forward to Peter. Johanna [BACS Surveying Officer] would finalise the performance indicators for approval by the committee. These would be reviewed and revised annually.”

The Conditions of Grant has not been reviewed since it was drawn up and the grant is therefore awarded on a rolling yearly basis, under the same terms and conditions.

In regards to other charitable bodies involved in listing documents for the NAS, The Ballast Trust, (registered charity number SC008790) have been involved with us for a number of years voluntarily listing technical ship drawings and British Railway plans. The Trust was set up in the late 1980s to carry out appraisal, listing and the temporary storage of large accumulations of technical records from engineering and other businesses in Scotland. Based at Johnstone, and run by Dr Bill Lind (an honorary graduate of the University of Glasgow), the Trust has been instrumental in enabling archive offices to have access to specialist skills and knowledge in technical records, which few professional archivists possess. Just as important, the Trust provides access to scarce accommodation in which large collections can be sorted. Over the years the Trust has been involved in major listing work for many repositories such as the National Archives of Scotland, Glasgow City Archives and Borders Archive Service. The National Archives of Scotland provides no funding to the Trust and neither do we have any formal agreement with them for the work they undertake. Plans are temporarily transferred to the Trust’s offices in Johnstone for listing and sorting and returned to us when the work is completed.

Please do not hesitate to get in touch if you require more information. If you have any complaints, please write in the first instance to me, as the FOI Officer, at the above address. If this fails to resolve the matter to your complete satisfaction, you have the right to apply to the Scottish Information Commissioner for a decision.

Yours Sincerely

**Morag Fyfe**

Freedom of Information Officer

The National Archives of Scotland  
HM General Register House  
Princes Street  
Edinburgh  
EH1 3YY

E-mail: [Morag.Fyfe@nas.gov.uk](mailto:Morag.Fyfe@nas.gov.uk)

Website: <http://www.nas.gov.uk>

Direct line: 0131 535 1371

Fax: 0131 535 1360

## ATTACHMENT

### **Business Archive Council Grant**

#### Outline Conditions from National Archives of Scotland

1. The grant will be offered for up to 3 years from April 2001, and reviewed annually.
2. The grant baseline will be up to £25,000 per year, subject to meeting all other terms, conditions and performance indicators.
3. Either party may give 3 months notice of material changes to this agreement, including withdrawal of the grant offer by NAS in exceptional circumstances.
4. Payment of grant will be based on claims submitted on a quarterly basis, supported by evidence of the charges. Payment from NAS will normally follow within 30 days thereafter.
5. The NAS contribution will normally be for 50% of the employment recharge cost of the surveying officer, undertaking work approved by NAS, subject to the overall grant provision.
6. Time spend by the Surveying Officer(s) on work not approved by NAS, will not count towards the grant contribution. Any absence or vacancy in excess of one month should be notified to the NAS Liaison Officer. This section needs clarification and it can be tied in with the annual action plan.
7. The filling of posts will be the responsibility of BACS, but subject to NAS guidance on qualifications and experience.
8. The means of meeting the remaining cost not provided by NAS must be agreed prior to 1 April for grant to be considered as a commitment.
9. The NAS takes no responsibility for redundancy or other extraordinary costs arising from engagement of the Surveying Officer(s).
10. Certified annual accounts for the previous year's business will be required within 3 months of the end of financial year. Any delays in submitting accounts may lead to late payment of claims. There will be no provision for automatic carry-forward for unclaimed grant.
11. The key performance indicators will be agreed and documented between the two parties. An annual review of performance indicators will be agreed.
12. The feedback from BACS will be formalised at the quarterly BACS Executive meetings and this will act as an interim approval to continue payment of grant. The NAS representative will be a member of the Executive ex-officio.
13. Any communication should be acknowledged within 10 working days.
14. Any disputes over the payment of Grant should be submitted in writing to the Keeper of the Records of Scotland, National Archives of Scotland, HM General Register House, Edinburgh EH1 3YY
15. The normal contact points for grant queries will be:  
NAS: Dr Peter Anderson (tel. 0131 535 1406; [peter.anderson@NAS.GOV.UK](mailto:peter.anderson@NAS.GOV.UK)); Dr Alison Rosie (tel. 0131 535 1403; [alison.rosie@NAS.GOV.UK](mailto:alison.rosie@NAS.GOV.UK)) for operational purposes and Jim Grady (tel. 0131 535 1308; [jim.grady@NAS.GOV.UK](mailto:jim.grady@NAS.GOV.UK)) for grant payment.  
BACS: Archives and Business Records Centre, University of Glasgow, 77-87 Dumbarton Road, GLASGOW, G11 6PW; 0141 330 4159; [bacs@archives.gla.ac.uk](mailto:bacs@archives.gla.ac.uk); Robin Sim, Treasurer

Dr Peter Anderson,  
for National Archives of Scotland

Prof Michael Moss  
for Business Archives Council (Scotland)

signed \_\_\_\_\_

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Proposed Performance Indicators and Conditions for BACS surveying Officers, Year 2001-02 to 2003-04

1. BACS will provide a policy statement to state the remit of the Surveying Officer(s). This should include the categories of business likely to be reviewed and confirm that the service will provide Scotland-wide coverage.
2. Survey planning must be approved by the NAS liaison officer and subject to a quarterly timetable within an annual programme. Estimates of time for each visit should be stated.
3. BACS will provide a quarterly progress report to the NAS Liaison Officer, detailing surveys planned, ongoing and complete. This can stand as a separate PI. Copies of all surveys must be lodged with the NAS Liaison Officer and indexes maintained. The style of this is still to be agreed.
4. Both parties will reasonably maintain any confidentiality requirements.
5. BACS may seek professional support and advice from NAS & NRAS.
6. BACS will provide improved publicity for the NAS support, e.g. "Major funding bodies are National Archives of Scotland and XX".
7. There will be quarterly monitoring meetings between BACS and ANS, with minutes being produced.

Agreed April 2002

Dr Peter Anderson,  
for National Archives of Scotland

Prof Michael Moss  
for Business Archives Council (Scotland)

signed \_\_\_\_\_

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